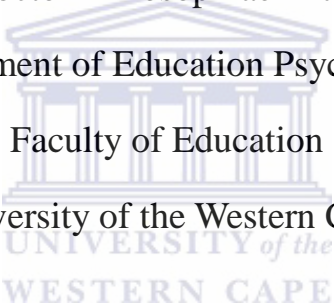


PROFESSIONAL AND PERSONAL DEVELOPMENT OF SCHOOL MANAGEMENT TEAMS IN THREE RURAL PRIMARY SCHOOLS

VERONIQUE GENNIKER

A thesis submitted in fulfilment of the requirements for the degree of

Doctor Philosophiae in the
Department of Education Psychology
Faculty of Education
University of the Western Cape
The logo of the University of the Western Cape, featuring a classical building facade with columns and a pediment, with the text 'UNIVERSITY of the WESTERN CAPE' below it.

November 2015

Supervisors: Dr Nadeen Moolla and Prof. Sandy Lazarus

KEYWORDS

Educational change

Leadership and management

Personal development

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Roles and responsibilities

Rural schools

School-based support

School management teams



ABSTRACT

Professional and personal development of school management teams in three rural primary schools

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The essential role that school management teams (SMTs) play in managing change has been debated for many years both nationally and internationally. Central to these debates has been the need to understand how to best empower SMTs through a process of continuous professional development.

This research aimed to explore SMT members' experiences of professional and personal development in three rural primary schools in the broad context of educational change in South Africa and specifically in the context of policy implementation. This aim was explored by asking the following research questions:

1. How did educational change in South Africa influence leadership and management in schools?
2. What professional development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
3. What personal development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
4. What are SMT members' suggestions for enhancement of personal and professional development and support of SMTs in schools in South Africa?

The literature review which grounded this study focused on three areas, namely, educational change, leadership and management in schools, and professional and personal development. An integrated theoretical framework was employed and provided the lens through which the data was collected and analysed. Key concepts within the framework included mental maps, reflexivity and authoring which were synthesised within change theory. The change theory employed emphasised the value of engaging with first, second and third orders of change to

effect the facilitation of meaningful change on both a personal and professional level. SMTs from three rural primary schools in three different provinces, comprising of six educators each, participated in the study. The researcher conducted three focus groups and 18 individual interviews.

The social constructivist -interpretive paradigm that framed this research study is a worldview that understands reality as being constructed when people engage with each other. Congruent with the social constructivist -interpretive paradigm is a qualitative research design, which was employed in this study to collect rich, comprehensive, in-depth data that explored the professional and personal development experiences of SMTs to illuminate the complexity of the issue being studied.

The study encompassed three phases of data collection. Firstly, a detailed document analysis was conducted where policy documents, research reports and job descriptions were studied and analysed. Secondly, 18 SMT members were interviewed in three focus groups. Thirdly, the 18 SMT members were individually interviewed. Phases two and three of the data collection process employed semi-structured interviews to generate data. The data analysis employed a qualitative, thematic approach to analyse and interpret the data that emerged. A thematic approach was used to illuminate the professional and personal development experiences and challenges facing the SMTs. The thematic approach generated distinct categories that were used as descriptors to report on the findings of the research.

The findings highlight the need for integrated professional and personal development, role clarification, school-based support, policy mediation and outlines implications for the development of SMTs.

This research makes a contribution towards educational change in South African schools by providing insights and proposing a model of professional and personal development for SMTs. It illuminates the vital importance of first acknowledging developmental needs and then facilitating personal and professional development to effect practical implementation of change at schools as required by policy. The researcher demonstrates how three orders of change theory with related personal development concepts can be integrated into a single theory to understand and facilitate change at the level of the individual, group and organisation.

DECLARATION

I declare that, *Professional and personal development of school management teams in three rural primary schools* is my own work, that it has not been submitted for any degree or examination in any other university, and that all the sources I have used or quoted have been indicated and acknowledged by complete references.

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In sweet memory of my precious late big brother Darryl Warren Damons, thank you always for Earth, Wind and Fire, and my precious great grandmother Ouma Dora Genniker, whose name I proudly chose to carry and hope to live up to!! REST IN PEACE MY PRECIOUS GUARDIAN ANGELS!!

LIST OF ACRONYMS

CPD	–	Continuous Professional Development
DOE	–	Department Of Education
IQMS	–	Integrated Quality Management Systems
MMLF	–	Maskew Miller Longman Foundation
NEEDU	–	National Education Evaluation and Development Unit
PAM	–	Personnel Administrative Measures
SACE	–	South African Council of Educators
SASA	–	South African Schools Act
SGB	–	School Governing Body
SMT	–	School Management Team
SSDP	–	School Support and Development Project
SSM	–	School Support Model
WSE	–	Whole School Evaluation

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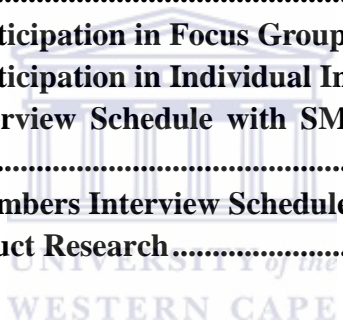
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CHAPTER 1

INTRODUCTION

This research is an exploratory reflective description of the professional and personal development experiences of school management teams (SMTs) at three rural primary schools. This study highlights the importance and benefits of including regular school-based personal development in all professional development training and support for SMTs. The reason for the inclusion of personal development is to explore how it can potentially assist and enable SMTs to effectively, meaningfully and sustainably implement their new roles and responsibilities as required by policy. Policy literature is however not explored in depth in the thesis since this was not the key focus of this study.

Prior to this doctoral study, the SMTs in this research participated in a Maskew Miller Longman Foundation (MMLF) three-year school support and development project from 2008-2011. The MMLF project was designed to enable disadvantaged and underperforming schools to effectively, meaningfully and sustainably implement new policies. The MMLF provided regular school-based training and support that explicitly included personal development in all professional development sessions. These professional and personal development sessions practically mediated the implementation of new policies with SMTs through experiential learning experiences to effect change. The researcher was the MMLF developmental practitioner responsible for professional and personal development capacity building activities for the SMTs of the project schools during 2008-2011. This doctoral study was pursued in the final year of the MMLF project.

This chapter provides a background to the research context, followed by the research aims and research questions. An argument is made for the study's significance in contributing to the scholarly work in the field of educational change, particularly in rural primary school settings. An overview of the research paradigm, research design and methodology employed is then presented. The chapter concludes with an overview of the chapters of the thesis.

1.1. Background

1.1.1. School Leadership and Management

Since the advent of democracy in South Africa in 1994, education has undergone dramatic changes to reflect the move from a restrictive apartheid system through the introduction of a number of new policies. One of these policies, Personnel Administrative Measures (PAM) (Department Of Education [DOE], 2011) requires “the establishment of SMTs to play a key role in the leadership and management of schools” to facilitate the meaningful and effective democratic changes espoused in the new policies. According to the national policy on whole school evaluation (WSE) (DOE, 2002), an SMT is constituted of a school principal and a team consisting of the deputy principal and heads of departments in the school. The major role and responsibility of the SMT is to work collaboratively as a team to plan, implement, monitor, manage and be collectively accountable for:

- planning to identify a course of action in order to achieve desired results;
- leading the staff to implement their respective roles and responsibilities;
- controlling to check progress of teachers and learners; and
- managing and administering all school activities including the curriculum, personnel and budgets. (DOE, 2002, p. 34)

Since it is generally accepted that the introduction of policies alone without mediation cannot effect the required changes at the level of implementation (Moolla, 2011), this study argues that the effective, meaningful and sustainable implementation of new policies needs a process of practical mediation that includes regular school-based professional and personal development. In this study, the terms effective, meaningful and sustainable are used together to mean that:

If SMTs collectively understand and implement policy effectively, according to required policy practices, the policy stands a better chance of becoming more meaningful to those implementing it and these practices therefore become more sustainable for the school.

Establishing SMTs as a key organisational structure has brought challenges to schools where autocratic leadership styles were deeply embedded as a result of decades of disempowering restrictive school leadership and management strategies under apartheid. According to Taylor,

Van der Berg and Mabogoane (2013, p. 108), the greatest challenges in these contexts are related to:

1. a lack of regular professional development to mediate the move from autocratic to more democratic leadership and management practices;
2. a lack of resources and support to implement new policy requirements meaningfully and effectively; and
3. years of poor basic school functionality.

In schools, the successful functioning of SMTs requires far more than the once-off orientation workshops and distribution of policy documents and policy guidelines that have generally characterised the DOE's approach to facilitating policy implementation since 1994 (National Education Evaluation and Development Unit [NEEDU], 2013).

According to Reeves (2008),

Unfortunately transformation has not materialised in many disadvantaged schools. Many SMTs feel that the DOE did not adequately consult with them during the policy formulation process. This has contributed to creating feelings of suspicion and confusion about new policy expectations and resistance to engaging with them. (p. 13)

A significant reason for the resistance to engaging with and implementing new policy practices in schools is the DOE's inadequate professional development training provision since 1994 (NEEDU, 2013). Most professional development from the DOE is in the form of once-off orientation sessions.

As a consequence, SMTs have not been adequately enabled to engage with and embrace the unfamiliar notion of democratic, collaborative, and holistic team leadership and management practices required by policy (Taylor, 2009c). Despite the DOE's apparent inadequate provision of professional development and training since 1994 "the notion of an SMT is generally well received by SMTs, at least in principle" (Taylor, 2009b, p. 345). However, many SMTs struggle to implement the required democratic practices as an alternative management style due to their previous exposure to decades of disempowering and restrictive school management strategies.

According to Jansen (2013),

Principals who have traditionally felt comfortable taking decisions without consultation now find it difficult to consult and function collaboratively. Similarly, teachers who have, through the legacy of apartheid, been orientated to being the recipients of instructions, view management as the prerogative of principals only, now find it difficult to assume roles and responsibilities in which agency and development is expected of them. (p. 23)

The experiences described above have resulted in “impoverished notions of school ownership and joint responsibility that undermine the leadership and management functions intended for SMTs” (Taylor, 2009b, p. 351). Part of the solution to this situation is to develop the capacity of SMTs on a professional and personal level in order for SMTs to understand, believe, engage with, embrace, and implement their new expected roles and responsibilities meaningfully (Senge, 2006). In this regard, Taylor (2009b) notes that “the DOE is under increasing pressure to provide quality professional support to SMTs to enable schools to offer quality education through regular holistic professional development” (p. 354).

Hargreaves (2009) confirms that the introduction of new policies without meaningful mediation will not affect required change practices, as “it is also necessary to facilitate regular mediated engagement with new required change in order to develop a shared understanding of how to implement and manage its requirements meaningfully and effectively” (p. 90).

Given this background, this study sets out to provide a descriptive and reflective exploration that illuminates the important role that personal development can play in the professional development of SMTs. It also illuminates how important it is to include personal development in the context of new policy implementation to assist and enable the SMTs to develop a better shared understanding of how to begin to implement and manage their new roles and responsibilities effectively and meaningfully.

1.1.2. School Support and Development Project

The MMLF project referred to at the beginning of this chapter involved the provision of professional and personal development in an attempt to respond to the challenges referred to above. A brief background of the MMLF project, from 2008 to 2011, is provided below.

In 2008, the MMLF School Support and Development Project (SSDP) was conceptualised and developed as a corporate social responsibility initiative to support the DOE, especially in disadvantaged contexts. This was done in response to the ongoing education crisis in South Africa, reflected in widespread poor basic school functionality and poor learner performance. The primary goal of the SSDP was to develop an effective and sustainable school support model (SSM) to enable disadvantaged, under-resourced and underperforming schools to meaningfully and effectively implement the national curriculum and school management policy requirements through ongoing school-based practical mediation processes (Kariem, Langhan, & Mpofo, 2009).

In consultation with education officials, ten primary schools and six high schools were identified in four provinces as follows:

- Eastern Cape – In the former Transkei Homeland;
- Mpumalanga – In the former Kangwane Homeland;
- KwaZulu-Natal – In the former Kwa Zulu Homeland; and
- Western Cape – Cape Town Metropolises South and North.

After each school had been identified by the DOE, offered the opportunity to participate in the MMLF proposed three-year SSDP and confirmed their voluntary participation, partnership performance contracts were negotiated and signed with each school. The contracts stipulated roles, responsibilities and accountability for each of the partners over the three-year period, including an annual performance review process to assess progress, identify challenges, agree on solutions, and if necessary, discontinue the partnership (Kariem et al., 2009).

An in-depth six month baseline assessment was then conducted to determine each school's levels of functionality in relation to the following fundamental DOE policies: PAM, which focuses on roles and responsibilities; WSE, which focuses on structures and processes; Integrated Quality Management System (IQMS), which focuses on quality assurance; and the National Curriculum Statements (NCS), which focuses on curriculum management. A needs analysis followed to determine what kinds of professional and personal development and support the schools needed in order to meaningfully and effectively engage with and implement the DOE's policy requirements (Kariem et al., 2009).

The baseline assessment and needs analysis were followed by a three-year support programme which included balanced professional and personal development sessions through regular school-based support where policies were mediated to facilitate school change. SMTs were supported to better understand and practically implement SMT policy requirements with regard to their specific roles, responsibilities and practices, to effectively and meaningfully lead and manage their respective schools.

1.1.3. Historical Context

The three rural primary schools involved in this doctoral study are 3 of the 16 schools involved in the MMLF programme, and are situated within the Mpumalanga, Eastern Cape and KwaZulu-Natal education departments. Each of these education departments consists of three key levels of leadership, management and service provision (DOE, 2010b, pp. 24-45), namely:

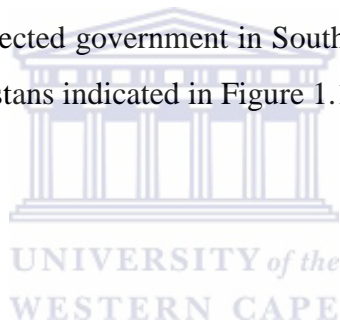
1. The circuit, which is a cluster of 25 to 35 schools led by a district circuit manager whose main role, responsibility and accountability are to train, develop and support, monitor, manage and evaluate SMTs.
2. The district, led by a District Director. is responsible and accountable for the regular provisioning of professional development and support to all schools, and regular monitoring, evaluation and management of school personnel and resources provided by the province.
3. The provincial head office, which is mainly responsible for the professional development of school district officials, development of school data for the DOE, research, policy provisioning, resource provisioning to schools, strategic planning with districts, and co-ordination, monitoring and evaluation of all school districts.

Education school districts are constituted along local government municipal boundaries to facilitate a more speedy, collaborative and integrated approach to service delivery by all levels of government. Establishing school districts allows for more equitable distribution of resources to schools (DOE, 2010a). While the more equitable distribution of resources to schools is important for most schools in South Africa, it is essential for schools that are situated in former Homelands or Bantustans that were under the authority of Bantu education, called the Department of Education and Training, in South Africa until 1994.

According to Unterhalter (1991),

The Bantu Authorities Act, No. 68 of 1951 provided for the establishment of independent black homelands called Bantustans and regional authorities with the aim of creating greater self-government in the homelands by abolishing the former Native Representative Council. The Bantustans were Gazankulu, Kwa Zulu, Lebowa, KwaNdebele, Kangwane, Qwagwa, Transkei, Baphuthatswana, Venda, and Ciskei. The Bantu Homelands Citizens Act of 1970 defined all blacks living throughout South Africa as legal citizens only of the Bantustans designated for the various ethnic groups – thereby stripping them of their South African citizenship. Between the 1960's and the 1980's, the South African government continuously removed black people still, living in 'white areas' of South Africa and forcibly relocated them to Bantustans. (p. 67)

In 1994, the first democratically elected government in South Africa created nine new provinces which integrated the former Bantustans indicated in Figure 1.1 below.



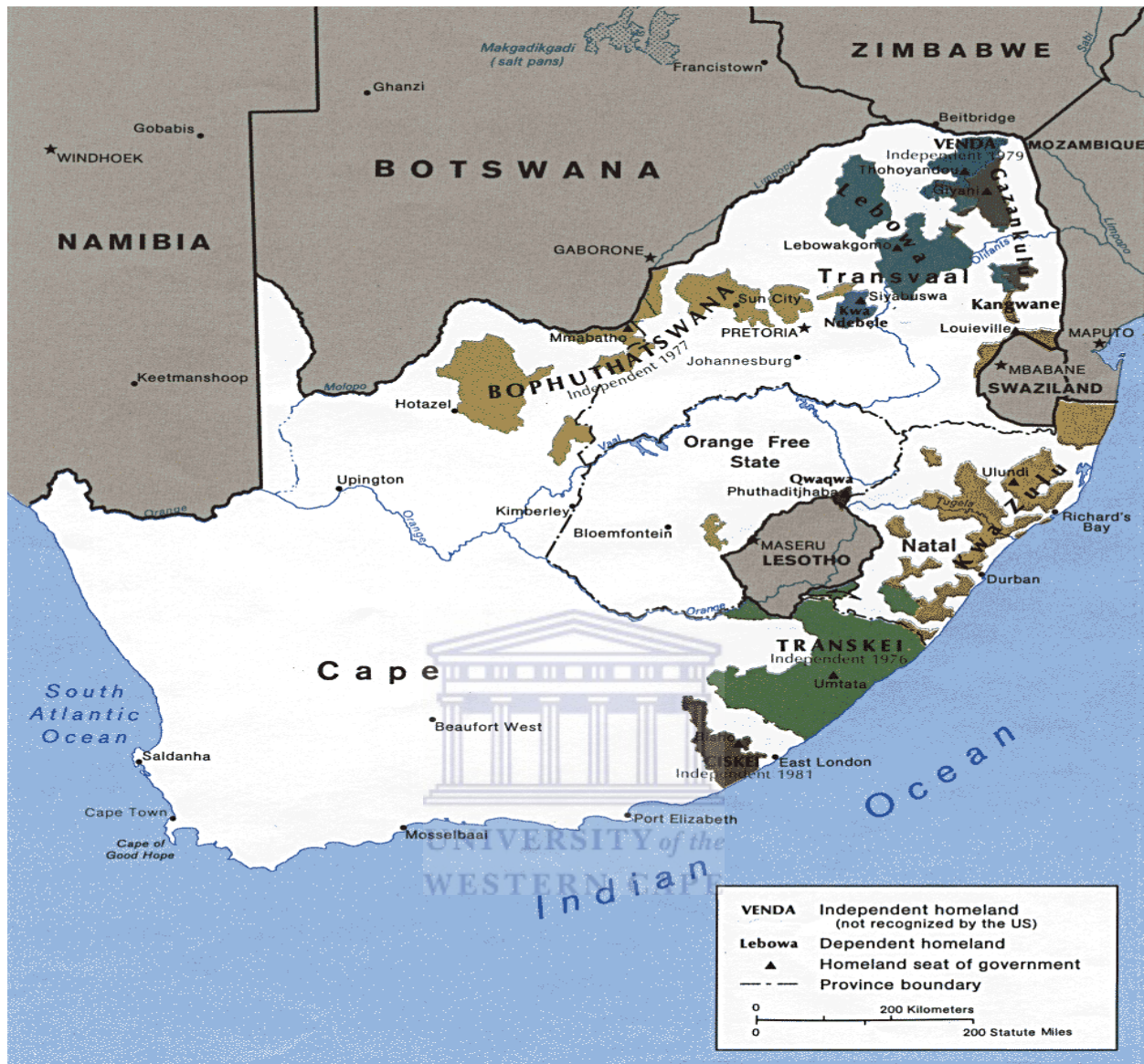


Figure 1.1 South Africa during apartheid, pre-1994, with demarcated “Bantustans or homelands” (Apartheid in South Africa, n.d.)

A key feature of the geographical landscape of the Bantustans/homelands was their isolation from ‘white’ urban areas. “The vast distances between rural schools and their circuit, district and provincial offices resulted in very few and often no services which still continues in our present times” (Jansen, 2013, p. 40). Limited services are still prevalent in rural school districts, in spite of the DOE’s restructured education departments and district services since 1994 to facilitate more equitable or regular delivery of services to all schools in South Africa.

The vast distances between schools, circuits, district and provincial offices has resulted in continued poor professional development delivery and support, resulting in many schools in South Africa being described as ineffective, underperforming and even dysfunctional (Chisholm, 2005). As already stated by Jansen (2013), Reeves (2008) and Taylor (2009c), in spite of provincial and district restructuring to facilitate the more equitable distribution of resources, the poor quality pre-1994 Bantustan delivery of professional development and services still continues to prevail in the present.

The situation described above has inspired individuals and organisations, like the MMLF, to become involved in school support and development. This situation has also enabled organisations like the MMLF to critically reflect on the contribution they can make to improve education in South Africa (Kariem et al., 2009).

After the 2008-2011 implementation of the MMLF SSDP, the researcher was motivated as a doctoral research student to engage in an exploratory reflective description of the professional and personal development experiences of the SMTs in three rural primary schools.

1.2. Research Aims and Questions

This study was designed to answer the broad research question: How did SMT members in three rural primary schools experience professional and personal development in the context of educational change in South Africa?

This aim was explored by asking the following research questions:

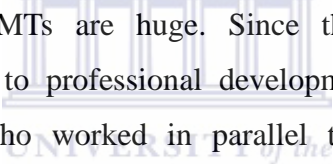
1. How did educational change in South Africa influence leadership and management in schools?
2. What professional development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
3. What personal development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
4. What are SMT members' suggestions for enhancement of personal and professional development and support of SMTs in schools in South Africa?

The thesis begins by exploring professional and personal development as two separate concepts to facilitate the data collection process, thereby highlighting the way in which these concepts are currently understood and consequently arguing for the integration thereof.

1.3. Rationale

Given the situation described above, the vital role that SMTs have to play in making schools function more meaningfully and effectively in the context of educational change in South Africa is evident. It is especially evident in the chronically disadvantaged, underperforming, under-resourced and dysfunctional schools situated in deep rural areas in former Bantustans. This situation in the rural areas was the researcher's primary motivation as a school leadership and management developmental practitioner to engage with a descriptive exploratory investigation to reflect on the professional and personal development of SMTs in rural schools.

According to Alexander (2012),



The expectations from SMTs are huge. Since the early 1980s, most successful developmental approaches to professional development have largely been driven by developmental agencies who worked in parallel to government, due to restrictive apartheid professional development practices. It was the hope that the successful developmental approaches of developmental agencies should by now have become the way in which the government, through their officials, would operate. (p. 38)

The second motivation was that, in the researcher's capacity as a school leadership and management developmental practitioner, she expected most officials to engage and support SMTs with regular democratic participatory professional development processes. The researcher also expected most officials to be more confident and sensitive in challenging and then supporting SMTs to reflect on their current leadership and management practices to be aligned with the democratic practices espoused in post-1994 policies.

“Professional development should always aim to ensure that all aspects of school activities are geared towards fostering democratic practices that develop individuals who can meaningfully and effectively make positive contributions to society” (Davidoff, Lazarus, & Moolla, 2014, p. 53). “Professional development has unfortunately not been able to effect meaningful and

effective implementation at most schools due to a lack of DOE expertise, capacity challenges and relationship dynamics within all DOE structures” (Jansen, 2013, p. 165).

Poor quality or lack of professional development has left most SMTs, especially in rural, under-resourced and underperforming schools, feeling challenged, frustrated and incapable in their ability to respond to the new policy expectations. SMTs also feel challenged to make the necessary changes to use more democratic developmental approaches at their respective schools. SMTs therefore need to be supported to move away from functioning as individuals in competition with each other. SMTs also need to be supported to function as teams operating with democratic and collaborative practice and enabled to solve their problems collectively and by themselves. The third motivation was the lack of personal agency in underperforming schools, which compounds the inability of SMTs to engage with, understand and implement policy requirements meaningfully and effectively.

Since the introduction of democracy in 1994, the DOE policies have aimed not only to transform education practices but also to attempt to address past imbalances, including restoration of professional identity and personal dignity. Therefore, the professional development needed for SMTs regarding their new and unfamiliar roles and responsibilities are vital and have also been widely contested (Jansen, 2013). The DOE’s SMT policies, in particular, describe educational change as having a democratic developmental approach to transformation (Taylor et al., 2013).

Strategies to be employed within such a developmental approach include: a focus on democratic collaboration and system alignment at all levels in the education system, which includes the school, the circuit, the district, the province and the national education department ... SMTs are expected, through their new roles and responsibilities, to support and develop all aspects of school life through democratic practices within a collaborative team. SMTs are therefore expected to now be self-motivated, build team capacity through support, and develop a shared vision for their schools, and monitor, evaluate and manage all aspects of school life by identifying and addressing issues and developing solutions to any challenges. (DOE, 2010a, p. 54)

What the policy expects from SMTs with regard to their roles and responsibilities is huge and it will require an enormous effort from the DOE to enable the requisite professional and personal development to effect these requirements, especially in deep rural schools.

1.4. Significance

This research aims to make a contribution towards educational change in South African schools by providing insights and proposing a model of professional and personal development for SMTs. It illuminates the importance of first acknowledging the personal and professional development needs of SMTs and then providing an overview of the processes necessary to enable practical implementation of change at schools as required by policy. The researcher demonstrates how personal development and change theory with its related concepts can be integrated to propose how change can be facilitated on multiple levels within individuals and organisations.

The study offers practical recommendations for how the DOE, now referred to as the Department of Basic Education, could reconceptualise, redevelop and implement more appropriate, holistic, meaningful and effective professional and personal development training. This would enable circuit managers to mediate policy implementation and provide support to and facilitate regular development of SMTs. Such training will in turn allow SMTs to develop and support teachers and the school as an organisation more effectively.

In terms of both knowledge and practical contributions, this study foregrounds the importance of ‘acknowledging the personal’ and paying regular attention to it during the professional development of those who hold leadership and management positions in schools.

1.5. Theoretical Framework

This research employed a synthesis of three theoretical concepts, namely, mental maps (Neisser, 1967), reflexivity and authoring (Archer, 2007; Gould, 1972; Hibbert, 2013; Rock, 2006), combined with a change theory, namely, first order of change (Zimmerman, 1986, 2006), and second and third orders of change (Bartunek & Moch, 1987; Zimmerman, 1998).

A *mental map* is a cognitive science concept that refers to ways of thinking that informs an understanding of what we do. According to educational psychologist Neisser (1967), “mental

maps give form to the meaning people give to their experiences. The mental maps, through which people perceive the world also give meaning to their thinking and behavior” (p. 3).

Gould (1972) argues that,

Mental maps reflect how people understand things, and that these understandings inform how they do things. Once established, the mental maps tend to become automatic and enduring and contribute towards maintaining the organisation’s culture. (p. 147)

However, mental maps are not inflexible and can be changed by the assistance of an experienced Change agent in this study means facilitating professionals to enable them to identify and make their own required changes as suggested by, Fullan (2009) which engages people with a regular process of reflexivity, as explained below (Gould, 1972).

Reflexivity is the process whereby current ways of doing things are reflected upon. According to Hibbert (2013),

The purpose of engaging people in reflexive processes is to enable them as individuals and as a group to reflect on whether their current mental maps are still useful, or possibly need to be changed or adjusted to enhance and improve their current practices. (p. 810)

Reflexive processes can also serve as a form of personal and group self-evaluation, enabling people to reflect upon how they have done and are still doing things. Once people are comfortable to make changes after a reflexive process, they are able to author new ways of doing things (Archer, 2007; Hibbert, 2013).

Authoring through adjusting and revising or developing new mental maps, occurs when, an individual or group has realised that it has to change its current practices, and actually begins to do things differently. (Hibbert, 2013, p. 815)

Through this authoring process, the individual or group develops new collective understandings to author new mental maps and then begins to function according to these new understandings. The above three concepts are combined with J. Zimmerman’s (1986, 2006) change theory of first-order change, together with Bartunek and Moch’s (1987) and Zimmerman’s (1998) second- and third-order change, as explained below.

According to Zimmerman (1986),

First-order of change happens when individuals in an organisation are enabled to openly and honestly acknowledge their ways of thinking and doing things within their organisation. (p. 7)

The aim of engaging individuals in a first-order change process through reflection is to enable them to determine whether or not their established mental maps are relevant and still working optimally, or whether they need to change or adapt them. This is only the first step towards change. Many change interventions fail as they focus only on first-order change and do not engage individuals in second-order change. “This often results in a reversion to the status quo after any change intervention process is initiated” (Bartunek & Moch, 1987, p. 486). Bartunek and Moch (1987) further state that,

Second-order of change occurs as the individuals in an organisation continue to engage in a reflexive process. Through reflection the individuals in an organisation begin to make initial modifications to their existing current mental maps. They gradually also begin to experiment with small changes and begin to slowly phase out old ways of thinking and doing things. (p. 484)

It is important to recognise that these initial change efforts can fail if the external change agent in this study means facilitating professionals to enable them to identify and make their own required changes as suggested by, Fullan (2009) does not consider that these changes may benefit some while restricting or threatening others. For this reason the change agent should function as a flexible consultant working towards facilitating all individuals of the organisation towards a shared vision through ongoing reflexivity, and not bring in their own ideas (Bartunek & Moch, 1987).

Third-order of change enables individuals to begin to become more aware of their own mental maps so that they can change them as they see and feel necessary. Third-order of change requires that the change agent plays the role of a coach to help the individuals to determine where and when change is required so that they can implement it for themselves (Hibbert, 2013, p.816).

In this stage of change, the external change agent helps the individuals to become aware of alternative existing mental maps, assess how they could influence practices and effectiveness and how to develop and author new mental maps (Archer, 2007; Hibbert, 2013).

The three theoretical concepts, namely, mental maps, reflexivity and authoring, can be viewed as the drivers, while the three theoretical orders of change, namely, first, second and third-orders of change, can be viewed as the vehicles of change in this study. This is discussed further in Chapter Two.

1.6. Research Design and Methodology

The overarching research perspective that frames this study is aligned to a social constructivist - interpretive paradigm, which argues that reality is constructed wherever there is human interaction. Within this paradigm, it is understood that “the researcher and the participants are able to construct and interpret understanding together and separately” (Denzin & Lincoln, 2011, p. 43). The research approach adopted in this study is qualitative.

Qualitative research methods allows for deeper exploration of theoretical issues and matters of practice in relation to what is being studied. Qualitative research allows for the collection of rich data that can explore the ‘why’ and ‘how’ of the problem and not just the ‘what’. (Denzin & Lincoln, 2011, p. 46)

Flick (2014) concurs with Denzin and Lincoln (2011) and outlines some essentials for qualitative research, namely:

- recognition of research as a powerful tool for shaping social change;
- research as an interpretive act is a journey of learning;
- respect for all participants; and
- simplicity in presenting the findings.

These essentials were employed during all phases of the research process to deepen insights into professional and personal development of SMTs and to develop a model as a guide and frame for future work with schools.

1.6.1. Data Collection

The phases of data collection and the sources of data drawn upon in this research are depicted in Table 6.2 in Chapter Six. An understanding of the chronological order of the phases and the way in which these feed into each other is important, especially in relation to the qualitative approach employed. The data collection was done in order firstly, to have a detailed document analysis for a comprehensive understanding of what is expected from policy documents, job descriptions, research papers and articles in relation to the roles, responsibilities and practices of SMTs. Secondly, to explore the experiences of SMTs as a collective in three focus group interviews with six participants per school regarding their professional development. Thirdly, to explore personal development experiences through 18 individual interviews which were necessary to align the professional practices of the SMTs within the democratic policy expectations.

The primary research context encompassed the three rural primary schools. All three primary schools involved in this research are situated in rural areas. It is important to note however, that the rurality of the schools is not a focus for this study, it allows for consistency across the settings and data generated. According to NEEDU (2013),

Rural schools are located between 65 to 80 kilometres from a municipal town. Such schools are only accessible to staff and learners via a gravel road, have no electricity or running water, have long drop toilets, are under the authority of a tribal chief and there is no provision of any municipal services. (p. 13)

The schools in this study are situated in areas formerly referred to as black homelands or Bantustans, as explained earlier in this chapter. Participants included all members of the SMT from each of the three schools, incorporating principals, deputy principals and heads of departments, which constituted six participants per school.

1.6.2. Data Analysis

The data analysis employed a qualitative, thematic approach to analyse and interpret the generated data. A thematic approach was used because it served as the most appropriate tool to illustrate the current mental maps, reflexivity processes and authoring of new mental maps in relation to the professional and personal development experiences of the SMTs. The thematic

approach was also useful in illuminating the challenges faced by the SMTs in their professional and personal development experiences. Using the thematic approach enabled distinct categories to emerge and these were used as descriptors to report on the findings of the research, as suggested by Denzin and Lincoln (2011).

Firstly, a document analysis was conducted that involved a detailed examination and analysis of all relevant policy documents, job descriptions and research reports (see Table 6.2). This analysis was guided by the research questions in a search for patterns and consistencies. The participant responses in the focus groups and individual interviews were first grouped and analysed according to the research questions, with the document analysis and the literature providing the broad framework for the first level of analysis (Denzin & Lincoln, 2011).

After this first level of data analysis, the data was further analysed by using systematic organising through a coding process from which emerged broad categories. These broad categories were then further analysed into more specific and detailed themes, to create “thick descriptions that serve as the research findings” (Henning, Van Rensburg, & Smit, 2004, p. 89). The central task in the data analysis process was to identify themes from the participants’ descriptions of their professional and personal development experiences against the policy requirements from the detailed document analysis. The three levels of analysis of the raw qualitative data, first into broad categories, then into specific main themes and their sub-themes, assisted in the interpretation of the data to formulate insightful, meaningful and comprehensive research findings in response to the research questions (Denzin & Lincoln, 2011).

1.7. Outline of the Thesis

Chapter One presented the main ideas of the thesis. This was done by first providing a background to the research, followed by the research aims and questions. An argument was also made for the study’s significance in contributing to scholarly work in the field of educational change and development. An overview of the research paradigm, design and methodology employed in this study was then presented.

Chapter Two first presents the theoretical framework, introducing a synthesis of three theoretical concepts, namely, mental maps, reflexivity and authoring, combined with a related change theory, namely, first, second and third-orders of change. The conceptual framework follows with

an overview of key concepts, namely, educational change, leadership and management, and professional and personal development as well as how they relate to one another.

The literature review is organised into three chapters (Chapters Three, Four and Five), which present international and South African research relevant to the research questions explored in this study.

Chapter Three focuses on the context of educational change in South Africa, including history, changes, challenges and successes. This chapter aims to highlight that educational change at a macro level necessitates organisational and individual change at all levels of the system which must be mediated to effect meaningful change.

Chapter Four presents the differences between leadership and management, followed by a discussion on leadership and management styles, procedures and structures. The emphasis in this chapter is on understanding the roles and responsibilities for SMTs so as to facilitate regular school-based professional and personal development that is meaningful for effective and sustainable implementation at schools. Various approaches to professional development employed nationally and internationally are then presented. The chapter concludes with a description of key challenges faced by SMTs.

Chapter Five reviews national and international literature on professional and personal development. The challenges of professional and personal development are presented and the benefits of working more democratically while engaging in professional and personal development together are discussed.

Chapter Six addresses the research design and methodology. The research aims and questions grounding the study are outlined. The choice of a social constructivist-interpretive research paradigm is presented. Next, the qualitative design and methodology of this study are explained, followed by a description of the research context and participants. The data collection process and instruments are discussed together with a justification of their appropriateness for this study. The thematic data analysis approach is outlined, followed by the issues of the trustworthiness and ethics considered throughout the research process.

Chapter Seven presents the research findings of the SMTs' professional and personal development experiences within the context of implementing new policy. Particular emphasis is placed on illuminating how the SMTs tried to embrace their new roles and responsibilities in relation to new policy expectations and requirements since democracy in 1994. The challenges that the SMTs faced during their professional and personal development experiences are also expounded, followed by the views of the SMTs on how to address these challenges.

Chapter Eight presents a comprehensive response to the research questions by integrating the findings within the literature. This chapter highlights five key findings that emerged in the data analysis, namely, integrating professional and personal development, role clarification, school-based support, policy mediation, and implications for development and support of SMTs.

Chapter Nine presents an overview of the study in relation to the research aims and questions. The key findings are summarised, followed by an assertion of the study's significance. Comprehensive recommendations are then presented in response to the five key research findings. Recommendations emerging from the study are proposed to mark this research as a scholarly contribution to the field of educational change with regard to the professional and personal development of SMTs. The recommendations are followed by a suggested model for the integrated professional and personal development of SMTs. Finally, the limitations of this study are outlined, followed by suggestions for further research and a conclusion.

CHAPTER 2

THEORETICAL AND CONCEPTUAL FRAMEWORKS

This chapter focuses on a carefully selected theory of change that explains first, second and third orders of change, and the related concepts of mental maps, reflexivity and authoring. The researcher then demonstrates how the three orders of change with their related concepts can be integrated into a single theory to enable change. The chapter goes on to integrate seven other related principles of change to develop a comprehensive theoretical framework capable of enabling change in challenging contexts, such as in most South African schools.

2.1. Theoretical Framework

The purpose of a theoretical framework is to provide a particular perspective, or lens, through which to examine the topic being researched. The theoretical framework provided a specific change theory to understand change experienced by SMTs. The theoretical framework was also used as a reference for understanding the phenomena and perceptions of actual events in this study, and directed the data analysis to illuminate insights of the professional and personal development experiences of SMTs during a time of change. The change theory in this study is based on the integration of theories of first order of change (Zimmerman, 1986, 2006), second and third orders of change (Bartunek & Moch, 1987; Zimmerman, 1998) and the related concepts of mental maps (Neisser, 1967), reflexivity and authoring (Archer, 2007; Gould, 1972; Hibbert, 2013; Rock, 2006). How they are integrated is illustrated in Figure 2.1 and explained below.

Change Theory Personal Development Related Concepts

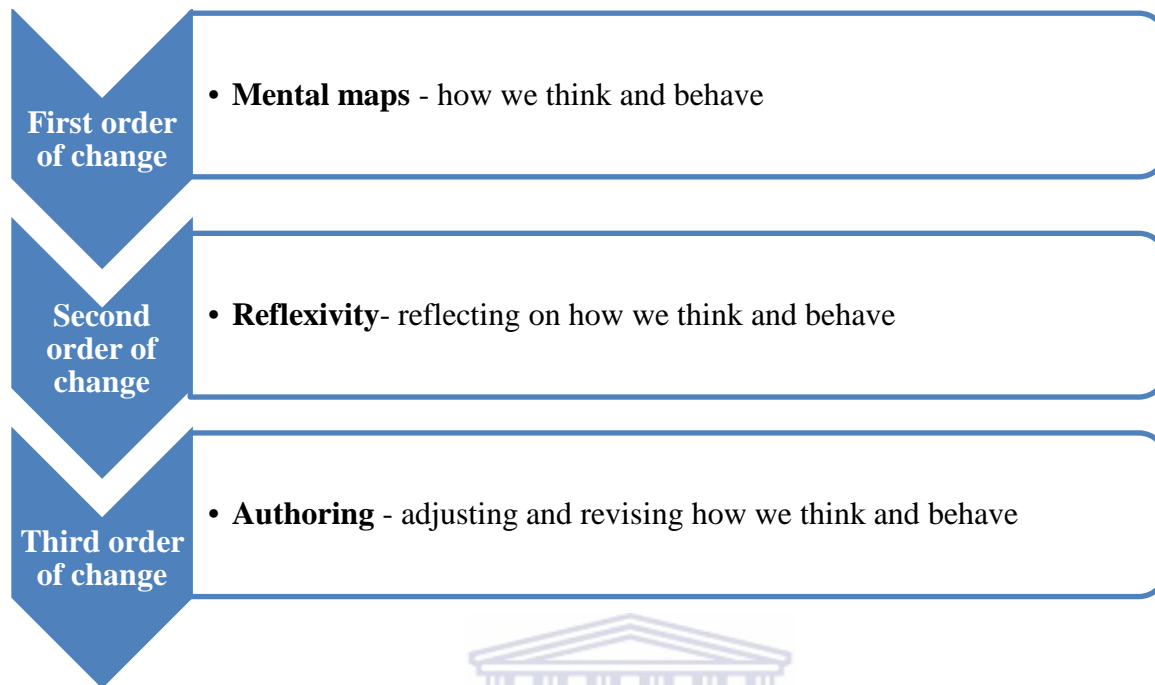


Figure 2.1 Theoretical framework

Figure 2.1 indicates the three orders of change and the related concepts within personal development. The researcher synthesised these to develop the theoretical framework for this study, and then employed the integrated theoretical framework to guide the data collection process and also employed it as the lens through which to analyse the generated data.

2.1.1. Mental Maps

Mental maps, from a cognitive psychology perspective, refer to how things are actually done. Neisser (1967) states that, “mental maps are what give form to people’s meaning of their experiences” (p. 6). The mental maps through which people perceive the world also give meaning to and influence their thinking and behaviour. Gould (1972) agrees and argues that mental maps reflect how people think and understand what they do. How people understand what they think and do will therefore continue to inform their thinking and doing.

Mental maps help individuals to identify entities, specify relationships and integrate these entities and relationships into a coherent whole (Reynolds & Holwell, 2010). Neisser (1967) and Gould (1972) explain that members of an organisation communicate their mental maps through myths, stories and metaphors. In these ways, mental maps guide and influence the members of an

organisation's interpretations, choices and values. Once established, the mental maps tend to become automatic and enduring, and contribute towards establishing and maintaining the organisation's culture.

Lott (2011), a cognitive scientist, suggests that “meaning is not found in the event, but in the framework through which the individual interprets the event, calling this interpretive framework ‘mental maps’” (p. 349).

As individuals' process information, the function of the mental map is to provide understanding of complex phenomena within and throughout their life experiences (Lott, 2011). Cohen, Manion and Morrison (2011) argue that,

Individuals must be given the opportunity to acknowledge and regularly engage with their current mental maps through actively experiencing what is expected from them. They need to experience first-hand what will be expected from them when they implement new expected practices. (p. 75)

Regular engagement through practical demonstrations could help individuals to begin to move from 'ritual knowledge' (current mental maps) to 'principled knowledge' (adjusted and revised mental maps) of the new expected knowledge, skills, attitudes and practices aligned to the expected change (Cohen et al, 2011).

2.1.2. Reflexivity

Reflexivity is a process aimed at regularly engaging people to reflect on their current thinking and behaviour. The main purpose of reflexivity is to assess whether their current mental maps are still useful and serving them optimally or possibly need to be adjusted to enhance their thinking and practices. Existing knowledge and current ways of doing things must first be acknowledged in order to reflect how it directly impacts on and affects current professional practices. During reflexivity, Change agent in this study means facilitating professionals to enable them to identify and make their own required changes as suggested by, Fullan (2009). s also need to focus on sharing theories of change instruction to enable people to choose approaches that best suit them and that they can use to shape or re-shape their current thinking and practices (Archer, 2007; Hibbert, 2013).

According to Senge (2006),

Reflection is even more important during a change process, for individuals and groups to operate in and create supportive environments when adjusting and revising their practices. Reflection enables individuals and groups to incorporate more democratic practices to be developed, maintained and sustained in their organisations. (p. 138)

Regular reflective organisation-based support should aim to build individual self-confidence and competence within the group to enable everyone to begin to adjust their practices and develop new ways of working that are collectively more meaningful, effective and sustainable for the organisation (Senge, 2006). Cohen et al. (2011) refer to reflexivity as 'reflection in action' and suggest that individuals need to move beyond 'rituals of how they have always done things' and begin to develop a personal understanding of the principles implicit in their actions. When individuals are supported to develop a 'principled' understanding of their practices, they are able to begin to independently decide what, when and how to change their practices. Only when individuals can make sense of the change for themselves will they begin to practice what they believe in (Cohen et al., 2011).

Rock (2006) suggests that the recent and improved understanding of how people think and behave is linked to how they adapt to change, in asserting that,

Success in organisations is not possible without changing the day-to-day thinking that impacts on the day-to-day behaviour of all individuals within an organisation. Changing the behaviour of people is hard even if the new behaviour needed can mean having more or better success. People must first be convinced that their current behaviour are, no longer serving them fully and that their new behaviour will. (p. 6)

According to Taylor (2009c), SMTs are generally not irrational opponents of change, as SMTs rationally weigh alternative ways of doing things according to their realities and how they are developed and supported, especially in challenging school contexts.

2.1.3. Authoring

Authoring entails the creation of new mental maps that have been adjusted and revised from current mental maps (Archer, 2007; Hibbert, 2013). When individuals or groups realise that their practices have to change as their practices are no longer serving them optimally, these individuals begin to regularly do things differently. Through regularly doing things differently, the individual or group is developing new collective understanding and authoring new mental maps in order to begin functioning more effectively. “Institution-based participatory support becomes essential when trying to implement new practices that needs to include engaging teams in reflective processes to author new mental maps” (Hibbert, 2013, p. 817).

Institution-based support, or school-based support in the case of this study, has to take into account the policy requirements together with the school’s priorities and needs when assisting individuals within the SMT to author new mental maps. The focus of assistance needs to be on the coordinated efforts of the entire SMT in order to make a bigger impact on change. Specific focus needs to be placed on professional practices that include the vital component of regular reflection to enable the SMT to develop practices to effect meaningful and sustainable change (Kariem et al., 2009). During the authoring process, democratic school-based support also needs to provide practical modelled demonstrations, supervised experimentation and constructive feedback regarding the expected changed practices with the view that,

Authoring is a long-term professional and personal development process. It involves continuous engagement with individual and group goals being acknowledged and addressed. This enables all participants to feel confident and enabled to regularly experiment, evaluate and experiment again and again with new professional practices on their own (Kariem et al., 2009, p. 12).

2.1.4. First Order of Change: Identifying Current Mental Maps

According to Zimmerman (1986) “first order of change is an interactive process whereby individuals or teams are enabled to identify and acknowledge their ways of thinking and how they do things within their organisation” (p. 26).

The main aim of engaging individuals or teams in a first order of change process is for the experienced, knowledgeable and contextually sensitive external change agent to assist individuals or teams to determine whether or not their current ways of thinking and doing are still relevant. Engaging the through a reflection process to determine whether their thinking and practices are serving their purpose and still working optimally, and whether they need to make any adjustments or revisions. The process of first order of change is only the first step towards effecting change in individual and team thinking and practice. Many change interventions fail as they focus only on first order of change and do not engage individuals or teams in further orders of change (Zimmerman, 1986, 2006).

‘How we do things’ evolves through our experiences and associations, which enables us to understand the world we live in. ‘How we do things’ is influenced by what we already know and what we are interested in. What we already know are our ‘mental sets’ and that our ‘mental sets influence how we do things’. How we do things also comes from using observations and applying problem solving to everyday life situations, whenever engaging with new practices (Lott, 2011).

2.1.5. Second Order of Change: Process of Reflexivity

Hibbert (2013), states that “second order of change is an interactive process where individuals and teams are assisted to engage in regular reflection on their current thinking and practices” (p. 806).

During these regular assisted processes, the individuals or teams begin to realise that they need to make initial modifications to their current ways of thinking and practices and begin to gradually experiment with small changes to their current thinking and practices and begin to phase out old ways of thinking and practices. Bartunek and Moch (1987) and Zimmerman (1998) caution that it is important for individuals and teams to recognise that this stage of change can fail if there is no consideration that this process may benefit some while restricting or threatening others. For this reason, individuals and groups should function with some flexibility and work towards accommodating all individuals of the organisation and begin to work towards a shared negotiated vision through ongoing reflexivity. According to Archer (2007) and Hibbert (2013), once individuals and teams have had the opportunity through regular reflection to rethink their

practices, and realise the need to adjust and revise their current thinking and practices, the third order of change begins to function.

2.1.6. Third Order of Change: Authoring

According to Hibbert (2013),

Third order change is an interactive process where individuals and teams are assisted through continuous reflection, to experiment more regularly with new thinking and practices. Evaluate and compare their old and new practices and realise for themselves the need to adjust and revise their thinking and practices and begin to operate differently. (p. 820)

When individuals and teams are assisted to regularly reflect on, experiment with and evaluate how they think and do things, they are enabled to be more aware of their own mental maps. They are then also enabled to independently adjust and revise their current mental maps as and when they see necessary or when they are required to do so, and begin to author new mental maps. Third-order change requires that individuals and teams begin to independently play the roles of teacher, trainer, coach and mentor to assist all the individuals in the organisation to determine what, where, when and how change is required so that they can implement the changes for themselves (Archer, 2007; Hibbert, 2013).

2.1.7. Linking First, Second and Third Orders of Change to a Change Process

Linking first, second and third orders of change to a change process that involves mental maps, reflexivity and authoring is suggested as crucial in this study. Cognitive scientists Bartunek and Moch (1987) suggest that “meaning is not in the change, but in the framework through which people involved in the change interprets the change. This interpretive framework, is called a mental map” (p. 487). The authors further state that “mental maps provide a means for understanding change from an organisational development perspective” (Bartunek & Moch, 1987, p. 487). Because people process limited amounts of information during a period of change, a key function of engaging with mental maps is to provide a shortcut for understanding the complexities involved with the change. Mental maps assist people to filter irrelevant information,

identify entities, specify relationships, and integrate entities and relationships into a coherent whole to better engage with and understand the change (Bartunek & Moch, 1987).

In order to speed up change interventions, change practitioners need to consider engaging with people's mental maps to effect longer term change by applying orders of change strategies. However, Hibbert (2013) cautions that "change does not happen by simply telling or convincing people to change their mental maps, even if the change will benefit them" (p. 821). Change practitioners need to initiate change that can be sustainable. However, to be successful, planned change must involve taking people through first, second and third orders of change, focusing on what the mental maps are, whether they need to change and how they need to change.

First, second and third orders of change involve understanding the differences among each of the orders of change, as each order of change requires the change practitioner to fulfil different roles and face different ethics. By focusing on people's mental maps, Hibbert (2013) suggests that "change practitioners must be able to distinguish among intervention techniques to avoid confusion, reduce fears, anxieties, conflict, and facilitate more effective and sustainable change" (p. 821).

Effective change practitioners need to discover various techniques and develop the skills necessary to identify mental maps and select the appropriate intervention approach that meets the needs of the people involved in the change process. Reflexivity is central throughout each order of change to review, revise, adjust and develop new mental maps, until individuals and teams feel comfortable and competent to review, revise and adjust their mental maps independently (Archer, 2007; Hibbert, 2013).

2.1.8. Elaborating on the Theoretical Framework

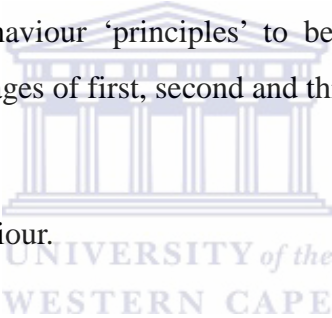
Scientists in the past decade have gained a far more accurate view of human nature and behaviour because of the integration of psychology (the study of the human mind and human behaviour). Rock (2006) states that,

Advanced computer analysis has helped researchers to develop an increased body of theory linking the brain's functioning (the physical organ) with the mind's activity, (the

human consciousness that links, how people think, to how people feel and ultimately how people behave). (p. 9)

This body of research is particularly relevant for organisational leaders and management teams as it is clear that human behaviour in the workplace does not always work the way that most leadership and management teams think that they should. Rock (2006) highlights the importance of understanding human behaviour to effect change by making an effort to acknowledge the existence of people's current behaviour, the need for people to reflect on their current behaviour and being enabled to develop new behaviour through a process of adjusting and revising their own new behaviour, as discussed below and illustrated in Table 2.1. Table 2.1 illustrates the behaviour referred to as 'principles' that acknowledges human behaviour in the workplace which serves to elaborate on the theoretical framework of this study.

Rock (2006) highlights seven behaviour 'principles' to better understand human behaviours which are relevant at each of the stages of first, second and third orders of change. These are:

- 
- Change is not easy.
 - Acknowledge human behaviour.
 - Acknowledge humanism.
 - Focused attention is powerful.
 - Expectations can shape reality.
 - Attention density can shape identity.
 - Practice becoming mindful of change.

Change is not easy as some people resist change stubbornly, even when it is in their own best interest (Rock, 2006). Reynolds and Holwell (2010) suggest that,

It has to do with human memory and its relationship to conscious attention, in that, the working memory – the brain's 'holding area', where perceptions and ideas can first be compared to other information – is frequently engaged when people encounter something new. (p. 52)

During change, people look at the new and immediately compare it to what they already know and use. These dynamics come into play when people face any new idea or suggestion that is presented to them. People therefore have hardwired habits which are well routinised. Trying to change these habits requires hard work in the form of huge amounts of attention that must be given to try to make a change and acknowledge that people feel uncomfortable about making the necessary changes. It is also necessary to acknowledge that people will do everything possible to avoid making changes (Rock, 2006).

Changing behaviour can be hard, as “the human brain has evolved a particularly strong capacity to detect what neuroscientists call ‘errors’: perceived differences between expectations and reality (what you already know)” (Bransford, 2009, p. 82). Error detection can push people to become emotional and act more impulsively: animal instincts take over. This implies that these change messages grab the person’s attention and can readily overpower all rational thought. It therefore takes a very strong will and process to push such mental activity. The same is true for making changes within an organisation.

Acknowledging human behaviour is vital, as “many existing models for changing people’s behaviour are drawn from a field called behaviourism that emerged in the 1930’s, led by psychologist Skinner” (Rock, 2006, p. 56). Some behaviourists, like Skinner, Pavlov, Wittgenstein, Watson, Thorndike and Dennet suggested that, if you present the right incentives, the desired change will naturally occur. If change does not occur, the incentives should be changed. It must therefore be acknowledged that people will experience discomfort if one tries to change their behaviour, even with the best of intentions, as the brain sends out a message that something is wrong and the capacity of rational thought is lowered (Lott, 2011). Rock (2006) states that “change increases stress and discomfort levels of individuals, so teams must not underestimate the challenges inherent in implementation of change within themselves, their teams and the organisations they work in” (p. 58).

Acknowledging humanism is important as the humanist approach was seen as an alternative to behaviourist incentive methods. Listening to people’s problems and attempting to understand them on their own terms allow for more holistic solutions to emerge. In theory, this can work, but it is time-intensive and there is no guarantee that it will work for each person in the organisation.

The implicit goal of acknowledging humanism is to ‘get everyone on board’ by establishing trust and rapport, and then convincing them of the value of a suggested change (Rock, 2006). “Rather than lecturing and providing solutions, effective Change agent in this study means facilitating professionals to enable them to identify and make their own required changes as suggested by, Fullan (2009). s ask pertinent questions and support people in working out solutions on their own during regular reflective processes” (Hibbert, 2013, p. 821).

Focused attention is powerful. According to Rock (2006), “the brain changes as a function of where a person puts his/her attention. The power is in the focus. Focused, attention continually reshapes the patterns of the brain” (p. 64). According to Hibbert (2013), “people who practice focused attention everyday literally begin to think differently and in the process develop new ways of thinking and behaving to enable them to achieve his/her desired outcomes” (p. 822). Having focused attention also allows individuals and teams to pay attention to details while also focusing on the big picture or desired outcomes the individual or team wants to achieve. “Focused attention also allows individuals and teams to work within timeframes that are manageable and can be decided before embarking on the task or outcome to be achieved” (Rock, 2006, p. 66).

Expectations can shape reality, as Rock (2006) explains that “people’s expectations and attitudes play a more central role in their perceptions than was previously understood” (p. 69). This is demonstrated in medical research through the placebo effect as people experience what they expect to experience. People’s expectations, whether conscious or unconscious, can play a large role in perception and has significant implications on their actions (Rock, 2006).

Attention density can shape identity. According to Rock (2006), “for moments of insights to be useful, they need to be generated from within the individual and not given to people” (p. 72). Firstly, people will experience the adrenaline-like rush from moments of insights only if they go through the process of making the connections themselves. These moments of insights are well known to be a positive and energising experience. This rush of energy may well be central to facilitating change. It helps to fight the natural instinctive force of resisting change and the fear of change and the unknown. Secondly, it is far more effective and efficient to assist people to

come to their own moments of insight (Rock, 2006). The term attention density is increasingly used to define the amount of attention paid to a particular mental experience over a specific period of time.

The greater the concentration placed on a specific idea or mental experience the higher the attention density. With enough attention density, the individual thoughts and behaviour of the mind can become an intrinsic part of the individual's thinking, identity and behaviour. (Rock, 2006, p. 74)

The key is getting people to pay sufficient attention to new ideas for and of change. Any behaviour linked to change brought about by leadership teams must be a primary function of their abilities to induce others to focus their attention on a specific idea of change, closely enough, often enough, and for long enough to actually enable effective change to take place and be meaningful and sustainable in their organisations (Archer, 2007; Hibbert, 2013).

Practicing becoming mindful of change, according to Rock (2006), is when people practice new ways of thinking and doing more regularly and it becomes the norm and they feel confident and more ready to deal with change. Rock (2006) suggests that we need to start by leaving problem behaviours in the past and focusing on identifying and creating new solutions-focused behaviours. Over time, these new behaviours may shape the dominant pathways in our brain and assist us to change more easily.

During a change process, Archer (2007), Hibbert (2013) and Rock (2006) suggest that change can be achieved through regular solution-focused approaches that facilitate self-insight and self-evaluation rather than through advice-giving. In a world with so many distractions, one of the biggest challenges is being able to focus enough attention for long enough on any one idea. Teams could therefore make changes to their practices by regularly reminding themselves and everyone in the organisation about their useful moments of insights and paying them attention that otherwise would not be paid to what is happening during a change process.

All seven behaviour 'principles' discussed above contain elements that are based on the premise that "knowledge of how change can occur is powerful" (Rock, 2006, p. 100). It is unfortunate however that due to past entrenched practices (discussed in the review of the literature on

educational change in Chapter Three), few leadership and management teams are comfortable with making the time to understand the above seven behaviour ‘principles’ to begin to effect change within themselves and the individuals in their organisations.

Table 2.1 below shows how Rock’s (2006) seven behaviour ‘principles’ deepen the theoretical framework of this study.

Table 2.1. Seven behaviour ‘principles’ to deepen the theoretical framework

First order of change	Second order of change	Third order of change
Mental maps How we think and behave	Reflexivity Reflection on how we think and behave	Authoring Adjusting and revising how we think and behave
Seven human behaviour ‘principles’		
Change is not easy Acknowledge human behaviour Acknowledge humanism	Have focused attention Expectations can shape reality Attention density can shape identity	Practice being mindful of change

These seven human behaviour ‘principles’ deepen the initial theoretical framework. This framework indicates that, when engaging with change processes, it is also necessary to understand the way people think, behave and respond to change. Table 2.1 above indicates an in-depth framework for the three orders of change. Deepening each of the three orders of change is necessary to develop in-depth and sustainable professional and personal development and support of SMTs. The reason being, that there is now more pressure than ever before to improve how SMTs develop new ways of thinking and behaving to better engage, embrace and implement change.

2.2. Conceptual Framework

According to Rocco and Plakhotnik (2009), “a conceptual framework is important for situating the study in bodies of knowledge. Defining the main ideas in the study and the relationships between them” (p. 121). The conceptual framework for this study encompasses core concepts, namely, educational change, leadership and management, with specific reference to SMTs, professional development and personal development. The conceptual and theoretical frameworks enabled the researcher to enter, engage and conclude the study with an orientated, referenced

framework that clarified what was being studied and how it was studied. The conceptual framework therefore grounded the study in the relevant knowledge bases that laid the foundation for the researcher to best answer the research questions. It also provided an informed structure for the data collection and analysis process, as it sensitised the researcher as to what to look for within the scope of the study. Figure 2.2 provides a graphic overview of the conceptual framework, depicting the concepts that formed the foundation for the research questions investigated.

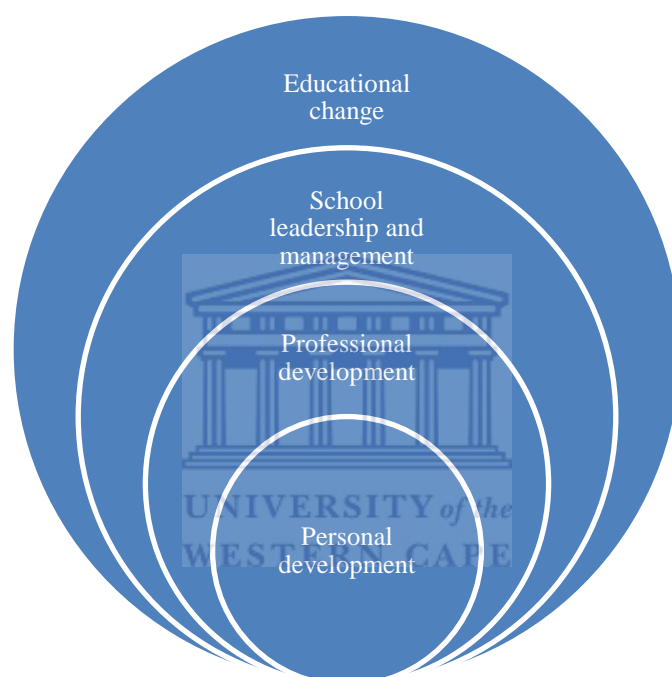


Figure 2.2 Conceptual framework

Figure 2.2 above indicates how the four theoretical concepts relate to each other. SMTs are comprised of individuals who need to be developed on a personal level, as well as professionally, because they form a key organisational structure within the education system. SMTs hold leadership and management positions with specific roles and responsibilities that need to be developed. SMTs play a vital role in educational change as they are responsible for the implementation of new policies. SMTs therefore need to be developed, trained and supported in the implementation of these policies to effect educational change.

The four key concepts, namely, educational change, school leadership and management, professional development and personal development, emerged from my engagement with the

literature and are briefly defined below and are expanded upon in Chapters Three to Five, in which key issues and discussions around each of the four concepts in this study are explored in some depth. The discussion chapter focuses on how figure 2.1 and figure 2.2 relate to each other.

2.2.1. Educational Change

Educational change is a process that occurs on a macro and micro level. It is understood to involve change in practice, including taking guided steps to empower and re-organise the work of individuals and teams both on an individual and collective level in an organisation. (Finnigan & Daly, 2010, p. 75)

On the macro level this change happens when policies are introduced to effect change in the system as a whole and on the micro level these policies have to be implemented at the school. These guided steps involve conceptualisation, initiation, mobilisation and possible adaption of the required change, followed by continuous implementation and institutionalisation of the change. When these steps are regularly supported and actively engaged with, the two levels of individual and collective change can be affected more effectively (Finnigan & Daly, 2010). Educational change and the literature relating to it are discussed in more detail in Chapter Three.

2.2.2. School Leadership and Management

School leadership involves engaging in processes that offer strategic direction to enable the organisation to reach its goals within specific timeframes. School management entails managing all the activities of the organisation to reach its goals within specific timeframes. Together, school leadership and management ensures that the organisation operates according to shared goals and produces targeted results within timeframes for optimal functionality. School leadership and management in this study is aligned to the DOE's (2008b) Handbook on School Leadership and Governance, where schools are now required to change from only being led and managed by an individual school manager, the school principal, to being led and managed by a team of managers, the SMT. What this means is that schools now require the principal and a team, consisting of the deputy principal and heads of departments in the school, to work democratically and collaboratively to implement their shared policy-required roles and responsibilities. The most important function of the SMT is to manage change. All SMT members are now fully responsible and held accountable for all school activities (Taylor, 2009c).

Literature relating to school leadership and management teams, roles, responsibilities and practices are expanded on in more depth in Chapter Four.

2.2.3. Professional Development

Professional development is the training one engages in or is exposed to, to improve and keep up to date with the latest knowledge, skills, attitudes, values and expertise required in one's job. The main aim of professional development is to ensure that individuals are enabled and empowered to better understand and implement their respective job descriptions to deliver on job expectations. Professional development therefore needs to be a collaborative, contextualised and research-informed process to bring about desired sustainable changes within individuals and teams (NEEDU, 2013). It includes engaging individuals and teams in experiential learning experiences, mediated demonstrations, employing appropriate resources, coaching, and mentoring of the required change by focusing on professional needs within an enabling environment to establish regular networking opportunities for lifelong learning (Robinson, Hohepa, & Lloyd, 2009). Professional development is discussed in more depth in Chapter Five.

2.2.4. Personal Development

Personal development is a lifelong active learning and growth process that is grounded in knowledge and competence about oneself. When personal development becomes a discipline, it becomes integrated into one's life, always clarifying what is important and continually learning how to see current realities more clearly (Haber-Curran, Allen, & Shankman, 2015). Personal development therefore focuses on enabling and encouraging individuals to better know and understand themselves and their value as human beings through developing their self-confidence, self-esteem, self-respect and self-worth on a regular basis. At the same time, personal development is also about gaining insights about the process of change and all its associated complexities (Brown, 2012). The literature relating to personal development is discussed in more detail in Chapter Five.

2.3. Summary and Conclusion

In this chapter, an integrated theoretical framework was presented. The theoretical framework was then elaborated upon through the inclusion of seven related behaviour 'principles' to develop a more comprehensive theoretical framework. The theoretical framework provided the lens

through which the research was conducted and the data analysed. The conceptual framework was then presented, grounding the whole study and placing emphasis on how the concepts of the study created an integrated synthesis between the theoretical and conceptual framework. The integrated synthesis between the theoretical and conceptual framework both guided and provided structure to the data collection and analysis of the research. The conceptual framework formed the basis for the three literature chapters that follow and includes educational change, school leadership and management, professional development and personal development.



CHAPTER 3

LITERATURE REVIEW – EDUCATIONAL CHANGE

A literature review is a process that entails wide and rigorous referral to research relevant to one's study. Researchers must use literature that is already known about their field of study to ground and understand what their study entails and make contributions to the current literature available. A literature review reveals how knowledge in the field being studied has developed over time, and enables readers to confirm that which is worthwhile, justified and actually makes a contribution to the field being studied (Delport & Fouché , 2005).

The literature chapters in this thesis draw on sources from educational psychology, history, politics and sociology. The review conducted attempts to show the multiple causes, issues and challenges that surround and impact on the professional and personal development of SMTs. The literature foregrounds the vital importance of mediating change. Understanding the nature, content and processes of international educational change is important as it allows South Africans to place their paradigms and practices within a global context. Issues relevant to this study pertaining to educational change in South Africa are presented, and include a historical overview, policy development, and the challenges and successes of educational change.

A comprehensive review of the literature which frames this study is therefore provided, with emphasis on the South African context, given its importance in understanding how SMTs have to operate.

3.1. Educational Change

Fullan (2009) states that,

Change is a fact of life, a phenomena that is natural, inevitable and complex. Change is a process and not an event. It is a process that is non-linear but loaded with both uncertainty and excitement. Change is a 'journey and not a blueprint'. (p. 15)

The definition above is supported by Hargreaves (2009), who states that “change is normal, persistent and complex...(that) the process of change, is a life-long learning process that involves reflection, restructuring and redoing” (p. 91). This reinforces what needs to happen to the individual's mental map to effect change for themselves and the organisation they find

themselves in. Fullan (2009) alerts us that, difficulties and setbacks are a normal part of any change process. This sentiment is echoed by Hargreaves (2009), who describes change as a process that includes positive ideas, such as trying new ways of doing things, progression, renewal and reform. “Change is threatening and confusing, involving loss, anxiety and represents a serious personal and collective experience that is characterised by ambivalence and uncertainty” (Hargreaves, 2009, p. 92). Change however does not have to be threatening if it is mediated by knowledgeable and supportive developmental practitioners.

According to Finnigan and Daly (2010), Hargreaves (2009), and Morrish (2013), international market pressures are forcing rapid global change in our current world order. Economies are beginning to change and replace low value-added services with high-technology, high-quality service industries and knowledge economies. This rapid movement in the current world order is increasing the need for a highly skilled workforce. These demands have a direct impact on education to produce a highly competent and skilled workforce. “Motivation of those involved in education to produce this highly competent and skilled work force remains at best ‘frayed around the edges’ as pressures of increased class sizes, redundancies, and resource shortages grows in education” (Fullan, 2009, p. 36). Hargreaves and Goodsen (2006) agree that “the changing landscape of education, with the increased demand for high-quality delivery, continuous performance appraisals and high-competencies with increased stress levels bears testimony to the changing nature of the education profession” (p. 26).

This view of how rapid economic demands and changes are impacting on education refers to education in Britain, the USA and other developed countries, and points to the varied economic, political and intellectual factors that impact on education. According to Fullan (2009), “these rapid demands and changes which impact on education are neither new nor modern” (p. 38). A review of the literature shows peculiar consensus that education is forever being impacted upon due to changes in economic demands.

3.2. Nature, Content and Process of Educational Change

The kind of change that is initiated and the way it is implemented affects how successful the change will be. Embedded in the content of the proposed change should be aspects such as understanding the need for the change and ways to address priority needs and challenges. The

relevance of the change must be stated upfront in terms of its use in order for the change to be believed, owned, embraced and implemented (Fullan, 2009). Communicating clear long-term focus and benefits that develop, maintain and sustain any required change, as well as the provision of development and improvement to actively engage with and reflect on one's practices, is a prerequisite in any change process (Mayo-Wilson et al., 2013). Educational leaders and managers should also be able to identify and understand the feasibility of the required change and make a decision regarding the manner in which the restructured change will impact on and affect the organisation (Davidoff et al., 2014).

In the conceptualisation and development of the content and process of change, the factors needed for change must also be accounted for. These include the need to ensure a balance of individual interests and collective responsibilities, and that the change is democratic, practical and mutually beneficial to all involved in the required change process (Van der Berg et al., 2011). The content and process of the required change must also address context, relevant current issues and concerns of both the individual and the organisation. "There must be an acknowledgement of top-down (policy requirements) and bottom-up strategies (what schools need) in decisions that affect the organisation" (Morrish, 2013, p. 32). Other considerations include the need to have regular consultations and reflective feedback from all role players in the required change process. Acknowledging differences that exist between all role players is also a key consideration of the context within which the required change is to take place (Hargreaves, 2009).

3.3. Facilitating Educational Change

Before facilitating change it is vital to understand how in particular, one's approach to change can make an impact. Though dated, Burrell and Morgan (1982) clarify two major dimensions that determine a particular approach to change: the subjective-objective, which either emphasises or de-emphasises people's perceptions in the change process, and the regulation-radical, which favours either consensual or conflictual approaches to change. An intersection of these two dimensions of change results in four typical paradigms, namely, radical humanist, radical structuralist, interpretive and functionalist approaches to change. This research falls within the subjective-objective dimension and includes the interpretive approach to change emphasising the importance of respondent participation throughout the change process. This is supported in the

literature review where levels of change that emerged as significant in facilitating educational change include intrapersonal, interpersonal and organisational levels.

3.3.1. Facilitating Change at the Intrapersonal Level

Hargreaves (2009) stresses the importance of “acknowledging and dealing upfront with the perceptions and fears of the individuals who will be affected by the change in an organisation” (p. 95). Fullan (2009) and Hargreaves and Goodsen (2006) concur that, if people are involved in and affected by a change process, they should be informed and involved in all aspects of the change process. Change therefore needs to happen on both individual and organisational levels.

Morrish (2013) explains that,

Individuals in a team in any organisation need to have a shared understanding of the nature, content and process of the envisioned change because, in so doing, they will make the change their own. Furthermore individuals in the team should first be allowed to make sense of the proposed change for themselves (intra-personal) before it becomes part of their practice within the team. (p. 66)

Fullan (2009) also argues that the “individuals involved in a change process need to be self-conscious about the nature, content and process of the change” (p. 65). They should be familiar with the different steps involved in the proposed change process and voluntarily accept it as a positive learning experience for themselves. They must also understand and agree on the need for and the importance of the proposed change. Morrish (2013) states that “every person can be a Change agent in this study means facilitating professionals to enable them to identify and make their own required changes as suggested by, Fullan (2009). as one’s personal mindset and mastery thereof, are the ultimate criteria for life-long learning” (p. 28).

“Individual motivation needs to be regularly supported, reviewed, renewed, inspired and sustained for change to be effected meaningfully” (Fullan, 2009, p. 67). Hargreaves (2009) argues that “sustained individual change can be achieved by creating constant support to maintain and sustain the required high expectations within an organisation thereby removing the crippling anxiety that thwarts experimentation, risk-taking and learning by individuals” (p. 95).

Acknowledging and positively responding to individuals' fears can act as a buffer during times of change as it can prevent fear and anxiety turning into paralysis, suspicion, mistrust, demotivation, anger and despair and resulting in resisting change. Individual commitment to changing beliefs, practices, attitudes and values is vital to any required change. "Individuals should be allowed to experiment, voice and develop their own interests, values, attitudes and sense of purpose during any required change process" (Fullan, 2009, p. 69). Even though acknowledgement and reassurances are key and emotional support is crucial, individuals must also be provided with incentives to actively engage with, embrace and implement the required change.

Change in education depends on change in the individual's knowledge, their professional values and commitments to their practice, and to the resources available to them to effect the required change. Change is therefore a complex process. It is often the mere complexity of the required change that can render it unsuccessful, particularly if individuals cannot make sense of the change required (Hargreaves, 2009).

3.3.2. Facilitating Change at the Interpersonal Level

According to Davis (1992), Fullan, Cuttress and Kilcher (2005), Hargreaves (2009), Hargreaves and Goodsen (2006), and Mayo-Wilson et al. (2013), change within an organisation can be more easily facilitated when there is a culture of teamwork and collegiality. "Cohesive professional teams, are better able to develop quality and effective professional working relationships when the team believes in and encourages the proposed change" (Hargreaves, 2009, p. 95).

Together with trust and respect, a safe and conducive working environment should be created where the team can openly discuss and reflect on their perspectives and practices. Emphasis should be placed on the importance of openness and support while facilitating the proposed change. The team needs to be encouraged to openly share their concerns and problems. This support includes talking about practices and observations, and being able to give feedback regarding planning, preparation and implementation of one's practices. It is in this process of making shared meaning that the proposed change processes can be better facilitated (Fullan, 2009). "Coherent, strong and regular team work has the ability to develop crucial sustainable professional relationships, a vital ingredient during the often sensitive times of change"

(Hargreaves, 2009, p. 98). Hargreaves (2009) explains further that “team work must extend beyond the organisation to involve those who support organisations to change” (p. 98).

Extending teams can strengthen all stakeholders involved in organisational change. This extended teamwork can only really be effective and genuine if based on trust, openness, care, attentiveness, risk taking, and active engagement with candid and vibrantly respectful dialogue (Hargreaves, 2009).

3.3.3. Facilitating Change at the Organisational Level

Most of the literature reviewed highlights the importance of any organisation having good leadership and management, with a developmental culture to facilitate required change. Leadership and management play a crucial and vital role in establishing, developing, supporting, facilitating, maintaining and sustaining any required change (Elmore, 2007; Hargreaves, 2009; Slavin, 2012). Organisations need to be led and managed by teams with sound knowledge, attitudes, values and skills regarding their roles, responsibilities and accountabilities that are necessary to enable, maintain and sustain the required change to take place in their respective organisations (Slavin, 2012).

Facilitating change at the organisational level includes a readiness to assist staff (teachers) to make meaning of the required change, encouraging and supporting the required thinking and associated practices, and being innovative and creative in sharing power, control, communication, decision-making and accountability, as well as creating professional environments for the required change (Elmore, 2007; Hargreaves, 2009). The organisation’s culture and its willingness to acknowledge and embrace the required change that should benefit all stakeholders in the organisation are critical to change and the support of individuals in teams within an organisation.

Morrish (2013) suggests that “organisations need to have a culture that is open to practically engage with and embrace the required change” (p. 64). Change needs to be reflected in its own vision and mission statements and manifest in all its structural processes. If an organisation’s culture is not open to change, there will likely be an unwillingness and non-commitment on the part of the team within the organisation, which will result in little change happening, no matter how good the intention of the proposed change. Creating developmental visions, missions,

cultures, practices and strategies to keep organisations abreast with the fast and ever-changing demands of education is becoming more and more crucial (Finnigan & Daly, 2010). In this respect, while the vision, mission, culture, practices, structures and strategies of the organisation are promoting instrumental change, the people within the organisation are central, especially those whose roles and responsibilities are too enable to effect change. Therefore, the challenge for organisations, including leaders and managers, is to build change practices into their leadership and management styles and structures (Morrish, 2013).

“Building change practices into all organisational structures enables, any organisation to be better enabled to incorporate and deal with planned and unplanned change” (Morrish, 2013, p. 68). Change practices is necessary in order to strengthen any organisation’s ability to embrace change and deal with ongoing processes of change more effectively to supply and manage relevant resources, develop good time management and engage with mechanisms for regular open and effective communication. In addition, this is necessary to develop organisational and individual change through continuous professional development (CPD) and to enable organisations to deal with factors that inhibit change (Finnigan & Daly, 2010).

3.4. Inhibiting Change

Durlak and DuPre (2008), Finnigan and Daly (2010), Fullan et al. (2005), Hargreaves (2009), Hargreaves and Goodsen (2006), and Morrish (2013) caution that leaders and managers must have a constant awareness of possible inhibitors to change, which are numerous and often the reverse of what facilitates change. Having a constant awareness of the inhibitors of change enables leaders and managers to better deal with change, as briefly discussed below.

3.4.1. Inhibiting Change at the Intrapersonal Level

Hargreaves (2009) asserts that “the most dangerous thing to do during a time of change is to ignore the individual’s personal emotions, fears and anxieties that a required change invokes” (p. 98). At an intrapersonal level, Hargreaves (2009) talks about psychological conflicts that can arise within individuals, resulting in fear, anxiety and uncertainty of the unknown, all of which can cause a major barrier to any suggested change. Fullan (2009) also cautions that there will be an inherent unwillingness to change, particularly when individuals’ values and beliefs feel threatened or undermined by the envisioned change.

Fullan (2009) therefore highlights that an individual's resistance to change is a major barrier to change, and goes further to explain that individuals who have benefitted from entrenched past systems often resist change the most. As explained earlier, Morrish (2013) notes that education, today, exhausts individuals' energy and thereby limits their opportunities for regular or sustained reflection of their practices. Limited reflection consequently also limits individuals' belief in the personal benefits of the envisioned change.

3.4.2. Inhibiting Change at the Interpersonal Level

As a result of unresolved personal differences between individuals, there can be no real effective cohesive team. This results in non-existent or disorganised structures, weak leadership and management, non-existent visions, missions that are not implemented as required, no real effective professional cultures or healthy work ethics, and an unhealthy weak professional working environment (Hargreaves, 2009).

According to Fullan (2009), "unresolved personal individual issues can therefore result in weak and often dysfunctional teams, structures, processes, practices and performances. Weak teams, can also create conflict relating to values, un-resolved grudges and grievances resulting in unprofessionalism between team members" (p. 83). This usually results in unhappiness due to the lack of regular, open and clear communication between team members who do not fully understand the redistribution of roles, responsibilities and accountability that required change inevitably brings. This can result in factions developing within teams, pulling team members in different directions (Fullan, 2009). All these factors are disruptive to team cohesiveness as well as meaningful and effective school functionality.

If these disruptive issues are not regularly acknowledged and addressed, they have the ability to create disruptions, disunity and dysfunction in the team and in turn can disrupt the organisation, as any organisation is dependent on the effective functioning of the team. (Hargreaves, 2009, p. 96)

After poor individual interpersonal interactions, poor communication is the main disruptive factor on teamwork in today's fast-paced world of change. Without regular clear information that is fully understood by all team members regarding their roles and responsibilities, the team will basically function as individuals, resulting in poor performance (Finnigan & Daly, 2010).

According to Hargreaves and Goodsen (2006), a team should be regularly and clearly informed about all required changes in order for the team to work towards the negotiated and shared vision and mission of the organisation. “The absence of regular open communication, encouragement, positive feedback from leadership and management through reflection sessions, supportive teamwork and professional cultures and structures result in weakened teamwork and poor quality performance within the organisation” (Hargreaves & Goodsen, 2006, p. 36).

3.4.3. Inhibiting Change at the Organisational Level

Durlak and DuPre (2008) explain that organisational barriers will exist when a team is not operating cohesively. If structures are not flexible to allow or permit experimenting with change, Durlak and DuPre (2008) further state that “undemocratic structures in an organisation can result in tight controls of power, together with a weak flow of inflexible communication practices, which can result in negative patterns of interactions amongst the members” (p. 346).

Hargreaves (2009) expands on the above, stating that change is difficult and most often impossible when only a few individuals in the organisation understand, believe and want to implement the organisation’s vision and mission. When only a few individuals contribute to the development of the organisation’s vision and mission, there is little to no implementation of any change. Hargreaves (2009) goes further to explain that there needs to be a realistic and democratic process that is inclusive and clearly conceptualises and articulates a negotiated and shared vision and mission of any organisation for effective change to be meaningfully implemented. “Power needs, to be distributed fairly to enable the members to give their best to the organisation” (Fullan, 2009, p. 91). Other issues constraining organisations from operating effectively include a student population that is too large, a high rate of staff turnover, absenteeism and a lack of resources. Time pressures and lack of finances or managing finances correctly also challenge organisations to develop to their full capacity to understand, engage, implement and even to anticipate the necessary required change (Fullan, 2009).

Given the demands of living in a knowledge economy, bureaucracy can also smother creativity, flexibility, teamwork, co-operation, collegiality, openness and support. Strict compliance in following policy to the letter can also restrict and stifle the effective implementation of required change (Fullan, 2009). These discouraging factors can limit and restrict organisations from

engaging in carefully calculated experimentation and risks that are vitally needed during times of change (Hargreaves, 2009).

3.5. Educational Change in South Africa

The factors facilitating and inhibiting change, as discussed above, are more pertinent in a developing democracy such as South Africa. In 2014, South Africa celebrated 20 years of democracy. Unfortunately, the celebrations were short-lived due to the reality of the huge task still ahead of rebuilding, maintaining and sustaining a quality education system for all its citizens that can compete globally. There are high levels of disillusionment from citizens with the current education authorities, due to the slow and inefficient developments towards manifesting the humane and moral face of democracy (Davidoff et al., 2014). It is therefore necessary to present an overview of the history of education in South Africa to help explain why there are facilitating and inhibiting factors to change. The authors reviewed are dated, but they provide the most comprehensive account of the historical context of education in the country.

3.5.1. History of Education in South Africa 1948-2014

According to Unterhalter (1991),

The cultural legacy of apartheid in South Africa, has left, a legacy of extreme authoritarianism in South African schools, which was used as ideological state apparatuses. Many schools developed as ‘sites of struggle’ against the apartheid state ideologies, yet very few schools have been able to move away from the rigid entrenched authoritarianism which is unfortunately still prevalent in the South African school context. This was because of the way in which schools have been structured, led, and managed. (p. 21)

In 1948, the nationalist apartheid government strategically and forcefully took over and changed the professional development of ‘Black’ teachers in South Africa (Jansen & Christie, 1999). This meant that the state controlled all professional training. In 1954, as a result of the Eiselin Commission Report of Native Education (1951), the Bantu Education Act ensured centralised state control of all black teacher education by legislating that, in future, teacher education would only be allowed to take place through government-controlled centres (Salmon & Woods, 1991).

By 1968, all training colleges for black teachers were controlled by the Department of Education and Training (DET) (Murphy, 1985). All the professional training courses offered at these teacher training colleges were seen to have their philosophical and ideological roots in fundamental pedagogics, which underpinned the Christian National Education System of the nationalist apartheid government. What this meant was that there was to be no mixing of languages, no mixing of cultures, no mixing of religions and no mixing of race groups, namely, white, african, coloured and indian (the last three race groups were all classified as blacks) (Flanagan, 1991). Christian National Education was rooted in the 'Afrikaner' white nationalist struggle to legitimise the dominant interest of only the white race group and to ensure the subservience of blacks (Flanagan, 1991).

As a result, teacher training courses were based on this subservience philosophy. These subservient practices were entrenched in the South African Education System from 1948 through to the 1970s; not only in schools but in all social aspects of life in South Africa. Perhaps the most serious of all inequalities was how this discrimination related to human capital where the destructive impact of the Department of Education and Training system wrought damage that might take decades if not generations to repair. (Unterhalter, 1991, p. 27)

By the 1970s, the nationalist apartheid government in South Africa had developed 18 segregated education departments established for white, african, coloured and indian race groups, with different teacher education institutions and educational spending. Educational spending per year per child was R1211 per white child, R771 per Indian child, R498 per coloured child and R146 per African child. This structural arrangement produced huge inequalities in terms of the type and levels of teacher qualifications produced between the different race groups. More detrimental, though, is that teachers were trained to only use one rigid 'teacher talk' and 'students listen' teaching methodology while following a strictly prescribed, inflexible, centrally-controlled curriculum (Unterhalter, 1991).

By implication, certain roles and responsibilities were expected from teachers that ultimately impacted on the type of teacher that was produced at the various segregated teacher training colleges. The same applied to school leadership and management, where only the school

principal was in charge, following a set of prescribed instructions, with no consultation with the staff. Christian National Education was intended to have all people follow given instructions with no questions being allowed. Education was meant to be impersonal and instructions rigidly obeyed in order to ensure limited interpersonal development. The context was totally ignored, which resulted in teachers and school principals being passive receivers of prescribed knowledge and practices. The more one followed and simply carried out prescribed instructions, the more one was regarded as a good teacher or principal (Davidoff & Van der Berg, 1990).

By 1980, the De Lange Commission into education expressed the need for teacher education reform due to the continued school boycotts and to satisfy the skilled labour crisis and provide for the needs of the economy (Unterhalter, 1991). “The commission recommended that urgent steps be taken to reduce the inequalities between the black and white education systems with particular mention being made of the inequalities of teacher education” (Salmon & Woods, 1991, p. 21). The government’s white paper on the organisation, governance and funding of schools (DOE, 1996b) endorsed the De Lange commission’s recommendations on teacher development and qualifications by making the official benchmark for teacher qualifications standard 10 (grade 12) plus three years of professional training (DOE, 1992). The professional educational requirement in 2014 has been raised to grade 12 plus four years of professional training (NEEDU, 2013).

The majority of black teachers and school principals prior to the introduction of new policies and democracy in 1994 only had standard 8 (grade 10) plus a two-year professional qualification. The abovementioned new ruling meant that more than 80 000 teachers and principals were underqualified (Walker, 1991). The salaries of teachers and principals were then linked to qualifications; therefore, a demand developed for upgrading qualifications and many colleges of education began to offer part-time in-service courses for underqualified professionals. This situation allowed non-governmental organisations (NGOs) to assist teachers and principals to upgrade their qualifications. This was because many teachers and principals were not willing to participate in upgrading courses developed by the still apartheid government institutions (The Argus, May 19, 1992).

Between 1985 and 1986 the concept of 'Peoples Education for People Power' emerged. Peoples Education emphasised the development of a critical mind that is aware of the world, and schools were perceived as 'sites of struggle' where teachers and principals could play a critical role in implementing democratic change practices. (Molobi, 1986, p. 10)

As the concept of 'Peoples Education for People Power' gathered momentum, teachers and school leaders together with NGOs, began to make the link between political goals of empowerment and pedagogical goals of encouraging more democratic and participatory approaches to teaching and learning as well as school leadership and management (Rensburg, 1986). "Because NGO's were outside of the formal government structures, they were strategically positioned and more importantly trusted by teachers and school principals to be the champions of the concept of 'Peoples Education for People Power'" (Vinjevold, 1994, p. 13).

The core of the 'Peoples Education Policy' was that, under the specific conditions of apartheid and capitalism in the mid-1980s, the creation of a new education system with its new democratic practices could contribute to the process of social transformation in South Africa. The task of NGOs, together with progressive teachers and school principals, was then to start implementing the principles of 'Peoples Education' to find ways of addressing 'issues of inequality and discrimination in schooling as well as in society' (Walker, 1991). A number of NGOs and teacher educator institutions therefore began to investigate the potential of using more democratic, consultative and developmental teaching and leadership and management strategies for the development of a more 'critical pedagogy'. "As a result, the principle of participatory professional involvement and development became an integral part of many enquiry-based approaches to teacher and leadership and management In-Service provision within education in South Africa" (Flanagan, 1991, p. 12).

By the 1990s teachers and school principals were being mobilised and mechanisms were being put into place so that by the time of the unbanning of many political parties including the African National Congress (ANC) and the release of Nelson Mandela, the focus changed from developing teachers and school principal's 'political consciousness'

to teachers and school principals developing their ‘conceptual professional pedagogical consciousness’. (Jansen & Christie, 1999, p. 18)

This process has been continuing in earnest from 1990 and is discussed in the section below on policy influencing educational change in South Africa.

3.5.2. Policy Influencing Educational Change

South Africa’s political transformation from an autocratic apartheid system to a democratically elected government began in 1994. With its founding constitution, the government was urged to begin the restructuring of the 18 separate racially constituted education departments into a single education system. This was vital to providing all its citizens with the necessary knowledge, skills, values and attitudes to reconstruct what was a divided and unequal society. This was also necessary for South Africa to be able to compete globally (Vinjevoold, 1997).

To this end, the first move in response to the global changes in education and in line with its democratic constitution was the introduction of new education policies. The mid-1990s were a time of great enthusiasm and optimism with the formulation of new policies that were seen as key to South Africa’s educational transformation. The unknown was what the actual effort, sacrifices and challenges would be to change the very complex and rigid bureaucracy that was entrenched in the education system. In an attempt to have uniformity among schools, the dismantling of the previous 18 segregated education departments into a single national education department was set in motion (DOE, 1996a).

Central to all policy changes since the proclamation of democracy in 1994 has been the idea that education policies would be the ‘enabling vehicle’ and ‘officials the drivers’ to bring about the envisaged democratic constitutional changes. Through education and its democratic organisations, structures and practices, the development of knowledge, skills, competencies, values and attitudes that incorporate critical reflection were deemed critical as the ‘levers of change’. This was to enable South Africa to compete globally (Christie, 2010). Education policy changes started to be introduced in 1995, with a new national curriculum that sought to build a critical and democratic society through the entire education system. The aim was to develop knowledge, skills, values and attitudes useful for further studies and employment and to enable all citizens to have a better standard of living. The new national curriculum also identified a set

of outcomes aimed at developing a variety of abilities and enabling all citizens to lead a more empowered, skilled, educated and independent life. An outcome was also to ensure that South African citizens could compete globally within a technologically competitive context (SAIDE, 1997).

In 1996, the South African Schools Act (SASA) was promulgated. This act provides the structure that allows all school communities to take full responsibility for all teaching and learning activities locally, rather than to be dictated to from a central position. In the same year, a policy guideline called 'Change Management' to manage change in education was made available to ensure that schools were being managed more democratically by a team instead of only by the school principal (DOE, 1996a). In 2000, a code of professional ethics was to be implemented to strengthen the 1996 SASA (SACE, 2000). In 1997, the DOE introduced a single curriculum for all schools in South Africa, called Curriculum 2005 (C2005) (DOE, 1997a). In 2004, C2005 was streamlined into the Revised National Curriculum Statements (RNCS) (DOE, 2004). The RNCS was again reviewed in 2008 into the National Curriculum Statements (NCS) (DOE, 2008a). In 2010 the NCS was once again revised and the Curriculum Assessment Policy Statements (CAPS) (DOE, 2010b) was released. The South African school curriculum has therefore undergone four changes in the past 20 years of democracy.

In 2011, the Personnel Administrative Measures (PAM) policy (DOE, 2011) was introduced to make sure that all civil servants, including all school-based personnel understood and implemented their new required roles and responsibilities that were established to develop, maintain and sustain democratic practices. This was accompanied by the Employment of Educators Act (1998) designed to hold educators and principals accountable. During 1999, many of the current policies were being streamlined and further developed to make them more user-friendly, as many schools were not engaging or implementing the policies as the DOE had intended (DOE, 2009).

Policy introduction and implementation brought many challenges to schools where autocratic leadership styles are deeply embedded as a result of decades of disempowering school management strategies under the Apartheid system (Christie, 2010). Therefore, in 2000, as a result of large-scale non-implementation of policies, a code of professional ethics was developed

by the South African Council of Educators (2000). For various reasons, many teachers and school management teams were not able to implement their new required roles and responsibilities; therefore, Guidelines for SMTs (DOE, 1996a) was introduced. These guidelines aim to enable SMTs to implement policies with the intention to: work effectively within schools, better understand contextual complexities, and understand relationships and teamwork as well as what characterises them and the values that govern them. These guidelines were also reviewed in 2006 and 2010.

During 2002, we also saw the introduction of the policy pertaining to Whole School Evaluation (WSE) (DOE, 2002), providing frameworks and guidelines that form the legal basis for the evaluation of school functionality. Two years after the introduction of WSE, a crisis indicator came from the 2002 UNESCO Report (Ubben, Hughes, & Norris, 2011), indicating that, in a sample of 400 schools in South Africa, only 48% of learners were literate, only 30% were numerate for their age group, and 93% of the schools had no libraries or science laboratories. Once again, the national education department acknowledged the effort it would take to change the rigid educational bureaucracy that was entrenched throughout the education system.

Between 2002 and 2006, due to the continued wide-scale non-implementation of policies uncovered in the National School Effectiveness Study (DOE, 2002), the government was forced to start asking some hard questions in preparation for the 2007 ANC Polokwane Conference (Bloch, 2013). According to Bloch (2013), "... by 2008 education became a national priority" (p. 197). A major change statement from the 2007 Polokwane Conference was the call to all civil servants to subscribe to the 'Batho Pele Principles', meaning 'People First'. Education policy strategies from the Polokwane Conference included the reconstitution of the education department through the appointment of two new ministers, one for basic education and one for higher education. In addition, a summit for teacher development was called, once again igniting hope, to address the crisis in education (Plaatjies, 2013).

By 2010, South Africa saw a national full-scale teacher strike that publicly revealed the crisis and widespread anger regarding working conditions and salaries, with damaging effects on relations in the education sector. (Jansen, 2013) argues that, "since 2010, after the protracted national

teachers strike, teachers are still caught up in ‘labour relations’ mode and seem unwilling or demotivated to actively engage in any professional developmental activities, key to bringing about change in education” (p. 86).

According to Bloch (2013) and NEEDU (2013), since 2007, education has seen some broad trends implemented in an attempt by government to improve the state of education in South Africa. In 2008, the Education Department, Development Bank of South Africa, as well as some stakeholders, drew up the ‘*Education Roadmap*’, called the ‘*Action Plan 2014: Towards the realising of schooling 2025*’ (Development Bank of South Africa, 2008). The Action Plan 2014 sets targets to improve the grade 12 pass rate and improve performance in mathematics and languages in grades 3, 6 and 9 through employing Annual National Assessments (ANA). The education minister also announced the reduction of teacher administration by introducing workbooks for each learner in each subject focusing on developing foundational basic learning skills. NEEDU was then also established to monitor all levels of the education system. In summary, according to Jansen (2013), “South Africa has been flooded by well-intended policies, many of which are still to be implemented effectively” (p. 45), as indicated in Table 3.1 below.

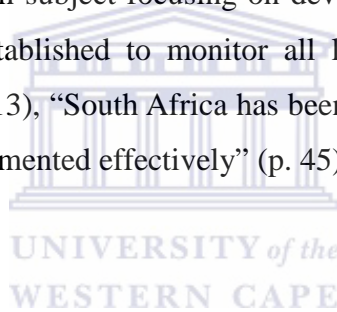


Table 3.1 Policy activity summary in South Africa since 1994 (DOE, 2013)

Year	Bills	Acts	Green Papers	White Papers	Regulations	Notices	Calls for comments
Minister Bengu (1994-1999) – 54 items							
1995	0	1	0	1	0	0	0
1996	0	2	1	1	0	0	0
1997	0	5	0	1	2	1	0
1998	0	6	1	1	2	9	0
1999	6	6	1	0	1	6	0
Total	6	20	3	4	5	16	0
Minister Asmal (1999-2004) – 73 items							
2000	12	5	0	0	0	4	2
2001	7	3	0	2	1	9	4
2002	0	2	0	0	1	0	3
2003	0	1	0	0	2	3	1
2004	0	1	0	1	1	3	5
Total	19	12	0	3	5	19	15
Minister Pandor (2004-2009) – 44 items							
2005	1	1	0	0	0	0	7
2006	1	1	0	0	1	15	6
2007	0	1	0	0	0	4	1
2008	0	0	0	0	1	1	1
2009	0	1	0	0	0	0	1
Total	2	4	0	0	2	20	16
Minister Motshekga (2010-date) – 45 items							
2010	0	0	0	0	0	0	0
2011	2	1	0	0	3	3	1
2012	1	1	0	0	2	2	1
2013	6	1	0	0	7	7	7
Total	9	3	0	0	12	12	9

Table 3.1 indicates the policy activity over the past 18 years, for which the DOE must be applauded. This volume of policy activity is necessary given that the DOE needs to ensure that all schools have and implement uniform policies as a means to address the past imbalances of the education system. What the table significantly indicates is the vital comprehensive professional development that needs to be employed if the DOE wants these policies to be understood, embraced, owned and implemented sustainably by SMTs.

Fullan (2009) asserts that, in order to effect sustainable policy implementation, regular consultation first needs to take place, then mediation, followed by continuous professional development. This research highlights the extent of consultation, mediation and professional development as suggested by Fullan, taking place in South African schools. The biggest disappointment however, from the perspective of those inside and outside the post-1994 government, has been the extraordinary difficulty South Africa still faces in getting schools to operate at a basic level of functionality (Taylor, 2009c). According to Jansen (2013), “the flood of policy activity since democracy in 1994 creates major challenges in an unequal, under-developed and under-resourced school context like South Africa” (p. 90). These challenges are discussed below.

3.5.3. Challenges Facing Educational Change

According to Carrim (2013), NEEDU (2013), and Sayed and Kanjee (2013), the major education challenges in post-apartheid South Africa relate to:

- lack of effective leadership and management;
- limited meaningful policy implementation;
- low levels of quality professional development throughout the education system;
- high levels of unequal basic school infrastructure;
- too few basic teaching and learning resources;
- poor basic school functionality; and
- low learner results.

This study focuses only on the first three major challenges indicated above as it links directly to the focus of this study. According to Taylor (2009c), the successful functioning of the new

leadership and management structures, in the form of SMTs supported by their school governing bodies, requires far more than the introduction and distribution of policy guidelines and once-off reorientation workshops that have generally characterised the DOE's approach to facilitating policy implementation since 1994.

After 20 years of democracy, transformation has not materialised in many disadvantaged schools, particularly in rural schools. One main reason for this is that many principals and teachers feel that the DOE did not adequately consult with them during the policy formulation process as indicated in Table 3.1 above, even when consultation of policy is mandated (DOE, 2010a). This has contributed to creating feelings of suspicion and anger, ambivalence about policy implementation, and resistance to engaging with and implementing policy (Reeves, 2008).

According to Taylor (2009c) and Jansen (2013), the DOE is losing legitimacy due to its inability to mediate policies through CPD to enable schools to implement policies as required. It will therefore take time and a concerted genuine effort from the DOE to rebuild trust and establish credibility with schools in desperate need of support. In the meantime, a new set of negotiated understandings, skills, attitudes and practices needs to be developed by all stakeholders invested in education and recipients of professional development and support (Fleisch, 2008). With regard to the challenge of the lack of legitimacy by the DOE, Fleisch (2008) suggests that one major underlying challenge is the lack of understanding by the DOE of the context of disadvantaged schools. Understanding the contexts of disadvantaged schools, according to Fleisch (2008), is self-evident, in that,

Schools exist within particular community contexts which must be acknowledged as these community contexts are part of what shape the school and give it its identity. The context therefore, to a large extent, determines how the school and its leadership view itself and sees its purpose. (p. 97)

The way the community, the school and the DOE relate to each other is crucial if the school is to be successful in effecting any meaningful policy change. Jansen (2013) refers to this relationship as “the politics of disgust (apartheid) meets the policy of mistrust (democracy)” (p. 67). Jansen (2013) makes reference to Sarason's (1971) work which relates to changing social relationships inside schools, to help understand education change in South Africa. Every school has its own

specific context and culture that defines how people within it operate. All required change effects that ignore these specific contexts and cultures will fail.

According to Carrim (2013), the poor contexts and cultures of schools show in their results as many learners that start school drop out before reaching grade 10. Many learners who are able to reach grade 12 barely pass and are not able to go on with further studies or to find decent employment. This affirms Sarason's (1971) argument that "schools have contexts and cultures that either promote or impede change" (Jansen, 2013, p. 94). It is also interesting to note that, until the early 1990s, most school leaders and teachers were proud examples of professionals in name and in practice (Sayed & Kanjee, 2013). "High standards were set, discipline was imposed, not always fairly but there were acceptable standards of behaviour with learners respecting and even fearing some teachers" (Sayed & Kanjee, 2013, p. 54).

Principals and teachers knew learners by name and house visits were normal if problems could not be settled at school. Resources were few and teaching and learning conditions were not ideal. Yet school leadership, teaching and learning in most cases happened predictably and on time, for the full duration of the school day. School sport and cultural activities were encouraged and had their time and place but never interfered with teaching and learning time (Sayed & Kanjee, 2013).

This resulted in strong teaching and learning cultures being developed and sustained at schools, despite the poverty conditions imposed on them by the apartheid government, even in deep rural Bantustan schools from which the likes of Nelson Mandela, the father of South Africa's democracy, and many other struggle icons came (Jansen, 2013). Jansen (2013), once again referring to the work of Sarason (1971), argues that "something interrupted these functional behavioural regularities and is now impacting on schooling in post-apartheid South Africa" (p. 143).

According to Christie (2010), the roots of this adversarial behaviour in schools lie within the resistance to the apartheid system that escalated late in the 1970s and has unfortunately sustained itself into the present schooling system for all the wrong reasons. One aspect that sustained itself detrimentally in the schooling system is the unhealthy relationship between school leadership

and the 'rigid school inspectorate', whose role has theoretically changed to one of 'development and support' to enable the establishment of quality provisioning of education in all schools.

According to Jansen (2013), what has shocked the state in post-apartheid South Africa is that,

The political culture of contestation and challenge of legitimacy of government has transferred itself into the democratic South Africa ... even though the comrades-turned government officials came from the same social and cultural affiliations schools remain off-limits to inspections and evaluations. (p. 138)

Jansen (2013) and Sayed and Kanjee (2013) suggest that policy development and all professional development programmes offered by the DOE to date have not shifted the deep-seated practices and political affiliations in poor schools where change is needed most. Jansen (2013) asserts that this is especially true when the cultural norms at schools are also political assets; that is, where challenging cultural norms means facing the power and wrath of the political protectors of such behaviour, the democratic teachers union in this case, who are in political partnerships with government.

Despite the challenges discussed above, Bloch (2013) reminds us of the successes of educational change in South Africa since 1994.

3.5.4. Successes of South Africa's Educational Changes

Despite the challenges outlined above, there have been some notable successes during the first twenty years of democracy (Bloch, 2013). Firstly, a major achievement of the Millennium Development Goal of compulsory primary school attendance has been achieved in South Africa. Secondly, the huge task of the unification of the 18 apartheid education systems and the Bantustans into a single national education department has been completed. South Africa now has one national education department responsible for all education policy development, and nine provincial education departments responsible for delivery of policy through their 83 school districts, tasked to train and support approximately 25 000 schools. The SASA (1996) ensures a non-racial approach to education, equal expenditure per learner and no school-fees for the poorest. According to Bloch (2013), "South Africa has developed a variety of world class

democratic policies, reports, white-papers, legislation, implementation directives and institutional developments” (p. 207).

The DOE (NEEDU, 2013) outlines its successes since democracy as follows:

- Access to primary and secondary schooling has improved to almost universal standards.
- The participation of girls is among the highest in the world.
- There are an increased number of learners progressing to higher levels of schooling.
- Poor learners are exempted from paying school fees and discrimination against the poor is illegal.
- Since 1994, the grade 12 pass rate increased from 58% to 75% in 2014, amid much controversy.
- The teacher-to-learner ratio has improved from 43:1 in 1996 to 32:1 from 2006-2013.

What the above successes illuminate is that, despite the critical challenges facing educational transformation in South Africa, there is clearly a positive continuity and logistical capability that has been developed in the education system.

3.6. Summary and Conclusion

The literature accessed internationally and in South Africa has highlighted that educational change is a dynamic and highly contested area. The literature verifies the need to acknowledge and address both personal and professional development. Creating a supportive environment together with regular clear communication and positive feedback during a time of change is also verified by the literature. Such an environment enables individuals to actively engage within an organisation in order to believe in and thereby engage in change processes.

The literature suggests that educational change programmes should focus on constantly developing individuals charged to lead change processes to become the agents of change within their organisations. Change programmes should aim to establish and sustain effective democratic change practices to deliver quality education that benefits everyone within the organisation. This could result in individuals and organisations beginning to engage more mindfully and meaningfully with and embracing change as a norm, and not view change as a process to be feared. It could also assist to repair deeply-rooted adversarial and politically-aligned cultural

norms that are currently holding so many rural and poor schools hostage in order to allow them to become places of hope and prosperity as envisaged and espoused in post-1994 policies.

Practical examples of how to address the key factors that influence and inhibit change appear to be lacking from the literature. This research attempts to address this lack, thereby making it a significant contribution to the discourse of education development in rural and poor school contexts. When educational change is approached and managed collectively within a supportive environment, it can be an exciting lifelong professional and personal developmental journey, as highlighted in this study. The literature on change does not foreground the personal and this can be used as a lever to engage with professional development.

The challenges facing educational change in South Africa in post-democracy remain after decades of neglect under the apartheid system together with the once-off reorientation that characterises professional development from the DOE. It is important to note that considerable attempts have been made at the macro level by government to improve the micro level of education. For this reason, there is an urgent need to develop more meaningful and effective systems and processes to promote school-level improvements so that macro-level successes can be translated more universally at the micro level.

The logo of the University of the Western Cape, featuring a stylized building with columns and a pediment, with the text 'UNIVERSITY of the WESTERN CAPE' below it.

CHAPTER 4

LITERATURE REVIEW – SCHOOL LEADERSHIP AND MANAGEMENT

This chapter begins with a definition of leadership and management as two separate but intricately connected concepts. This is followed by a brief overview of the most commonly referenced leadership and management styles pertaining to this study. The key structures and procedures for leadership and management are then presented, followed by indicators for effective school leadership and management. A background of leadership and management in South Africa's schools is then presented, followed by a review of the policies that have influenced current school leadership and management structures, roles and responsibilities. The challenges that face leadership and management in South African schools are presented and conclude with leadership being challenged to consider engaging in a process that could enable excellent leadership, especially in rural schools.

4.1. Defining Leadership and Management

According to Bush (2007) and Fullan (2009), leadership can be defined as a process in which a person has the support of others to realise a shared goal. Put simply, a leader can be someone who is followed by others, or someone who leads guides and directs others. Anderson and Ackerman-Anderson (2010) define leadership as “organising people to reach a common shared goal” (p. 12). Leadership focuses mainly on mission, direction and inspiration, with its associated aspects of articulating a negotiated vision, developing shared ownership and developing democratic evolutionary plans. Leadership studies have produced theories which include vision, structures, functions, behaviour, values and other attributes to effect change (Fullan, 2009). Bush (2007) and Fullan (2009) agree that management can be defined as a process in which a team of people are tasked to carry out the vision of the leader in order to manifest the common negotiated and shared goals. Management is regarded as a cohesive process that works collaboratively to makes things happen. Management focuses mainly on the practical design and implementation of democratic evolutionary plans while working collaboratively with people. The associated aspects of management involve negotiating demands, accessing resources and regular coordinated problem-solving.

‘Leadership’ and ‘management’ can be separately defined but are two closely associated concepts (Fullan, 2009). Davidoff et al. (2014) concur with Fullan (2009) by stating that,

Leadership can be described as, the art of facilitating a school to ‘do the right thing at the right time’ and management can be described as the discipline required to ensure that the school ‘does the right thing’ or functions well. (p. 61)

In practice, this means that leadership can be viewed as directing a school, and management as holding the school together (Davidoff et al., 2014). Current definitions and theories of leadership and management fall short because they are often not accompanied or supported with examples from various school contexts, like rural primary schools. This lack of illustrative evidence presents as a challenge to schools who desire to practically implement the definitions and theories.

4.2. Leadership and Management Styles

Leadership and management styles refer to the approaches used to provide direction to effect and implement envisaged and negotiated common goals. It involves motivating people to manifest and realise the agreed upon shared common goals. “Leadership and management, styles are influenced by the leaders and managers, thinking, personalities and experiences” (Brundrett & Rhodes, 2010, p. 36).

Bush and Middlewood (2013) suggest that “leaders and managers should take cognisance of and understand situations and then determine the leadership and management style that needs to be employed” (p. 38). For example, during an unexpected crisis situation, a leader or manager can choose to use an authoritarian leadership and management style to defuse the situation. However, under normal circumstances, a more democratic and consultative leadership and management style would probably be more appropriate. It is important that the chosen style of leadership and management achieves the common goal that balances the interest of both the individual and the organisation. The aim is to keep the team and the organisation stable. Bush and Middlewood (2013) further state that the fundamental aspect of any leadership and management style is open engagement, especially during difficult or crisis periods. Engagement enables leaders, managers and employees to understand current situations, each other and how to collectively pull together and get the organisation back on track.

Open engagement also gives leadership and management better insights into the fears and concerns of everyone in the organisation. Open engagement gives individuals “the opportunity and freedom to express what they think and feel and how they prefer to interact within an organisation” (Fullan, 2009, p. 86). Since the literature on leadership and management styles are numerous and varied, this study identified the most commonly referenced leadership and management styles pertinent to SMTs. Below is a brief description of each. Some leadership styles have been grouped as they have many similar features, as indicated below.

An *autocratic* (sometimes referred to as *authoritarian*) style is evident where all decision-making powers are centralised and held by the leader or manager. All decisions are made by one person who only shares these decisions on a need-to-know basis. There is no consultation and initiatives by employees are not encouraged. In critical and crisis situations this style can be useful as it allows for quick decision-making. This approach is useful when the decisions that are made, are made in the best interest of both the team and the organisation. Once decisions are made, they need be communicated as soon and as clearly as possible to everyone in the organisation. During normal situations, this leadership or management style could create tension and non-cooperation between leaders or managers and staff. This can be detrimental to the growth and development of staff and the organisation. This approach should be used as carefully as possible for the benefit of all everyone (Elmore, 2007; Fullan, 2009; Taylor, 2009c).

A *transformational* (in some cases also referred to as *participatory*, *democratic*, *high involvement* or *consultative*) style is where the leader or manager regularly and openly communicates the issues of concern and success of the organisation together with decision-making with all team members. The interest of the collective is always promoted to build a cohesive team that operates collaboratively. It is also commonly called *shared leadership and management*. This approach can promote and increase growth and development and requires continuous focused time from both leaders and managers with teams. Leaders and managers must be careful to balance and promote input from all team members as some team members could dominate decision-making and others could feel marginalised (Bush, 2007; Bush & Middlewood, 2013; Leithwood, Harris & Hopkins, 2008).

Laissez-faire or *free-rein* implies an approach where the leader or manager leaves the team to decide for themselves. There are no fixed organised structures and processes and team members are given free rein to develop their own structures and processes. This can result in team members being motivated and encouraged to be innovative and creative or to just do as they please with possible unfortunate consequences. Leaders and managers need to find the balance of allowing team members to take initiative and be creative while engaging and completing tasks within the agreed timeframes to reach negotiated and shared goals (Leithwood et al., 2008).

An *instructional, directive, supervisor or task-orientated* style involves the leader or manager giving targeted and specific instructions for specific tasks. In most cases, specific team members are chosen for specific tasks. This approach favours fulfilment of the specific task above the personal or relationship dimensions of the team. This approach could result in some team members who are not chosen for specific tasks feeling left out or incapable of engaging in certain tasks. This could also result in team members chosen for specific tasks feeling and thinking that they are better than team members not chosen for such tasks. Leaders and managers need to openly communicate why certain members have been chosen for specific tasks. They also need to provide opportunities for all team members to be able to engage with various tasks, not always the same team members. In this way all team members feel acknowledged and valued (Bush, 2007; CUREE, 2010).

Narcissistic leaders or managers are only focused on themselves and their interests at the expense of their team members. These leaders or managers show and communicate that their team members are expendable. Arrogance, dominance, hostility, destruction and selfishness are often openly displayed. In this approach, team members are made to feel inadequate and unvalued, which could lead to tension in the team, non-cooperation between team members and a delay in the completion of tasks. With this approach, there is little trust and respect between the leader or manager and team members. An unbiased outside professional or someone from another team is best suited to support team members who are led or managed by *narcissistic* leaders or managers, as *narcissistic* leaders or managers are not capable of acknowledging they have a problem. *Narcissistic* leaders or managers in most cases believe the problem lies with the team members and not with themselves (Bush, 2007).

When a *toxic* style is adopted, the leader or manager abuses their power and authority over team members. *Toxic leaders or managers* bring no valuable contributions to the organisation and leave it in a worse condition than they found it. In this approach, communication is a one-way process, where the leader or manager is the only person who instructs all team members. Team members feel intimidated and silenced by this leadership or management style. Within this approach, team members are intimidated into non-participation and do the minimum to avoid confrontation. No initiative or creativity is displayed, except compliance to make sure the basics are covered. *Toxic leaders or managers* create disempowering environments which creates static and rigid team members and organisations.

Relationship-orientated approaches are evident when the leader or manager is more focused on developing and enhancing relationships between the team members than on the required tasks. Regular, open and participatory engagement and communication is common. Appreciation is shown to all to develop trust and confidence that enables the team members to complete tasks with pride and on time. Sometimes this approach can take too much time to complete urgent tasks. The leader or manager needs to be adept with optimal time management, task completion and people development skills. If the leader or manager is knowledgeable and skilful regarding time-on-task and people development skills, this approach can be most beneficial to the team, tasks to be completed and the organisation (Ubben et al., 2011).

Bush and Middlewood (2013) caution that, in order for leadership and management to function effectively in today's fast-pace and ever-changing world, leaders and managers have to be flexible, adaptable to change, adopt and implement a variety of leadership and management styles depending on the situation they are faced with. Adapting, adopting and implementing a variety of leadership and management styles can enable innovation and creativity, and decrease polarisation between team members in the organisation.

Many leaders choose the leadership and management styles that they are comfortable to engage with, given the unknown and varied situations that confront and challenge them. It takes time and skilful professionals to reinvigorate these teams and organisations to trust and believe that there are other leadership and management styles (Robinson et al., 2009). Green, Camilli and Elmore (2006) argue that leaders and managers therefore need to make sure that their

organisations have the necessary structures and procedures in place to address these varied situations and challenges on a daily basis in order to keep their team members and organisations stable to operate optimally. This is discussed further in this section that follows.

4.3. Leadership and Management Structures and Procedures

According to Bush and Middlewood (2013), Fullan (2009) and Green et al. (2006), the leadership and management style within an organisation will be dependent on the structures and procedures put in place to ensure that the vision of the organisation is implemented. The structures and procedures are the mechanisms to enable and ensure team members within the organisation can be and are productive towards realisation of the shared goals (Taylor et al., 2013). Leadership and management structures and procedures are however also influenced by individuals' leadership and management skills, knowledge, and attitudes. This includes having comprehensive information about how team members relate to each other, their leaders and managers, structures and procedures, and the tasks at hand within an organisation (Bush & Middlewood, 2013).

The literature identifies four key issues of importance when considering the establishment of effective leadership and management structures and procedures. These include structural arrangements, decision-making, accountability and communication, and how they relate to each other to enable structures and procedures to function effectively in organisations as discussed below.

Structural arrangements are first determined and then developed through the leadership and management approaches that are adopted by the leaders and managers together with the shared goals in a school. An organogram is an example of a structural arrangement as it indicates who and how the different people in the school relate to each other. It also shows who is responsible for the various aspects of the school's operations as well as the accountability and communication lines of function. "The structural arrangements also provides, opportunities for collaboration and building cohesive teams to enable the school to function effectively and in a more holistic way" (Moolla, 2011, p. 96).

Decision-making is crucial to the harmonious functioning of a school and is directly related to issues of power, control and responsibility. If the goal of the school is to develop democratic

practices, it has to develop democratic decision-making processes. Maximum participation by all in the decision-making processes is ideal and should always strive to empower everyone, but this is not always possible or even desirable. Schools need to be clear as to who makes what decisions and who needs to be involved in the decision-making processes (Heron, 1999).

Davidoff et al. (2014) state that “after making decisions there has to be regular follow through and follow up. Decision-making should therefore, include the delegation of responsibilities and a plan of action to implement all decisions taken” (p. 70).

Good leaders and managers will use a full range of decision-making strategies available to them based on the situation and challenges they are dealing with, and engage the relevant team members. This enables the development of a culture of accountability (Davidoff et al., 2014). “*Accountability* provides for reporting which allows the school to monitor tasks more effectively and to make sure tasks are also completed within agreed timeframes” (Taylor et al., 2013, p. 113). It also allows for assistance and support to be provided if individuals are struggling to complete a task in the agreed timeframe. If schools want to develop democratic practices, they must also develop democratic accountability structures and procedures to enable efficiency. According to Davidoff et al. (2014), accountability is key to building sustainable structures and procedures at schools so that,

Once a plan is in place and people who have been given the responsibility to complete tasks, within a reasonable time-frame and the necessary resources for completion, accountability measures must be put in place to monitor and manage the completion of the task. (p. 70)

To develop and establish accountability at schools, regular open strategies of communication are vital to enable the responsible team members to effectively complete their tasks (Davidoff et al., 2014).

Communication needs to be varied, open and as transparent as possible to facilitate maximum participation by all stakeholders of the school. All stakeholders need to be regularly kept up to date with regard to decisions and confidential matters are to be dealt with accordingly. Good

communication is also dependent on technical and administrative support that takes time, resources and dedication to develop, maintain and sustain (Taylor et al., 2013).

Once preferences of leadership and management styles are identified, and structures and procedures are established at a school, they need to be maintained and sustained to enable the school to be led and managed effectively (Taylor et al., 2013). In order to maintain and sustain structures and procedures leadership and management must be continuously developed and supported to do so. The authors provide an illustration of indicators of effective school leadership and management in Table 4.1 below.

4.3.1. Effective School Leadership and Management

Taylor et al. (2013) identify five indicators of effective school leadership and management, including setting and communicating goals, ensuring an orderly and supportive professional working environment, relevant leadership and management styles, strategic resourcing and promoting professionalism.

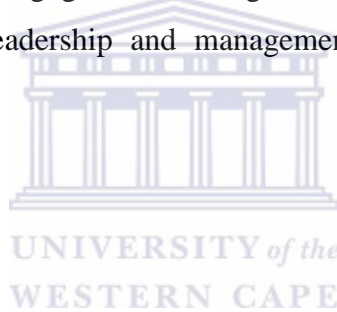


Table 4.1 Effective school leadership and management (Taylor et al., 2013, pp. 102-108)

School leadership and management	Effective practice
Setting and communicating goals	The school has clear, negotiated and agreed upon achievable goals with realistic timeframes.
Ensuring an orderly and supportive professional working environment	Productive working relationships are encouraged to develop cohesive teamwork involving all stakeholders. Clear norms for professional behaviour and disciplinary procedures with good time management are available.
Relevant leadership and management styles	Enabling leadership and management styles are encouraged with roles and responsibilities clearly defined. Direct involvement is encouraged between leadership and management in all school activities. Appropriate and collaborative professional development practices are demonstrated by leadership and management teams.
Strategic resourcing	Relevant resources are procured timeously and within budget allocations. Resource management systems are in place and fully operational.
Promoting professionalism	CPD is encouraged. Professional knowledge, skills and attitudes are regularly demonstrated to deal with challenges. Induction and regular professional development and support are made available to all stakeholders. Monitoring, mentoring and coaching are regularly conducted.

Table 4.1 above indicates the varied aspects necessary for effective practices of school leadership and management and their interconnectedness. In order for schools to function effectively, both leadership and management need to know and understand what is expected from each other and work in close collaboration to reach the schools shared goals. As indicated at the beginning of this chapter, leadership and management are two separate but intricately connected concepts.

According to Robinson et al. (2009), the impact of the different leadership and management styles can only be effective if the approach adopted accommodates the different needs of different schools. These needs will differ according to the school's levels of development together with local socioeconomic and political conditions. The leadership and management

styles used, and structures and procedures developed will therefore not necessarily be relevant to all schools. It is therefore useful and necessary to specifically review leadership and management structures and procedures to suit the different needs in South African schools.

4.4. School Leadership and Management in South Africa

This section includes a brief background of leadership and management in South African schools, including an overview of policy influencing school leadership and management. The discussion encompasses the restructuring of school leadership and management in South African schools in the form of school management teams (SMTs), their policy-determined roles and responsibilities, implementation expectations, and the challenges facing SMTs.

4.4.1. Background

According to Christie (2010), the ideological and culturally rigid nature of apartheid has left a legacy of extreme authority and an unfortunate deep lack of personal agency in leadership and management practices in South African schools, due to the autocratic leadership and management styles discussed in section 4.2. Before democracy in 1994, school leadership and management reflected decades of disempowering autocratic and strict disciplinary strategies. For example, only the school principal made all decisions after being given instructions by the school inspectorate. There was no consultation about decisions, nor was it necessary to communicate decisions to the staff (Taylor, 2009c). Similarly, through the legacy of apartheid, teachers have been orientated to be the recipients of instructions and to view leadership and management as the prerogative of principals only. “The legacy of apartheid, has resulted in impoverished notions of school leadership, ownership, team work, joint responsibility and accountability” (Christie, 2010, p. 698).

According to Davidoff et al. (2014), the focus has been on management rather than leadership in South African schools, in that ‘good’ principals are often efficient bureaucrats who are focused on ensuring that schools function as smoothly as possible. As a result, most schools have been fairly rigid in form, and slow to respond to the challenges associated with the change to democracy in education with vision and creativity.

Since democracy in 1994, leadership and management have been located within a human rights framework, aligned to the South African constitution (Taylor, 2009c). School leadership and management are now expected to operate within a changed democratic dispensation. Bush and Middlewood (2013) state that,

The current uncertainties about the precise purposes and practices associated with democratic leadership and management policies in education and the importance attached to school change, call for ever more commitment-building forms of support for school leadership and management. (p. 106)

4.4.2. Policy Influencing School Leadership and Management

In 1996, a policy of change management was introduced to ensure schools were being managed more democratically by the proposed SMT structure. SMTs were also tasked to establish school governing bodies (SGBs) with whom they would work collaboratively, as indicated in Figure 4.1, to ensure sustainable school functionality. The SASA (1996) confers significant authority on SGBs in matters such as school administration, language of instruction, school fees and staff appointments. The SASA (1996) was developed to ensure that all schoolchildren had access to schools from which they had formerly been denied access due to apartheid laws (Taylor, 2009c). In 2001, Education White Paper 6 (DOE, 2001) was released to encourage stakeholders to engage in discussions on the implications of the SASA (1996), particularly in relation to building an inclusive education system. Due to the integration of the homelands into the nine democratic newly demarcated provinces, many people began to migrate from rural to city areas and parents began to move their children from rural to city schools. The main purpose of the SASA (1996) and Education White Paper 6 (DOE, 2001) was to enable all children to have access to schooling without being discriminated against (Jansen, 2013).

In 2011, the Personnel Administrative Measures (PAM) (DOE, 2011) was introduced to ensure that all civil servants, including all school-based personnel, would have democratic roles and responsibilities. This was accompanied by the Employment of Educators Act (1998) to hold educators and principals accountable for their roles and responsibilities regarding school functionality. Both policies were introduced as many schools were being classified as dysfunctional due to low learner results and limited implementation of policies. Many SMTs

were struggling or not implementing their roles and responsibilities and refused to be held accountable for roles and responsibilities they did not understand or were not trained and supported to implement (Christie, 2010). During 1999, many of the above policies were streamlined and further developed to make them more accessible to as many schools as possible. It became apparent that SMTs were not engaging with the policies due to language competence, few guideline documents for practical engagement, limited professional development and minimal support for implementation (DOE, 1996a).

In 2000, a code of professional ethics was developed by the SACE (2000). Since many school management teams were not able to implement their new required roles and responsibilities, 2000 also saw the introduction of guideline documents for SMTs (DOE, 2008b). The main aim of the code of ethics and the guideline documents was to enable SMTs to engage and have a better understanding of how to work more effectively as a team in collaboration with SGBs and district officials. The ultimate aim was to establish quality practices within all schools to better understand and engage with their contextual complexities (DOE, 2002).

Between 2000 and 2010, many stakeholders welcomed the introduction and streamlining of policies to align SMT practices and to effect quality education for all across all schools in South Africa (NEEDU, 2013). A concern throughout this process of policy introduction and streamlining was that SMTs were not being consulted about the practical provisioning of professional development and support necessary for them to implement policy requirements at school and how they would be held accountable for them (Moolla, 2011).

4.4.3. SMTs as Key Organisational Structures

Davidoff et al. (2014) state that,

The quality of leadership and management in a school to a great extent determines whether that school will be able to transform itself. We therefore need to build sustainable leadership and management capacity in schools if we want to witness and facilitate significant improvement in the quality of education. (p. 62)

Bloch (2013) and Carrim (2013) state that, the democratic government has been providing quality policies, which is the first step to establishing quality education. The next step is

developing quality leaders and managers who understand, embrace and implement the policies to effect quality education at schools. The authors continue to say that organisational structures and procedures must also be put into place and are vital for SMTs to utilise consistently to effect quality and sustainable education at schools.

According to the Handbook for School Leadership and Governance (DOE, 2008b),

Leadership and management in the context of constantly changing environments is a challenge. The school is the institution within our communities that must recreate the culture of democracy and true leadership that transforms people so that they can manage themselves independently. (p. 16)

The DOE (2008b) further states that SMTs need be at the forefront of change to establish democracy in schools. Although the DOE is not clear about this, this thesis argues that it is no longer good enough for principals to just be good bureaucrats. They must now proactively be part of a team that leads and manages all school activities aimed at the provision of quality education. The SMT is made up from senior-level staff, including the principal, deputy principal and all heads of departments. The SMT is fully responsible for the day-to-day running of the school and the effective implementation of the school's policies.

To ensure effective policy implementation that enables school functionality, SMTs need to be knowledgeable and skilful to practically implement the varied policy requirements regarding their specific roles and responsibilities indicated in Table 4.2. SMTs also need to work in collaboration with the SGB. The SGB is responsible for all governance issues that determine school policies, in consultation with the SMT and staff. School functionality that now involves SMTs and SGBs working in collaboration with each other is an example of the DOE's new understanding of the importance of collaborative governance, which needs to be at the core of the South African education system. According to Kanjee and Carrim (2013), this is a huge responsibility which is now a burden and a challenge too many SMTs who have not been trained and supported sufficiently to do what is expected of them by the DOE.

Bloch (2009), states that the collaboration between SMTs and SGBs is a complementary and strengthening mechanism to effect change and enable quality education at all schools. This

complementary mechanism needs more attention from all stakeholders in education to make it a reality, especially in poor school communities. SMTs and SGBs are two different, yet complementary, school structures and are interdependent. The main aim for government establishing SGBs to complement SMTs was to include the immediate stakeholders at all schools in South Africa to ensure democracy through community and parent involvement in the education of children.

According to the DOE (2008b), the SGB is made up of the most important stakeholders: mainly parents, but also teachers, non-teaching staff, students at high school level, and community members. SGBs represent the community-level partnership and must take responsibility for ensuring that the children of that community receive the kind of education that will make them responsible African South citizens. The SGB plays an active and vital role in framing the school's direction, vision and mission. The SGB is therefore the SMT's main partner in leading and managing the school. The roles and responsibilities of SMTs and SGBs are different, but neither the SMT nor the SGB can perform its function without the active support of the other.

According to Kanjee and Carrim (2013), school leadership and management must therefore make sure that they meet regularly with the SGB to:

- consult when there are problems at the school;
- engage school leaders for moral and practical support that includes the staff;
- have regular information sharing sessions;
- include them in all school structures and committees;
- consult when developing all school policies;
- show acknowledgement and respect;
- develop open partnerships;
- deal constructively with any issues and conflicts; and
- provide full disclosure and cooperation between themselves and the school.

These are processes that will take time to develop and establish with the assistance of district officials.

Fullan (2009), cautions that, reorganising or introducing a key structure in education needs to involve enabling the participants to first understand, embrace and take ownership of the change process. Then, time, resources and support to engage with the change process are necessary investments until the participants feel knowledgeable, confident and competent to engage independently with the changes. There is therefore no one correct way to lead and manage all schools in South Africa, as South Africa comprises of many different types of schools within diverse school communities. What works at one school may not work at another school. School leaders and managers are therefore encouraged to use the SASA (1996) in close consultation with their SGB and district officials to develop contextualised school leadership and management structures, procedures and practices at their schools (Davidoff et al., 2014).

Including SGBs and district officials in the process of engaging with key organisational structures, like SMTs, regarding their roles and responsibilities enables shared understandings to be developed and facilitates the changes required to meet policy expectations. Key organisational structures like SMTs need continuous development and support from experienced professionals to ensure practical engagement for better understanding, implementation and sustainability of policies (Carrim, 2013).

According to Van der Berg et al. (2011), “after the SGB, the teachers at a school are the SMT’s most important partner in leading and managing the school” (p. 41). Nothing can really take place without the full cooperation of teachers at a school, as teaching and learning are central to all school activities. SMTs therefore need to make sure that they regularly consult with teachers, they should provide regular team and one-on-one support and training to teachers to assist them to deal with change and also allow teachers who are not part of the SMT to chair or coordinate teams or committees, and involve all the teachers in a team or a committee to have responsibility for some part of managing the school. Van der Berg et al. (2011) go further to state that SMTs must also ensure that systems and procedures are in place to ensure that information is shared with teachers regularly. The relationship between SMTs and teachers should be reciprocal. The SMT should share information with teachers, and teachers also need to share information with the SMT. Teachers’ concerns and problems must be dealt with in an open manner, including providing opportunities for teachers to be critical of leadership and management. SMTs must encourage teachers to grow and develop, and provide opportunities for this to happen both

formally and informally. This includes encouraging teachers to be innovative and creative, and to take responsible calculated risks to reach shared goals.

From the above discussion, it is clear that SMTs are a key organisational structure in the South African school system (Taylor, 2009c). According to the DOE (2008b), the most important function of the SMT is to manage change, since so much has changed and continues to change in education since 1994. Many people welcome change, but change can also be stressful (Fullan, 2009). SMTs need to help their staff to see that change can be both a challenge and a reward. Change as a challenge can be an opportunity to grow and to improve the development of a school. Change as a reward is making a difference in the lives of children. Without successful and continuous change, schools in post-1994 South Africa will struggle to survive and sustain themselves (Carrim, 2013). In order to survive and sustain themselves, leadership and management teams have to understand and embrace all the changes happening in education. SMTs need to understand where they are by diagnosing and analysing their present situation in order to enable them to direct where they want to get to as a school. Then SMTs must develop a negotiated and shared vision for the future with their staff, SGB and officials, and consider how they will get to where they want and need to be with realistic action plans and time frameworks (Jansen, 2013).

The literature reviewed for this study, as well as the DOE's policy guidelines, identify SMTs as the key leverage point in turning schools around. To do this, SMTs need to be regularly professionally developed and supported to know, understand, embrace and implement their respective roles and responsibilities in order to effectively enable their schools to operate optimally within their contexts.

4.4.4. Roles and Responsibilities of SMTs

Table 4.2 illustrates the broad range of roles and responsibilities of SMTs (DOE, 2008b), followed by an illustration of how they relate to those of SGBs (Figure 4.1).

Table 4.2 SMT roles and responsibilities (DOE, 2008b)

Roles and responsibilities of principals, deputy principals and heads of departments		
Principal	Deputy principal	Head of department
<p><u>The aim of the job</u> Effective implementation and management of policies.</p>	<p><u>The aim of the job</u> Assisting the principal in managing and promoting policies. Maintaining structures and procedures.</p>	<p><u>The aim of the job</u> Effective functioning of the department, organising relevant/related extracurricular activities to ensure subjects are promoted.</p>
<p><u>Core duties and responsibilities</u> Practicing democratic leadership.</p>	<p><u>Core duties and responsibilities</u> Supporting the principal to develop democratic instructional management practices.</p>	<p><u>Core duties and responsibilities</u> Managing and monitoring the curriculum.</p>
<p><u>General/administrative</u> Developing effective administrative structures and guidelines for time-tabling, admission, professional development and finances.</p>	<p><u>General/administrative</u> Assisting and supporting the principal, deputising during the principal's absence.</p>	<p><u>General/administrative</u> Assisting teachers with curriculum planning, preparation and implementation, resource provisioning and monitoring.</p>
<p><u>Teaching</u> Engaging in class teaching, being the lead teacher who supports, trains, monitors and moderates teachers' work.</p>	<p><u>Teaching</u> Engaging in class teaching, being the lead teacher who supports, trains, monitors and moderates teachers' work.</p>	<p><u>Teaching</u> Engaging in class teaching, being the lead teacher who supports, trains, monitors and moderates teachers' work.</p>
<p><u>Personnel</u> Providing professional leadership and support.</p>	<p><u>Personnel</u> Guiding and supervising teachers' work and performance of staff, writing up reports.</p>	<p><u>Personnel</u> Advising the deputy and principal on all work divisions between the staff, regularly supporting, monitoring and moderating all teaching, learning and assessment activities, participating in agreed teacher performance.</p>

Roles and responsibilities of principals, deputy principals and heads of departments		
Principal	Deputy principal	Head of department
<p><u>Interaction with stakeholders</u> Serving on the SGB, participating in school community activities to build trust, networking with NGOs and community and government organisations.</p>	<p><u>Interaction with stakeholders</u> Serving on the SGB, supervising, supporting and advising the student representative council.</p>	<p><u>Interaction with stakeholders</u> Serving on the SGB, assisting the principal and deputy principal.</p>
<p><u>Extra- and co-curricular</u> Serving on recruitment, promotion, advisory and other committees, playing an active role in promoting extra- and co-curricular activities.</p>	<p><u>Extra- and co-curricular</u> Monitoring and managing the implementation of the curriculum, professional practices, coordinating all in-service support, assisting the principal with student counselling and career guidance, discipline and well-being of staff and students.</p>	<p><u>Extra- and co-curricular</u> Being in charge and leading a group of subject teachers, jointly developing school subject policies, coordinating all assessments, homework and improvement plans, providing and coordinating support and training on latest curriculum knowledge and practices, supporting new staff.</p>
<p><u>Communication</u> Cooperating with the staff and SGB. Liaising with circuit/district office, meeting with parents for learner progress and conduct, liaising with relevant government departments.</p>	<p><u>Communication</u> Assisting the principal with all communication functions, regularly including and consulting with the staff.</p>	<p><u>Communication</u> Regularly cooperating with teachers about all policy requirements, regularly reflecting with staff and students about all curriculum issues, supporting teachers with admin duties, networking with other schools, assisting the principal and deputy principal with all communication functions.</p>

The above roles and responsibilities of SMTs are broad and therefore need to be engaged with regularly in order for all SMT members to have clarity of specifically what is required from each one of them. Such clarity regarding roles and responsibilities can enable the SMT to function as a coherent team, to engage collaboratively with their SGB and to be held accountable. Once all roles and responsibilities are clearly specified and understood, SMTs need support to implement

them using available resources to suit their school context as suggested by Fullan (2009). These broad and varied roles and responsibilities are a huge requirement for SMTs who have not always been trained and supported to effectively implement these responsibilities sustainably (Taylor, 2009c).



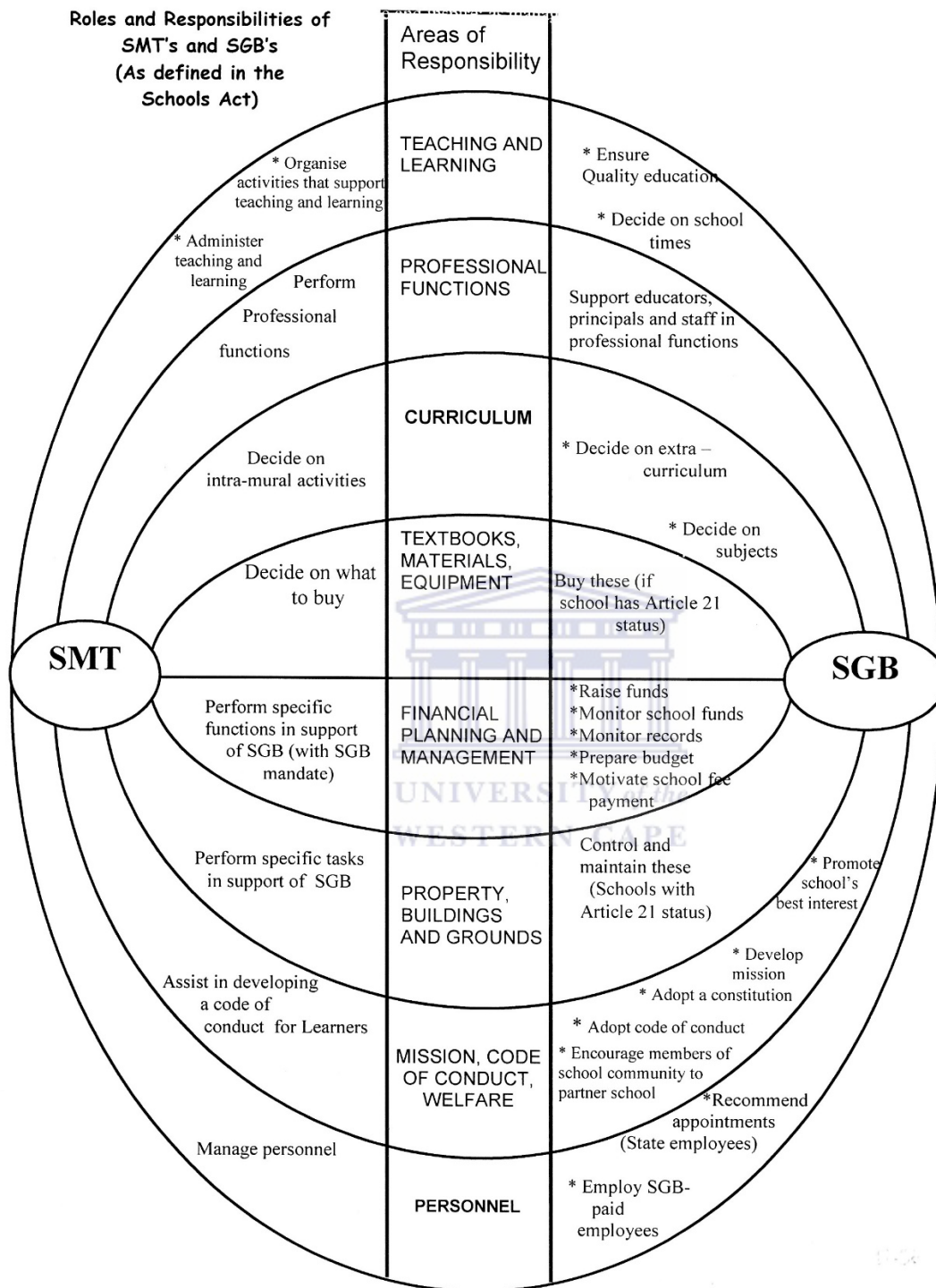


Figure 4.1 School leadership and management and school governing body roles and responsibilities (DOE, 2008b)

Figure 4.1 above indicates the shared roles and responsibilities of both SMTs and SGBs and how they are interconnected to effect the collaboration necessary between these two structures. These

interconnected roles and responsibilities need to be clearly communicated and engaged with to ensure that both the SMTs and SGBs understand what their specific functions are. When these different, yet interconnected, roles and responsibilities are not engaged with or clearly communicated, it can create confusion and tension. When roles are not clear and not fully understood or implemented, it can lead to a breakdown of relationships between SMTs and SGBs. This can result in a lack of cooperation and accountability between teams who are expected to work as a cohesive team to effect sustainable change and facilitate development in the school.

4.4.5. Challenges Facing SMTs

Many of the challenges facing SMTs have already been discussed in Chapter Three. The first major challenge involves the implementation of the transformational roles and responsibilities of SMTs to *develop democratic practices* as suggested above in Figure 4.1, which has resulted in “change not being materialised in many disadvantaged schools, especially rural schools” (Jansen, 2009, p. 78). The reason for change not materialising in many schools is best described by Fullan (2009), who states that, when people are expected to change their practices, they need to be supported through guided processes of the change to first believe in and then take ownership of the change. Once people take ownership of the change, they are more confident to experiment with strategies to implement the change.

The second major challenge is the *inadequate and irregular training and support provision* by the DOE, which leaves SMTs feeling inadequate when implementing the unfamiliar notion of operating as a democratic school management team. With inadequate training and support, SMTs are left with no solid direction and struggle to provide effective direction to their fellow staff members, which often leads to misunderstandings and weak team cooperation. Weak team cooperation between SMT members and staff can lead to schools becoming directionless and dysfunctional (Taylor, 2009c).

The third major challenge is the *lack of personal agency* that has resulted in impoverished notions of school ownership and joint responsibility that undermine the leadership and management functions intended for SMTs. The lack of personal agency leads to SMTs not being self-confident or showing confidence in their own abilities, which can impact negatively on their

relationships with the rest of the staff. This lack of personal agency can also lead to SMTs not being able to lead and manage schools effectively (Davidoff et al., 2014). The DOE does not have the full capacity to develop all SMTs in South Africa's 25 000 schools, and is therefore under increasing pressure to provide quality support to SMTs to enable schools to implement policies as required and thereby provide quality education at all schools (Taylor, 2009c).

The fourth and most significant challenge facing SMTs is the DOE's current practice of *introducing new policies without mediation* together with *limited CPD*. To meaningfully effect the required policy changes, it is vital to first facilitate mediation processes to assist SMTs to better understand the policy requirements. Mediation processes need to be included during CPD. Mediation processes need, to include guided and practical participatory engagement through demonstrations of new policy in order to develop a shared understanding of how to implement and manage its requirements meaningfully (Moolla, 2011).

According to Fullan (2009), a fifth challenge which must not be underestimated is that,

Even the best leader and manager can become de-motivated and disillusioned if no regular continuous development and support is provided to engage with change, and if conditions at the organisation do not support the development and maintenance of quality professional learning. (p. 89)

Bush (2007) and Bush and Middlewood (2013) add that an important factor to consider during CPD is that each SMT member *needs to feel valued and acknowledged for their efforts and contributions*, especially during a time of change. Very often, SMT members feel under-valued, and no matter how much effort they put into their work, no one seems to notice or care. This can crush the enthusiasm of even the most committed person. Bush (2007) states that "when those in leadership notice good work and effort, and take the time to express appreciation, then commitment and motivation will be enhanced at the organisation" (p. 393).

4.4.6. Establishing Excellent School Leaders and Managers

CPD and support are the keys to addressing the myriad challenges facing school leadership and management in the ever-changing, demanding and contested arena of education. Enabling change is vital and is a collective process that requires considerable knowledge, skills, attitudes,

time and energy to develop within an environment that is conducive to continuously engaging with and embracing change. Change must not happen for the sake of change, as the change will be meaningless and not sustainable. Instead, change needs to happen in such a way that it continuously motivates and inspires school leaders and managers to go from operating effectively to operating with excellence, which implies regularly thinking and reflecting, and behaving so as to perform beyond what is expected in order to excel and keep abreast with the demands of education (Veldsman, 2014).

As SMTs attempt to embrace the broad, all-encompassing roles and responsibilities as indicated in Figure 4.1 above, various challenges will inevitably emerge and SMTs will need regular support to develop the required knowledge, skills and attitudes to deal with them in the most effective and efficient manner. Veldsman (2014) suggests that,

In the demanding and ever changing world in which we now live leaders and managers need to begin to engage with and embrace the notion of becoming excellent. We do not only need functional, effective and quality, but excellent leadership. (p. 42)

Leaders need to be enabled to conceive possible futures to realise their organisation's chosen and desired future instead of becoming victims of change where huge demands are just thrust onto them, which has become the norm in many organisations. Excellent leaders are the architects of their desired future and are able to construct and navigate their own pathways of leading their organisations under demanding circumstances of uncertainty, and shifting and open-ended futures that we are currently experiencing (Veldsman, 2014). Leadership strategies are therefore coming under increasing scrutiny because of constantly changing expectations and aspirations within organisations. Leaders will have to reinvent their leadership styles to become successful with all its commensurate challenges, as conventional leadership no longer suffices. Critical to survival in the new demanding and ever-changing world are leaders of excellence in the knowledge society. Excellent leaders will need to have the ability to transform their experiences into information, information into knowledge and knowledge into wisdom on a regular basis to lead their organisations into the future. Concurrently, as this transformation process unfolds, a recursive, iterative transformation process needs to occur, deepening wisdom into new knowledge (Morrish, 2013).

Morrish (2013) alerts us that,

Leaders face the real risk of becoming the sum total of un-reflected, undigested and constant accumulation of experiences and information with no time to fully understand the underpinnings of their own knowledge and wisdom, which can weaken their transformation processes. (p. 46)

This risk is due to having too little time to engage with reflexivity processes. Reflexivity processes require enough quiet time for the transformation process, namely, transforming experience to information, information to knowledge and knowledge to wisdom. Morrish concurs with Veldsman's (2014) assertion by stating that "we need more excellent leaders, who are better able to deal with the challenges that are emerging within the new ever changing world order" (Morrish, 2013, p. 92). Morrish explains that,

The new ever changing world order is radically different in its nature, content and dynamics, characterised by, radical change, heightened complexity, deepening ambiguity that are eroding the validity of our current experiences, information, knowledge and wisdom. (p. 93)

Modelling the desired ways of doing things to be adopted by others is vital and necessary to engage with any challenges facing the organisation. Old and conventional ways of thinking and being a leader no longer works optimally. Veldsman (2014) contends that individuals and organisations that are able to demonstrate leadership excellence consistently and in abundance will dominate the future.

Veldsman (2014) suggests that, to ensure that leaders strive for excellence and are kept abreast with the ever-changing current world order, they will need to engage with processes that involve five modes of intelligence, namely, personal and interpersonal, cognitive, spiritual, action and contextual. These five modes of intelligence are discussed in more detail in below. The five modes of intelligence should be used by leaders to serve as beacons of direction and guidance to mobilise the energies of people in their organisations, to also strive for excellence. It can also be used to enable people to visualise and explore new ways of thinking and behaving, and experiment with new strategies to empower people to rise above their current circumstances.

Personal and interpersonal intelligence involve self-insight and revolve around the degree to which, individuals have crystallised their identity as leaders. The individuals have become people in their own right; they know who they are, what they stand for and how they impact on others. Their identity is also infused with their authenticity. Having an authentic identity is the highest form of personal and interpersonal intelligence, which relates to having a sense of being true to oneself, being genuine in terms of understanding, and accepting of who, one is and wishes to be as a person, gives one's life as a leader meaning, and makes leading meaningful. True authenticity infuses the crystallised identity of the individual with confidence, humility and integrity in being a people-centred leader (Veldsman, 2014).

Cognitive intelligence involves conceptual understanding. This is the intelligence that leaders need to have at their disposal in order to have and make a lasting impression through their contributions within the organisation. Firstly, the leader is able in a masterful way to use and apply wisely the expertise pertaining to a particular situation. Secondly, the leader is able to regularly generate reviewed, adjusted and revised expertise that pushes the boundaries and adopts a lifelong learning way of life (Veldsman, 2014).

Spiritual intelligence is focused on idealisation. Spiritual intelligence encompasses having inspiring boundary-breaking dreams about what the world in which they operate can, may and should look like. Individuals idealise a better future in search for a deeper and enriched sense of purpose and meaning that can be sustained to make the world in which they operate a better place for the coming generations (Veldsman, 2014).

Action intelligence focuses on navigation, which encompasses the individual mastering the skills of bringing about sustainable change. Desired futures need to be turned into action through effecting genuine change. Individuals need to take action that uses continuous reflective action research through experimental lifelong learning as their frame of reference in navigating the change journey in order to affect sustainable change. This change navigation process should include successive cycles of exploration, discovery, application, learning and reflection. In addition, individuals should use this process as their personal development journey unfolds in order to navigate successfully to their desired future (Veldsman, 2014).

Contextual intelligence focuses on fit, as it pertains to developing an appropriate way of seeing, understanding and dealing with the world in which individuals find themselves engaged. This means enabling constructive engagement with an individual at the requisite level of complexity within any given context. Individuals with high contextual intelligence understand how to become embedded in the context in which they have to operate, understanding each vantage point within the context, the nature and dynamics within the context, the manner in which to engage and the decision-making framework to use within the context (Veldsman, 2014).

4.5. Summary and Conclusion

The literature reviewed internationally and in South Africa illustrates that school leadership and management are constantly evolving due to the ever-changing world we live in. Consequently, there is a demand for highly knowledgeable, skilled and excellent leaders and managers to provide sustainable education at all schools. School leaders and managers therefore need to equip themselves with a variety of ever-changing relevant knowledge, skills and attitudes of leadership and management styles. School leaders and managers also need to develop key structures and procedures that include structural arrangements, decision-making, accountability and communication to indicate effective school leadership and management.

A brief background to school leadership and management in South Africa was discussed, followed by an overview of policies that have influenced the reorganising of school leadership and management through the establishment of the key organisational structure of the SMT. The SMT as a key organisational structure was then discussed, together with its roles and responsibilities in collaboration with SGBs. A key element of effective SMT functionality is knowledge of and the understanding of how to implement the specified and clearly-communicated individual and collective roles and responsibilities. Five major challenges that face SMTs in this study were then discussed, including developing democratic practices, inadequate and irregular training and support, lack of personal agency, introducing policy without mediation and de-motivated and disillusioned leadership and management.

A central argument within this chapter is that SMTs should engage in a process that allows them to move beyond just becoming functional, effective quality leaders and managers, but rather to strive for excellence as leaders and managers.

CHAPTER 5

LITERATURE REVIEW – PROFESSIONAL AND PERSONAL DEVELOPMENT

This chapter begins with a brief description of professional development. International perspectives of professional development in education are then outlined. An overview of professional development in South Africa, outlining the models and challenges of professional development pre- and post-democracy is presented. A brief description of the key features of personal development as it pertains to this study is presented, namely, personal mastery, mental models, fostering personal agency, capacity building and interpersonal dynamics. Policy espousing personal development in South Africa is highlighted. Key enabling aspects of personal development are presented, namely, developing self-awareness, using emotional intelligence, applying assertiveness, examining assumptions, clarifying values and developing a personal mission statement.

5.1. Professional Development

Professional development is a continuous lifelong learning process with the main aim of enabling individuals and teams to engage in collaborative, contextual and research-informed activities to reach desired mutual and sustainable change. Professional development processes include needs-based analysis, participatory experiential learning experiences, collaborative enquiry, coaching, mentoring, networking, and guided experiences with experienced professionals (Darling-Hammond, Orphanos, Richardson, Andree, & Wei, 2009). Professional development for this study is focused on professional development as it pertains to SMTs. The literature on professional development for school leadership and management reviewed for this study tends to focus more on the structural aspects of professional development programmes and less on how to engage participants in experiential learning experiences necessary during professional development. While there is growing consensus that school leadership and management professional development programmes can impact directly on the quality of school effectiveness, there is little rigorous evidence about professional development experiential learning experience interventions that can directly effect change. According to Leithwood et al. (2008), “this is disturbing as, after classroom teaching school leadership and management is regarded as the second most important factor to affect change at schools” (p. 29).

5.1.1. International Perspectives on Professional Development in Education

It is necessary to present international perspectives of professional development with the view to using these international insights to review and compare current professional development approaches in South Africa. The discussion below presents features of professional development that are vital, and follows with an exploration of what has not worked well, concluding with what is needed.

Levine's (2005) review of school leadership professional development found few effective and sustainable programmes in the USA and only some effective programmes in the UK. Some of the UK's programmes were more effective because their purpose was explicit and they focused on the practice of school leaders. Goals reflected the needs of the leaders and their schools, success was tied to student learning, and the curriculum was rigorous and organised to engage with knowledge, skills and attitudes needed by leaders at specific types of schools and at various stages of their careers. The effective programmes linked theory with practice, emphasised the importance of resources to implement the required change, having structures in place to effect the required change and evaluation of the required change and progress (Timperley, 2011).

In the UK's 'State of the Nation' review, Ofsted (2010) found that most approaches to professional development tended not to be collaborative, contextualised or research-informed, despite strong evidence in the literature that *collaborative*, *contextualised* and *research-informed approaches* to professional development were effective in bringing about desired sustainable changes. Timperley (2011) found that professional development being offered in New Zealand and the USA was not sustained for long enough to effect the required change in professional practices. Few professional development providers undertook an initial needs analysis among the participants, so most were not in a position to contextualise and personalise learning experiences. Needs analyses seldom feature in professional development programmes, yet they are a vital component for informing the nature and content of effective professional development programme interventions that can be sustainable at schools. Robinson et al. (2009) state that the most significant aspects of school leadership and management which impact on effective change are promoting, engaging and embracing CPD to address professional needs that are contextualised.

MacBeath (2011) found that school leaders need to benefit from professional development programmes that directly *pay attention to their immediate needs* and challenges, but that also contain quality content which is intellectually stimulating, challenging and emotionally satisfying. School leaders also need the opportunity to reflect on their own values, beliefs, competencies and strengths, areas of improvement, and setting challenging professional goals. The professional development of school leaders must also be promoted by *regular learning opportunities* that practically engage their creative, critical and reflective capacities in ways that challenge and strengthen their own practices back at school.

Timperley (2011) emphasises that a *school leader's attitude towards professional learning and growth* is a vital factor in their professional development process. What school leaders bring to the professional development learning experiences, such as personal history, prior knowledge, experience, skills, values, attitudes, habits, desires and natural curiosity, greatly influences the quality of their engagement and the outcomes of their professional development. MacBeath (2011) found that leaders often find it difficult to engage with professional development learning themselves, because they are accustomed to leading rather than learning. This links to Darling-Hammond et al. (2009), who emphasise the importance of careful recruitment and selection of leaders and managers who engage with professional development. The authors reinforce the importance of careful conceptualisation, design and implementation of holistic and contextualised professional development, yet fail to refer to the need for an emphasis on personal development in particular.

Darling-Hammond et al. (2009) found that careful selection of professional development activities is central to effective professional development programme design rather than general incidental activities. They found that the knowledge and skills of those who enter a professional development programme determine to a great extent what kind of programme will be effective and sustainable, and what kind of leaders and managers will emerge. Individuals' motivation to engage in professional development programmes is essential. The need to give school leaders and managers a role in deciding what their own professional development will entail is very important, according to Darling-Hammond et al. (2009), who further draw attention to the use of contextual practical professional development standards when conceptualising, designing and delivering professional development for school leaders and managers.

Practical professional standards can provide an important lever for strengthening the design and focus of professional learning to effect the required change. MacBeath's (2011) research shows the importance of being part of collaborative professional networks that focus on the development of practical practice, problem solving, sharing and reflective learning. These focus points are supported by research by Earley et al. (2011) in the UK and internationally which demonstrates positive impacts of using professional standards for individual leaders and managers that include contextualised knowledge, skills and attitudes that influences their capacity to better lead and manage. This ranges from improving capacity to more efficiently managing change, greater engagement and willingness to experiment with new leadership and management approaches, and leadership and management opportunities for themselves and those they lead and manage.

Other aspects that have been found to impact on change include thorough planning, cohesive coordinating, *experimenting with new learning strategies*, *reflecting on school activities*, establishing shared school goals, strategic and *realistic resourcing*, and ensuring an effective and supportive environment. These factors also have three complementary dimensions, namely, creating educationally powerful networks, engaging in constructive open dialogue about common issues and concerns, and selecting, developing and using a variety of resources to operate effectively and meaningfully, which become standards of professional development (Leithwood et al., 2008).

MacBeath (2011) highlights the importance of leaders and managers regularly engaging in *school-based professional development* that creates opportunities to review, reflect, develop and improve their leadership and management thinking and practices, as well as to learn from other organisational contexts including formal programmes and frameworks that can support their own growth and development. MacBeath (2011), cautions to be wary of programmes with fixed start and end dates with linear timetables that are increasingly becoming inappropriate for leaders and managers working in ever changing environments. Practical and contextualised *coaching and mentoring opportunities* form another important feature in the literature to improving leadership and management thinking and practices. The Ofsted (2010) research around school leadership and management also shows strong evidence of the importance and effectiveness of including practical coaching about the required change into professional development.

Practical and contextualised coaching and mentoring are especially important in developing the intended understandings of required change when leaders and managers have to plan, reflect, problem-solve, make decisions and implement (Mackenzie & Marnik, 2008). Earley et al. (2011) state that the effectiveness of a personal mentor (an experienced other) for the first few years of leadership and management, along with the development of a culture of coaching and mentoring for new leaders and managers, is essential at a time of change. MacBeath (2011) emphasises that leaders and managers can benefit from having regular support of a person (peer) who is able to enter into their thinking, practice and emotional spaces and is able to listen, expand, adjust, revise and redefine the experiences within which their thinking and practices are conceived. Leaders and managers can benefit from an understanding, non-judgmental, listening ear from a trusted and experienced source. They also need a degree of challenge which pushes them, with support, beyond their comfort zones to new levels of thinking, understanding, awareness, assertiveness, self-confidence, self-consciousness, and practical, effective and sustainable practices.

The focus of professional development as it pertains to school leaders should be on enabling them to transfer their experiential learning experiences of new approaches that they engaged with during their professional development into daily practice at school (MacBeath, 2011).

Collaborative enquiry involves engaging leaders and managers first in a needs analysis to understand their school context and their professional development needs. Cohesive planning of professional development needs, entailing regular guided support which includes experiential learning activities over an extended period of time must follow the needs analysis. Peer support is necessary during collaborative enquiry and has to include calculated risk taking. While experimenting with new approaches, structured professional dialogue about evidence that can effect change is also necessary. Structured dialogue must be practised within pairs and small groups to provide multiple opportunities for exploring beliefs and assumptions about the required change, while giving and receiving constructive structured feedback.

Coaching and mentoring can be used as vehicles for contextualising professional development and for embedding enquiry-oriented learning in everyday practices. Coaching and mentoring by an empowered developmental practitioner guide leaders to experiment with new thinking and

practices. The coach or mentor provides a contextualised safe space to explore mutual vulnerabilities, which could speed up the development of mutual trust during the professional development process. Specialist coaches and mentors focus on supporting, encouraging, mediating and facilitating challenges faced by leaders and managers through demonstrating new practices in their contexts. Effective coaching and mentoring must however draw on experience gained over a period of time spent with the leaders and managers, observing and reflecting alongside them.

Networking through collaboration within and between schools depends upon wanting to change in order to be successful. School leaders and managers then regularly engage by sharing learnings with connections made during professional development. Through networking, school leaders and managers engage with and draw on internal and external expertise. School leaders and managers focus on learning in order to expand their own knowledge, skills and attitudes. The main purposes of networking are to focus on understanding the required change, to practically implement the required change and to learn from the experiences and contributions of others.

5.1.2. Professional Development within Education in South Africa

The education system in South Africa has undergone radical educational change over the past two decades, as discussed in Chapters Three and Four. The South African government has taken cognisance of global education changes while trying to remain committed to the restructuring of the education system to deliver quality education to all school communities. The South African education system therefore acknowledges trends in education together with the philosophy of democracy that underpins and informs educational practices. These democratic practices still need to be implemented systematically throughout the school system in South Africa, as Jansen (2013) states:

What has been noticeably missing over the past two decades is that the same democratic philosophy espoused in policies has not always underpinned and informed professional development that has occurred, which is vital during implementation of the plethora of new policies currently in our school system. (p. 82)

Central to all pre-1994 professional development was dogmatic fundamental pedagogical prescriptive practices. As a result of the dogmatic fundamental pedagogical prescriptive practices

of pre-1994, it was necessary to restructure the South African education system and vital to introduce the plethora of new policies that have taken place since 1994. One of the most important concerns for teachers and school leadership and management teams, who are expected to implement the new policies, is the lack of adequate professional development and support (Christie, 2010).

Almost all black teachers and school leadership and management teams received very poor professional training during the apartheid education system, as explained in Chapters Three and Four, leaving them with poor pedagogical skills and even weaker content knowledge. The lack of both pedagogical skills and content knowledge makes the professional development process even more challenging. In many cases, the teachers' and SMTs' levels of literacy are so low that even familiarisation with new policy documents becomes a formidable challenge (Christie, 2010). The lack of CPD has resulted in many teachers and SMTs not having engaged meaningfully with policy documents and therefore having very little or no understanding of the purpose or how to implement these new policies. Policies have therefore not been implemented as expected, or at all, resulting in old apartheid-style practices still operating in many poor and rural schools. The situation described above is the greatest motivation for the provisioning of CPD that is democratic in nature (Jansen, 2013).

Carrim (2013) asserts that,

The success of South Africa's education system hinges on the nature and extent of professional support and development that teachers and SMTs are likely to receive to offer quality education. Institutions of higher learning, NGOs, the education department and all stakeholders involved with education have to design their professional development courses to address the SMTs needs and in so doing prepare aspirant teachers and SMTs to appropriately deliver quality education. (p. 21)

How this professional development can occur given the large number of teachers and SMTs already in the education profession who were not equipped to implement all the required changes is a major concern. Realistically, it is not possible to close schools and return all teachers and SMTs to full-time studies. Therefore, practical models are required for engaging teachers and

SMTs in professional support and development while they continue with their daily teaching and leadership and management responsibilities (Carrim, 2013).

The professionalisation of teachers and school management teams, through one or another model of professional development, to build their capacity to deliver quality education, must be an important factor in any reform strategy for schools. Over the last two decades, billions of Rands, have been directed to teacher subject knowledge improvement through a plethora of teacher in-service training (INSET) programmes. While pre-service (PRESET) training has also been restructured in the last 10 years, there is general dissatisfaction with their outcomes. INSET is similarly perceived to have been ineffective, while any improvement in the quality of newly qualified teachers and leaders is still to be demonstrated (NEEDU, 2013).

Table 5.1 below provides a summary of the key features of professional development pre- and post-democracy (DOE, 2010b).



Table 5.1 Key features of pre- and post-democracy professional development (DOE, 2010b).

Key features of professional development pre-democracy	Key features of professional development post-democracy
Apartheid education system underpinned by fundamental pedagogical philosophy and practices. Behaviourist orientations.	Democratic education system underpinned by democratic philosophy and practices. Social constructivist orientations.
Attention to technical details Emphasis on facts Directive information transfer Wrong and right patterns of thought Wrong and right patterns of doing according to preformatted objectives One dictated approach Preformatted structures and procedures Step-by-step strategies that do not consider Context	Democratic Collaborative participatory processes Contextualised Subjectivity to knowledge Process of making meaning Importance of socio-cultural influence on knowledge systems Attention to consequences of thoughts and actions Patterns and trends geared to change Holistic understanding Attention to values and attitudes Reflection Demonstrations Coaching and mentoring

Table 5.1 above illustrates the key features involved in pre-democracy professional development. This table also shows what features are espoused in post-democracy policies, which need to feature in current professional development programs for SMTs to address the challenges that face them. The table illustrates the restrictive nature of leadership and management practices during the pre-1994 apartheid education system. The table also shows the contrasting post-1994 democratic and participatory vision that is expected to underpin current professional development programmes for SMTs, also reflected in the international literature reviewed. The purpose and main aim of the key features in post-democracy professional development is to address past imbalances with its associated restrictive practices (DOE, 2010b).

5.1.3. Models of Professional Development in South Africa

There are predominantly three main generic models of professional development in education in South Africa, namely, ‘academic theoretical’, ‘general school-related’ and ‘cascade’ (Reeves,

2008). Firstly, there are academic theoretical INSET programmes which are usually accredited and funded by the education department and primarily offered by universities and technikons for unqualified and under-qualified teachers to upgrade their qualifications. They are usually content-based, focusing on academic and theoretical content. These programmes are offered to teachers on a full-time and part-time basis. Most teachers choose to complete these programmes on a part-time basis as they cannot afford to study full-time. The duration of these programmes range between two and three years. The majority of teachers engaged in these courses are motivated to do the courses as the upgrades are attached to salary increases or bonuses. Most of these programmes do not have school-based follow-up support to measure implementation of learnings (Reeves, 2008).

Secondly, there are general school-related INSET models that focus primarily on developing general school-related competencies. These general school-related courses are aimed at impacting on the professional development of teachers to improve their content knowledge and improve or change their practices. These courses take place over one to five days and usually occur after school hours, over weekends or during school holidays. Most of these courses are not accredited and are offered by NGOs funded by the private sector, businesses and overseas donor agencies. The courses are offered in the form of two-to-three-hour workshops for teachers. These courses, similarly, seldom have follow-up school-based support sessions to measure implementation of workshop learnings (Vinjevold, 2008).

Thirdly, there are DOE training sessions that generally focus on policy implementation through clarifying instructions and requiring compliance rather than connecting with the professional development needs of schools. Taylor (2009c) argues that this 'cascade model', which has been used for most in-service professional development, has been found to be inadequate in many ways. This cascade approach encompasses once-off general reorientation training, which entails a few teachers being trained, who are then expected to go back to school to train the rest of the staff. Most of these general once-off training sessions do not include participatory learning experiences. These training sessions are between two and three hours long and take place during and after school hours, over weekends and during school holidays. This cascade approach has been found to be inadequate for initiating deeper understanding to effect change and

transformation. Most of these training sessions do not include follow-up school-based support to measure the implementation of workshop learnings (Taylor, 2009c).

The three predominant models of professional development described above have to some extent been useful for only a small number of teachers who are relatively competent in both content knowledge and pedagogical skills. The vast majority of teachers who have decades of weak content knowledge and pedagogical skills requires extended professional development (Christie, 2010). These teachers need professional development that includes collaborative, contextual and research-informed activities to achieve desired sustainable change. As such, professional development processes should include needs analysis, participatory experiential learning experiences, collaborative enquiry, coaching, mentoring, networking, and guided experiences with experienced professionals (Darling-Hammond et al., 2009). All three predominant models of professional development described above lack the aspects necessary for professional development as indicated by Darling-Hammond et al. (2009), resulting in SMTs having to face a variety of challenges as discussed below.

5.1.4. Challenges Emerging in Professional Development in South Africa

The challenges pertaining to professional development are vast and particular to each country, school district and school (Fullan, 2009). The challenges particular to the South African context for this study include limited:

- urgent need for ongoing school-based professional development that focuses on mediation of policies;
- exposure to examples of innovation and best practices;
- sharing and implementing professional learning;
- exposure and development of a culture of becoming a lifelong learner;
- development of synergies and alignments between policy requirements and the professional development needs of school leaders;
- development of building confidence and competence to establish the necessary knowledge, skills, attitudes and resources to implement change;
- exposure and development of quality appraisal and evaluation practices;
- capacity to adopt, implement and support more holistic approaches;

- ability to engage with unfamiliar practices through experiential learning; and
- engaging with experienced professional development Change agent in this study means facilitating professionals to enable them to identify and make their own required changes as suggested by, Fullan (2009). s.

The above challenges are presented below, together with solutions highlighted from the literature reviewed for this study.

Many SMTs are currently not implementing the democratic policy change requirements due to their lack of exposure to continuous professional development by the DOE (NEEDU, 2013). Therefore, *there is an urgent need for ongoing school-based professional development focusing on mediating* school leadership and management practices, in order to better understand, embrace and implement policy requirements. *Examples of innovations and best practices* are not part of most professional development being provided in South Africa (Davidoff et al., 2014). Christie (2010) concurs with Davidoff et al. (2014) by sharing that the challenge for most school leaders is how to *share and implement their professional learning* when they return to school. This includes the sharing of their learnings with their staff and motivating their staff to implement the required policy changes. *Becoming a lifelong learner* is a culture that is not being developed and therefore becomes a challenge for many SMTs. Many school leaders who are only accustomed to leading find it difficult to now engage themselves explicitly into the role of being a learner. As Jansen (2009) asserts, “restructuring power relations and establishing regular open communication about the importance of continuously learning how to improve one’s knowledge, skills and attitudes to embrace change can have profound effects on how professional development learning opportunities are viewed at school” (p. 91).

Another challenge emerging from the literature is *developing synergies and alignments between meeting policy needs and the professional development needs of school leaders*. Professional development cannot only focus on policy requirements, but needs to make sure that the school leaders expected to implement the policy requirements also have their professional needs catered for (Fullan, 2009). During and after school leaders have engaged in professional development, they must feel motivated to optimally use their improved levels of *confidence and competence* using the necessary knowledge, skills, attitudes and resources to implement change. School

leaders' confidence and competence about their own professional development experiences should to some degree then encourage them to motivate, lead and manage their staff to implement the required change (Fullan, 2009). Care and attention to the induction into CPD are essential challenges for school leaders who have a responsibility to encourage their staff to engage in CPD. Care and attention need to be given to acknowledge the fears and anxieties that school leaders have about the professional development they have to engage with (Davidoff et al., 2014).

It is essential to know what is needed by school leaders and managers before conceptualising, developing and engaging with professional development programmes. The needs of all school leaders and managers vary and these varied needs must be acknowledged, addressed and supported during professional development to optimally effect change. A needs analysis is a vital entry component to reduce fears and anxieties for school leaders during any professional development programme. A needs analysis is an essential tool for school leaders to use with their staff as well after they have engaged with it in their own professional development, as the needs analysis can enable and empower school leaders to begin to build professional capacity and to reduce the fears and anxiety of their staff regarding professional development. Once school leaders know what the professional needs of their staff are, they can make provision for those needs (Davidoff et al., 2014). Professional development providers should therefore assess both the participants' needs and policy requirements and align them to the training to be provided (Soudien, 2013).

The appropriateness, relevance and efficacy of professional development approaches need to be questioned about whether they are adequately meeting the participants needs. This includes asking the question of whether the conceptual frameworks underpinning the professional development are providing support equal to the complexity of the current problems in education and are they addressing real needs? (Soudien, 2013, p. 25)

Professional development must be viewed and acknowledged as a continuous process that aims to develop and support improvement and not be a once off event. Extensive time, attention and energy are necessary for school leaders and managers to engage with, understand, appreciate and integrate innovative, new and best existing practices to ensure effective transfer of learning

during professional development sessions. Time, attention and energy must be given to professional development that demonstrates to school leaders that change is a long-term process and not a quick-fix event (Green et al., 2006).

Another challenge pertains to the vital area of *appraisal and evaluation* of school leaders. In the past, appraisal and evaluation in South Africa were managed in a very strict, disciplined and authoritarian manner by school inspectors to maintain control over schools. Practices were observed and reports completed without any feedback (DOE, 2009). School leaders' own values and practices were generally not accommodated or considered. As a result, many school leaders resisted being inspected and school inspectorates were barred from schools. Very few schools then developed any other form of appraisal or evaluation of their practices (Davidoff et al., 2014). "Resisting being evaluated, resulted in school leadership becoming an isolated practice and created a breakdown in accountability between schools and education departments" (Van der Berg et al, 2011, p. 51). As a result, the current government is still struggling to implement the existing appraisal and evaluation systems (DOE, 2010a). In order for appraisal and evaluation to be fully embraced by school leaders and managers, it must occur only after extensive professional development and support has been provided according to school leaders and managers' own professional needs. The main aim of appraisal and evaluation must be about the sustainable professional development of school leaders and managers. Currently, appraisal and evaluation are done for salary increments, rendering them into administrative compliance events and not continuous processes for professional improvement (NEEDU, 2013).

The challenge currently facing professional development in South Africa is that the DOE does not have the capacity to adopt, implement and support holistic professional development approaches that consider the context and specific needs of SMTs and at the same time address policy requirements, in order to facilitate policy implementation. The DOE needs to adopt approaches that entail regular and sustained school-based interaction with SMTs and more participatory and democratic professional development practices (Taylor, 2009c). Christie (2010) argues that a school-based participatory professional development model needs to be based on the social constructivist theory of constructing knowledge, where the view is that knowledge is better understood if actively and personally constructed rather than given. Participants engaged in professional development should not be seen as passive recipients of knowledge, but rather as

active participants who make their own meaning through collaboration with their peers or with ‘others who are more knowledgeable than themselves’.

Soudien (2013) contends that “the DOE must take responsibility for having contributed to what many see as the degradation of the fabric of the education landscape, and particularly the serious demoralisation of the teaching fraternity” (p. 26). In general, the DOE remains largely unable to meaningfully address professional development in schools, despite the visionary policies it has developed for the South African poor school context. It appears that policy developers have overlooked the profound inequalities throughout the education system and underestimated the time and resources it would take to address these inequalities (Soudien, 2013).

The outcome of the past 20 years of professional development clearly shows that government has misread the realities of the South African school landscape, pursuing their professional development agendas as if society were already the espoused society the state intended it to be (Soudien, 2013). Professional development in South Africa therefore urgently needs to be reviewed if policies that are intended to improve people’s lives are to be effected to enable envisaged changes. This is particularly true for the poorest schools that need change the most. When the focus of professional development is only on issues of policy compliance, serious and deeply unhealthy cultural and behavioural issues are downplayed (Jansen, 2013). Professional development as discussed above involves people having to engage in practices unfamiliar to their own personal histories and school cultures (Soudien, 2013).

The lack of capacity by the DOE to develop and support all school leaders and managers to engage with, embrace and implement policy change is evident after 21 years of democracy. This means that there is a lack of experienced professionals to develop and support the policy requirements (NEEDU, 2013). Using *experienced professional development change agents* to facilitate change through *experiential learning is crucial*. This involves providing opportunities for active participation through engaging school leaders in democratic practices, encouraging problem-solving, enquiry-based activities, and completing interactive and collaborative tasks. Reflection on practice is built into all aspects for continual growth and development (Fullan, 2009).

The assumption of transformative professional development is that, the changes in participant's self-understanding and conception of cognition are necessary if participants are to take responsibility for transforming their practices. The participant's ability to reflect critically and act appropriately within a particular context is what brings about effective and sustainable empowerment and change. (Fullan, 2009, p. 129)

The discussion above on professional development points to the vital and simultaneous need to focus on personal development as an integral part of professional development (Davidoff et al., 2014) that is discussed below.

The section on personal development begins with a brief description of personal development. Policies that espouse personal development are then highlighted. Aspects of personal development that can support professional development are presented, including developing self-awareness, using emotional intelligence, applying assertiveness, examining assumptions, clarifying values and developing a personal mission statement. The challenges of personal development are then presented, including fostering personal agency, capacity building, and personal and interpersonal dynamics.



5.2. Personal Development

Literature on personal development that relates specifically to school leadership and management is not readily available and whatever is available draws on theories relating to general personal development. Therefore, in this chapter, focus is placed first on the field of organisational development where the 'personal' aspects of development are placed at its centre. Secondly, the focus is on literature that identified the significance of 'valuing the development of the personal capacity of leaders', with a particular emphasis on connecting leadership development to 'personal competence, social competence and caring' (Haber-Curran et al., 2015). Thirdly, the focus is placed on 'personal experiential learning for leaders' (Kolb, 2014) and 'personal development for adult learners' (Knowles, Holton, & Swanson, 2014).

Personal development is a lifelong process of getting to know and care for one self and others (Haber-Curran et al., 2015). Personal development involves individuals making connections between what they are thinking and feeling and how this impacts on their behaviour throughout the various stages of their lives (Erikson, 1985; Goleman, 2005). Personal development

encompasses individuals' acknowledgement of their feelings of self-awareness, self-respect, self-control, self-motivation, self-efficacy, personal mastery and empathy (Goleman, 2005; Senge, 2006). Once individuals are able to acknowledge their emotions, they can also be enabled to make adjustments to improve their behaviour independently or with support through developmental processes. Individuals can also use personal development to assess their knowledge, skills and attitudes to make improvements and set goals in order to realise their maximum potential and consequently fulfil dreams and aspirations (Haber-Curran et al., 2015).

5.2.1. The Vital and Simultaneous Need to Focus on Personal Development as an Integral part of Professional Development

It has often been said that, in order to lead others, one has to be able to first lead oneself. The ability to lead oneself is the foundation on which to build solid relationships, which is a key leadership characteristic. Relationships are central to leadership and the development of intra-personal and interpersonal competence facilitates the development of reciprocal relationships that can lead to successful leadership (Senge, 2006). It is therefore imperative that leaders encourage and motivate themselves and those whom they lead to engage in personal development. Although the notions of personal competence (knowing oneself) and social competence (knowing others) seem simple in theory, they are not always easy to implement in practice. Developing personal and social competence takes considerable time, commitment and energy. Goleman (2005), however, argues that these competences can be developed and can consequently significantly impact on behaviour and leadership success.

Haber-Curran et al. (2015) concur with Hunsaker and Hunsaker (2009) that personal development can enable leaders to better know and understand themselves and those they must lead. "Personal development is neglected and rarely if ever forms part of professional development that have the ability to directly engage with individuals insecurities, fears, needs, talents and preferences" (Davidoff et al., 2014, p. 192). According to Senge (2006), "focusing on aspects of personal development is crucial to strengthening and developing effective organisations as it allows leaders to tap into the best pool of resources, namely, the individuals in their organisations" (p. 135). One reason for acknowledging and linking personal development to professional development is linked to what apartheid struggle hero Steve Biko wrote in the early

1970s about Bantustans and the quest for a true humanity, which still rings true in our current poor rural schools:

To a large extent, apartheid has succeeded in dehumanising the indigenous people in the land of their birth. This truth, bitter as it may seem, we have to acknowledge before we start on any programme designed to change the status quo. (Biko, 2004, p.96)

Biko (2004) goes further to say that,

It becomes more necessary to see the truth as it is if you realise that the only vehicle for change are these indigenous people who have lost their personality. The first step therefore is to make the indigenous person come to himself; to pump back life into his empty shell; to infuse him with pride and dignity. (p. 98)

The researcher is not able to present an overview of models of personal development in South Africa for the purpose of this study, because, as is noted by Jansen (2013), personal development training and support has not been offered by the DOE. There are, however, specific references in various policies analysed for this study that indicate the importance of making provision for personal development. It is therefore important to repeat the statement of Davidoff et al. (2014) that there is a vital need to focus on personal development as an integral part of professional development. The lack of focus on personal development within professional development programmes has created major challenges for the SMTs involved in this study as they attempt to understand and implement change at their respective schools in South Africa.

Personal development is identified as a key focus for this study and is located, as a start, within developmental psychology, with particular reference to the work of psychosocial theorist Erik Erikson.

5.2.2. Theory of Psychosocial Development: Identifying Life Stages

Erikson's (1985) theory of psychosocial development describes that it is human nature for people to strive to accomplish different tasks at each stage of their development in life. Erikson's (1985) theory of psychosocial development may be regarded by some as dated, and is by no means the only explanation of personal development life stages. However, Erikson's theory was chosen as

his description of life stages most accurately describes the age cohort, namely, 35-65 years old, of the participants in this research study, with particular reference to the emergence of self, the search for identity and the influence of relationships and society at this particular stage in life (Erikson, 1985).

Table 5.2 indicates Erikson's (1985) theory of psychosocial development, which identifies various life stages at a particular age together with distinguishing associated key features for each stage.

Table 5.2 Theory of psychosocial development (Erikson, 1985)

Life stage	Key features/conflicts to resolve	Age
Infant – Hope	Basic trust vs basic mistrust	18 months
Toddler – Will	Autonomy vs shame and doubt	18 months-3 years
Pre-schooler – Purpose	Initiative vs guilt	3-5 years
School age child – Competence	Industry vs inferiority	6-12 years
Adolescent – Fidelity	Identity vs role confusion	12-18 years
Young adult – Love	Intimacy vs isolation	18-35 years
Middle age adult – Care	Generativity vs self-absorption	35-55-65 years
Older adult – Wisdom	Integrity vs despair	55-65-death

It is important to note that the 'conflict' that individuals 'resolve', although peculiar to a particular life stage, can appear in most other life stages. These key features are therefore not limited to a single life stage. Erikson's theory of psychosocial development as it pertains to this study is linked to the life stage of the middle-aged adult. The research participants of this study, as indicated in Table 6.1, are an illustration of the life stage where most SMTs in South African schools find themselves (NEEDU, 2013). At this generative life stage, career and work are most important, along with family, and most people take on greater responsibility and control of their own lives. Working to establish stability is vital and most people attempt to engage in activities that will make a difference to the society in which they find themselves. Inactivity and engaging in meaningless activities are common fears at this stage of life.

Major life shifts also happen in this life stage, like, children leaving home, and some choose to make a career change. Most people in this life stage need to find purpose in the activities in which they are actively engaged in. (Erikson, 1985, p. 48)

This implies that part of the struggle that participants in this study are already engaged in involves the question of meaningful identity consolidation. During the generative life stage, people have a need to feel productive and fulfilled in activities in which they are engaged. Feeling personally satisfied that they have made meaningful contributions within their professional context is of utmost importance. Understanding the ‘conflicts to be resolved’ during the generative life stage is important. More important is to engage with the ‘conflicts’ in order to ‘resolve’ them. Resolving the conflict allows individuals to better know and understand themselves (Erikson, 1985).

5.2.3. A Framework for Personal Development

Professionals, such as SMT members in this study, need to understand themselves on a personal level in order that they may better understand how other people perceive them and why people respond to them in the manner that they do during moments of change. Understanding oneself on a personal level includes but is not limited to:

- developing self-awareness;
- using emotional intelligence;
- applying assertiveness;
- examining one’s assumptions;
- clarifying one’s values; and
- developing a personal mission statement.

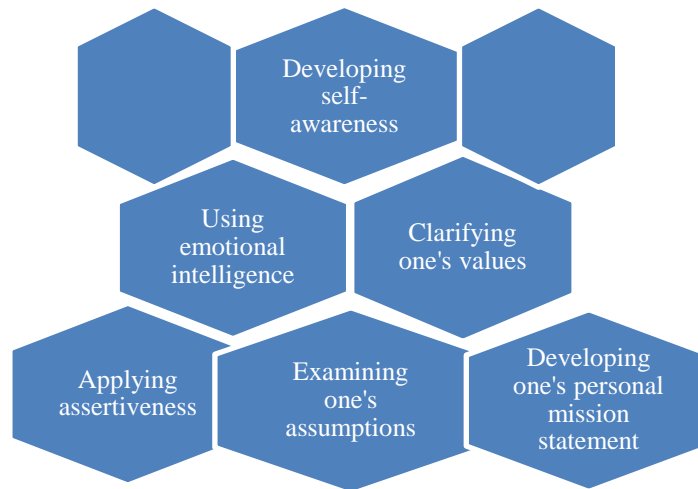


Figure 5.1 Framework for personal development (adapted from Casini, 2010; Goleman, 2005; Haber-Curran et al., 2015; Hunsaker & Hunsaker, 2009).

Figure 5.1 above indicates some essential aspects that SMTs need to be engaged with continuously throughout their professional development to better understand themselves on a personal level. Enabling SMTs to better understand themselves on a personal level could assist them to better deal with themselves, staff, parents, learners, and professional issues and challenges that confront them.

Developing self-awareness involves becoming aware of one’s personality, emotions, likes and dislikes, things that bring joy, motivations, and important challenges. These are all important aspects of understanding oneself and other people. If individuals know and understand themselves, they are better able to manage themselves and, in turn, better able to understand and manage others (Goleman, 2005). According to Hunsaker and Hunsaker (2009), the best way to enhance self-awareness is for individuals to develop a process of honest reflection about their own experiences. This may include scheduling time each day to reflect honestly until it becomes part of a daily routine and applying the lessons learnt. Another aspect is keeping a journal of lessons learnt that can assist in developing the reflection process. It is also important for

individuals to regularly assess progress towards goals they have set for themselves to gain a better understanding of their strengths and weaknesses, and using their strengths to develop their weaknesses. It is necessary for them to find someone who can give regular and honest feedback, in order to gain perspective on their experiences and learn from them.

Using emotional intelligence means the ability to monitor and work with one's own and others' emotions (Goleman, 2005). Emotional intelligence includes the ability to understand and interact with others and becomes more important the more an individual has to work and deal with people. Emotional intelligence should be seen as a capability (group of competencies) that can be developed over time and can be improved through training and, if necessary, therapy. Engaging with emotions, rather than being at their mercy, makes individuals more capable of dealing with the stress and demands of the context and situation in which they find themselves. Engaging with emotions enables individuals to control impulses and solve problems, and helps them to perform more competently. Personal and social competencies are central to emotional intelligence. Personal competencies encompass self-awareness and self-management, while social competencies encompass social-awareness and relationship-management (Goleman, Boyatzis, & Mckee, 2013). The four common competencies of emotional intelligence are tabulated below in Table 5.3, illustrating the skills associated with them.

Table 5.3 Four common competencies of emotional intelligence (Goleman et al., 2013)

INWARD FACING ASPECTS	<p>Self-awareness Emotional self-awareness; self-respect; self-confidence; self- assertiveness.</p>	<p>Self-management Emotional self-control; trustworthiness; conscientiousness; achievement-orientation; adaptability; optimism; initiative; intuitive; reflective.</p>
OUTWARD FACING ASPECTS	<p>Social awareness Empathy; organisational awareness; service orientation; context.</p>	<p>Relationship management Concern for development of others; inspirational leadership; influential; open communication; change agent, catalyst; conflict-resolution management; teambuilding; teamwork and collaboration.</p>

Table 5.3 above indicates a set of skills and competencies that individuals need in their personal lives when engaging with people and situations. Individuals need to be able to access these skills and competencies from within themselves when engaging with individuals, groups of individuals and various situations. These competencies and skills can be used to set and achieve desired personal goals. These competencies and skills can also be developed and revised over time.

The four emotional intelligence competencies in Table 5.3 above have inward and outward facing aspects. The inward facing aspects of emotional intelligence are individuals' emotional self-awareness and their ability to manage their own emotions. The outward aspects of emotional intelligence are their degree of empathy or awareness of others' emotions, and their ability to productively manage relationships with others (Goleman et al., 2013). Both inward and outward facing aspects of emotional intelligence are made up of skills and competencies, as indicated in Table 5.3 above.

According to Casini (2010), *applying assertiveness* means individuals' ability to make clear statements of what they want from people in any given situation, without being misunderstood, disrespectful or demeaning. It is also the ability of individuals to express to people what they are thinking and feeling. Once they have expressed what they mean and want, others are able to act on that in order to complete what is necessary. This is crucial for effective leaders and managers.

Examining personal assumptions is important as many individuals treat people according to their personal assumptions about what motivates people. Challenging their own personal assumptions can be a step to better understanding themselves and others. Through better understanding themselves, they will also be able to better understand why people respond to them in the manner that they do. Prominent management theorist, Douglas McGregor (Kopelman, Prottas, & Davis, 2008), identified two management styles, namely, X and Y, based on personal assumptions held by most people. The X- and Y-style assumptions are illustrative examples to identify which style best describes individuals' personal assumptions. Understanding which style best describes individuals' personal assumptions can assist them to make the necessary adjustments to be aligned with a style that can enable change as indicated in Table 5.4 below.

Table 5.4 Management style assumptions – adapted from Hunsaker and Hunsaker (2009)

X-style management	Y-style management
Employees inherently dislike work and will attempt to avoid it.	Employees enjoy work and view it as natural to them as rest and play.
Employees must be forced, controlled, or threatened with punishment to achieve goals.	Employees will exercise self-direction and self-control if they are committed to the goals behind the tasks they are performing.
Employees will shirk responsibility and seek formal direction.	The average person can learn to accept and seek responsibility.
Most employees place security above all other factors associated with work and will display little ambition.	Most employees place job satisfaction and career fulfilment as a priority.

Table 5.4 above illustrates that having X-style personal assumptions makes people operate in a very strict and controlling manner. They see little point in employees having autonomy, because they think that the employees neither expect nor desire cooperation. Y-style personal assumptions reflect a more optimistic view of employees. Y-style personal assumptions also contend that employees will gladly direct themselves towards shared goals if their efforts are acknowledged, and assume a great deal of confidence in employees. Y-style managers believe that all people have potential and that it is their responsibility to find and utilise that potential. The assumption style can also influence the organisational environment. Y-style managers will decentralise authority and give more control to employees than X-style managers. The assumption style also impacts on the growth and development of employees, either negatively or positively. Personal assumptions also relate to values, as discussed below.

Clarifying one's values is vital as it informs and demonstrates to people what one cares about. Individuals' values therefore become the stable and enduring beliefs about what they find valuable and worthwhile, and about the behaviour that is desirable to achieve what they perceive as good and worthwhile (Haber-Curran et al., 2015). Values are formed early in life and are influenced by parents, teachers, friends, colleagues and society. Some values may change as people engage with and encounter different people and situations. Values are manifested through

everything that people observe and think about, and how they behave and communicate when they interact with people and situations. When individuals clarify their values, people with whom they engage are better able to understand and engage with them, as people sometimes do not mean what they say or do (Haber-Curran et al., 2015). It can be challenging when individuals' personal values conflict with those of their organisation or those of individuals within the organisation. Having a clear understanding of their personal values will assist them to manage value conflicts at work or with people. Being clear about their own values allows individuals to act with integrity and 'practise what they preach', regardless of peer, social or emotional pressure. This will assist them to decide if the value conflict can be resolved, if it will require personal changes on their part, or if it will require compromise and adjustments to accommodate different perspectives and assumptions (Hunsaker & Hunsaker, 2009).

Developing a personal mission statement provides individuals with a long-term vision and motivation to manage themselves and others according to their own values (Hunsaker & Hunsaker, 2009). It also allows them to establish their purpose and goals, and to engage in a regular evaluation of their performance based on their mission statement, which can motivate and inspire healthy self-management. Individuals can spell out their leadership philosophy, and define the type of manager they want to be, what they want to accomplish, which principles guide their behaviour and what the best use of their time will be by defining their future in their personal mission statements (Hunsaker & Hunsaker, 2009).

The discussion on personal development thus far has highlighted that it is a lifelong learning process encompassing vast and complex aspects which require continuous committed time and energy to address. "The key features of personal development, are diverse, varied and complex" (Senge, 2006, p. 69). Therefore, these features have been grouped together as they pertain to this study and are presented below. The main features of personal development as it relates to this study are personal mastery, mental models, fostering personal agency, capacity building and the personal and interpersonal dynamics of individuals engaging in personal development, as explained below.

5.2.4. Key Features of Personal Development

The literature that is most aligned with this study's theoretical framework is the work of Senge (2006). According to Senge (2006), as individuals engage with their professional lives, they should try to be and do their best in every situation, and not try to be perfect, for themselves, their team and their organisation. However, this does not mean being perfect, as striving for perfection can be seen to be counter-productive to personal development in that, for individuals to be their best, they need to give their full attention to who they are, what they are thinking and to whatever activity they have to engage with. Striving for perfection can be counter-productive as the person could exert too much pressure and judgement on themselves with every task they engage in. Doing their best also means that individuals strive to be fully aware, active and engaged in every situation they find themselves in. In order to be and do their best, Senge (2006) argues that individuals need to be regularly encouraged and enabled within their organisations to engage with the following core disciplines: personal mastery, mental models, shared vision and team learning. For the purpose of this section of the study, only personal mastery and mental models are highlighted below.

5.2.4.1. *Personal mastery*

Personal mastery refers to personal growth as a lifelong interactive learning process that is grounded in personal competencies and skills. The competencies include self-awareness, self-confidence, self-respect, self-discipline, self-reflection and self-motivation. These competencies can influence how individuals think and feel when engaging with people and situations and can influence how they behave towards people and situations. Personal mastery is a lifelong learning process which enables competencies and skills to evolve. With self-reflection, competencies can be adjusted, revised and renewed to best deal with people and situations. When personal mastery becomes a daily discipline, it can become integrated into one's life. Personal mastery can also be used to clarify what is important and to continually learn how to see current realities more clearly (Senge, 2006). Brown (2012) suggests using a framework to assist individuals to develop their personal competencies and skills during a personal development process to simultaneously address their vulnerabilities, as illustrated in Table 5.5 below.

Table 5.5 Developing personal competencies and skills (Brown, 2012)

Individual thinking/behaviour before developing and using personal competencies Self-awareness, self-confidence, self-respect, self-discipline, self-reflection and self-motivation.	Individual thinking/behaviour after developing and using personal competencies Self-awareness, self-confidence, self-respect, self-discipline, self-reflection and self-motivation.
I do not know.	I need help.
Do I have to try this?	It is important to me to try this.
It did not work.	It did not work – so what can I learn from it?
I do not know how to do it.	This is what I need to do it.
I feel incompetent.	I would like some feedback.
Can you tell me what to do?	What can I do better next time?
How do I do this?	Can you teach me how to do this?
It was not my fault.	I accept responsibility for my actions.
I am sorry.	How do we move on from this?
Thank you.	That means a lot to me.

Table 5.5 above illustrates how individuals can think and behave before and after developing and using personal competencies and skills, including self-awareness, self-confidence, self-respect, self-discipline, self-reflection and self-motivation. If individuals' vulnerabilities of confidence, fears and anxieties are addressed in a personal development process, they are more likely to begin to review and adjust how they think about and behave towards people and situations. It illustrates how leadership and management can begin to engage individuals in their organisations with personal development, in particular regarding communication. Developing individuals' personal competencies and skills can empower them while engaging in a change process.

According to Brown (2012), "this framework's purpose is to acknowledge and personalise experiential learning, so that leaders can better know and understand themselves as individuals and those they lead in order to personalise practices" (p. 204).

Using this framework aims to first understand how to engage with individual's vulnerabilities including having conversations that address their vulnerabilities. By

addressing individual's vulnerabilities gives people a chance to glimpse into what they are capable of doing with and through regular support. Addressing an individual's vulnerabilities enables individuals to better understand the shared vision of the organisation and thereby begin to enable them to believe in the shared vision. This emphasises the importance of paying attention to the personal needs of individuals. (Brown, 2012, p. 205)

5.2.4.2. Mental models

Mental models determine how individuals observe, think about, feel about and make sense of the world. This entails how individuals observe, think about, feel about and behave with people and situations. Mental models are influenced by individuals' levels of development of their competencies and skills, as indicated in section 5.2.4.2. Mental models can also be influenced positively or negatively by the people and situations to which individuals are exposed. How individuals think and feel about people and situations can determine the actions and behaviour they will display. As mentioned earlier in the thesis, mental models are powerful in affecting how individuals think and what they do. All individuals observe people and situations differently, and think differently about what they observe, feel differently about what they observe and respond differently to what they observe. Mental models are therefore influenced by what individuals observe, think and feel, and by outside influences. This means that mental models can be reviewed, adjusted, revised and renewed according to the people and situations to which individuals are exposed. This means that individuals can change the way they observe, think, feel, and respond to people and situations to grow and develop personally.

Senge (2006) goes further to suggest that the two core disciplines of personal mastery and mental models can be strengthened if individuals operate with the awareness that they are part of a system. An awareness of systems thinking is important as no individual can operate effectively in isolation from a bigger system. In this study, the individual SMT member is part of a system that includes the SMT, school, school community, circuit, district, province and national education department. Senge (2006) explains that systems thinking is a particular way of seeing and thinking that shapes individuals' understanding of how the world in which they operate functions, thinking in terms of interconnectedness, interdependence, interlinked contexts and inter-relationships. It involves all the transactional processes involved in the organisation in

which individuals find themselves. Individuals acknowledge that they are part of a system and they operate for the improvement of the whole, not only of the self. They understand that all parts of the whole are equally important and interdependent (Senge, 2006).

As individuals are provided with opportunities to continuously develop their personal competencies and skills, and to review and revise their mental models within systems thinking, they can be enabled to display personal agency more competently. This means that individuals are empowered to better engage with their fears and anxieties (Senge, 2006). If personal vulnerabilities like confidence, fear and anxieties are not acknowledged and addressed, even the most competent individual will feel insecure (Brown, 2012).

5.2.4.3. Foster personal agency

The purpose of developing personal agency includes building individuals' self-awareness, self-confidence, self-belief and self-respect that need to be displayed by all SMTs in order to develop the required policy knowledge, skills, values and attitudes (Haber-Curran et al., 2015). The fostering of personal agency applies to addressing the sort of complex 'people issues' that are at the heart of enabling or undermining personal development (Senge, 2006). Examples of barriers to the development of personal agency include poor self-esteem, hopelessness, low expectations and the absence of agency (Kariem, Langhan, & Velensky, 2012).

Fostering personal agency involves engaging individuals in processes to enable them to acknowledge, develop and use their personal competencies and skills, as illustrated in Table 5.5 above. According to Senge (2006), fostering personal agency becomes essential when no personal development is offered or even acknowledged as being important. Fostering the development of personal agency becomes necessary when individuals are expected to know and understand new practices, operate using unfamiliar practices, held accountable for roles and responsibilities they do not understand but have to implement, and have to support others with regards to unfamiliar practices.

Archer (2007), Hibbert (2013) and Lazarus (1988) argue that developing personal agency is only enabling when it helps people to understand what they can do and that things can be done differently. These authors suggest that change can best be achieved through practically engaging

people regularly in personal agency activities, such as facing their fears together to deal with their challenges in capacity building processes, as discussed below.

5.2.4.4. Capacity building

Capacity building involves providing learning opportunities for individuals to engage with their personal issues of concern (Davidoff et al., 2014). Personal issues of concern need to be engaged with in varied formats to enable individuals to acknowledge, know and understand their issues of concern so as to operate as optimally as their context allows (Kariem et al., 2012). Constant change can create misunderstandings, stress, conflict and mistrust if individuals' capacity to engage and manage the expected change is not supported. Flexibility is therefore a key factor in capacity building programmes and needs to take into account and adapt to unexpected or unplanned changes (Kariem et al., 2012). "There can, however never be an exact time limit on how much time individuals need to take care of their personal development needs, as each individual is different and develops at a different pace" (Davidoff et al., 2014, p. 191). Davidoff et al. (2014) further state that "individuals in schools bring their own personal realities into their organisations, so it is important to acknowledge the link between the personal and professional realities and the amount of time needed for development" (p. 191).

Individuals' realities shape the ways in which they interact with their colleagues and situations, how they deal with conflict and how they respond to pressure. The less, individuals understand themselves, the less likely they will be to respond openly to those with whom they interact. Capacity building programmes therefore also need to pay attention to individuals' limitations and include opportunities to address these limitations, in order to enhance personal development so that individuals are able to reach a point of operating independently within their teams (Kariem et al., 2012). Davidoff et al. (2014) conclude that capacity building programmes should include opportunities for individuals to understand themselves at a deeper level, to become familiar with both their positive and negative emotions. If emotions remain unresolved, they can influence how individuals interact with others at the school. Capacity building is therefore vital for individuals, especially during a time of change, to assist them to deal with both personal and interpersonal dynamics which surface when people engage with each other, as discussed below.

5.2.4.5. Personal and interpersonal dynamics

Personal and interpersonal dynamics involve the manner in which individuals manifest what they think and feel about the people and situations they encounter through their communication and behaviour. Personal and interpersonal dynamics often emerge when fears regarding personal competency, especially communication, vulnerabilities, values and power, need to be addressed (Brown, 2012). Personal and interpersonal dynamics highlight the vital need for developing respect for oneself and others (Moolla, 2011).

According to Davidoff et al. (2014), in a social setting like a school, certain informal patterns of relationships, behaviour and dynamics establish themselves and become part of the culture of the school. The most common example is the formation of cliques, which is a natural process with dynamics that are mostly unconscious. This means that individuals are loyal to the clique and not necessarily to what the clique sometimes believes in or is doing at a certain time. Other interpersonal dynamics include gender, race and age, together with using particular modes of interacting and communicating, like technology versus paper for meetings. All these modes of interacting and communicating are important, but can also create stereotypes and prejudices which, if left unchecked or unattended, can create interpersonal dysfunction at a school. At schools, professional jealousy can be one of the most disruptive interpersonal dynamics which impedes professional development. Energetic, innovative and creative individuals have to work harder to hold their own and not succumb to the pressure of their colleagues who choose to settle for mediocre professional practices and behaviours (Kariem et al., 2012).

Paying attention to the personal needs of individuals is highlighted in some of the policies reviewed for this study, as indicated below.

5.2.5. Policy Supporting Personal Development

The DOE (2008b) clearly indicates how personal development impacts on school activities: “Your personal values and beliefs underlie everything that you think about and do. You work according, to your personal values and beliefs and therefore you must be developed on a personal level to improve what you do at school” (p. 32).

In the same policy document, there is reference to addressing physiological needs, safety needs, social needs, esteem needs and self-actualisation needs when engaging leadership and management team members in developing their skills to lead and manage schools effectively (DOE, 2008b). After 21 years of democracy, these five needs are critical due to the neglect of personal development during professional development training of SMTs offered by the DOE to date (NEEDU, 2013). The WSE policy (DOE, 2002, p.15) states that personal capacity and development to improve the quality of education are a given. Training is an essential part of preparation for a new system to develop specific knowledge, skills and attitudes. Officials need to be competent enough to aid and develop individual's capacity at school. On-going professional and personal in-service support will be provided. District support teams will receive initial and ongoing training so that they will be competent to aid the development of individuals and schools.

To support this focus on personal development, section 195 of the Constitution of the Republic of South Africa (1996) states that “people’s needs must be responded to ... transparency must be fostered ... Good human-resource management and career-development opportunities must be addressed to maximise human potential ...”

The above examples from various policies, policy guidelines and reports pertinent to the focus of personal development in this study are clear indicators that some post-democracy policies highlight the importance of personal development to be considered as a vital component of professional development. Personal development therefore needs a comprehensive framework to address all aspects of personal development necessary specifically for SMTs in a time of change.

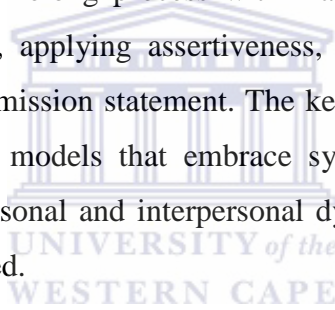
5.3. Summary and Conclusion

This chapter began with a brief description of professional development as it pertains to this study. An overview of international perspectives on professional development in education was then presented. Professional development in South Africa, outlining the models and challenges of professional development pre- and post-democracy, was then presented.

The literature on professional development both locally and internationally highlights the importance of it being a lifelong continuous process. Professional development should focus on and address the needs of the required change, the context in which the change is to be

implemented, and the participants expected to implement that change. Professional development should therefore be conceptualised, planned and implemented according to the participants' needs. Professional development should also be participatory in nature and include experiential learning processes. Professional development should also include some school-based support, including mediation of change through practical demonstrations of required change practices, together with coaching and mentoring by experienced change development professionals. The key features of professional developments need to include collaborative enquiry, coaching and mentoring, and networking.

Personal development was then presented and it was indicated that it should be a simultaneous process during all professional development processes. Personal and professional development, are two distinct yet interrelated concepts that can serve and benefit each other. Personal development was presented as a lifelong process within a framework that incorporates self-awareness, emotional intelligence, applying assertiveness, examining assumptions, clarifying values and developing a personal mission statement. The key features of personal development include personal mastery, mental models that embrace systems thinking, fostering personal agency, capacity building, and personal and interpersonal dynamics. Finally, policy supporting personal development was presented.



CHAPTER 6

RESEARCH DESIGN AND METHODOLOGY

This chapter begins with the research aims and questions. A detailed discussion to justify the research paradigm, design and methodology of this study is then presented. Descriptions of the research context and the research participants are given, followed by the role of the researcher. The data collection process is described in detail, together with the instruments employed, outlining the justification of their appropriateness for this study. The data analysis approach is outlined to indicate the trustworthiness of the data. The chapter concludes with an outline of the ethical considerations applied throughout the research process.

6.1. Research Aims and Questions

SMTs hold the vital role as the leaders and managers of schools in South Africa. Since 1994, new policies have been developed regarding the new roles and responsibilities of SMTs which are aligned to democratic practices. SMTs are now also held accountable for all aspects of school activities, school functionality, teachers' development and learner results. These new roles and responsibilities are broad and SMTs are held accountable by district officials for implementing them to effect change at schools. These broad roles and responsibilities are unfamiliar to many SMTs as a result of limited training from the DOE to effectively develop SMTs to understand, embrace and implement them effectively. SMTs are not only held accountable for these broad roles and responsibilities, but also assessed against them.

In this study, the experiences of professional and personal development of SMTs' roles and responsibilities are explored within a context of change. The challenges facing SMTs as they attempt to understand, embrace and implement these unfamiliar roles and responsibilities are highlighted. SMTs' suggestions of how they believe they should be supported to understand, embrace and implement their broad roles and responsibilities are also presented. This study presents a detailed account of professional and personal development experiences of SMTs on a small scale as it involved three rural schools in three provinces.

This research therefore aimed to explore SMT members' experiences of professional and personal development in three rural primary schools in the broad context of educational change in South Africa. Professional and personal development is explored separately to highlight the

gaps when these two aspects are not integrated, which this research argues for. This aim was explored by asking the following research questions:

1. How did educational change in South Africa influence leadership and management in schools?
2. What professional development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
3. What personal development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
4. What are SMT members' suggestions for enhancement of personal and professional development and support of SMTs in schools in South Africa?

6.2. Research Paradigm and Design

According to Denzin and Lincoln (2011), human interaction can be understood through interpretation and is influenced by active engagement within a particular social context. It is also accepted that, within a particular social context, realities are subjective and that multiple interpretations are consequently evident when engaging in social contexts. This study sought to understand the professional and personal development experiences of SMTs and how it impacted on the implementation of their roles and responsibilities. This focus influenced the choice of research paradigm, design and methodology chosen for this research.

6.2.1. Research Paradigm

A research paradigm is a frame of reference to organise observations and guide the thinking of the researcher in order to make sense of what is being studied (De Vos, 2005). Lincoln, Lynham and Guba (2011) explain that a paradigm draws on a set of beliefs and assumptions that guides and shapes the way in which researchers gain knowledge about phenomena being studied. The paradigm captures the researchers' frame of reference regarding how they understand life and its realities. According to Ritchie, Lewis, Nicholls and Ormston (2013), paradigms assist researchers to organise their observations throughout the research process. Paradigms shape the ways in which researchers gather information about what is being studied based on their beliefs and assumptions about life and its realities, the researchers' values, the relationship between the researchers and what is being studied, and the research process as it unfolds. The research

paradigm also guides the research questions asked and assists researchers to decide on where and how to look for answers. Lincoln et al. (2011) name five major paradigms that frame research: social constructivist -interpretive, critical feminist, post-structural, positivist, and post-positivist.

The paradigm most suited for this research and aligned with the beliefs and assumptions held by the researcher is social constructivist -interpretive. A social constructivist -interpretive paradigm frames this study, based on the understanding that reality is constructed through interactive human engagement within a particular social context (Denzin & Lincoln, 2011). An interpretive paradigm is appropriate for this study because it acknowledges that multiple subjective realities of knowledge and understanding will be observed, interpreted and constructed throughout the research process. The interpretive paradigm accepts that multiple interpretations will be evident. Realities are understood and constructed through interpretation and influenced by all interactions within the particular social context of the research. Within this paradigm, multiple realities are assumed and acknowledged, along with the subjectivity of the knowledge being constructed by both the researcher and research participants. Within the interpretive paradigm, it is also understood that the researcher and research participants are able to construct knowledge together and separately (Denzin & Lincoln, 2011). The researcher is therefore seen not as an objective observer but as a participant in the research process. The researcher operates between experience, description and providing explanations of the research activities and is therefore not a disconnected entity. The researcher therefore enters the research process with a clear understanding of what will be studied and where and how the study will unfold (Creswell, 2014). This focused clarity enables the researcher to make connections between the emerging research findings and existing theory and research which in this study were presented in Chapters Three, Four and Five.

According to Mertens (2009), the intention of an interpretive approach is to discover and understand the meaning of 'reality' as experienced by the research participants. Understanding the thoughts, behaviours and learning of why things are observed by the research participants in the manner that they are, are vital in an interpretive approach. "It is a search for explanations of the phenomena being studied." (Mertens, 2009, p. 64). It aims to understand the full complexities of the phenomenon being studied. The interpretive paradigm also accepts the interactive process in which the researcher and the participants are engaged. It acknowledges that the researcher and

research participants influence each other in making sense of what is being studied. An interpretive approach has the intention of discovering the meaning of the world and its realities as it is experienced by the individuals participating in the research process, as well as understanding the thinking that influences the behaviour of these individuals and the behaviour with all its complexities (Mertens, 2009).

The outcome of research underpinned by an interpretivist paradigm is to provide a broad description of the phenomenon being studied, as observed by the research participants (Mertens, 2009). This study falls within the interpretivist paradigm as it sought to understand the professional and personal experiences of SMTs as they tried to engage with their roles and responsibilities within a policy change context. The focus of the questions posed during all the data collection processes was to gain an understanding of the experiences of professional and personal development from SMTs. The participants' subjective experiences of professional and personal development, how they understood and interpreted the change context within which they operate, and their challenges and suggestions were central to the study.

According to Meyer (2009), a social constructivist approach involves humans interacting with each other with the purpose of generating knowledge with and from each other. During the interaction process, multiple realities are presented as there is no absolute correct and objective reality. Realities are observed, communicated and acted upon differently to create multiple realities. Perceptions of realities differ as each person observes and experiences the reality differently. Within a social constructivist approach, realities can exist in parallel and one reality is no more important than another reality. All realities are regarded and acknowledged as having value. Research with a social constructivist approach is therefore focused not only on illuminating one reality but also on providing an explanation of the different realities of all research participants.

A social constructivist approach suited this study because it focuses on acknowledging the different realities experienced by participants as they interpreted their roles and responsibilities within an SMT. The social constructivist approach, allowed the researcher to become a legitimate participant in the interactions within the group, namely, the SMT in which the participants worked. Social constructivists emphasise contexts as being vital for understanding

the real meaning of a particular situation. Understanding can only be obtained when facts are interpreted and understood within the particular contexts in which they emerge (Duffy & Jonassen, 2009). In this study, understanding the rural context was important to understand how SMTs operated.

A social constructivist -interpretive paradigm was therefore best suited for this study because it focuses on exploring different realities and the different understandings of these realities. A social constructivist -interpretive paradigm accepts that knowledge is constructed socially through engaging with others within historical, cultural and social boundaries.

6.2.2. Research Design

A research design integrates the research question and the purpose and significance of the study, and identifies what information is necessary to answer the research questions and what methods will be employed to collect this information (Lincoln et al., 2011). The research design first directs and then locates the researcher in a position to access the specific places, people, institutions and interpretive documentation relevant to the focus of study (Lincoln et al., 2011).

This is a qualitative study overarched by a social constructivist -interpretive paradigm discussed in section 6.2.1 above. Higgs and Cherry (2009) emphasise that qualitative research approaches present key strengths in the study of situations that involve individuals in complex practices. Mertens (2009) concurs with Higgs and Cherry (2009) and states that qualitative methods are characterised by exploring and explaining complex issues. Researchers are therefore encouraged to adopt multidisciplinary perspectives and engage with varied methods. Qualitative research allows for deeper exploration of theoretical issues and matters that involve complex practices (Denzin & Lincoln, 2011). Qualitative research reflects a commitment to exploring in-depth understanding of the phenomenon studied through an interpretive and naturalistic approach that allows for the collection of 'rich data' that can explore the 'why' and the 'how' of the problem, not just the 'what' (Mertens, 2009). To collect these rich data, qualitative research emphasises the employment of comprehensive, coherent, interdependent and dynamic structures and processes throughout the research process. Interpretive research tools include conversations, interviews, field notes, photographs and recordings that are used to make sense of what is being studied.

This study is an in-depth reflective description of SMTs' experiences of professional and personal development and challenges. Higgs and Cherry (2009) emphasise that qualitative research involving complex practices needs to employ the following six essential guidelines during the research process:

1. recognition of research as a powerful tool for shaping social change;
2. recognition of research as an interpretive act and a journey of learning;
3. location of research strategy within an articulated and congruent research paradigm;
4. respect for all participants;
5. simplicity in presenting the findings; and
6. quality through credibility, rigour, ethical conduct and contribution of new knowledge.

With the first guideline, Higgs and Cherry (2009) contend that qualitative research provides in-depth information of realities pertaining to important social issues. This in-depth information can be used to influence and bring about change, as was the aim in this study. The second and third guidelines have been addressed in the earlier discussion of the research paradigm. By engaging with a social constructivist-interpretive paradigm and employing a qualitative design, the researcher could construct knowledge together with the participants to interpret the responses and verify whether perceptions and realities were understood as the participants intended. Within this paradigm, both the researcher and the research participants were engaged in making meaning of the phenomenon being studied. The fourth guideline is addressed later in this chapter. Throughout the research process, the researcher made sure that all aspects of the research process were pre-negotiated and clearly understood by all stakeholders, including the various district offices, schools and research participants. This is explained in more detail in section 6.3. The fifth guideline is addressed in Chapter Seven. Keeping the findings simple ensures that they are accessible to a wider audience and easy to understand, as English is not the first language of many SMT members in South Africa. The sixth guideline is addressed in the study as a whole. The researcher made every effort to ensure that all aspects of the research process were credible and rigorous, as is indicated in section 6.8. The discussion of the findings in Chapter Eight and recommendations in Chapter Nine indicate that this research makes a contribution of new knowledge pertaining to how these recommendations can evolve and improve the current experiences of professional and personal development for SMTs in South African schools.

The qualitative design of this study included a document analysis, three focus group interviews with six SMT members from each of the three rural primary schools, and 18 individual interviews. The document analysis orientated the researcher to the question being studied and included a study of national policy documents, national reports, national policy guidelines, job descriptions of the roles and responsibilities of SMTs, and research reports on SMTs' professional development. The focus group and individual interviews employed both open-ended and closed-ended questions (Henning et al., 2004). The focus group interviews preceded the individual interviews to enable individual research participants to engage optimally with their peers and to feel less intimidated. The researcher conducted the focus group interviews through a process of careful group facilitation to make sure all research participant voices were heard (Greef, 2005). The group facilitation process during the focus group interviews produced rich, valuable information through active engagement by all research participants. The interactions during the focus group enabled a similar quality of participation during the individual interviews, which enhanced many of the focus group responses (Ritchie et al., 2013).

The research design enabled the researcher to triangulate the data from three sources, namely, document analysis, focus group interviews and individual interviews. The sample of research sites and participants also assisted with triangulating the data from three rural primary school SMTs in three different provinces in South Africa. Although the findings cannot be generalised, given the small sample, they provide meaningful insights into professional and personal development experiences of SMTs for consideration across the nine provinces in South Africa.

6.3. Research Context

The broader research context is educational change in South African schools. The primary research context of this study is change as it pertains to SMTs since democracy in 1994. The focus of analysis in this study is SMTs' experiences of professional and personal development in three rural primary schools as explained in some detail at the end of this section. Rural schools in this research refer to schools that are located between 65 and 80 kilometres from a municipal town, are only accessible to staff and learners via gravel roads, have no electricity or running water, have pit toilets and are under the authority of a tribal chief. All three schools are situated in areas of South Africa formerly referred to as homelands or Bantustans and were under the

authority of the Department of Education and Training until 1994, as discussed and illustrated in Chapter One.

6.3.1. Research Sites and Participants

Table 6.1 below outlines the research sites and participants of this study, and describes the physical context of each school. The number of classes per grade is indicated along with the available teachers and teacher shortages. The table also indicates the distances between the schools and the various education offices that are mandated to provide these schools with CPD and how often the officials visit these schools. Also indicated is the composition and ages of the SMT members at each school. In chapter one it was indicated that these schools were part of the MMLF school development and support project and the researcher was the developmental practitioner within the project. This is elaborated in 6.3.2 below.



Table 6.1 Research sites and participants

Description of rural school	Province – school district	Research participants
<p>One class per grade R-7. 45-65 learners per class. 12 teachers available with teachers needed. Seven classrooms with four needed. The school has no running water or electricity with pit toilets. The school is 50-80 km from town, only accessible on gravel road and not accessible when it rains.</p>	<p>Mpumalanga Province Bohlabela School District In the former homeland of Kangane. School A is 65 km from district office, 125 km from the provincial office. Limited support is provided by the Provincial officials. The circuit manager visits the school twice per year only for 1-2 hours for administrative compliance.</p>	<p>SMT consisting of 6 members: Principal – Male, 63 years old Deputy principal – Female, 52 years old. HOD – Female, 64 years old. HOD – Male, 61 years old. HOD – Male, 60 years old. HOD – Male, 59 years old.</p>
<p>Three classes per grades R-9. 60-70 learners per class. 20 teachers available with 10 teachers needed. 12 classrooms available with 18 needed. The school has no running water or electricity, with pit toilets. The school is 80-100 km from town and only accessible on gravel road and not accessible when it rains.</p>	<p>Eastern Cape Province Libode School District in the former homeland of Transkei. School B is 95 km from district office, 400 km from the provincial office. Limited support is provided by Provincial officials. The circuit manager visits the school twice per year only for 1-2 hours for administrative compliance.</p>	<p>SMT consisting of 6 members: Principal – Male 62 years old. Deputy principal – Female 60 years old. HOD – Male 59 years old. HOD – Male 56 years old. HOD – Female 42 years old. HOD – Female 40 years old.</p>
<p>Two classes per grade R-9. 50-60 learners per class. 20 teachers available with 5 needed. 12 classrooms available with 8 needed. The school has no running water or electricity, with pit toilets. The school is 80-100 km from town, only accessible on gravel road, not accessible when it rains.</p>	<p>Kwa-Zulu Natal uMzinyathi School District in the former homeland Kwa Zulu. School C is 65 km from the district office and 400 km from the provincial office with limited support from Provincial officials. The circuit managers visit the school twice per year only for 1-2 hours for administrative compliance.</p>	<p>SMT consisting of 6 members: Principal – Female 60 years old. Deputy principal – Male 39 years old. HOD – Male 59 years old. HOD – Male 40 years old. HOD – Female 35 years old. HOD – Female 33 years old.</p>

Table 6.1 above describes the rudimentary and challenging physical context of each of the three research sites involved in this study, indicating both the physical and social challenges the SMTs have to contend with every day before even considering the formal roles and responsibilities they are to fulfil. The table also indicates the distances between the district and provincial offices and staff mandated by policy to offer professional development and support to these schools. This distance clearly impacts on how often these officials visit the schools and what the visits focus on. The table also indicates the composition, gender and age of the research schools' SMTs. It is evident that males still dominate the composition of school leadership and management. With regard to age, most SMT members are close to the mandatory South African retirement age of 65 years old. The three schools' contexts are similar, as they are all located in former homelands. The table also indicates that each school has a full SMT complement consisting of a principal, deputy principal and heads of departments as mandated by policy for SMTs (DOE, 2008b). Each SMT contains six members per school and the age groups of most SMTs are close to retirement, which is 65 years old in South Africa. The ages of most SMT members indicate that they are in the generative stage of their life, discussed in Chapter Five, where most people feel the need to contribute and make a meaningful difference within their context.



Figure 6.1 Provinces of South Africa since 1994 (Google, n.d.)

Figure 6.1 above illustrates the reconfiguration of South Africa's nine provinces since democracy in 1994. It also indicates the three provinces where the research schools are located, namely, Eastern Cape, Mpumalanga and KwaZulu-Natal.

The reason for choosing three schools in different school districts and different provinces was to gain a broad perspective that could illuminate trends that might be applicable in other schools across South Africa in similar contexts. Bless, Higson-Smith and Kagee (2006) describe this as representative sampling which is intended to duplicate the characteristics of the population that the sampling group resembles as closely as possible. Jupp (2006) also refers to purposive sampling which was employed in this study because the researcher consciously selected research participants for inclusion in the study, knowing that the participants have information the researcher needs. The researcher needs to select the research participants carefully to ensure the information the research participants have is relevant to the study in order to ensure its contribution to new knowledge (Jupp, 2006). Bless et al. (2006) caution that three types of

sampling errors may occur, including the possibility that one characteristic of the population and not another has been included, bias in selection, and non-responsive error. The researcher took cognisance of these cautions as discussed below to ensure the trustworthiness of this study (Denzin & Lincoln, 2011).

For this study, three rural primary schools with similar contexts were selected from three different provinces as indicated in Table 6.1 above. All SMT members were included to engage in the focus group interviews that involved six research participants per school (Greef, 2005). All SMT members were included in the 18 individual interviews to verify responses from the focus groups. All 18 research participants were selected on the basis of them being SMT members who are all expected to understand, engage with and implement SMT policy requirements (DOE, 2008b). All 18 research participants' responses provided rich pictures of their own experiences of professional and personal development as SMTs, and possibly what is experienced nationally. Focus was also placed on highlighting challenges and suggestions of how the SMTs believe they should be supported professionally to implement their new roles and responsibilities.

6.3.2. The Researcher as Instrument

In qualitative research, the researcher is an instrument for the administration, collection and generation of analysed data. The researcher determines what questions are asked, what observations are made, what is noted and what is given preference (Mertens, 2009). It is therefore crucial to acknowledge the values, beliefs, assumptions, opinions and experiences that the researcher brought to this study.

As mentioned in Chapter One, from 2008–2011 I was the developmental practitioner who worked directly with the SMTs in 16 schools within the MMLF project. This included the three research schools in this study. My role as the developmental practitioner was to train and support SMTs to better understand and practically implement policies to improve their leadership and management practices in challenging, under-resourced and disadvantaged rural contexts. On completion of the MMLF project my role changed to that of researcher. The focus of my research was not to evaluate the MMLF project but rather to explore and understand how the SMTs of three rural primary schools experienced professional and personal development as required by policy. My role within these three schools was therefore very different from before and

considerable attention was given during the data collection process in 2013 with participants and in supervision to clarify boundaries and roles.

The researcher is an education development and change practitioner by profession. She has worked in the area of school development and change for the past 27 years. Her professional experience includes nine years of teaching experience as a primary school teacher. For 18 years she has been involved in training, supporting, developing, coaching and mentoring of teachers, SMTs, circuit managers, education district directors and district management teams. Currently, she is the Director of the Pearson Marang Education Trust, formerly known as the Maskew Miller Longman Education Foundation.

Since 1998, the researcher has conceptualised, developed, facilitated, mediated, monitored and managed professional development programmes for district officials, including circuit managers together with SMTs. These professional development programmes included regular participatory workshops, follow-up school-based support, practical demonstrations of policy requirements, and mentoring and coaching sessions. The focus of these capacity building sessions was to establish, maintain and sustain professional development practices based on needs identified collaboratively with participants. This included practical engagement through modelling and demonstrations to enable SMTs to better understand how to practically implement policy meaningfully and effectively at schools while at the same time understanding the roles and responsibilities necessary to enable this. Balancing professional and personal development is an approach that the researcher believes in and adopts in all her professional development capacity building training sessions. These perspectives have influenced the researcher's research interest, choice of research topic and research questions. This approach has also influenced her preference for engaging in a social constructivist -interpretive research paradigm (Mertens, 2009) and the associated qualitative approach to this research study.

On a broader holistic level, the researcher regards herself as a social activist who enables, supports and develops human capital in the field of educational leadership and management. This research advocates for a more balanced approach to professional development: one where personal development is foregrounded in all SMT training and development as well as more broadly in all aspects of the education system in South Africa. The researcher believes that

striking a balance between professional and personal development could ensure a positive and more meaningful impact on development at all levels within the school system in South Africa, and at the same time-fast track the process of change. Most importantly is how, by balancing professional and personal development, democratic leadership and management practices at under-resourced and disadvantaged schools can be developed, maintained and sustained more meaningfully and effectively.

Given the researcher's personal and professional background, it was crucial to continuously reflect on her own practice and bias as a professional development and change during the entire research process. Change agent in this study means facilitating professionals to enable them to identify and make their own required changes as suggested by Fullan (2009). This reflective process was necessary due to the researcher's existing relationship with the research participants and her assumptions that professional and personal development need be integrated as they are interconnected, which could be seen as her bias influencing her research findings (Merriam, 2009). According to Merriam (2009), qualitative research acknowledges that the researcher and research participants influence each other in making sense of what is being studied. The researcher is not an objective observer and at some stage engages as an equal participant in the research process. Lincoln et al. (2011) indicate that researchers bring their beliefs and assumptions into their research, based on the paradigm they choose for their research study. Researchers' beliefs and assumptions guide their thinking throughout the research process to answer the research question.

The researcher was vigilant in acknowledging and managing her bias to focus only on the SMT's perceptions of how they experienced professional and personal development. She made sure to not let her observations as the developmental practitioner during the MMLF project influence her assumptions throughout the research process. She also kept in mind the six essential elements of qualitative research (Higgs & Cherry, 2009) as indicated earlier. The researcher therefore kept meticulous field notes to reflect on with her peers and supervisors to maximise her objectivity and to limit the impact of her personal perspectives on the research design, methodology, data collection, analysis and findings of this study. The reflective process with her peers and supervisors also enabled her to ensure credibility, confirmability, dependability and transformability for the trustworthiness of this study (Marshall & Rossman, 2011).

6.4. Data Collection Methods

6.4.1. Phases of Data Collection

The data collection for this study was conducted in a particular sequence and the justification thereof is presented as follows. Firstly, a document analysis was conducted to understand and establish policy expectations in relation to the roles and responsibilities of SMTs. According to Strydom and Delport (2005), a document analysis is an effective strategy to orientate the researcher to the question of the study. Secondly, three focus group interviews involving six SMT members per focus group per school were conducted. The focus group engaged the research participants with an interview schedule that included open-ended and closed-ended questions (see Appendix 4). The purpose of the focus group interviews was to explore the experiences of the entire SMT as a collective group, with regard to their professional development experiences relating to their roles and responsibilities. Thirdly, 18 individual interviews were conducted to primarily verify the responses from the three focus group interviews per school. The individual interviews engaged the research participants with an interview schedule that included open-ended and closed-ended questions (see Appendix 5). The second purpose of the individual interviews was to explore SMT members' personal development experiences with regard to their roles and responsibilities.

The phases of data collection and the sources from which the data were drawn upon are depicted in Table 6.2. that follows.

Table 6.2 Phases of data collection

Data collection phase	Data sources	Procedure
<p><u>Phase One</u> To understand and establish policy expectations in relation to roles, responsibilities and practices of SMTs</p>	<p>Constitution of the Republic of South Africa Section 195 (1996) Changing Management to Manage Change (DOE, 1996a) Education White Paper 2 (DOE, 1996b) The SASA (1996) Quality Education for All (DOE, 1997b) Employment of Educators Act (1998) Code of Professional Ethics (SACE, 2000) WSE Guidelines (DOE, 2002) Understanding School Leadership and Governance (DOE, 2008b) Integrated Quality Management Systems (DOE, 2010a) Personnel Administrative Measures (DOE, 2011) NEEDU Report (2013) Each policy document above had an accompanying set of guidelines</p>	<p>Document analysis</p>
<p><u>Phase Two</u> To explore the experiences of SMTs as a collective with regard to their experiences of professional development regarding their roles, responsibilities and practices</p>	<p>18 SMT members</p>	<p>Three focus group interviews One per school with six SMT members</p>
<p><u>Phase Three</u> To verify the focus group responses and explore personal development experiences and how these influenced SMT practices</p>	<p>18 SMT members</p>	<p>18 individual interviews</p>
<p>Underpinned by a literature review presented in Chapters Three, Four and Five that included: educational change; school leadership and management; and professional and personal development</p>		

Table 6.2 above illustrates the three phases of data collection employed in this study. All policy documents listed, together with their guidelines and available associated reports, were analysed to give the researcher an in-depth understanding of the question being studied.

The section that follows focuses on the data collection methods used during each phase of data collection for this research. Three data collection methods, namely, document analysis, focus groups and individual interviews, were employed to generate ‘thick descriptions’ of SMT members’ experiences of professional and personal development. The emphasis was on capturing rich responses from the research participants in order to understand their experiences in some depth (Henning et al., 2004). The research instruments used for the focus group and individual interviews were semi-structured interview schedules (Appendices 4 and 5). Both semi-structured interview schedules included open-ended, exploratory and confirmatory questions (Greef, 2005). The development and application of the semi-structured interview schedules are discussed in the sections that follow.

6.4.2. Document Analysis

A broad document analysis was done to enable the researcher to have an in-depth understanding of the policy requirements of the expected roles and responsibilities of SMTs. According to Strydom and Delport (2005), a document analysis is an effective manner to orientate the researcher to the question of the study. A document analysis is a necessary research process that involves an in-depth examination of documents related to a particular study. Strydom and Delport (2005) contend that a document analysis is an effective research strategy to orientate the researcher to the question of the study and to provide the researcher with information that relates to the key issues being studied. Document analysis can include, but is not limited to: policy documents, policy guidelines, job descriptions, reports, academic papers, theses, media and archival documents, electronic documents, photographs, tape recordings and interviews. It is important that researchers make certain that the documents used in the document analysis are authentic and that they are using the most updated versions thereof (Mertens, 2009). Mertens (2009) also indicates that the researcher must be clear about the reason for referring to a particular document and its relevance to the study.

A summary of the main documents reviewed for the document analysis for this study is indicated in Table 6.2 above. The overall focus was to review national documents: national policy documents, national policy guidelines, job descriptions detailing the new roles and responsibilities of SMTs, and research reports on school management teams and professional development.

The analysis involved an in-depth examination of the documents listed in Table 6.2 as well as media reports, archival materials, educational plans and reports to deepen the document analysis. Information gathered from the document analysis was used to guide the focus group and individual interviews. This is because, according to Mertens (2009), it is important to use documents in an informed way, taking into consideration the context and use for which they were originally created. The document analysis enabled the researcher to interrogate the documents indicated in Table 6.2 in order to clarify the expected roles and responsibilities of SMTs. The interrogation of the documents confirmed the importance and priority of providing support to SMTs during a time of policy change and the responsibility and mandate to provide this professional development and support to SMTs. The confirmation of the importance and priority of providing professional development and support to SMTs warranted an investigation of professional development for SMTs. This confirmation from the document analysis also informed the development of the semi-structured interview schedules used for the focus group and individual interviews in this study.

The advantages of a document analysis are that it is not expensive to conduct and the content is not affected by the researcher. The disadvantages are that documents are sometimes not easily available, they are sometimes dated, some are incomplete, they reflect the bias of their authors, many are quite huge, they do not always have the same format, and they rely heavily on the language and cognitive skills of the reader (Strydom & Delport, 2005).

6.4.3. The Interview Schedules

The structure of the semi-structured interview schedule and the formulation of the questions are crucial to the success of the data collection process. The semi-structured interview schedule comprised of both closed-ended questions to elicit factual data and open-ended questions to elicit in-depth perspectives of opinions, feelings and experiences. Exploratory and confirmatory

questions were included to get in-depth understandings of responses and to make sure the participants were able to clarify what they meant. It enabled the researcher to get participants to elaborate on their responses (Creswell, 2014).

While employing a semi-structured interview schedule, the researcher maintains a clear list of questions to be answered, but needs to be prepared to be flexible in terms of the order in which the questions will be asked. Flexibility enables the participants to engage openly, honestly and in depth. Semi-structured interview schedules need to be used as a continuum in order for the interview to slide back and forth between questions, while still keeping the focus on engaging with all questions. The advantage of employing a semi-structured interview schedule is that it allows the research participants to engage in their own words, 'to speak their minds', and to share their opinions, feelings and experiences. Semi-structured interview schedules therefore aim 'to discover' rather than 'to check' (Creswell, 2014).

Semi-structured interview schedules were employed during both the second and third phase of the data collection process during this research study, namely, during the three focus group interviews and the 18 individual interviews. The main aim of employing a semi-structured interview schedule was to enable the research participants to engage in their own words, 'to speak their minds', and to share their opinions and feelings regarding their experiences of professional and personal development, as suggested by Creswell (2014). The semi-structured interview schedules were predominantly employed to illuminate an authentic picture of SMT practices with regard to their roles and responsibilities within the context of educational change. Focused attention was paid to link the questions to the specific research questions during the development of the semi-structured interview schedules for both the focus group and individual interviews. This was done to ensure that all the questions were relevant, in order to maintain the focus of the study. The semi-structured interview schedules for both the focus group and individual interviews went through successive revisions while consulting with key informants engaged in the field of this study to ensure that relevant questions were developed. Once all feedback had been incorporated, the semi-structured interview schedules were piloted in the most rural school district in the Western Cape. The pilot study enabled the researcher to identify areas that needed improvement on both semi-structured interview schedules, correct them and then employ them with the three rural primary schools SMTs in Mpumalanga, Eastern Cape and

KwaZulu-Natal. The corrections involved framing the questions more clearly to avoid ambiguity and to ensure that research participants could respond more freely by understanding what was being asked, as English was not the first language of all research participants.

The key issues which were explored using the semi-structured interview schedule during the focus group interviews focused on professional development experiences included:

- context of educational leadership and management in South Africa;
- changes in education that influenced leadership and management in schools;
- current leadership and management practices at schools;
- new expected roles and responsibilities from policy;
- professional development experiences; and
- implications for development and support of SMTs in South Africa.

(See Appendix 4)

The key issues which were explored using the semi-structured interview schedule during the individual interviews focused on personal development experiences and included:

- personal development needs;
- personal development experiences; and
- personal development challenges.

(See Appendix 5)

6.4.4. Focus Group Interviews

In qualitative research, focus groups are also referred to as ‘collective conversations’ or ‘group interviews’ and they may vary in size (Greef, 2005; Henning et al., 2004). Focus group interviews are useful because they stimulate discussions around shared experiences by the group participants and are able to generate large volumes of information in short periods of time (Denzin & Lincoln, 2011). Greef (2005) describes a focus group interview as an interview that relies on the interaction of the participants more than on the questions being asked. It is through the group dynamics and interactions that participant experiences and opinions are elicited. Focus

group interviews can therefore be regarded as problem-solving discussions, as they are rich and complex places to collect common knowledge of practices (Mertens, 2009).

According to Mertens (2009), the focus group interview is appropriate when the researcher is interested in how individuals form opinions of their experiences of a problem and interpret them from their lived experiences. This means that focus group interviews allow for multiple voices to be heard and for participants to construct and reconstruct meanings through their interaction with each other and the researcher. Participation encourages ownership and promotes open discussions and joint construction of participants' experiences, aligned to the social constructivist-interpretive paradigm adopted in this study. Mertens (2009) goes further to explain that focus group interviews are more meaningful when exploring thoughts, feelings and behaviour. Group dynamics allow for rich data to emerge as participants share and compare their perceptions, experiences, desires and issues of concern with each other. Focus group interviews require that the researcher is able to facilitate group dynamics to ensure maximum participation by all and no domination by any one of the participants. Participants are also prompted to make clear what they mean about unclear statements. Prompting participants to explain what they mean shows the participants that the researcher is interested and values their responses in the group. Prompting can serve as encouragement to participants who are less comfortable to speak in a group setting (Greef, 2005). Greef (2005) also suggests that a group size of four to six participants is suitable to enable maximum participation to collect rich data.

Greef (2005) highlights the strengths of focus group interviews in that they *provide immediate feedback from discussions with the participants*. The researcher is able to have immediate access to data related to the study from a variety of participants. Immediately, the researcher also has access to a variety of perspectives involving the issues being studied. Focus group interviews also *provide an opportunity to explore what participants think, do and feel*. Researchers can only have and make assumptions about what participants think and feel before engaging with the focus group. During and after the focus group, researchers can immediately clarify and change their assumptions about what the participants are thinking and how they are feeling, as they have just elicited responses from the participants.

In addition, focus group interviews also *provide rich data in the participants' own words that can lead to deeper insights*. The researcher now has access to data to verify what the participants mean so as to better understand the issue being studied. The insights from the focus group can enable the researcher to adjust and improve information about what is being studied. Focus group interviews also *allow participants to build on each other's responses and come up with ideas they might not have thought of*. The focus group gives all participants the opportunity to hear what others are thinking and feeling. Hearing how others think and feel can assist the participants to also better understand each other and make adjustments for themselves (Greef, 2005).

Focus groups *make it possible to explore the authenticity of the responses*, and allow the researcher to access first-hand information instead of listening to 'second-hand' information. If researchers are unclear, they can ask and probe further to understand the point of view of the participant. *It is cost effective for gathering primary data through a group perspective*. Researchers can access as much information as necessary at one time and do not need to return several times to make sure they got responses from all participants. The researcher can also clarify if there are any misunderstandings. Focus group interviews *are time efficient*. The researcher is able to save time by listening to and engaging with the entire group at once instead of listening to each participant one at a time (Greef, 2005).

The limitations of focus group interviews are that the researcher can spend too much time trying to elicit responses from each of the focus group participants (Creswell, 2014). The researcher has to be vigilant while being realistic. The researcher therefore has to spend considerable time to plan the process thoroughly before engaging in the process. This involves doing a trial of conducting a focus group interview, which takes time and willing participants. Experience in facilitating group dynamics is an essential skill to employ during the focus group interview and takes time to develop. Knowing how much data must be collected can cause anxiety, which the participants may pick up during the focus group interview and therefore disrupt the group dynamics and flow of gathering data. Sometimes, researchers just have to go with what they feel, which could also bias their research (Henning et al., 2004). A major challenge facing the researcher is transcribing recordings from multiple voices (Creswell, 2014).

Prior to the focus group interviews, consent was obtained and provision was made to record the participants views to enable the researcher to be fully attentive and facilitate group dynamics. The focus group interviews were conducted in English with prior understandings that participants who felt more comfortable to respond in their mother tongue could do so with another participant doing the translations. This was agreed to at the beginning of all interviews. This included isiXhosa (in the Eastern Cape), isiZulu (in KwaZulu-Natal) and Sepedi (in Mpumalanga). All translators were negotiated prior to all interviews from within the focus group. All participants chose to engage in English.

Once the necessary permission had been obtained from the education departments as part of the ethical considerations, the SMTs were approached to voluntarily participate in the study. The interviews were scheduled at the participants' convenience to avoid disruptions of their daily school responsibilities. All participants were assured of complete confidentiality and encouraged to unreservedly disclose as much information as they felt comfortable to share. All participants were given the option of withdrawal at any time.

The original research plan was to conduct the focus group interviews in February and March, during the first term of the school year, and the individual interviews in April and May, during the second term of the same school year. Before the researcher conducted the focus group interviews, the SMTs informed her that the education department was in the process of redeploying excess teachers, which had to be completed by the end of the first school term with an extension to the end of April. This meant that some of the SMT members at the research schools might not have been at the school during the second term of the school year for the researcher to conduct the individual interviews. This would have had implications for the individual interviews not having the full cohort of six SMT members to be interviewed. The SMTs of all three research schools suggested that the researcher also complete the individual interviews by the end of April. The researcher therefore had to conduct both the focus group and the individual interviews in the first school term. This meant that, between February and April, the researcher had to spend one full week at each of the three research schools. The researcher therefore conducted the three focus group interviews, which included a cooked lunch, after school, and conducted the 18 individual interviews when the teachers had free classroom teaching time and after school.

The focus group interview process was conducted in each of the three schools indicated in Table 6.1 above, involving eighteen school management team members in total. The key issues which were explored focused on professional development experiences and included:

- context of educational leadership and management in South Africa;
- changes in education that influenced leadership and management in schools;
- current leadership and management practices at schools;
- new expected roles and responsibilities from policy;
- professional development experienced as SMTs tried to embrace new roles and responsibilities; and
- implications for development and support of SMTs in South Africa.

Before the focus group interviews were started, the researcher had arranged for lunch to be served and engaged in an informal conversation with all participants together to give them an overview of the questions. Prior agreement was made to audio-record the focus group interviews and the researcher made sure that all participants understood their right to refuse the recording to proceed or to stop at any time. Fortunately, all participants held to the prior decision to record. The purpose was to make all participants feel comfortable, to encourage everyone to participate freely in all discussions, and to ensure them that all contributions were valuable. The focus group interviews allowed enough time for discussion, verification and reflections of participants' understandings of the key issue being studied. Enough time was given as this was the first time that participants had been engaged in open discussions on the issues raised. Once all the participants were briefed and indicated to the researcher that they were comfortable to begin with the focus group interview using the semi-structured interview schedule (Appendix 4) pertaining to their experiences of professional development, the focus group interview began.

While engaging with the specific questions from the semi-structured interview schedule (Appendix 4), the researcher allowed flexibility to enable participants to fully engage with the scope and depth of their experiences, revealing data that were rich and comprehensive. In order to be flexible, the researcher had to employ facilitating group dynamics to make sure of maximum participation by all and no domination by any one of the participants (Greeff, 2005). Even though the researcher employed a semi-structured interview schedule, she still had a clear

outline of questions to be addressed. The researcher was prepared to be flexible in terms of the order of asking the questions to enable the participants to develop their ideas and speak more widely about questions raised by the researcher. The purpose of the closed-ended questions was to gather factual data. The open-ended, exploratory and confirming questions were to enable the participants to elaborate on questions. By facilitating group dynamics, the researcher was able to conduct the focus group interviews within the three hours negotiated with the research participants. During the focus group interviews, the participants were able to share with not only the researcher but also with each other, which was a new experience for them. This flexibility enabled the discussions to be deeper and richer, and also allowed participants to learn from each other. The focus group interviews therefore facilitated interaction through reflection, which encouraged rich debates and careful reflection on their expected new roles, responsibilities and practices. Time was also allowed for concerns and challenges to be raised on a collective group level. Participants were encouraged to ask their fellow SMT members to clarify what they meant and also to share common strategies to address issues of concern and challenges.

The focus group interviews therefore unintentionally also served as a sharing, reflection and evaluation session where the SMTs could openly and honestly reflect on their perceptions and understandings about the issues being studied, namely, experiences of professional development with its respective roles and responsibilities within a change context. During informal conversations after the focus group interviews, many of the participants shared how valuable the focus group interviews were as they felt that they were given the opportunity to openly engage with their colleagues and share experiences, perceptions and practices, a process unfamiliar to them. They also shared how they all saw the value in engaging in such an introspective and reflective process. The participants also shared how they saw the value of regularly engaging in such a reflective open discussion process to face and deal with their issues of concerns and challenges.

The main focus and purpose of the focus group interviews was for the participants to illuminate for the researcher how they as SMTs experienced professional development. The focus group interviews therefore enabled the SMTs to acknowledge how they think and feel about and implement their expected roles and responsibilities, and enabled the SMTs to reflect upon their current practices in relation to their expected practices. Careful group dynamics facilitation that

employed a semi-structured interview schedule (Appendix 4) guided the focus group participants to freely reflect and engage in open discussions about their professional experiences in a time of change.

The broad issues that emerged from the focus group interviews were explored further during the individual interviews to verify responses and also to explore the personal development experienced by the SMTs.

6.4.5. Individual Interviews

It is important to note that much of what has been discussed regarding focus groups in the previous section also applies to the individual interview as a data collection process. An individual interview within qualitative research is a specific conversation between two people, namely, the researcher (interviewer) and the research participant (interviewee) (McNamara, 1999). There are similarities between a conversation and an interview, though interviews are more than just a conversation. An interview has a specific purpose and is structured around a series of predetermined questions. An interview includes a set of assumptions and understandings about the specific study not normally associated with a conversation. An interview also involves the interviewee giving prior consent to engage in the conversation to satisfy ethical considerations. The interview is done openly with the intention to produce data that will be used only for research purposes (Denscombe, 2007). Interviewee responses must be regarded as 'on the record' and 'for the record'. Interviewees have the right to indicate that their responses may not be attributed to them or not be made public. Unless interviewees specify to the contrary, all interview responses are 'on record' and 'for the record' (McNamara, 1999).

According to McNamara (1999), the features of individual interviews are that the researcher sets the agenda for the interview, does all the preparation, sets the criteria, determines who will be interviewed, decides on the types of questions asked and the sequence of questions, controls the interview procedure and finally analyses the data from the interview. The main *agenda* of the individual interview is to engage the interviewee to elicit information that can be utilised as data for the research study. During the *preparation* phase, the interviewer makes certain that there are no distractions. The purpose of the interview is then discussed to make sure interviewees fully understand what is expected of them throughout the entire interview. All issues of confidentiality

are explained to make sure the interviewees understand their right to stop the interview if they feel uncomfortable. Then the format and duration of the interview are explained. Contact information is shared to enable the interviewee to make contact if they wish to withdraw or if they are not available on the negotiated date for the interview to take place. Finally, the interviewer needs to make sure that there is no doubt about any aspect of the interview process (McNamara, 1999). According to Denscombe (2007), the interview should encompass trustworthy *criteria* that include structure, clarity, caring, steer direction, being critical, knowledgeable, interpretation and remembering.

Structure ensures there is a procedure for the interview to follow. *Clarity* enables the interviewer to speak clearly, understandably and use simple language. Being *caring* shows that the interviewer, is tolerant, sensitive and patient. *Steering direction* indicates that the interviewer is in control and avoids digressing from the topic. Being *critical* enables the interviewer to assess the reliability and validity of responses. Being *knowledgeable* indicates that the interviewer is familiar with the topic. The interviewer must be able to *interpret* responses of the interviewee. Finally, the interviewer must be able to *remember* what was shared during the interview (Denscombe, 2007).

During interviews, it is vital to decide what kinds of *questions* will be asked in order to elicit relevant data for the research study (McNamara, 1999). For the purpose of this research study, open-ended, closed-ended, exploratory and confirmatory questions were employed in the semi-structured individual interview schedule. The purpose of the closed-ended questions was to gather factual data. The open-ended, exploratory and confirmatory questions were to enable the participants to elaborate on questions. Open-ended, exploratory and confirmatory questions are more suited to elicit responses regarding opinions and values that address what interviewees think about the topic, feelings that explain how interviewees feel about the topic, and behaviour that indicates what and how the interviewee does what the topic is exploring (McNamara, 1999).

The *sequence* of the interview is also important and the interviewee needs to be involved as soon as possible. The interview *procedure* needs to establish facts first and then elicit opinions on the topic. Fact-based and opinion-based questions should be interspersed and the interviewer should be sure to ask about what is happening in the present, past and future. The interviewer must also

make sure to ask interviewees if they would prefer to share any other information linked to the topic and ask what their impressions are of the interview process. Finally, an *analysis* of the interview is necessary to ensure that the data for the research were obtained (Denscombe, 2007).

Denscombe (2007) and McNamara (1999) state that the interviewer must make sure that all stages of the interview process needs to be covered, including theme, design, interview, transcription, analysis, verification and reporting. The *theme* indicates the focus of the interview and why the interview is being done. The *design* needs to be planned thoroughly. The *interview* needs to be conducted using relevant instruments. Interview recordings must be *transcribed* for analysis purposes. *Analysis* of the interview is critical to develop research findings. All findings must be *verified* and finally *reported* (Denscombe, 2007; McNamara, 1999). The researcher made sure to follow the structures and procedures outlined above to ensure rich findings for this study.

According to Denscombe (2007), the advantages of interviews during qualitative research studies are that they are better suited as a data collection method to explore more complex phenomena. Interviewing is also best suited when the researcher needs to gather data about insights, like participants' opinions, feelings and experiences. The interview as research method is then more suitable to engage with the intricacy of the question being studied. The interview method is a more careful and considerate data gathering instrument that enables the researcher to gather more in-depth data. Using a considerate data gathering instrument enables and encourages the participants to discuss and engage more openly and honestly. Interviews allow the researcher to have immediate access to data for the research study. According to McNamara (1999), the first reason for the popularity of interviewing is that it is fairly easy to organise as it only involves negotiating a date, time and place between two people, namely, the interviewer and interviewee. Secondly, the opinions, feelings and experiences during the interview originate from only one person, enabling the researcher to allocate the particular response to a particular person. Thirdly, the interview is easier to control as the researcher only has to ask, probe and understand the responses from one person throughout the interview. Fourthly, transcribing is much easier.

Denscombe (2007), cautions that the similarity of a conversation and an interview can create the impression that an interview is a simple process to engage in. Researchers therefore need to be

careful, making time to fully understand the complexity of the interview process before engaging in the process. If researchers do not engage in a thorough understanding of the process, they could find themselves not doing thorough planning, preparation and conduct the interview method inappropriately and not gather the necessary quality of data required for their research study. Engaging in an interview process is not an easy process and can fail unless interviewers makes sure that thorough preparation is done, criteria and who will be interviewed are set, appropriate questions are asked, sequence of questions is correct, the interview procedure is controlled and finally that the data from the interview are analysed. Interviewers also need to make sure that they are sensitive to the complexities of the topic during the interview. Conducting interviews can be costly if participants are not close to the researcher and time-consuming if participants are not readily available when the researcher is available. Conducting interviews can incur costs to the participants who perhaps cannot afford the costs and can therefore influence their availability and participation. The researcher made sure that all these eventualities were planned for in advance and made sure that no costs or inconvenience was incurred to any of the 18 research participants. Thorough planning and preparation are no guarantee that participants will avail themselves for the interview; thankfully, all 18 research participant availed themselves for this study as pre-negotiated.

Individual interviews in this research entailed one-on-one discussions with each of the 18 individual participants from the three research schools. The aims were firstly to verify the comments shared in the focus group interviews and secondly to explore the participants' experiences of personal development and how this influenced the implementation of their new roles, responsibilities and practices. The individual interviews provided the participants with an opportunity to share their own personal understanding of how their personal development influenced their professional practices as SMT members. Before conducting the individual interviews, the researcher made sure she adhered to Silverman's (2005) three suggestions for conditions necessary to complete a successful individual interview:

- *Accessibility* – interviewees must have information the interviewer seeks.
- *Cognition* – interviewees must understand their role in the interview.
- *Motivation* – interviewees must feel their contributions are valued.

The researcher started each individual interview by sharing a brief overview of the broad issues that emerged during the focus group interviews. Starting with a broad overview was a strategy to remind each participant of the issues discussed and, more importantly, to enable the interviewees to feel more at ease. The researcher then continued with specific research questions to gain their personal development experience perspectives. The participants were encouraged to feel free to raise issues and ask questions or points of clarity that they believed were pertinent to the research topic, and the researcher also carefully probed for clarification. Silverman (2005) defines probing as encouraging the participants to give an answer, clarify or expand on an answer. Participants were also encouraged to respond to all questions in terms of what they thought was significant.

The individual interviews were audio-recorded with prior permission from participants. According to Arksey and Knight (1999), the advantage of recording the interviews is that the researcher can focus on what is being said and also demonstrate to the participants that their responses are being taken seriously. Recordings captured the discussions verbatim for the researcher and were destroyed after the completion of the transcripts, which formed part of the anonymity of the research participants. The researcher used the individual interviews to verify and further discuss issues that SMT members did not feel comfortable to discuss openly in the focus group interview, as suggested by Silverman (2005). The individual interviews were therefore used for further probing from a personal perspective of personal development experiences during a time of change. The individual interviews were guided by a semi-structured interview schedule (Appendix 5) to allow each participant to freely engage in a guided open reflective discussion.

The main focus of the individual interviews was to individually encourage and enable participants to reflect on their experiences of personal development as openly and honestly as possible. This was done by guiding the individual participants using both open-ended and closed-ended questions. During the individual interviews, the researcher reminded the participants of their anonymity. The researcher probed for clarity with all open-ended questions for authentic responses and encouraged participants to speak their minds. Sufficient time, an hour and a half, was pre-negotiated for the individual interviews. Some individual interviews were conducted during free-teaching time during the school day and some were conducted after school teaching time. This was done so as not to interrupt the classroom teaching and learning time.

By audio-recording the individual interviews, the researcher made sure that the individual interviews served to facilitate full interaction between the participants and the researcher. This research method served to indicate to the research participants that the researcher took and valued their responses seriously. The individual interviews were guided in a manner that also allowed SMT members sufficient time to reflect and share whether, as individuals, they needed to make some changes in their thinking about how they were doing things at their particular schools to effect changes regarding their current professional thinking and practice. The individual participants were also probed to share from whom, how and how often they should be receiving personal development to enable them to understand and implement their roles and responsibilities. Time was also allowed for SMTs to raise and discuss personal development concerns and challenges on an individual level to effect meaningful and effective change at their respective schools. Participants were continuously encouraged to clarify what they meant and to share strategies that they thought would best address their personal development issues of concern and challenges that were raised.

During the informal discussions after the individual interviews, most participants remarked on the value of the individual interviews. The participants shared their appreciation for being given the opportunity to share personal development experiences, perceptions and practices without being judged. They remarked how they now saw the value of engaging in more regular one-on-one reflective processes with each other as SMT members and with the rest of their staff.

6.5. Data Analysis

Data analysis is a focused process that engages the researcher in making sense of all the data collected for the study. The researcher has to examine, organise, reduce and interpret the data, and finally develop the data into research findings. The focused process of data analysis firstly involves reducing large amounts of raw data. Secondly, it involves ordering and restructuring the reduced data. Thirdly, it involves identifying categories from within the restructured data. Fourthly, it involves using the categories to develop themes to structure a framework to illuminate the essence of what the data is revealing. Finally, it involves presenting the data as research findings (Denscombe, 2007).

According to Denscombe (2007), qualitative data analysis is based upon *four guiding principles*. *Firstly*, the analysis and conclusions should be firmly grounded in the data. *Secondly*, the researcher's explanation of the data should emerge from meticulous reading of the data. *Thirdly*, the researcher should avoid introducing unwarranted preconceptions into the data analysis. *Fourthly*, the data analysis should involve an iterative process. All four principles are broadly based on the use of inductive logic, meaning that the researcher moves between the data and the theory related to the study. The analysis of qualitative data is based on logic of 'discovering things from the data': generating conclusions on the basis of what the data contains, and moving from the particular features of the data towards more generalised conclusions (Denscombe, 2007).

Creswell (2014), Denscombe (2007), Denzin and Lincoln (2011) and Merriam (2009) recognise five stages involved in the analysis of qualitative data:

- preparation of the data;
- familiarity with the data;
- interpretation of the data;
- verification of the data; and
- representation of the data.



The authors note that the above sequence is the most logical flow. In practice, the flow is not always followed sequentially as researchers often move in between the stages as the study progresses. To enable a rigorous process to produce research findings that are trustworthy, the researcher needs to operate between the various stages mentioned. The process of qualitative research is iterative and stages therefore need to be revisited as the study progresses. The iterative process does not imply that the stages can be used in any order, nor does it mean that the stages lack particular functions from raw data stage to completed analysis. It means that the qualitative researcher will need to move between stages, described as a 'data analysis spiral' by Creswell (2014). The researcher in this study carefully engaged in all five stages of data analysis to ensure presenting trustworthy research findings, presented in Chapter Seven.

Preparation of the data is vital before being analysed, as 'raw' qualitative data are not easy to process in any systemic manner. Qualitative data need time to carefully process to find recurrent

themes. Qualitative data therefore need to be collected and meticulously processed and filed so that the data can be analysed. The nature of the preparation depends on the format in which the raw data are collected. Creswell (2014) suggests four practical strategies to secure raw data, which the researcher followed for this study.

Firstly, the researcher made backup copies of all original documents, including field notes, recordings and computer copies, as they are irreplaceable. This process is time-consuming and can be costly; however, losing raw data is more time consuming and costly. The researcher stored all copies of original raw data in multiple safe places, separate from the original copies, which became the 'working copies' that were analysed. Secondly, the researcher collated and organised all data into a compatible format by using the same document templates, page sizes, headings and font sizes. Collating data in the same format made it easier to store and sift through when needing particular information. Thirdly, the researcher allowed space on all documents to make notes and comments later during the analysis process. Fourthly, the researcher identified each piece of raw data with colour for reference purposes. This enabled the researcher to identify where particular information was located when returning for verification. This colour code allowed her to move easily in and out of the data and in between the data. Colour coding the data also allowed for confidentiality and anonymity of data if required (Creswell, 2014). The researcher followed these four stages meticulously to make sure her raw data were secure, as it would have been very costly and time-consuming to travel back to the three research schools, and would unfairly impose extra time from the SMTs due to the negligence of losing raw data.

Familiarity with the data was necessary once the researcher had organised all the raw data. Familiarity with the data meant reading and rereading the text data to enable the researcher to develop a feel for the data by becoming immersed in all the details of the data. Familiarity with the data is necessary as time may have elapsed between collecting and organising the data. By rereading, researchers constantly remind themselves of the data collected. When returning to the data, researchers need to begin the process of referencing and cross-referencing the data. Reading the data with field notes grounds the researcher in the context of the study and helps to develop significant in-depth insights of what is being studied. Rereading enabled the researcher in this study to begin to 'read between the lines' to verify if implied meanings within the data were significant in terms of the research question. The researcher was then also able to begin to

look for things that were not in evidence that might be expected to exist in the data. Through the process of familiarity with the data, the researcher was in a position to identify appropriate codes that were applied to the data. Coding happened only once the researcher felt that she had a sound understanding and grasp of the data. The coding happened at different times; therefore, there was no predetermined exact time for this coding to begin. The process of familiarity continues throughout the entire research process (Denscombe, 2007).

Interpreting the data involves a series of four tasks. Firstly, the data must be *coded*. Codes are labels that are attached to the raw data. The labels can be colours, numbers, names or symbols to succinctly and systematically link sections of data to an issue that relates to the analysis. Secondly, the codes must be grouped into *categories*. The categories can contain a number of codes. Thirdly, the researcher must *identify themes* to show the relationships among the codes and categories. During this process, the researcher makes links to show the patterns and themes within the data. Fourthly, *developing concepts* enables the researcher to make general statements and conclusions based on the relationships, patterns and themes that have been identified in the data (Creswell, 2014).

According to Creswell (2014), the four tasks indicated above form part of the iterative process of qualitative research and are the steps in the 'data analysis spiral'. This means that each of the four tasks is likely to be revisited. The researcher in this study chose to use colour coding to determine her categories, main themes, sub-themes and concepts throughout the iterative data analysis process. Colour coding enabled the researcher to make visual and cognitive connections between the data.

Verifying the data is vital for qualitative research as researchers must have a manner of demonstrating that their findings are 'trustworthy'. Without verification, the research will lack credibility. Conventionally, credibility of research is assessed on validity, reliability, generalisability and objectivity; however, the credibility of qualitative research is assessed using more suitable criteria, which include credibility, dependability, transferability and confirmability, to not only assess but also demonstrate trustworthiness of the research study, as discussed in section 6.6 (Denscombe, 2007; Denzin & Lincoln, 2011; Merriam, 2009).

Denscombe (2007) highlights four main advantages of qualitative analysis: the data and analysis are 'grounded', richness and detail are present in the data, there is tolerance of ambiguity and contradictions, and there is the prospect of alternative explanations.

The data and analysis being 'grounded' is a main strength associated with qualitative research. The descriptions of the research are 'grounded' in real-life situations. This does not mean that they fully describe every aspect of the particular life situation; instead, they depict reality in a simple manner. This suggests that qualitative research is grounded in the context of social situations. *The richness and detail in the data* are captured in the study's focus on a particular small-scale context that can generate 'thick descriptions' to simply explain complex issues. This also enables the researcher to do justice to the issue being studied due to the small scale of the study size. *The tolerance of ambiguity and contradictions* is captured in the study's focus on a particular small-scale context that can generate 'thick descriptions' to simply explain complex issues. There is an acknowledgement that social issues have uncertainties, ambiguities and contradictions. *The prospect of alternative explanations* is possible as qualitative research incorporates the interpretive skills of the researcher. This means that the possibility exists that there can be more than one explanation. There are no presumptions that there is only one answer to a social issue and context. This also acknowledges the possibility that different researchers could reach different conclusions by employing the same research methods (Denscombe, 2007).

Denzin and Lincoln (2011) highlight five disadvantages of qualitative analysis as being: the data may be less representative, interpretation is bound up with the researcher, there is a possibility of decontextualising the meaning, there is a danger of oversimplifying, and analysis takes longer.

The data may be less representative as the emphasis for the researcher is on developing thick descriptions. In-depth studies on a small scale may be generalised to other similar studies, and generalisations are open to creating doubt as to whether the study was thoroughly conducted. Through regular reflection meetings with her supervisors, the researcher made sure this study was thoroughly conducted.

Interpretation is bound up with the researcher as researchers openly acknowledge their own beliefs, assumptions and values and the intimate role they play in the research process. The

acknowledgement of 'self' by the researcher can create caution about research findings. The researcher in this study made sure that she included herself as research instrument.

There is a possibility of decontextualising the meaning. During the process of coding and categorising data and field notes, there is the possibility that some data for field notes could be taken out of context. The context is a crucial part of the qualitative research process. The context means both the events surrounding the production of data and the events that precede and follow the analysis. The meaning could also get lost during the coding and categorisation phases. The researcher in this study made sure to acknowledge the research context and participant responses.

There is also the *danger of oversimplifying the explanations and discussions.* When researchers are identifying themes in the data to develop generalisations, they could feel pressure to overplay, underplay or disregard data that 'do not fit' the analysis. Inconsistencies, ambiguities and alternative explanations can tempt the researcher to exclude data. When studying social issues, inconsistencies, ambiguities and alternative explanations will emerge and therefore need to be acknowledged and not be oversimplified. The researcher together with her supervisors made sure to acknowledge any issues of inconsistencies, ambiguities and alternative explanations while analysing the data.

Qualitative analysis takes longer as researchers need to interrogate large amounts of data. Researchers need to make sure they have sufficient time and resources to thoroughly analyse the data. Qualitative analysis therefore requires careful and responsible decisions of how to analyse the large data to best report on the research findings. The researcher in this study made sure to consult with her supervisors throughout all phases of data analysis. Computer programmes can assist to manage the large amounts of initial raw data and throughout the analysis process (Denscombe, 2007).

The data analysis employed in this study constituted a qualitative thematic approach to analysing and interpreting the generated data (Denzin & Lincoln, 2011). A thematic approach was chosen to best illuminate the experiences and challenges of the SMTs as they tried to embrace their new roles and responsibilities in the context of change. Using the thematic approach allowed the researcher to highlight the challenges facing SMTs and their suggestions to address the challenges. Distinct themes that emerged using the thematic approach were employed as

descriptors to report on the findings of the research as suggested by Denzin and Lincoln (2011). Thematic analysis was first employed to analyse all documents listed in Table 6.2. This entailed a systematic examination of all the documents with the purpose of identifying recurring ideas, patterns, categories and themes in the documents (De Vos, 2005). Once recurring ideas, patterns, categories and themes were identified in the documents, a further analysis process was done through a detailed process of making connections with the research questions. The thematic analysis was then employed to analyse the focus group and individual interviews. Once again, the focus of the analysis was to discover recurring ideas, patterns, categories and themes from the focus group and individual interviews. Throughout this process, the researcher consistently examined connections with the research questions. Employing the qualitative thematic approach in this manner enabled the researcher to engage in an in-depth analysis to better understand and interpret the generated data and to present comprehensive research findings (Denzin & Lincoln, 2011). Using the qualitative thematic approach in this manner was the most practical and appropriate manner for the researcher to highlight the professional and personal development experiences of SMTs.

The complexity of the large amounts of collected data was made sense of by the researcher initially indicating all the research questions and sub-questions in different colours. Below each question, the researcher placed all the participants' responses from both the focus group and individual interviews. Then, the most common responses were grouped and developed into broad categories with their own colours. Subheadings were developed within the broad categories, guided by the similarities in the data and theoretical reflections during this phase of analysis. These broad categories were then analysed and tabulated according to the four main research questions. The four broad categories according to the research questions were then further analysed into specific categories, again using reference to the theory reviewed for this research, and colour coded. These specific categories were then further analysed into specific themes with their sub-themes that would later form the research findings. Having identified the specific themes, the researcher once again reflected using the theory as reference, with a view to drawing conclusions and making recommendations. This iterative process enabled the researcher to identify what Terreblanche, Durrheim and Kelly (2008) refer to as 'dependable repeatable regularities' which, in relation to this study, resulted in discovering 'thick' descriptions of experiences of professional and personal development of SMTs. Finally, the researcher

established recommendations made by participants as well as in the literature that had been reviewed, with a view to utilising them to develop a suggested model of professional and personal development for SMTs as indicated in Chapter Nine.

Table 6.3 below indicates a summary of the phases of the qualitative data analysis.

Table 6.3 Summary of the three phase of qualitative data analysis

First phase of data analysis		
Participant responses in the three focus groups and eighteen individual interviews were first organised according to the research questions. The document analysis and the literature reviewed provided the broad reflective framework for the first and consequent phases of the data analysis.		
Second phase of data analysis		
Level one	Level two	Level three
Detailed examination of connections with the research questions	Examining recurring patterns	Examining inconsistencies from both the focus group and individual interviews
The central focus in the second phase of the data analysis process was to discover broad categories and analyse them into more specific categories from the participants' descriptions of their professional and personal development experiences against their expected roles and responsibilities as espoused in policy documents.		
Third phase of data analysis		
The central focus in the third phase of data analysis was to analyse the specific categories into broad themes. The broad themes were then analysed into specific themes with their sub-themes that would serve as the 'thick descriptions' (Henning et al., 2004). This qualitative thematic data analysis approach enabled specific themes and sub-themes to emerge through a rigorous reflective process, which were then used as descriptors to report on the findings of the research as suggested by Denzin and Lincoln (2011).		

Table 6.3 above illustrates the in-depth qualitative data analysis process that was engaged with during this study, as suggested by Denscombe (2007) and Denzin and Lincoln (2011). Phase one indicates the researcher's process of aligning the focus group and individual interview responses with all four research questions, document analysis and literature reviewed, using a reflexive process. Phase two indicates the three levels of further analysis to discover broad and specific categories from the data. Phase three indicates a deeper analysis to discover broad, then specific,

themes and sub-themes, which also involved a reflexive process to ensure alignment with the literature to develop trustworthy research findings.

Before and during the in-depth data analysis process, the theoretical framework of this study was employed as the lens that continuously guided both the data collection and the data analysis process. How the theoretical framework of this study continuously guided data collection and data analysis processes is illustrated in Figure 6.2 below.

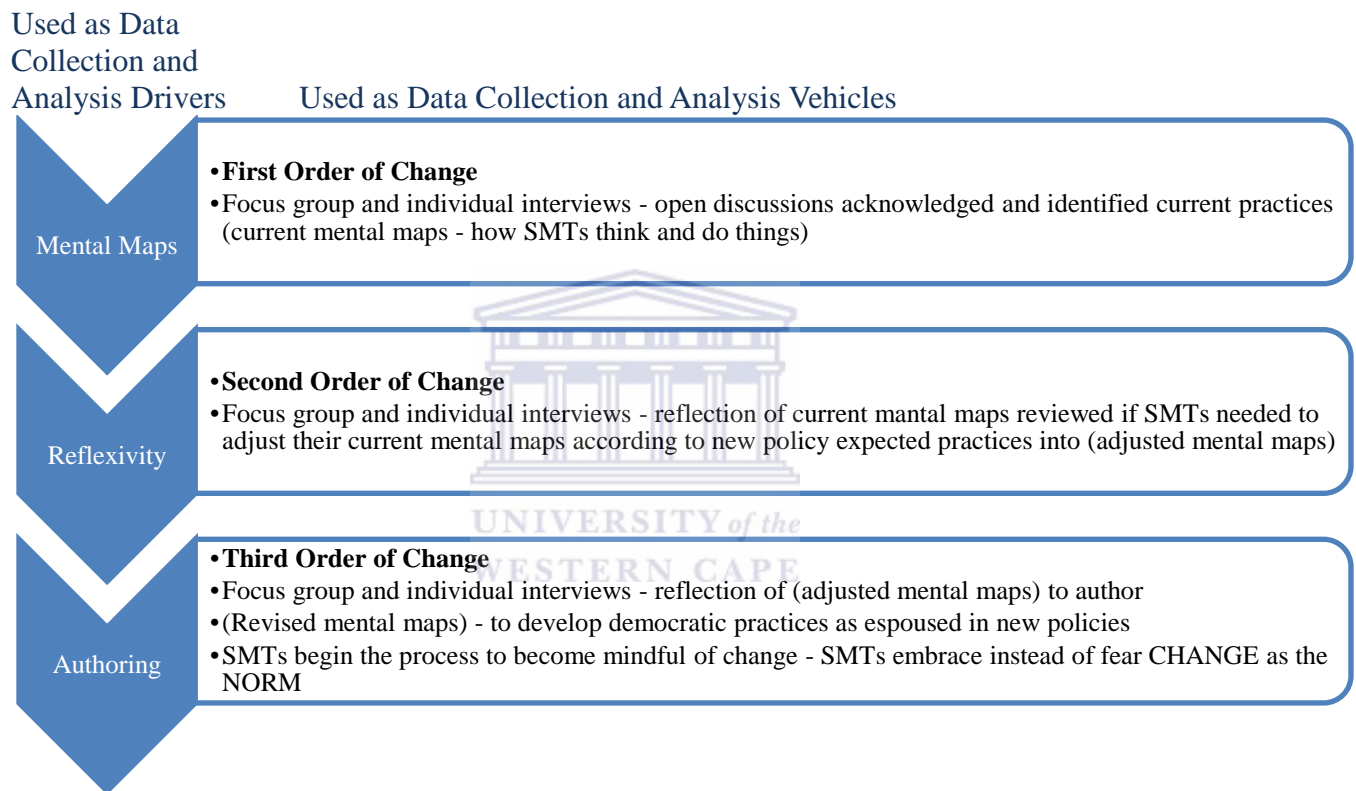


Figure 6.2 Data analysis drivers and vehicles

Figure 6.2 above illustrates how the analysis of the focus group and individual interviews revealed data that were influenced by the research study’s integrated theoretical framework. Figure 6.2 also illustrates evidence of how the researcher engaged in a reflexive process during both the data collection and in-depth data analysis process, as suggested by Denzin and Lincoln (2011). Sections of the theoretical framework are referred to as data analysis drivers and vehicles to illustrate the practical implementation of the theoretical framework. Mental maps, reflexivity and authoring are referred to as the data analysis drivers. First, second and third orders of change are referred to as data analysis vehicles.

6.6. Trustworthiness

In qualitative research, the positivist notions of reliability and validity are replaced with trustworthiness (Denscombe, 2007). Denzin and Lincoln (2011), caution that many questions abound regarding the reliability and validity of qualitative research. These authors argue that qualitative research is significant as it recognises the complexities of social realities, provides descriptive data sufficiently rich for reinterpretation of a group of individuals that belong to a much larger and similar population, and generates ‘rich’ research findings in a much more accessible form. Trustworthiness, explained earlier in this research, incorporates the issues of credibility, dependability, transferability and confirmability throughout all stages of the study as suggested by Denzin and Lincoln (2011), who state that “it is not possible for qualitative researchers to prove in any absolute way that they have ‘got it right’” (p. 76).

To ensure *credibility*, the researcher decided before the research process to audio-record, transcribe and then use the transcriptions from all three focus group and 18 individual interviews as the raw data. This meant that the researcher used the exact words from the research participants throughout all the phases of data analysis. The researcher also employed strategies to persuade others that the research data were reasonably accurate and appropriate. These strategies included triangulation, peer debriefing, and regular supervision discussions and participant checks, which served as reassurance that the qualitative data have been produced and interrogated in accordance with good research practice as suggested by Denzin and Lincoln (2011).

In qualitative studies, *triangulation* is one of the best ways to ensure trustworthiness of data and implies accessing various sources of data to eliminate bias (Mertens, 2009). The triangulation process in this study included thorough document analysis of policy documents, research papers and articles, as well as focus group and individual interviews. Participant triangulation was achieved through providing descriptions of perceptions and experiences of the same issues being studied in response to the same questions in both the focus group and individual interviews. Multiple and varying participant perspectives and experiences on the issue being studied were gathered from three different rural primary school SMTs in three different school districts and provinces in South Africa.

The researcher *consulted with peers to share and check insights, debrief* and share personal concerns and anxieties throughout the entire research process. This involved extensive regular discussions with the researcher's supervisors, who were unconnected to the study but are skilled researchers and informed practitioners in the field of professional and personal development and support processes. These discussion sessions facilitated regular critical self- and research reflection on the data collection, data analysis, and the emerging findings, recommendations and conclusions as suggested by Denzin and Lincoln (2011). Both peers and supervisors constantly posed questions that focused the researcher's attention on the dynamics emerging in the research process, encouraged the researcher to confront biases, and highlighted the researcher's awareness of subjectivity. This regular reflective process helped to clarify and focus meanings emerging from the research process in which the researcher was engaged, and developed the basis for the interpretations that emerged.

Another important consideration was the *verification of information* shared through consultation with the research *participants* in both the focus group and individual interviews, to make sure the researcher was capturing what the SMTs actually meant as suggested by Mertens (2009). The focus group and individual interviews were interactive and allowed the researcher to verify perceptions, experiences, understandings and interpretations of the participant responses. These checks were done informally for more open engagement and occurred during and after both the focus group and individual interviews.

Dependability is a vital consideration because the researcher is intricately involved in the research process as the research instrument, as discussed earlier in this chapter. The researcher is not an objective observer but an active participant throughout the research process. Again, Denzin and Lincoln (2011) highlight the need to demonstrate evidence that reflects that rigorous and reputable research procedures and decisions have been taken. This means having a full reflexive account of research procedures and methods, and detailing all processes that led to the research findings. This also means that the research needs to have an audit trail. An audit trail involves constructing a mapped out process giving insights into the process of the data collection through data analysis to research findings. This means having all raw data carefully stored, as indicated earlier. The main reason for an audit trail is to ensure all research procedures and decisions can be validated (Denscombe, 2007). The researcher made sure to share samples of

raw data, broad categories, themes and sub-themes with supervisors during the entire data analysis process.

Transferability is important to display as most qualitative research is based on small-scale research studies. This raises the question of how representative the research is and how likely the findings are to occur in other places. Qualitative researchers can argue that their findings are worthwhile as they are specific to a particular context and situation. The rural primary school is the particular focus in this research. Small-scale research that is based on a particularly similar context and population group can possibly represent a larger context and population group. If qualitative research findings are viewed in this light, *transferability* is possible. The question then to be posed is: 'To what extent could the findings be transferred to other contexts?' To assess transferability, the researcher needs to supply information to others to enable them to infer the relevance and applicability of the findings to other contexts and population groups. This allows a comparison of the research findings to be made. According to Denzin and Lincoln (2011), the in-depth nature of the insights of qualitative research about a situation being described is what makes the research particularly valuable in terms of being transferable.

Confirmability refers to the concerns that research findings are free from the influence of the researcher who conducted, collected, analysed and presents the findings. According to Merriam (2009), no research is ever free from the influence of the researcher. Qualitative research is always the product of a process of interpretation. Data do not wait to be discovered; instead, data are produced by the way they are interpreted and used by the researcher. This calls into the question the issue of objectivity. According to Denscombe (2007), the researchers' beliefs, assumptions and values cannot be totally eliminated from the research process. Qualitative researchers therefore need to be upfront and acknowledge their beliefs, assumptions and values. Researchers need to be aware of the bias they bring to the research process and exercise control and discipline while interrogating data throughout the data analysis process. Denscombe (2007) alerts researchers to regularly be reflexive regarding their impact and influence during the research process. Researchers also need to be reflexive about data shared on which they made decisions and assessments. Researchers therefore need to approach the analysis process with open minds and to be as objective as possible. Such openness has to include the acknowledgement that researchers may have 'got it wrong'. This acknowledgement is

fundamental in relation to the production of new knowledge, linked to the issue of verification. To avoid 'getting it wrong', researchers need to:

- *Avoid neglecting data that do not fit the analysis.* According to Silverman (2005), researchers should not neglect to include data that do not confirm the researcher's analysis. Researchers should investigate to explain the emergence of such data. Highlighting contradictions is important.
- *Check rival explanations.* Alternative explanations need to be understood to demonstrate that researchers are not only looking for explanations that fit the analysis.

In qualitative studies, the interpretation of data and presentation of research findings are inevitably influenced by the researcher's bias and values. There is a strong reliance on the researcher's personal integrity, skill, competence and rigour throughout the research (Marshall & Rossman, 2011). In this study, the researcher paid careful attention to the six essentials of qualitative research (Higgs & Cherry, 2009) throughout all the research processes. The issue of trustworthiness could be as simple as asking how researchers can persuade their audience (including themselves) that the findings of an inquiry are worth paying attention to or worth taking account of (Denzin & Lincoln, 2011). To answer the seemingly simple, yet complex question above, three strategies, namely, triangulation, peer-debriefing and regular supervision and participant checks, were employed during this study to minimise the inclusion of the researcher's bias, personal values, beliefs and experiences into this study as suggested by Mertens (2009).

6.7. Ethics

According to Silverman (2005) and Ritchie et al. (2013), it is important to maintain an ethical awareness to ensure that the researcher's behaviour does not negatively influence the participants. It is also important to be aware of the socio-political context within which the research is taking place and the ways in which it could impact on the research.

The following steps were taken to ensure ethical protocol was observed throughout this study, as suggested by Ritchie et al. (2013), to elicit permission to conduct the research and so as not to encounter any unnecessary resistance. The protocol regarding ethical clearance for research

undertaken at the University of the Western Cape was followed and is aligned to the procedure followed and considerations outlined below:

- Permission was sought in writing and in person through arranged meetings with the Mpumalanga, Eastern Cape and the Kwa Zulu Natal Departments of Education to embark on the study.
- Personal and written contact was made with the three district directors responsible for the three rural primary research schools, to share with them the intention of the study and request permission to contact the school principal and SMT members to voluntarily engage with and proceed with the research.
- Permission was granted in writing.
- The school principal and SMT members were contacted personally with the research proposal, schedule and dates for when the focus group and individual interviews could take place and permission was granted.

Requesting permission to conduct research has to be done formally as suggested by Silverman, (2005) to enter the research sites and engage with the participants. Formal permission was requested and granted to engage this research at the three primary schools in writing from the Eastern Cape, Mpumalanga and KwaZulu-Natal school district directors, principals and their SMTs.

Informed consent to participate in the research study must first be obtained before the research is conducted (Silverman, 2005). Participants were provided with detailed information about all planned research activities including, a focus group interview, an individual interview, audio-recordings of both the focus group and individual interview, prior to consenting to ensure that they were able to make an informed decision to participate in this research study.

Participants must be given the *right to withdraw* at any time during the research process without having to explain their reasons for withdrawing (Ritchie et al., 2013). The researcher made sure all participants were aware that they could withdraw at any time during both the focus group and individual interviews. Fortunately, no participant chose to withdraw during the research process.

According to (Ritchie et al., 2013), the researcher has to assure all participants of their *right to privacy, confidentiality and anonymity*. This was respected and assured throughout the research process. If the participants wanted to be identified in the research, this was recognised and respected. Confidentiality was critical and ensured during both the focus groups and individual interviews. Special attention was given to assure all participants of confidentiality during interviews, and ground rules for participation were cited at the outset of and during the research process. Care must also be taken to protect participants' identities regarding all generated data, and special attention must be given to make sure that the participants fully understood their responsibility to honour the confidentiality of other participants' contributions after the focus group interviews (Ritchie et al., 2013). Participants were made to understand that what emerged in the focus group interviews should not be discussed afterwards with outsiders.

Prior permission must also be obtained for all *recordings* undertaken during the focus group and individual interviews (Ritchie et al., 2013). The researcher made sure to negotiate and obtain prior permission to record both the focus group and individual interviews. The researcher also reminded the participants of their rights before both focus group and individual interviews began and respected the right of the participants to object to the recording process and to then have the recording process terminated. All recordings were deleted after the transcriptions were made.

6.8. Summary and Conclusion

This chapter began by presenting the research aims and questions. The social constructivist - interpretive research paradigm that underpinned this research was presented in detail, together with the justification as to why it was best suited to this study. The detailed qualitative research design and methodology of this study were then presented. Descriptions were given of the research context and research participants. In order to remain true to the social constructivist - interpretive paradigm, the researcher acknowledged the role she played in shaping the research and its process, data generation sources, research methods, and the thematic data analysis process engaged in to allow the findings to emerge and be presented.

The data collection instruments employed, namely, semi-structured interview schedules for both the focus group and individual interviews, were presented together with the justification of their appropriateness. A detailed description of the qualitative techniques employed during the data

collection process was given and included documentary analysis, focus group and individual interviews, together with the detailed justification of their appropriateness. The qualitative thematic data analysis approach was also outlined in detail in order to indicate and justify the trustworthiness of the study. The chapter concluded with an outline of the ethical considerations applied throughout the research process. The chapter that follows presents the findings that emerged from the research process above.



CHAPTER 7

RESEARCH FINDINGS

Chapter Seven presents the extensive findings of the SMTs' perceptions of their professional and personal development experiences as they tried to embrace their new roles and responsibilities within a new policy context since democracy in 1994. Challenges that SMTs encountered, while attempting to implement their roles and responsibilities within a new policy context are highlighted. The findings also present SMT members' views on how to address these challenges. The chapter concludes with specific suggestions put forward by SMTs regarding how they believe they should experience professional and personal development, and who they believe should be responsible for mediating the necessary changes expected from policy.

The findings are related to the four research questions repeated below:

1. How did educational change in South Africa influence leadership and management in schools?
2. What professional development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
3. What personal development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
4. What are SMT members' suggestions for enhancement of personal and professional development and support of SMTs in schools in South Africa?

Participants' experiences of each of the two key issues of this study, namely, professional and personal development, are presented separately to highlight the gaps created by this separation and the consequent need for integration. These findings are shared according to the themes as they emerged from the three phases of data analysis, as discussed in Chapter Six. The findings on questions one, two and four are drawn predominantly from data gathered in the three focus group interviews and strengthened by data from the 18 individual interviews. The findings on question three are drawn predominantly from data gathered in the 18 individual interviews and assessed against the data gathered in the three focus group interviews.

The following codes are used to indicate the data sources: the focus group (Fg) interviews conducted in the Eastern Cape, Mpumalanga and KZN are coded as: Fg EC, Fg MPU and Fg KZN. The individual interviews (ii) are coded as: ii EC 1-6, ii MPU 1-6 and ii KZN 1-6. Where patterns emerged across all three provinces, one quote was selected to represent views which were consistent across the three focus groups. The same applied with the responses to the 18 individual interviews.

The data analysis revealed a number of key issues in relation to participants' understandings of the changes in education since 1994 that influenced leadership and management in their schools. The section that follows explores the four themes that emerged: democracy, professional identity and personal dignity, restructuring of leadership and management, and SMT roles and responsibilities.

The researcher presents the positives and challenges of SMTs professional personal development experiences together. This is followed by the suggestions from SMTs of how to deal with the challenges. The researcher made this decision to highlight how the SMTs are beginning to take ownership of their professional and personal development, despite their context, to engage with personal and professional change. The researcher also chose to present the findings in a standardised and simple format; hence, there is some repetition in the presentation format. In the findings the respondents, also referred to as participants, mean all 18 SMT members who were interviewed in the focus group and individual interviews. One of the key strengths of qualitative research is simplicity in presenting the findings to make them more accessible to a wider audience (Lincoln et al., 2011).

The main reason for the simplicity is particularly to be considerate towards the SMTs and education officials in rural areas to read this research. The second reason is that the majority of SMTs and education officials in the rural areas of South Africa do not use English as a first language.

7.1. The Impact of Education Change on Leadership and Management in Schools

Four themes emerged in the analysis of the data generated from the document analysis and focus groups. These are:

- democracy and policy implementation;
- restoring professional identity and personal dignity;
- the SMT as a key organisational structure; and
- new roles and responsibilities.

This research is about the professional and personal experiences of SMTs within a policy context. Policy references indicate the alignment of the research findings to the policy requirements. The inclusion of policy extracts in the findings was done specifically to illuminate how the research data from multiple sources are aligned to policy requirements. Participant responses illuminate their understanding of policy requirements and the extent to which they have engaged with the policy requirements that they are expected to implement. The first theme that emerged regarding educational change that influenced leadership and management was a perception that democracy is central.

7.1.1. Democracy and Policy Implementation

According to the Constitution of the Republic of South Africa (1996),

Organisations must be governed by democratic values and principles. (p. 107)

The sentiment of democracy above was the most referenced response from most SMTs in the reflective focus group interviews. All the SMTs in this study are based in schools situated in former Bantustans as discussed in Chapter One. Individuals' experiences within this context shaped their responses which indicated that most participants welcomed the intended democratic changes and envisaged positive impacts on the overall functioning of their school communities as shared below.

We waited a long time for democracy to bring us school policies that are the same in all schools. The policies, now empowers SMTs to decide collectively for ourselves how to make the leadership and management practices at our schools more democratic. (Fg EC)

This emphasis on democracy as fundamental is echoed in the SASA (1996), which intends to:

Provide a democratic uniform system for all schools, governance and funding; to amend and repeal undemocratic laws relating to all schools. (p. 1)

Respondents were emphatic that democracy was bringing leadership and management policies that are democratic and fair and the same in all schools:

Policies are the same in all schools and enable us as SMTs to develop more democratic practices to operate more professionally and not just follow instructions dogmatically as before. (Fg KZN)

The democracy response is also echoed in the Code of Professional Ethics (SACE, 2000),

... requires that school leaders and managers conducts him/herself in a democratic manner. (p. 3)

Most SMT members showed a real respect and value for their democracy, by saying that,

As SMTs we are doing our best to lead and manage our school democratically. We show respect and consult the staff and the school community. We expect the same from the DOE. (Fg MPU)

Most SMT members shared that they welcome change and want their democratic rights to be acknowledged and respected. These participants were insistent that they need to be regularly consulted to make sure the changes they are expected to implement at their respective schools are realistic and can actually be implemented with the provision of necessary resources in their contexts. These SMT members further maintained that the DOE's continued flouting of their democratic and professional right to be consulted can lead to disempowering some, slowing change down and undoing their efforts to develop their democratic professional identity and personal dignity as the leaders and managers of schools. These SMT members therefore insisted that, in order for these teams to take ownership and effectively implement change, consultation needs to be prioritised and well managed by their superiors. They explained:

Decisions are made about how we must lead and manage our schools by some officials in cosy offices who have been in schools more than ten to twenty years ago and who have never led a school and have no understanding of the rural context ... this feels like proclamation of policies with no consultation and goes against our democratic rights. (Fg EC)

Based on policies reviewed for this study and the South African constitution, the principles and practices of democracy are central. Most respondents shared that democracy is something they embrace with great pride. Although democracy is vital to SMTs, it remains a challenge that needs to be prioritised by everyone in the education system. Therefore, most respondents openly shared their frustrations and at the same time also shared how they are trying and doing their best within their challenging rural school contexts. Respondents also indicated their sense of pride in being able to operate in a more democratic manner despite their frustrations, as indicated below.

As SMTs we have been doing our best to try and implement policies democratically with very little real support from officials. When the officials visit our schools we want them to show acknowledgement for our democratic efforts to implement policy to suit our school's needs. (ii MPU 1)

Almost all SMT members raised the issue of being acknowledged for their efforts to build their democratic professional identities, as indicated above, and wanting democratic alignment across the system, as indicated below.

We all need to be on the same page, schools, the circuit office, district, province and national because we all work for the same education department ... our SMT is starting to behave and work more democratically at school, so all officials must also start to behave like democratic professionals. (ii KZN 6)

A second theme to emerge in education that influenced leadership and management was the perception that the professional identity and personal dignity of individuals were now able to be acknowledged and restored.

7.1.2. Restoring Professional Identity and Personal Dignity

Most SMTs in both the focus group and individual interviews agreed that they now have a better understanding that the purpose of the democratic new policies are to address past imbalances in education to restore professional identity and personal dignity. Most SMTs therefore consistently shared their belief that they regard professional development as an enabler for them to actually better understand, embrace and implement SMT policies.

According to the Preamble of the SASA (1996),

The achievement of democracy in South Africa has consigned to history the past system of education which was based on racial inequality and segregation ... this country requires a new national school system which will redress past injustices that acknowledges the identity and personal dignity of all citizens. (p. 1)

Most participants echoed the above sentiment in the focus groups and individual interviews, in that they understood the introduction of SMTs as an attempt by government to restore their professional identity and personal dignity in schools. Many participants passionately emphasised their belief that the new SMT policy is having a positive impact on restoring their professional identity and personal dignity at their schools, as one participant stated:

We are no longer a Bantu school with Bantu teachers and Bantu children. We are a South African school with South African teachers and South African learners. No matter what your position is at school, we must all respect each other whether you are at post level one, two or three. We now also live in a rural area in South Africa, no longer a Bantustan, no more homelands, just a rural area and a rural school in South Africa. (ii KZN 4)

This sentiment of emphasising professional identity and personal dignity above is also found in the Code of Professional Ethics:

Acknowledge, uphold and promote basic human rights, as embodied in the Constitution of South Africa. (SACE, 2000, p. 1)

All SMTs were very proud and protective of their new status and stated that,

No one can call me names like a Bantu teacher. Oh no, I am a free person and a South African teacher now. No more classification, like a Black or a Bantu, oh no I am a South African ... Dignity and respect is in our new democratic constitution and policies. We like this new professional identity and personal dignity and we use it at school. Now we just want the Education Department to show us some dignity and respect as professionals. (Fg MPU)

All SMTs also emphasised their appreciation for the constitution and some policies that enshrine and restore their new identity and personal dignity, indicated above, which are also part of the Code of Professional Ethics. The Code of Professional Ethics (SACE, 2000) goes further to emphasise:

Respect the dignity, beliefs and constitutional rights of each professional. Acknowledge the uniqueness and individuality of each professional and strive to develop a set of values consistent with the fundamental rights contained in the Constitution. (p. 2)

Most SMTs consistently shared how they valued the constitution and the pride they felt to do their best, especially in the rural context, to uphold their new professional identity and personal dignity.

Our SMT now operates more professionally with more respect and dignity since we started to better understand and use our democratic policies. As the SMT we also use our new professional identity and rights when we question undemocratic practices and undignified attitudes at school and from education officials. As a professional you must know your democratic rights and professional identity to protect your personal dignity. That is why you must know your policies. (Fg EC)

Many SMTs shared their excitement about how professional development restored their professional identity and personal dignity and how this needs to be a priority at circuit, district, provincial and national level. Many SMT members made special reference to the roles and responsibilities as stated in the PAM (DOE, 2011) policy documents, policy guidelines and job descriptions that highlight support being paramount during a time of change.

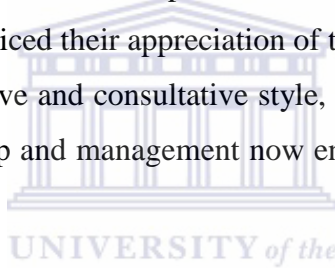
As the SMT we must first manage people and secondly the curriculum. You can't manage what you do not know ... if you do then you look like a fool and not like a professional and you lose your dignity in front of your staff. If you know what you are talking about and doing as a professional then your staff will be proud of you as a leader and that is great for your dignity. How can you have dignity if you do not know what to do as a professional. Professionalism and dignity go well together, you can't have the one without the other. That is why circuit managers must come more regularly to support us to

develop our professional identity and dignity as leaders and curriculum managers. (Fg EC)

The above sentiment indicates that SMTs regard themselves as important entities that can play a central role in bringing about change at schools, and at the same time improve their professional identity and personal dignity.

7.1.3. The SMT as a Key Organisational Structure

A third theme of change in education that influenced leadership and management was the perception that SMTs are key organisational structures to enable change. Most of the participants responded positively and welcomed the restructuring of school leadership and management into SMTs. These participants emphasised the need for regular guidance and support to effectively develop themselves into a cohesive team to implement the broad range of policy requirements for SMTs. These SMT members voiced their appreciation of the move from a rigid and autocratic style to a more democratic, inclusive and consultative style, approach and ethos. One consistent response was that school leadership and management now entails working together as a team as opposed to working as individuals.



According to *Understanding School Leadership and Governance in the South African Context* (DOE, 2008b), leadership and management must work as a restructured team:

In your school you have to make collective decisions. Most importantly is how you will work as a cohesive team making responsible decisions for which you must be accountable. (p. 42)

SMT members shared how grateful they were that decisions and accountability are now expected to be shared. These SMT members also shared that they believed as a team they would be empowered to give better input into what and how the school can best be led and managed. They shared their excitement to have a restructured team to carry the load of all leadership and management tasks at the schools.

Our SMT is now fully responsible for everything that happens at our school. We consult each other and no longer just follow instructions from the principal who had to follow

rigid instructions from the school inspector. Teamwork makes it easier to follow our policy roles and responsibilities so there is no more hiding away from our responsibilities as we also hold each other accountable. The entire SMT must now lead and manage the school, not just the principal. (Fg KZN)

The above participant response clearly indicates that some SMT members, are understanding that they are now collectively responsible as required by policy for the functioning of their school and have to be collectively accountable at the same time. According to Understanding School Leadership and Governance in the South African Context (DOE, 2008b), the restructured team makes collective decisions:

South African schooling involves a devolved management system whereby the management of the school is vested not just in the principal, but in the broader SMT (and to some extent in the SGB) and this sets up a variety of groupings of decision making. (p. 42)

The above policy statement was supported by an SMT member who was supportive that the principal is not the only person who can make decisions; instead, they believe in collective decision making:

The principal is no longer the only person who makes all decisions. As the SMT we now consult about all issues to make better decisions together. That makes us all more responsible and accountable and avoids us from blaming each other. (Fg KZN)

The above SMT response indicates the SMT's shared understanding of their collective accountability included in the Code of Professional Ethics below. According to the Code of Professional Ethics (SACE, 2000),

Exercising his/her professional duties requires co-operation with and support of colleagues. This co-operation, is to enable and enhance the functionality of all school activities, decision making and collective accountability measures. (p. 4)

Most SMT members shared their appreciation that more people can now make contributions to all school activities and functionality by sharing that,

All SMT members are now important, not only the principal. We all make contributions and hold each other accountable. As an SMT we now try to operate as professionals and we no longer feel like children that is seen and not heard or wonder why decisions were made that affect us but we had no say in the decisions. (Fg MPU)

The importance of working closely with the SGB and broader school community was also acknowledged as important as the SMTs shared that they could not make changes by themselves at their poor rural schools but needed to include the school community.

As the SMT we now operate together and consult with the staff, SGB and the school community and then we decide what is best for our school. (Fg EC)

Many SMT members' responses made it clear to the researcher that most SMTs know that it is their right as professionals to receive regular CDP training and support to implement their new roles and responsibilities as expected from policy. These SMTs shared that regular support and consultation could enable them to solve their own problems, as indicated in the two responses below.

How come there has been no regular continuous professional development for us as SMTs, we like the idea of operating as an SMT, it makes good sense to work as a team that can get so much more done together as we all have different skills we can use to solve our own problems. (Fg MPU)

The above response is a clear indication that many SMT members want to be engaged in regular CPD, as indicated below as well. Due to the important and central role that SMTs play as the key structure for organisational change, SMTs need to be developed and supported to be the key structure of change.

As an SMT we sat together and had to figure out the SMT policies by ourselves, we simply just tried and tried again as we are quite good at solving our own problems. It is sad though that policy makers and most officials do not consult regularly with us as we

are the ones that must implement the policies and can give some practical solutions to challenges at school level ... is that not how our democracy is supposed to work? (Fg KZN)

The above SMT responses again show that many SMTs have been left to figure out what is in and how they have to implement the new SMT policies. As many SMT members have done so, they have independently had to make sense of their new roles and responsibilities as discussed below.

7.1.4. New Roles and Responsibilities

According to Understanding School Leadership and Governance in the South African Context (DOE, 2008b),

The SMT has a primary responsibility for providing leadership and management and direction for the school to ensure that its aims and goals are met. (p. 107)

Schools in South Africa are expected to be led by an SMT and not only by a principal, who previously had to follow rigid instructions. The expected new roles and responsibilities of school management teams are vast, as it is expected that the tasks are completed by a team and not only by one person in the form of the principal. How SMTs are engaging with this change as per their roles and responsibilities is illuminated below from responses during the focus group interviews. The fact that the roles and responsibilities are now shared appears to have influenced not only principals but also most SMT members' approaches and attitudes, as indicated below.

As the principal I am less stressed and relieved that I do not have to do all the leadership and management by myself. I do not have to stand alone and face the demands of the education department.

The above sentiments from many SMTs are also indicated in Understanding School Leadership and Governance in the South African Context (DOE, 2008b) in that,

The SMT is responsible for building relationships between all staff at the school, learners, parents and the wider school community to the mutual benefit of all involved at

the school. The SMT needs to promote a professional work climate which enables cohesion and stability. (p. 107)

Most SMTs showed pride in sharing how they understood their policy roles and responsibilities. These SMTs shared how enabling the roles and responsibilities are to them. They shared their belief that their roles and responsibilities enable them to be acknowledged as a collective leadership and management team, and their capacity to now develop more democratic practices at their schools, as indicated in the four responses below.

We now make time to regularly sit together as the SMT to meet, discuss and find practical and real solutions to solve our problems. In our African culture ladies do not always get acknowledged as leaders but our new SMT roles and responsibilities is making the men look at us differently as we get to show our valuable contributions. (Fg MPU)

The SMT's sentiment above and below indicates that SMTs are understanding their roles and responsibilities not only on a professional but also on a personal level.

As the deputy-principal, officially I am here to support the principal to make the school work more effectively which makes me feel valued.

As the head of curriculum, I make sure all teachers regularly plan, prepare and implement the curriculum according to policy. This makes me proud that I am doing my duty as expected from a head of department.

These SMT sentiments above and below also clearly indicate that most SMTs have a good understanding of their respective roles and responsibilities.

As the head of administration, I focus on supporting all teachers to develop and maintain curriculum planning files for internal and external moderation. We make sure as the SMT that our teachers are as stress-free as possible to do their main job which is teaching and developing relationships with our children. Teacher and learner well-being comes first to us at school.

The new role of monitoring teachers' classroom practices by SMTs meant that the SMTs had to think creatively. Many SMTs shared that leading by example was key to them.

At first the teachers did not allow SMTs to do class visits, so we turned it around on them. We the SMT members invited the teachers we had to monitor into our classrooms to just sit and observe and give us feedback. It was quite scary but we took a chance and once a month we invited teachers into our own classrooms. We had to lead by example and now we have a regular classroom visit monitoring time-table. (Fg MPU)

One of the biggest challenges facing SMTs is that the DOE documents set out broad roles and responsibilities for SMTs with no specific guidelines of how to practically implement them. This challenge is made worse by SMTs not having received regular CPD to assist and enable them to first understand what these new roles and responsibilities mean and then how to meaningfully and effectively implement them at their schools. The roles and responsibilities are democratic in nature and often clash with the embedded restrictive practices, values and attitudes from the apartheid education system which are still prevalent at all levels in the education system.

Most SMT members have had to struggle on their own to understand and implement their respective roles and responsibilities, but show that they are up to the challenge by sharing that,

When we speak to other SMTs in other circuits they tell us that their circuit managers welcomes innovation of policy implementation, we are all professionals and must be allowed to implement our roles and responsibilities in the best interest of their schools. If we are supported through regular professional development of how to practically implement our democratic roles and responsibilities then we will be able to be much better SMTs with better democratic practices. We belong to one district so there must be better management of how we operate as SMTs. In the meantime we help ourselves. (ii KZN 1)

SMTs are independently making collective efforts to better understand and implement their respective roles and responsibilities and are not just waiting for someone to come and support them. Similar sentiments as mentioned by the SMT member above were expressed in another province:

Why give us as SMTs democratic professional roles and responsibilities and then focus support mainly on administrative compliance? (Fg EC)

The above response indicates that the DOE has been placing its focus on compliance with policy in regard to most of the professional development that the SMTs in this study have experienced. These findings capture participants' responses according to emerging themes that influenced leadership and management. These include embracing democracy, restoring professional identity and personal dignity, understanding the SMT as a key organisational structure and the challenge of new inclusive roles and responsibilities designed to hold SMTs collectively accountable for effective school functionality.

7.2. SMTs' Experiences of Professional Development

Three themes emerged in the analysis of the data relating to the professional development experiences of SMTs. These include:

- limited professional development;
- professional development through school-based support; and
- professional development through policy mediation.

7.2.1. Limited Professional Development

Most participants expressed the importance of and willingness to participate in regular CPD that was based on their needs and the policy requirements. However, many participants shared that they were quite annoyed that most of their professional development sessions from the DOE were conducted through very formal lecture-style information sessions and generally focused on administrative compliance. Many participants still deemed this important and openly admitted that they attended the DOE professional development sessions so as to be up to date with all policy requirements, as indicated below.

Lecture style information sessions that focuses on administrative compliance is mainly what we get from the DOE, even now in 2013. We go to the sessions expecting to get practical demonstrations of how we can implement policy at school. We were very excited when we got the new SMT policies after 1994 and expected practical training from the DOE, it is 2013 and we are still waiting. (Fg EC)

According to the Task Team Report (DOE, 2009) the above concerns raised by most SMTs were also raised to the Minister of Education, stating that the teacher hearings and submissions were

unanimous in suggesting that current teacher professional development are often too generic and superficial and did not provide practical demonstrations and support to teachers.

The recommendation from the Task Team Report (DOE, 2009) states that professional development must be more specific and practical to do justice to professional development thorough qualitative in-class school-based support is needed.

Since the DOE (2009) report referred to above, little has changed as many SMT members further shared that they are not given opportunities to participate in discussions regarding suggestions of their professional development:

Compliance lecture style information sessions, for two hours is what we still get as professional development in 2013. Very little time is given during our rushed sessions for us to ask questions and actively engage with officials. Most of these sessions frustrates and demotivates us instead of inspiring us. Most of us only go not to get into trouble with officials. So most of us go, we sit, listen and we sleep. (Fg MPU)

The above responses from many SMT members are unfortunate, given that most SMTs want to engage with regular CPD as indicated earlier. SMTs want to be consulted about their professional development needs and actively engaged in participatory professional development sessions that include school-based support.

7.2.2. Professional Development through School-Based Support

Many of the participants were emphatic that they wanted professional development to happen at their schools as indicated by policy. They also highlighted the fact that they could benefit from practical demonstrations that dealt with their specific needs. They insisted that the entire SMT be involved to enable the entire SMT to better understand how to implement the SMT policies at their schools. The SMTs shared this by referring to the school-based support they had received from the MMLF, which first did a baseline assessment and needs analysis of their professional needs, and then structured support interventions together with the SMTs based on their needs:

Practical school-based support that focused on our SMT needs was provided by the MMLF from 2008–2011. The full SMT was involved in engaging in experimenting with

new practices, practical demonstrations, open and honest discussions and reflective positive feedback. This kind of support was new to us and helped to build our confidence to begin to try out our new roles and responsibilities. The coaching and mentoring even encouraged us to invite DOE officials to our school to monitor our practices as an SMT, which shocked our circuit manager. (Fg EC)

The above response indicates that most SMT members are open to engaging with their new roles and responsibilities through school-based professional development that actively involves them so that they can be proud to show off what they had learnt. The above sentiments were echoed by other participants and are also included in the recommendations of the task team (DOE, 2009). According to the recommendations indicated earlier regarding professional development from the Task Team Report to the Minister of Education (DOE, 2009),

Professional development needs to be participatory in nature. School-based support, enables professionals to experience first-hand what policy expects to be implemented. (p. 3)

The above extract from policy was echoed by many SMT members who shared their appreciation that they were first engaged in a needs assessment of what they needed for professional development and that they were supported at their respective schools by MMLF:

We were engaged in school-based support that addressed our specific SMT needs and concerns. The whole SMT took part in the practical demonstrations and open discussions on how to understand the new policies and develop realistic SMT practices that worked for our school context. The coaching and mentoring support helped us to begin to believe that we could solve our own problems. (Fg KZN)

The policy documents, policy guidelines, reports and job descriptions referred to and analysed for this study raise an important issue consistently, namely, professional development must be structured around democratic processes and implemented as such. Professional development also needs to be supported at the level of the school and needs to include participatory activities like demonstrations, role playing, discussions, debates, coaching and mentoring by direct supervisors. All of the documents referred to in Chapter Five present a major shift in the paradigm of

professional development support provision and consequently highlight the urgent need for professional development and training by those tasked with providing support to schools, including circuit managers. However, no strategies of how to do it are offered, as indicated below (DOE, 2008b):

- Personnel must be trained to provide services which involve whole school development based on democratic approaches. Professional development training programmes need to shift away from ‘deficit’ problem-oriented interventions to solutions-oriented interventions.
- Professional development needs to move towards developing support services which aim to foster enabling learning environments through focusing on strengths, competencies and development.
- All professional development must integrate aspects of empowerment, capacity building, diversity, human rights, community development, site-based learning, team building and support.
- Professional networking skills should be developed and personnel need to learn how to work collaboratively through team effectiveness training and ongoing support.

During the focus group and individual interviews, most of the participants concurred with the four central policy mandates mentioned above and agreed that professional development is vital for all role players at all levels in the education system. SMT members also raised the issue of resistance to engaging with professional development from some of their own members. Besides some of their own SMT members’ resistance to professional development, SMTs were also concerned about some officials who are responsible for SMT professional development:

Our circuit manager always reminds us he must report to the province so he just follows instructions... His idea of school-based support is visiting the school and instructing us what to do. How democratic is this? (Fg EC)

The response above shows the SMT’s concern that not everyone in the system is understanding and implementing the meaning of school-based support in a democratic manner:

We sometimes feel totally inadequate when we are told what to do instead of allowing open discussions when we get school visits from the circuit, district, province and national officials. We need these officials to first come and demonstrate regularly what they expect from us and then assess us. (ii KZN 6)

Both the focus group and individual interviews had many SMT members supporting the above idea of a need for an urgent paradigm shift regarding professional development for themselves and for officials who are supposed to provide and support them with their professional development, as indicated below.

As an SMT we were tired of being told what to do. So we organised ourselves and invited the circuit manager to the school as we can't challenge him in a big principals meeting. We showed him and explained to him how we operate as an SMT. He was so shocked at how daring we were and asked if he can bring other SMTs to our school. Engaging at school is much better as we can show our evidence that we are trying. When the officials are on our territory we feel more in control and less intimidated. (ii EC 6)

The above response indicates the preferences of the SMT to be supported at schools, to take control of their professional development and also to challenge the status quo and make their interaction with officials work for them.

The idea of school-based professional development that requires change agents with specialised knowledge and skills is clearly espoused by the document analysis. Most SMTs in the focus group and individual interviews concurred that professional development is something that needs to also happen at school. SMTs also stated that school-based professional development requires people with specialised knowledge and skills that are also sensitive to the context of the school:

We need regular professional development at school and not just workshops. We need to engage with professionals who have the proper knowledge and skills of how to work with the whole SMT to show us how we need to do things. This kind of support at our schools will enable us to understand and then give us courage to try by ourselves to implement policy requirements. (Fg KZN)

The above SMT responses indicate the willingness of SMTs to engage with policy and also to take ownership of their professional development. The SMTs are asking to be supported at their schools to strengthen their understanding of policy so as to empower them with the necessary knowledge and skills to begin to implement what policy is expecting from them during their professional development.

7.2.3. Professional Development through Policy Mediation

According to a recommendation with regard to professional development from the Task Team Report to the Minister of Education (DOE, 2009), mediation of policy is imperative and must be included in all professional development:

Policy understanding requires mediation for improved implementation. (p. 3)

The concerns raised, by many SMTs with regard to the lack of regular policy mediation during their professional development was concerning, as many SMTs want to engage in processes of policy mediation:

Our whole SMT is up to the challenge to deal with all the changes but we need regular support at our school to better understand the policies so that we can make the changes happen. (ii KZN 3)

The above response indicates that many SMT members are open to engage with the policy required changes but need to be supported through mediation processes to implement the changes. They also want to be supported by professionals who know what they are doing, as indicated below.

We are up to engaging with all the policy changes but, who do we turn to when we need the help we require at our school on a regular basis. (ii EC 5)

Both responses above are encouraging in indicating that SMTs want to engage with change irrespective of the context they find themselves in, in the rural areas. Many SMT members indicated that policy mediation is vital for them to understand what is expected from them. These SMT members also shared that policy mediation needs to be an ongoing process included in their

professional development as some policies are amended and updated. Once again, the SMT members referred to how MMLF practically assisted their SMTs to understand the policies:

The more we did practical role playing of our roles and responsibilities the better we were able to discuss what we needed to do, to change and improve to make sure we were actually implementing policy requirements. The regular coaching and mentoring also helped build our confidence and courage to begin believing in our own abilities to solve our own problems as an SMT. (Fg MPU)

The above response from many SMT members indicates that policy mediation must be done practically to enable SMT members to better understand what is expected from them. The above SMT response is also raised in the NEEDU Report (2013), which states that:

Government's capacity to adequately train SMTs with regards to policy requirements in large parts, shows signs of incompetence. (p. 24)

Policy understanding is critical for improved implementation and the establishment of sustainable effective practices at schools as per the NEEDU Report (2013), which states that:

Government's capacity to adequately train SMTs to understand how to implement policy needs urgent attention if learner results and basic school functionality is to improve to acceptable levels. (p. 24)

The collective participant responses on professional development indicate that the limited professional development support to SMTs is not enabling them sufficiently to effect change as espoused in policy. SMTs are open and willing to participate in school-based professional development to better understand, fully engage with and optimally implement policy requirements. Regular mediation of policies is imperative during professional development to enable policy implementation as required.

7.3. SMTs' Experiences of Personal Development

Participants were surprised to be interviewed about their experiences of personal development in relation to their professional development. The concept of personal development was less familiar than professional development to most SMT members. According to the document

Understanding School Leadership and Governance in the South African Context (DOE, 2008b), the policy is clear that school leaders and managers need to know, understand and reflect on themselves:

SMTs have to be given the opportunity to have a thorough understanding of leading and managing schools. This thorough understanding involves not just knowing how to lead and manage schools. It also involves knowing how to lead and manage themselves, their staff, their learners, their parents and school community. They need the skills of reflecting on themselves and the realities they have to face on a daily basis. They need people skills to enable them to lead and manage others. (p. 11)

The policy statement above clearly indicates that SMTs need ‘personal’ people skills to be developed. In order to engage effectively with people in an organisation, an individual needs to know and understand how to engage with people (Senge, 2006).

When the participants were asked to reflect on their experiences of personal development, three themes emerged in the analysis of the data:

- lack of personal development support;
- prioritised personal development; and
- restoring personal dignity.

7.3.1. Lack of Personal Development Support

Most participants voiced their concern around their perceptions that many DOE officials did not believe in or showed no or little interest in personal development that could enable SMTs to understand the change process. It seemed to most participants that personal development was not regarded as important:

As an SMT we are still to receive personal development training and support from DOE officials. When we ask about personal development issues, they tell us, they are not school psychologists. (ii EC 3)

Most SMTs argued that each individual SMT member has to be developed on a personal level as they come from different personal and training backgrounds. They also believed that personal

development could impact on professional practices. SMTs further shared that many officials responded negatively to any questions raised by them regarding personal development:

'Personal development is not our responsibility', is the response we always get from most officials, even the school support services say they only support learners and not SMTs.
(ii KZN 4)

Both responses above indicate unwillingness on behalf of many officials to attempt to engage SMT members in any form of personal development, even when Understanding School Leadership and Governance in the South African Context (DOE, 2008b) states clearly that personal development impacts on school activities:

Your personal values and beliefs underlie everything that you do. You work according to your personal values and beliefs. (p. 32)

The DOE (2008b) refers to Maslow's hierarchy of needs when dealing with professional development, arguing for the importance of dealing with multiple needs:

Physiological needs, safety needs, social needs, esteem needs and self-actualisation needs. (p. 87)

Maslow's hierarchy of needs referred to above are critical and need attention in the South African school context, to cope with the current policy requirements within school contexts which are mainly poor and under-resourced due to years of neglect under apartheid. After 20 years of democracy, these needs remain critical. The NEEDU Report (2013) argues that there has been a serious neglect of personal development during professional development training offered by DOE to SMTs. This concurs with the personal development experiences facilitated by supervisors as shared by most SMT members:

'You are professionals, so why do you need personal development', This is what many officials tell us when we ask about personal development. (ii MPU 5)

'Why are you in an SMT position, if you need personal development? People who need personal development must not be in an SMT', This is the responses we get when we ask about personal development. (ii EC 6)

These responses show how personal development is not seen as important by some officials. On the other hand, many SMT members believe personal development is important, as is indicated below, even though they have been told by some officials that personal development is not necessary for them.

7.3.2. Prioritised Personal Development

Many participants voiced how important, valuable and insightful it was to for them to engage with personal development during their professional development sessions with MMLF, as shared below:

During our professional development sessions we were encouraged to raise our personal development issues and they were addressed through role playing with all SMT members. This role playing was new and uncomfortable for us but the more we did it the more we started to understand why we behaved like we did. It also helped us to develop practical strategies to deal with personal issues at our school. (ii KZN 2)

The SMT member's response above is supported by the WSE policy (DOE, 2002), which states that personal capacity and development to improve the quality of education are given:

Training is an essential part of preparation for a new system ... to develop the specific knowledge, skills and attitudes to be competent enough to aid and develop the individual's capacity at school. On-going professional and personal in-service support will be provided. District support teams will receive initial and on-going training so that they are competent to aid the development of individuals and schools. (p. 15)

SMTs were therefore correct to expect personal development from the district officials:

The open and honest discussions helped us all to first talk respectfully to each other and discuss issues honestly and respectfully, we listen to everyone's opinion and then decide how best to solve our personal issues by ourselves. (ii MPU 4)

The above SMT member response also shows how SMTs were able to use their personal development sessions independently to solve their own problems by not waiting for someone else to sort out their issues, as indicated below:

Our personal development sessions encouraged us to begin to have regular strategising sessions as an SMT, with our staff and SGB where we openly and honestly discussed issues to solve our problems instead of referring issues to the officials. Once we solved our issues, we would then invite the officials to discuss our solutions. (ii MPU 6)

The above responses from the SMTs with regard to expecting personal development from education officials is reflected in Section 195 of the South African Constitution (1996):

People's needs must be responded to ... transparency must be fostered ... Good human-resource management and career-development practices must be discussed to maximise the cultivation of human potential. (p. 1)

7.3.3. Restoring Personal Dignity

According to Understanding School Leadership and Governance in the South African Context (DOE, 2008b), it is necessary to:

Promote a work climate in which ongoing personal and professional development is encouraged and supported and in which the contribution of everyone is valued. (p. 107)

Most participants were keen to reflect on how the personal development sessions with MMLF impacted positively, influenced and supported them to operate more independently to implement their professional practices:

The personal development sessions really made me believe in myself again as a respectful and dignified professional. It gave me more confidence, pride and made me want to make a meaningful difference at school by taking my SMT roles and responsibilities more seriously. (ii KZN 4)

The above response shows how paying attention to personal needs can impact on a person's professional practices:

The personal development sessions made me feel free to discuss difficult issues with my fellow SMT members that I was struggling with without feeling judged. It also made me feel that it was okay to make mistakes and not feel afraid to ask my fellow SMT members for help to do my job better. (ii MPU 6)

The personal development sessions helped me as an SMT member to better understand and have more respect for how I had to carry out my roles and responsibilities more professionally and with more dignity than I was doing it before. (ii EC 3)

The three responses above from the SMTs reinforce the need to focus on multiple aspects of personal development during professional development to effect change (DOE, 2008b, p.87).

Many SMTs shared their concern about the perceived lack of importance of addressing personal development. This lack of addressing personal development was made evident by the SMTs sharing that they spend too much time facilitating the power dynamics firstly between SMT members to enable the SMT to begin to work more collaboratively with each other and the rest of the staff, and secondly with some education department officials, who sometimes disregard the importance of personal development.

We are trying our very best to work as a team to deal with our personal issues so as not to affect our responsibilities at school. We are also trying to show our circuit manager that by dealing with personal issues immediately we can develop our own strategies to deal with difficult issues and make the SMT work more effectively. (ii MPU 2)

The above SMT member's response shows that SMTs understand how important personal development is and how it directly impacts on professional practices. Poor communication makes restoring professional identities and personal dignity between SMT members and their circuit manager difficult. Many SMT members related that the disrespectful attitudes and domineering communication styles often led to misunderstandings. In addition, the manner in which communications happens does not always lead to building professional identities and

personal dignity that involve personal trust and open democratic interpersonal relationships and practices:

We are trying to speak one language as an SMT to restore our professional identity and personal dignity at our school which is enabling us to have more open discussions with our circuit manager. (ii KZN 1)

Most SMTs take their professional identities and personal dignity seriously and insist that officials do the same.

As the SMT we all listen to each other's inputs and in this way there is no ego or power trips, no marginalisation of anyone, we explain issues clearly to make sure there is no misunderstandings between us in the SMT, we share this with our circuit manager and this sharing about how we behave and communicate more respectfully with each other to have better personal relationships is starting to rub off on our circuit manager. (Fg. MPU)

The two responses above show the SMTs' understanding of how important respectful communication is and how to show others how they want to be treated as professionals.

An issue that many SMT members saw as a challenge to restoring their professional identity and personal dignity was that of power and influence. Many SMTs contended that using power and influence positively can assist to bring about change more quickly and is important to assist in restoring their professional identity and personal dignity at a time of change. The SMTs also asserted that power and influence are interconnected. What concerned many SMTs was when power and influence were used negatively. Many SMT members expressed feeling marginalised and undermined when they experienced negative power and influence, which impacted negatively on their morale:

We feel that our professional identities and personal dignities are not being respected when our best efforts are not acknowledged to make things better at our school. We see the difference in our staff and learners and believe that we are making a difference at our school so we shall continue trying our best, despite not being acknowledged. We

acknowledge each other as a staff, the learners and parents acknowledge us and their opinion matters more to us. (ii MPU 3)

The above response indicates how serious many SMT members are about their contributions as professionals to make a difference at their school and how important it is to acknowledge best efforts to implement change.

It doesn't mean that our post levels are lower than the officials that we do not have good ideas about how to manage our school, we know what is best for the school so our ideas must be acknowledged and respected. (Fg KZN)

These responses show how proud and protective many SMT members now are of their newly acquired professional identity and personal dignity and how they are using this to make a positive difference in their schools. Despite the lack of personal development being prioritised by district officials, SMTs are still confident that their current efforts are making a difference, due to their interaction with MMLF. SMTs also believe that, by engaging in personal development, their current professional identity and personal dignity will be strengthened.

7.4. Implications for Development and Support of SMTs

The participant responses to questions one to three have implications for the professional and personal development and support of SMTs. The document analysis revealed that the NEEDU Report (2013) recommends an urgent need for the professionalising of the civil service, which includes all those involved in education, in that:

Historical precedent tells us that an assessment of current professional development for school leaders and managers needs urgent reviewing. A review that takes into account what kind of professional and personal development is necessary to suit the varying school contexts and the expertise of those providing the necessary professional development and support to school leaders and managers to entrench new ways of doing things. This review needs the full support of political will to effect change. (p. 24)

The above statement indicates that professional development in South Africa is in need of a high-level review to develop and implement professional development that addresses new ways of doing things.

Three themes emerged in the analysis of the data relating to the question on the implications for development and support of SMTs:

- professional development as an enabling change process;
- integrated professional and personal development; and
- varied approaches to professional and personal development and support.

7.4.1. Professional Development as an Enabling Change Process

Focusing directly on SMTs' specific needs could improve the chances of them meaningfully and effectively implementing new policies at schools. Most SMTs highlighted the importance of professional development and support being focused on their specific needs and not on general information sessions of policy administrative compliance only. Also, they argued that professional development focused on SMT needs stands a far better chance of actually being implemented in a sustainable manner. This attempt at policy implementation based on SMT needs could also impact on better school functionality at their respective schools, as indicated below:

Professional development that is based on our SMT needs is what we want and not general information sessions that only focus on administrative compliance. (Fg EC)

The above sentiment from many SMTs is echoed in the NEEDU Report (2013) in that,

Attempts by district officials to capacitate teachers in clusters using the cascading model in afternoon workshops are common place with its focus on general and not specific topics. These cascading models have proven to be ineffective. Yet, this ineffective mechanism for professional development is still widespread. (p. 14)

Many SMTs insisted on engaging in professional development and support that is school-based and addresses the needs and realities of their individual schools:

Professional development that supported the whole SMT at our school and focused on our needs to address policy requirements is what we are still implementing to the best of our ability at our school. (Fg KZN)

These participants therefore showed their understanding that professional development needs to be more focused and balanced to effect change.

7.4.2. Integrated Professional and Personal Development

As indicated in section 7.3.3, many SMT members emphasised the importance of integrating personal and professional development to enhance the potential to impact positively on their professional practices. They also verified that most professional practices need some personal development and skills to implement more effectively:

Personal skills and attitudes like showing respect, encouraging open and honest discussions and listening to each other's opinions is what we realised as the SMT is needed to implement our new democratic roles and responsibilities more effectively. (ii EC 6)

The personal and professional development sessions we engaged with and experienced together as the whole SMT made us realise for ourselves the value and the vital importance of the powerful and immediate impact of how we can function more effectively as an independent SMT. (Fg MPU)

The response above indicates that, when SMT members engaged in personal development, it enabled them to independently realise how capable they are to implement their new roles and responsibilities:

Having experienced both personal and professional development together helped us as an SMT to independently get things done faster and better as we could deal immediately with issues using democratic strategies aligned to policy requirements. (Fg KZN)

These responses indicate how engaging SMT members in personal development can encourage them to begin to work more independently in their professional practice, as captured by the DOE (1997b):

The role of human development has a tremendous multiplier effect that brings lasting benefits to individuals and communities. It is known to help break the historical inter-generational chains of poverty and dependence that has plagued many poor schools. It enables professionals to operate independently. (p. 7)

According to the NEEDU Report (2013),

Improving professionals thinking, practices and professional behaviour requires continuous guidance on how to engage with the substance and behaviour of the new practices required by the numerous policies. (p. 18)

Most SMT members highlighted no longer wanting to be engaged in rushed administrative compliance during their professional development. Instead, many felt that they wanted regular SMT professional development focusing on their specific school and staff needs. Many SMTs also emphasised a need to engage in comprehensive and integrated professional development to address their school and staff realities after engaging with the MMLF:

We really enjoyed and appreciated having regular school-based professional development sessions. It enabled all of us as SMT members to regularly access what we needed to know and understand and then practise for ourselves. The practical demonstrations, open, honest and reflective discussions, coaching and mentoring made us all feel more confident to experiment and practise our new roles and responsibilities using the professional and personal development strategies we had engaged with. (ii MPU 4)

The above response indicates that engaging participants in practical demonstrations has a powerful effect to enable them to try them by themselves, as is also indicated below.

No matter how many times we asked for more demonstrations, discussions, reflections, coaching or mentoring we were always assisted, which helped us to be more patient when

we help the staff. We no longer wait for DOE training. We now look at our own professional and personal needs regularly to improve our SMT practices to make sure we are doing our best to make our school function effectively. (Fg MPU)

We need a national sense of urgency to develop capacity defined as the power to act on the needs of schools. Capacity-building as empowerment must be about empowering the individual professionally to effectively implement the new system of democratic management. Regular professional support is a pre-condition to develop the person and the professional ... especially in rural areas. (DOE, 2010b, p. 67)

Once again, the statement above from a DOE document justifies the SMTs' legitimate request for continuous integrated professional development that includes personal development that focuses on their specific-needs and school realities.

7.4.3. Varied Approaches of Professional and Personal Development and Support

The NEEDU Report (2013), states that:

The DOE should commission a study to investigate models for effective teacher capacitation that is school-based ... through systemic learning opportunities that use different pedagogical techniques. (p. 23)

Many participants shared appreciation for being exposed to a variety of professional development strategies, including regular school-based support, practical demonstrations through role playing, open and honest discussions, reflections with constructive feedback, and coaching and mentoring to function more effectively and independently as an SMT as shared in the responses below.

Engaging us in practical demonstrations of what was required from us regarding our roles and responsibilities was invaluable as it helped us to understand how we could practically implement policy requirements. By involving the whole SMT made us less scared of making mistakes and motivated us to try different ways of working together. (Fg MPU)

The above response indicates that engaging SMT members in what is expected from them can enable them to actively engage with policy requirements in a more practical manner. Engaging SMT members in a variety of professional and personal development processes can also enable them to realise that each SMT member's contribution is valuable.

Regular open, honest and reflective discussions enabled all SMT members to feel free to ask about issues we were struggling with. Getting regular advice from all other SMT members made us realise the value of everyone's contribution and that we had the ability to solve our own problems, which is very empowering. (Fg KZN)

The regular coaching and mentoring provided us with supportive individual attention and this strategy made us all feel very special, valued and encouraged us to do the same for the rest of our staff, which is one of our roles and responsibilities. (ii EC 3)

The responses above from SMTs regarding being exposed to a variety of school-based professional and personal development experiences resonates with Quality Education for All (DOE, 1997b) with regard to goal number six:

Improving all aspects of the quality of education and ensuring excellence for all ... needs a variety of professional development strategies that needs regular active engagement ... for effective change to happen in schools. (p. 9)

The participant responses with regard to the implications for development and support for SMTs in South Africa indicate that professional development can be an enabling process when it integrates professional development with personal development. When SMTs engage in a variety of professional and personal development strategies, it also enables them to effect change.

7.5. SMTs' Suggestions to Address Challenges

Participants' responses in both the focus group and individual interviews highlight three major challenges facing SMTs during their professional and personal development experiences. SMTs in both the focus group and individual interviews not only raised the challenges but shared suggestions of how to deal with these challenges. The three major strategies to address challenges are:

- developing democratic systems and procedures;
- clarifying roles and responsibilities; and
- personal and interpersonal dynamics.

The challenges appear to exist on both a macro and micro level in relation to the alignment across the different levels in the educational system (national – provincial – district – circuit – school – individual). These challenges impact on organisational cohesion, resulting in poor management, coordination and decision-making throughout the system. These challenges also impact on how SMTs engage with personal and interpersonal dynamics, in particular regarding power, attitudes, values, confidence, marginalisation and communication. The discussion that follows outlines participants' suggestions on how to address the three major challenges mentioned above.

7.5.1. Developing Democratic Systems and Procedures

Most SMTs reiterated that almost all their challenges could be addressed if there were better alignment of structures and uniform procedures across the circuit, district, province and national education offices. Most SMTs were insistent that there is currently little consistency of structures or procedures to enable them to engage more effectively with education officials, especially the circuit managers who are their direct supervisors.

During school visits from officials as an SMT we make sure that our documents, responses and engagement is cohesive to make sure all officials understand and can see how aligned our strategies are and how serious we are about aligning our implementation to policy comprehensively. Some officials then insist that we redo our work to how they understand it should be. Many times we waste time redoing paperwork for officials. (ii MPU)

Standardised and practical structures and procedures with realistic timeframes, rather than different, unplanned and haphazard urgent procedures, are necessary to enable SMTs to regularly engage openly across the circuit, district, province and national education offices to address issues more speedily and effectively. These structures and procedures also need to include clear policy requirements and protocols around democratic professional development. During the

focus group and individual interviews, many SMTs made the following suggestions regarding structures and procedures to enable SMTs to engage and communicate more effectively with education department officials:

Each term we would appreciate to receive a calendar of requirements and professional development training programmes at least one term in advance of all administrative requirements and due dates to avoid disrupting valuable teaching and learning time. (Fg EC)

The above response indicates that many SMT members are quite organised with their structures at school, have plans in place and would appreciate the officials doing the same in advance to align the school's plans with official's plans.

As an SMT we have invested in getting us wireless internet connectivity to make life easy for us and we are teaching our circuit manager how he can also make his life easier by emailing us circulars instead of him or us driving over 60 km one way to the district office to hand over school information. (Fg MPU)

Many SMT members also commented on the management of the systems and procedures. SMTs indicated that the current systems and procedures should be more streamlined and function more effectively between all levels in the education system. Many SMTs felt that all units in the district office should use the systems and procedures uniformly to avoid duplication from schools for the same information. All systems and procedures should be electronic, since travelling between the rural schools and the circuit and district offices is time-consuming and very expensive, as indicated below.

We were very excited when we got the news that we could start sending our schools information electronically to the district office through our circuit manager ... we no longer have to sacrifice teaching and learning time and use school funds to travel to drop off documents. (Fg KZN)

Creating positive, clear communication and reinforcing democratic communication emerged as factors that impact on the relationship dynamics between SMTs, circuit managers and other officials. Lack of regular clear communication often led to misunderstandings, which results in a

lack of trust and openness sometimes led to the breakdown of professional relationships and cooperation. Defiant behaviour from some school staff who became disillusioned by lack of open communication also led to breakdowns. Many SMTs said that all these factors can lead to working in an environment of low morale, which most SMTs do not want, as indicated below.

As the SMT we make it our responsibility to make sure that our circuit manager is updated weekly about our activities at school, we are proactive and do not wait for the circuit, district or province. We make sure we are ready with any information that is needed. We set the tone of how we want to be treated as professionals. (Fg MPU)

Once again, most SMTs have shown the advantage of taking on their roles and responsibilities. Most SMTs were emphatic that all professional development must be needs-driven, with the aim to change the mind sets of all involved. Most SMTs shared their pride of knowing as much as they could about professional development in order to actively engage their circuit managers and other officials.

As an SMT we invite our circuit manager and other officials to join our staff development sessions to show them how capable we are as professionals that are trying our best to implement policy requirements practically to suit the needs of our school. The officials are shocked when we invite them to our personal development sessions, where we informally just sit together and discuss difficult issues and together come up with practical solutions. (Fg EC)

Once again, the above response indicates that most SMTs are taking their roles and responsibilities very seriously to make sure that their needs are being met. Most SMTs shared that there is not only a need to know the policy requirements, but also, more importantly, a need to be supported by circuit managers about how to practically implement policies at school and develop democratic practices. With regard to skills development, most participants agreed that a variety of both professional and personal development skills is vital to deal with all the challenges that face SMTs. This means that officials need to have a variety of professional and personal skills to facilitate more active participatory development sessions with SMTs. Most SMT members shared that they believed that a needs assessment should first be conducted by

more experienced and knowledgeable professionals to enable them to begin to develop themselves more effectively.

Most SMTs were unanimous in their call for circuit managers to also undergo professional and personal development, on their own as well as with their respective SMTs, to grow and develop together with the main aim of developing better professional relationships. SMTs want circuit managers to be trained separately from other officials because circuit managers are their direct supervisors. Most SMT members shared that they want to have good, open professional relationships with their respective circuit managers as their circuit managers are responsible not only for their development but also for their professional performance reviews.

As SMTs we want to have respectful, professional and accountable relationships with our immediate supervisors, who we believe and trust are knowledgeable and skilful about our professional development needs. We want to develop mutually beneficial working relationships with our circuit manager who can assist us to grow as professionals. We also want to make sure that we're being held accountable for our roles and responsibilities. We all need role models, coaches and mentors so if we know each other's strengths then we can learn from each other. We also know that circuit managers can invite other circuit managers to our schools to improve our professional knowledge and skills and especially our attitudes. (ii KZN 1)

7.5.2. Clarifying Roles and Responsibilities

Most SMTs agreed in the focus group and individual interviews that the most important improvement to address their challenges was the clarification of roles and responsibilities of all role players in professional development. SMT members believe that this clarity could facilitate the effectiveness of professional development between themselves and officials. The SMTs shared the following suggestion:

One of our big challenges is that not all SMT members fully know and understand their roles and responsibilities so those of us that do know our roles and responsibilities as education professionals have to spend too much time on this and the officials take full advantage of this as it is their responsibility also to assist SMT members who still do not

fully understand their roles and responsibilities. The officials expect us as principals to then do some of the deputy principal and HOD work.

As highlighted above, if more SMTs know their own their roles and responsibilities, then each SMT member can be held accountable. Knowing what is expected from SMTs and officials could enable the SMTs to develop better relationships between the SMT and their circuit manager and other officials. Many SMTs also concurred that, if roles and responsibilities are made clear and understood, boundaries, power and influence as mentioned earlier would also prevent tensions and breakdown in relationships. With role clarification, individuals would then be able to better focus on what is expected from them. Clarification of roles and responsibilities could also enable the SMT to work much more collaboratively with the circuit manager and other officials to better manage schools.

7.5.3. Personal and Interpersonal Dynamics

Almost all SMTs consistently raised the issue of personal and interpersonal dynamics between themselves and officials. The personal and interpersonal dynamics included power struggles and sometimes the abuse of positions of power between schools and education officials. According to some responses, this would happen when circuit managers would insist that paperwork be done the way they want it and not the way that the school feels best represents the school or when the circuit manager would give instructions and not allow any discussions. The most concerning comment from many SMT members was that some education officials expect schools to behave democratically, yet these same individuals behave in authoritarian ways when engaging with SMTs, as indicated in the two examples given. Many SMTs shared their despair about the perceived lack of attempts to develop relationships between schools and some officials, but shared that they felt it was an important aspect of their professional development that was being neglected.

For the past two years the SMT has begun to talk and behave more professionally, when engaging with our staff, our SGB, our circuit manager and all officials that visit our school. But when officials visit our schools many of them still raise their voices, give instructions that sometimes makes no sense and we are not given the chance to question these instructions or have an open discussion about this behaviour. We make notes, date,

sign and attach the school stamp to keep a record of all unfair and undemocratic behaviour at our school. We are now beginning to insist that we discuss unfair issues with any official that visits our school. (Fg KZN)

The above response shows some maturity on behalf of many SMT members who believe in setting good examples of how to demonstrate democratic professional behaviour. According to many SMTs, building relationships must be a priority that goes alongside the focused attention to administrative compliance of policies. Building relationships means dealing with the personal development issues of SMTs, as shared earlier in the chapter, while engaging in professional development. Many SMTs shared that they believed that engaging in personal development enhances professional practices at schools:

Our professional development sessions that involved us dealing with our personal development issues has assisted us as an SMT. We take great pride in building relationships at our school so that we had the courage to practically demonstrate to our circuit manager and officials how we deal with personal conflict between staff members and the officials were pleasantly surprised. (ii EC1)

The suggestions from the SMTs with regard to how they believe they should experience professional and personal development indicate their belief that democratic structures and procedures need to be put into place and employed fairly by all officials with whom they have to engage. Role clarification is also very important to ensure that democratic relationships are developed, maintained and sustained to effect meaningful change particularly at poor rural schools. SMTs shared that they believed that having sustainable structures and procedures in place as well as role clarification adhered to and respected can enable the much needed restoring of their professional identity and personal dignity as the leaders and managers of schools.

7.6. Summary and Conclusion

Chapter Seven presented the extensive findings of the participants' perceptions of their professional and personal development experiences as they tried to embrace their new roles and responsibilities within a new policy context since democracy in 1994. The findings focus on the positive experiences as well as the challenges that SMTs encountered. The findings show that the introduction of new policies espouse the restoration of professional identity and personal dignity

to a large section of the South African population, namely, previously disadvantaged race groups, and specifically to SMTs. With democracy came the introduction of policies that directly impacted on the restructuring of school leadership and management teams, creating new roles and responsibilities. The findings also show the importance of having integrated continuous professional and personal development for SMTs to engage with, embrace and implement their new roles and responsibilities as required by policy.

The research data highlight that professional and personal development must be needs-driven, continuous and varied if meaningful, effective and sustainable policy implementation is to take place. However, in spite of the honourable and positive intentions of the new policies, it has emerged clearly from the data that the DOE still has the huge and urgent task of actively and meaningfully mediating the new policies introduced since 1994. This goes a long way to explaining why there has been such limited effective implementation of these policies which were designed to effect change in disadvantaged South African schools.

What also emerged clearly from the data is that the manner in which the development agency (MMLF) experimented with mediating change was experienced positively. The approach of providing continuous school-based and integrated professional and personal development and support was powerful. Such an approach could be employed as the catalyst to reviewing current professional development of SMTs.

The findings of this study highlight the need for focused attention on personal development to enable agency among SMTs that would allow them to confidently deal with and embrace change instead of fearing it, and to maintain and sustain democratic practices as espoused in post-1994 policies.

The major challenges indicate that district approaches to professional development for SMTs are still too focused on administrative compliance. More attention needs to be given to professional and personal development that can ensure practical and democratic practices to enable meaningful and effective policy implementation. Practical and democratic practices could assist with the development of many schools to becoming more functional.

This means that, for more than 20 years, limited meaningful conceptualisation, coordination, decision-making or communication networks have been developed between schools and the various levels of the education department to institutionalise democratic professional development. Democratic and sustainable systems alignment, organisational cohesion, communication, professional and personal development between schools and the various levels in the education department, as required by policy, are not being fostered optimally.

The challenges that emanate from the lack of alignment from within the education system at all levels show the lack of coordinated management and poor communication at best. At worst, there is no consultation with SMTs, who are held responsible and accountable for the implementation of new policy requirements, with very little (and often no) practical professional development or school-based support regarding how to actually implement requirements from new policies. All this has a negative effect on SMTs' morale, which is a serious challenge given that they are expected to be the change agents at their respective schools.

SMT members' views on how to address these challenges were also presented in this chapter. The chapter concluded with specific suggestions put forward by SMTs regarding how they believe they should experience professional and personal development, as well as who SMTs believe should be responsible for mediating the necessary changes expected from policy. These extensive findings provided the basis for the discussion presented in Chapter Eight.

CHAPTER 8 DISCUSSION

This chapter highlights five key findings that have emerged from the research. The themes within the key findings further illustrate suggestions put forward by the research participants regarding how the challenges discussed in Chapter Seven could be addressed. These suggestions have implications for the professional development of SMTs and are also extended into the recommendations that emerge from the study as a whole that are presented in the final chapter. The five key findings of SMT members' professional and personal development experiences as they tried to engage with and embrace their new roles and responsibilities within a new policy context relate to the following:

- integrating professional and personal development;
- role clarification;
- school-based support;
- policy mediation; and
- implications for development and support for SMTs.

In the discussion that follows, the five key themes that emerged above are presented to show how each one is related to the topic being studied and are discussed in relation to the literature reviewed for this study.

8.1. Integrating Professional and Personal Development

Integrating professional and personal development is fundamental to effect meaningful change in school leadership and management at rural primary schools. This finding implies that all future professional development training and support sessions for SMTs must include aspects of personal development. Brown (2012), Hunsaker and Hunsaker (2009) and Senge (2006) all suggest that addressing aspects of personal development can enable people to begin to address their fears and anxieties about engaging with change. A recurring issue that emerged during both the focus group and individual interviews was the request to have professional development that includes aspects of personal development to empower participants to better engage with, understand, implement and embrace change.

Through integrating professional and personal development, participants could be enabled to acknowledge what they think about and how they are currently attempting to engage with SMT policy expectations. According to Reynolds and Holwell (2010), acknowledging people's mental maps can assist them to have a better understanding of what they are thinking and how they are doing things. To acknowledge these mental maps, people have to be engaged in a process of first-order change to be able to acknowledge their current mental maps (J. Zimmerman, 1986, 2006). J. Zimmerman (1986, 2006) cautions that most processes of change fail and people then revert back to known ways of thinking and doing if they are only engaged in first-order change processes and are not engaged in further orders of change processes.

According to the DOE (2009), there is a need to move away from generalised and fragmented professional development approaches to a more integrated, balanced and holistic approach for professional development to better enable the understanding and implementation of SMT policies. A call for a more holistic approach for professional development was also made by NEEDU (2013). This study is located within the national and international bodies of literature on professional development. It must be noted that the literature review did not reveal similar studies for comparison nationally or internationally. During both the focus group and individual interviews in this study, most SMTs contended that their experiences of professional development were not balanced and holistic, as attention is mostly paid to professional aspects of development, focused on administrative compliance.

Many SMT members still perceive officials, who are directly responsible for their professional and personal development and support, to be professionally incompetent and personally not respectful and capable of supporting them democratically, holistically or effectively. Senge (2006) asserts that, for continuous development to be part of an organisation's culture, the supervisors need to be able to guide those who need assistance in their professional and personal growth. Many SMT members contended that many officials are not able to support their immediate professional or personal development needs. The current situation therefore requires that both professional and personal development need to be reviewed, re-contextualised, re-established, continuously maintained, monitored, managed and sustained between SMTs and many officials responsible for their professional and personal development (NEEDU, 2013). The policy documents, policy guidelines, reports and job descriptions referred to and analysed for

this study raise the important issue of consistent quality of CPD provisioning, in that all professional development must be balanced, holistic, structured and implemented through democratic processes (DOE, 1997b).

Thus, all the documents referred to in Chapter Six present a major shift towards a balanced, holistic and democratic paradigm of professional development and support provisioning, and consequently highlight the urgent need for this shift from all of those tasked with providing professional development and support to schools, including circuit managers (DOE, 2010a), as outlined below:

- Personnel must be trained to provide services which involve whole school development based on democratic approaches. Professional training programmes must shift away from a ‘deficit’ problem-oriented approach of intervention, towards developing support services which aim to foster enabling learning environments through focusing on strengths, competencies and development.
- All professional development should integrate aspects of empowerment, capacity building, diversity, human rights, community development, site-based learning, team building and support.
- Personnel should develop professional networking skills and learn how to work collaboratively through effective training and ongoing support.

The above three points are commendable and indicate the DOE’s (2010a) intention to incorporate more balanced professional development, but it falls short as it does not offer strategies of how to practically implement them (NEEDU, 2013).

The following themes emerged from the data with regard to balancing professional and personal development:

- Build trusting professional relationships
- Provide relevant and meaningful support
- Restore professional identity and personal dignity
- Need for a new paradigm
- Need for varied continuous professional and personal development

- Personal and interpersonal dynamics
- Foster personal agency

8.1.1. Build Trusting Professional Relationships

Developing and building trusting professional relationships are central to the findings that emerged in this study. All stakeholders directly responsible for the CPD of school leaders and managers, particularly with regard to their roles and responsibilities, need to first get to know, understand and respect each other, as suggested by Fullan (2009) and Hunsaker and Hunsaker (2009). All stakeholders need to be aligned to the shared vision of building respectful relationships to effect the envisioned change on a professional and personal level (Senge, 2006).

According to Brown (2012), regular practical demonstrations of how to maintain democratic relationships need to be prioritised while building trusting relationships. The associated values and attitudes of democratic relationships as espoused in the new policies should also be engaged with as part of developing and sustaining trusting professional relationships with SMT members, between SMTs and their staff and with SMTs and education officials. According to Cohen et al. (2011), people must be allowed to regularly reflect on what they are thinking and how they are doing things. This regular reflective process is necessary to understand and know if what they are doing is serving them optimally on a personal and professional level. This reflection process entails engaging people in a second-order change process to reflect on their roles and responsibilities (Archer, 2007; Hibbert, 2013).

The focus group and individual interviews were structured to serve as first-, second- and third-orders of change processes to engage SMTs in a reflective process regarding their experiences of professional and personal development. The reflective process enabled the SMTs not only to reflect on their professional and personal experiences, but also to acknowledge their current mental maps regarding their roles and responsibilities. Once the SMTs acknowledged their current mental maps (how they were doing things), they were further encouraged to reflect on whether the way they were doing things was working for them and if they needed to make some revisions and adjustments to how they were operating. According to Archer (2007) and Hibbert (2013), people are enabled to make decisions about how optimally their current mental maps are working for them through a reflexive process. They are also enabled to decide whether they need

to make revisions and adjustments to their current mental maps and author new mental maps. During both the focus group and individual interviews, SMTs were encouraged to make suggestions regarding how they would like to make revisions and adjustments to their current ways of doing things to work more optimally for them. It is important to note that second and third orders of change do not happen in one instance but are ongoing processes, as are all change processes.

After practical demonstrations, non-judgmental observations with enabling positive feedback should happen regularly by all stakeholders involved with the provisioning of professional development to better understand how the SMTs are attempting to implement their roles and responsibilities. Regular reflections on current and policy-expected professional relationships and the disparities between them should then be discussed (Archer, 2007; Hibbert, 2013). Archer (2007) and Hibbert (2013) suggest that reflective processes are necessary to regularly assess whether the mental maps of SMTs as individuals and the organisation are still relevant or if they need to be adjusted and revised to align with the envisioned or required change.

The enabling positive feedback from these regular reflections needs to be the focus in providing the CPD needed to facilitate any necessary changes to sustain trusting professional relationships. Developing these mutual respectful professional relationships also includes:

- treating each other as equal partners;
- negotiating and working towards shared goals;
- negotiating mutually agreed tasks for each school visit;
- enabling SMTs to experiment with new practices between school visits;
- ensuring that parameters of mutual respectful professional roles and responsibilities are clear; and
- agree on how to hold each other accountable for respective professional roles and responsibilities (Kariem et al., 2009).

Building trust also includes fulfilling commitments to each other, and focusing on the professional development required to improve trusting professional roles and responsibilities rather than criticising inappropriate practices and each other (Senge, 2006).

8.1.2. Provide Relevant and Meaningful Support

This finding suggests that the provisioning of relevant and meaningful support is vital when trying to implement change. The lack of regular professional development regarding roles and responsibilities provided to SMTs from across the educational system was an issue of concern among most participants. Effective professional development and support to SMTs need to be different from one school to the next, as each school has its own unique needs and context. Contextualising professional development is one of the service provisions mandated from the DOE, for professionalising the civil service (NEEDU, 2013). Fullan (2009) asserts that contextualised and relevant professional training and support becomes vital when implementing change. Fullan (2009) adds that school leaders and managers will not attempt to implement the change if they do not feel supported to implement change. Instead, they will continue to implement what is familiar to them.

Through the provisioning of relevant and meaningful professional development, SMTs will begin to understand what they are supposed to do according to policy requirements with regard to their roles and responsibilities. Such support needs to happen through regular practical school-based demonstrations that address SMTs' particular school contexts. Each school is unique and therefore SMTs need individual school-based professional development that is particular and specific to their context. Generic support, as is the norm in the case of most of the DOE's current professional development approaches, can effect little change and in most cases results in no real effective, meaningful and sustainable change at schools (Jansen, 2009).

To ensure effective, meaningful and sustainable implementation of SMTs' roles and responsibilities as espoused in new policies, support has to be targeted, specific and focused to suit the particular and specific needs of the school, as mentioned in all phases of this research. Professional development that is offered to SMTs must be cognisant of using practical change strategies that are grounded in theory and mediate change through practical demonstrations at both individual and organisational level (Fullan, 2009). Change theory strategies should include reflexivity at their core to enable regular reflections on current practices to decide whether they are serving the individuals and the organisation optimally. If the current practices are serving both the individuals and the organisation optimally, they should be maintained and sustained. If

not, they need to be adjusted and revised to develop more effective and meaningful practices (Archer, 2007; Hibbert, 2013).

8.1.3. Restore Professional Identity and Personal Dignity

The finding that evoked the most pride, passion and enthusiasm among participants was the perception of a restoration of professional identity and personal dignity since democracy in 1994. Many SMT members in both the focus group and individual interviews of this study agreed that having a better shared understanding of the democratic new policies was crucial. SMT members believed that a shared understanding could assist them to address past imbalances and at the same time restore their professional identity and personal dignity. Erikson (1985) asserts that people of the age cohort of this study's research participants, namely, the generative stage, have a need to be acknowledged. During the generative stage, people also want to be appreciated and know that their individual contributions are making a difference. Making a difference is what shapes their professional identity. Many SMT members shared that they regard professional development as an enabler for them to better understand and implement SMT policies. This made them feel proud of their professional identity and personal dignity because they felt able to make meaningful contributions to change.

The challenge that appeared to disturb and even anger many SMT members was that the professional development that they perceived could restore their personal dignity appeared not to be a priority at circuit, district, provincial or national level. Brown (2012) and Senge (2006) highlight the importance of acknowledging the personal dignity of individuals as essential during a time of change. Through acknowledging individuals' personal dignity, one acknowledges the fears and anxieties people have about the impending and expected changes. Most SMTs made special reference to the need to acknowledge their professional identity and personal dignity in their new roles and responsibilities. The professional identity of SMTs is stated in PAM policy documents, policy guidelines and job descriptions that highlight the acknowledgment of restoring human dignity as being paramount during a time of change (DOE, 2009). Without acknowledgement of the importance of professional development that could restore professional identity and personal dignity for SMTs from circuit, district, provincial and national levels, the challenges facing SMTs become even more debilitating. The impact on the functionality of

schools, especially in under-resourced and underperforming rural schools, is consequently profound.

Many SMT members in both the focus group and individual interviews expressed that one of the biggest challenges to restoring their professional identity and personal dignity too often related to being unable to openly engage with their respective circuit managers. SMTs felt that they needed to share with their circuit manager about their collective efforts to experiment with and effect change, after they had reviewed how their current practices were no longer serving them or their schools. According to Morrish (2013), experimentation with new strategies that work for a person's context needs to be encouraged, supported and celebrated during a time of change. Archer (2007) and Hibbert (2013) concur that experimentation is necessary for people to author new mental maps after reflection shows that current mental maps no longer work. Experimentation enables people to investigate if new ways of doing things can work for them and their context. According to Morrish (2013), experimentation done collectively can assist to build solid and sustainable professional relationships as well as acknowledge and dignify professional identities.

Another challenge of not acknowledging professional identity and personal dignity was that SMTs felt marginalised and undermined. This sometimes impacted on their professional morale as they operate in very trying contexts in the rural areas. The surest manner to demoralise professionals is to disregard their efforts (Hargreaves, 2009). Despite not always being acknowledged by their respective officials, many SMTs in this study showed real mettle. SMTs shared how they were continuing to reflect on their current practices, attempting the necessary adjustments and revising their practices as best as they could. Participants also shared that they were most proud of how their new practices assisted them to identify with their democratic professional identity as being South African teachers and no longer Bantu teachers, which gave them a sense of personal dignity as being South African citizens who were making a difference in rural schools.

According to Davidoff et al. (2014), each individual is different, develops at a different pace and should be regularly acknowledged to develop healthy professional identities in any organisation. The authors further state that individuals bring their own personal realities into their

organisations, so it is important to acknowledge the link between personal and professional realities and to regularly find ways to communicate with each other about these realities in ways that everyone can understand and that can make everyone feel valued.

Poor communication between some officials and SMTs also made building professional identities and personal dignity between SMT members and their respective circuit managers difficult in this study. Many SMT members related that the lack of healthy personal attitudes and the dominant one-way approach of communication through circulars unfortunately often led to misunderstandings. These one-way communications also impacted on building personal trust and open democratic relationships between SMT members and officials. It was also not conducive to building respectful professional identities and personal dignity throughout the education system. Archer (2007) and Hibbert (2013) again alert that, if current ways of doing things are not working, people need to try another way of doing them. If people are not given the opportunity to do things differently, they revert to familiar ways of doing things, which are not always beneficial to everyone in an organisation.

8.1.4. Need for a New Paradigm

Embracing a new paradigm that is co-constructed by all stakeholders to include, emphasise and foreground the personal needs of professionals was acknowledged by participants as vital during a time of change and so a significant finding. Finnigan and Daly (2010) alert that change cannot be optimal if new paradigms are not part of the change process. The author's further states that, to effect change, some familiar practices need to be reviewed, revised and adjusted. The DOE (2010a) has mandated a paradigm shift regarding professional development. Professional development has to move from a deficit, problem-oriented paradigm to a democratic, solution-focused paradigm (DOE, 2010a). The professional and personal development needs, according to the findings of this study, support this policy mandate and paradigm shift. There is therefore congruence between the policies and the SMTs' position on this. It is clear that the professional development paradigm currently being employed within support provisioning is inadequate and not aligned to the democratic focused paradigm. The social constructivist-interpretive paradigm employed in this study encourages the construction of knowledge between people engaged in solutions-focused activities. The interpretation of these solutions-focused activities is also encouraged (Denzin & Lincoln, 2011).

As mentioned earlier, during a time of change, professional development needs a paradigm that is democratic in nature, and holistic and balanced in its implementation to ensure that development needs are addressed to enable SMTs to function optimally. The first phase in such a shift is to identify the professional and personal development needs of SMTs. This should be followed by the provision of the requisite professional development and support to enable its effective, meaningful and sustainable implementation (Fullan, 2009). If individuals are supported through a process to identify their specific needs, they will be more inclined to engage in activities that assist them to address these needs.

The findings of this study illuminate the need for SMTs and officials at all levels, circuit managers in particular, to develop more democratic professional relationships through the provisioning of balanced professional and personal development. Senge (2006) suggests that a way to develop this balanced approach is to engage with professional development that also focuses on personal mastery and mental models, as discussed in some detail in Chapter Five. In order to achieve this balanced approach to professional development, the biggest challenges are twofold. The first is enabling individuals to embrace and not fear and resist change. The second is to encourage individuals to take full responsibility for becoming lifelong learners by engaging in CPD that can develop their democratic knowledge, skills, values and attitudes, which they can use to effectively, meaningfully and sustainably engage with change and not resist it (Brown, 2012).

Once a new paradigm is established, it could be even further developed as SMTs continue to be supported in reflexive processes. New paradigms require SMTs to also develop new mental maps after engaging in a reflexive process. According to Archer (2007) and Hibbert (2013), once new mental maps have been authored, people can once again reflect on their new mental maps at any time to assess the effectiveness thereof. They can revise, adjust and author another new mental map to enable them to try out new ways of thinking and doing. The process of first, second and third orders of change then becomes a continuous active reflective cycle that continuously reviews professional practice. Fullan (2009) refers to this process as being mindful of change. This means embracing and being proactively ready to engage with change and not to fear and resist change. Change therefore becomes a liberating and growing process, instead of a stifling restrictive process.

Hunsaker and Hunsaker (2009) remind us that, during a time of introducing new paradigms, people find themselves at different levels of understanding and embracing change. This is because people develop at different paces and are therefore at various levels of development during a time of change. Some people are able to understand, adapt and implement faster than others. New paradigms must therefore also make provision for developing excellent leaders. Excellent leaders have become a necessity of the ever-changing world we now live in, especially in challenging contexts, like rural schools in the case of this study (Veldsman, 2014).

All stakeholders currently providing professional development and support should therefore review all their programmes to make sure that they are underpinned by democratic solution-focused paradigms. This is to make sure they are balanced to serve both professional and personal development needs. Senge (2006) notes that “meaningful change involves constructing deep, sophisticated meaning of what change is, its purpose, and how the change process should unfold. This is because change involves a fundamental shift in thinking and doing” (p. 133). Real change in schools involves altering the underlying philosophy or beliefs, assumptions, goals, skills, conceptions, teaching, learning and leadership and management practices. “Change, is more than just change on the surface but rather involves turning the surface inside out” (Davidoff et al., 2014, p. 4).

8.1.5. Need for Varied Continuous Professional and Personal Development

The study also found that it is important to engage SMTs in professional and personal development programmes that are varied, to address the varied needs of SMTs. Most of the literature reviewed for this study, particularly Mac Beath (2011) and Timperley (2011), acknowledges that being exposed to a variety of CPD strategies is beneficial during a time of change. The variety of CPD can include and is not limited to: regular school-based support, practical demonstrations, role playing, open discussions, reflections with constructive feedback, and coaching and mentoring to function more meaningfully, effectively and independently.

In South Africa, since 2008, all registered educators, including SMTs, have been expected to engage in CPD to earn points. This is to ensure that SMTs remain updated about educational developments. These CPD points are also used for purposes of promotion and salary increases. The CPD process is mandated by SACE and the content is mandated by the various SMT

policies (as outlined in Chapter One). Educators have the democratic right to decide what CPD they need and will engage with (DOE, 2008b). However, most SMTs in this study voiced their concern that the focus of CPD programmes reflect deficit problem-orientated approaches and that they were mostly being exposed to rigid and prescriptive information sessions which involved direct instructions on how to comply administratively with their roles and responsibilities (Mac Beath, 2011; Timperley, 2011).

Exposing SMTs to a variety of balanced professional and personal development strategies, as espoused in policies, still remains challenging and contentious in the South African educational context, and more so in rural schools. Embracing and engaging with a variety of balanced professional and personal development strategies that continuously involves reflexivity to deal with current mental maps still embedded in pre-1994 knowledge, skills, attitudes and values, has the potential to shift the practices of SMTs and the providers of CPD towards post-1994 knowledge, skills, attitudes and values, as suggested by Archer (2007) and Hibbert (2013). SMTs no longer need generalised workshops that focus mainly on administrative compliance that have little effect and impact on their professional practices (NEEDU, 2013). The literature concurs with the SMTs that, at a time of change, professionals require regular contextualised CPD that employs a variety of learning strategies (Hargreaves, 2009). Christie (2010) states that professional development has a better chance of success if it is varied and addresses the various needs identified from the SMTs in order for them to take ownership in dealing with their respective issues and challenges. The generalised compliance workshops experienced by the SMTs in this study made most SMTs feel like their professional identity and personal dignity were not being acknowledged and respected.

According to the DOE (2008b), educators are to choose the areas in which they need to professionally develop themselves. Most SMTs wanted CPD that is provided by professionals who are sensitive to their particular context and have the post-1994 democratic knowledge, skills, values and attitudes to deal with their contexts and specific issues and challenges. Taylor et al. (2013) state that, if professional development is focused on teachers' professional needs, they will engage, embrace and implement what is required of them.

8.1.6. Personal and Interpersonal Dynamics

The study found that power struggles affect personal and interpersonal dynamics. Many SMTs in this study were concerned that too much of their time was taken up at school by having to resolve power struggles. On the one hand, there are power struggles between SMT members to begin to work more collaboratively with each other and the rest of the staff and SGB. On the other hand, there are power struggles with education department officials. SMTs in this study felt that some officials often used their power to disregard what SMTs called their constitutional democratic right to have their personal dignity acknowledged through personal development as espoused in policies. According to Brown (2012), power struggles can be enabling if the individuals are able to engage on an equal standing. An example is when one SMT invited their circuit manager to their school to discuss and show him what they were doing. They felt in charge as the school is their territory they could engage without other schools' SMTs present. According to Morrish (2013), when professionals engage as equals, more can be achieved to the mutual benefit of all professionals involved. Engaging as equals has more advantages to improve professional growth and development than engaging on unequal grounds.

If power struggles are allowed to continue without being addressed, they can lead to the breakdown of relationships and are beneficial to no one in the organisation (Senge, 2006). According to many SMT members in this study, most officials did not acknowledge the importance of personal development and therefore did not address it during any professional development sessions. What is most unfortunate is that officials did not see how the benefits or the potential of engaging in personal development could actually be a catalyst to accelerate change during professional development. Senge (2006) explains that individuals will not even attempt to engage in change if they are made to feel inferior by their superiors due to power struggles. However, positive personal and interpersonal dynamics can develop if superiors acknowledge and address personal development issues on equal footing. Positive personal and interpersonal dynamics enable everyone involved to feel valued and thereby encourage all people involved to give their best. When all people involved are giving their best, the individual and the organisation thrive, thus allowing change to take root, thrive and be sustainable.

According to Brown (2012), negative personal and interpersonal dynamics can make or break people, relationships and organisations. Personal and interpersonal dynamics are central to all

human interactions. Making certain that personal and interpersonal dynamics are respectful must be regularly reviewed, addressed and resolved if everyone in the organisation is to benefit. Archer (2007) and Hibbert (2013) caution that reflecting on personal issues is a necessary and vital process, but recognise that this is not an easy process and requires a skilful and experienced change practitioner to identify and acknowledge how people currently behave in an organisation.

Once people can articulate their reflection on their current behaviour, the change practitioner needs to engage them in further reflection to enable them to acknowledge whether their current behaviour is beneficial to everyone in the organisation. If not, they need to articulate what they need to do to adjust their current behaviour. Once the current behaviour is adjusted, they need time to experiment with their adjusted behaviour and to reflect further to make sure the adjusted behaviour is beneficial to everyone in the organisation. If not, they need to reflect further to revise their adjusted current behaviour to develop new behaviour, which also needs time for experimentation to make sure that everyone in the organisation is benefiting from the behaviour. Hibbert's (2013) process, as described above, is a practical example of engaging people in a first, second and third order of change process to identify their current mental maps through a continuous process of reflexivity to review, adjust and revise their current mental maps and re-author new mental maps, as discussed in Chapter Two.

An issue of concern raised by many SMT members was that many education officials expect educators to exhibit democratic behaviour, yet some officials behave in authoritative ways when engaging with SMTs. Senge (2006) cautions that, if personal and interpersonal dynamics are not in harmony between superiors and those they interact with, inconsistent, unpredictable and unacceptable behaviour will be experienced. Many SMT members shared their despair about the perceived lack of democratic relationships with many officials. Many SMT members shared that the personal and interpersonal dynamics in relationships are difficult, but remain an important aspect of their professional development that can no longer be ignored.

Brown (2012) suggests that, the more negative personal and interpersonal dynamics are ignored, the worse they get, the sooner they are faced and dealt with, the better for all involved. Many SMT members said that regular personal development could enable them, together with their officials, particularly their circuit managers, to engage in professional development that includes

activities that could assist to restore, not only their personal and interpersonal dynamics, but more importantly each other's professional identities. According to Taylor et al. (2013), the sooner people embrace and practice their constitutional rights the sooner they will have a chance to effectively implement policy changes meaningfully.

During the focus group and individual interviews, most SMTs in this study raised the alarming challenge of the lack of exposure to professional development that deals with personal and interpersonal dynamics by the DOE. According to Senge (2006), Hunsaker and Hunsaker (2009) and Brown (2012), one of the priorities during a time of change is to engage people to develop skills to deal with personal and interpersonal dynamics. If personal and interpersonal dynamics are not acknowledged or addressed, they will constantly appear and dominate interaction between people, resulting in fear and resistance prevailing, and slowing down, hampering and negatively affecting the change process.

8.1.7. Foster Personal Agency

The finding of fostering personal agency in this study means enabling individuals to develop requisite sets of knowledge, skills, attitudes and behaviours to deal with professional and personal issues as they arise. According to Senge (2006), fostering personal agency becomes more essential when no personal development has been offered or acknowledged as being important for individuals in a team. It is particularly important as they attempt to understand and implement new and unfamiliar roles and responsibilities.

Fostering personal agency of both education officials and SMTs could assist in dealing with the personal and interpersonal dynamics between circuit managers and SMTs at schools. If SMTs have knowledge, skills, attitudes and behaviours to deal with professional and personal issues as they arise, SMTs will be able to take more ownership of their situations at school. According to Kariem et al. (2012), enabling SMT members to face their anxieties collectively about their new roles and responsibilities makes it easier to deal with their fears. The more SMT members face their fears as a team, the more they will realise that their fears can be minimised. Sharing collective ideas and strategies to deal with their challenges is an important strategy for promoting personal agency as it empowers individuals to deal with people and issues independently and with confidence. The more SMT members are able to handle their challenges together, the sooner

they can begin to grow their confidence to sort out their own challenges and share their solutions with their circuit managers (Kariem et al., 2012). In the case of this study, the more one SMT shared their solutions to their challenges with their circuit manager, the more their professional relationship improved with him.

Developing personal agency includes building self-confidence, self-belief, self-respect and self-pride. This is important for all SMTs and officials across the system, in order for all SMTs and officials to enact democratic policy knowledge, skills, values and attitudes (NEEDU, 2013). Change can be better and more easily facilitated by personal exposure to and regular reflection on the positive and enabling aspects of an alternative democratic ideology, espoused in our new post-1994 democratic constitution and policies. The strategy of developing personal agency discussed above often addresses the sort of complex people issues that are at the heart of enabling or undermining both professional and personal development of SMTs. Examples of barriers to the development of personal agency include poor self-esteem, hopelessness and low expectations (Kariem et al., 2012). Fostering personal agency requires consistent modelling and encouraging the desired post-1994 policy knowledge, skills, values, attitudes and practices; guided experiences of putting them into practice; affirmation of successful attempts of implementation of policy requirements; acknowledging and celebrating success achieved; and repeated experiences of success (Kariem et al., 2012).

The above strategies to foster personal agency form the core of what could be embodied in professional and personal development training for SMTs at a time of change. These strategies could be used in an attempt to mediate the paradigm shift required for the educational emancipation of schools, SMTs and education officials still locked in pre-1994 knowledge, skills, attitudes, values and practices.

8.2. Role Clarification

A fundamental finding to emerge from the data is the issue of role clarification. DOE documents reviewed for this study set out broad roles and responsibilities for SMTs, with no specific guidelines of how to practically implement them. While attempting to engage with the broad roles and responsibilities, the participants emphasised the importance of the need to clarify what the specific roles for SMT members are. Clarification regarding what specifically is expected

from each SMT member to better understand and implement these roles and responsibilities was argued to be crucial. The broad SMT roles and responsibilities are democratic in nature (DOE, 2008b). Educator development and support are core aspects within the broad roles and responsibilities of SMTs. SMTs are therefore expected to behave democratically while facilitating educator development and providing support. How SMTs are expected to engage with these two vital aspects within their new roles and responsibilities is not always well understood and consequently inconsistently implemented. With no clear role definitions clearly specified for SMTs, the broad roles and responsibilities often clash with the embedded practices, values and attitudes from the apartheid education system which are still prevalent at schools (Taylor, 2009a).

An essential element during a change process is the need for clarity regarding each person's role in the organisation. Fullan (2009) suggests that clarifying how roles are defined and implemented to achieve the organisations goals is particularly crucial during a time of change. Advocates of organisational change, like Senge (2006) and Jansen (2013), assert that how roles are defined and clarified impact on how the organisation will operate. They argue that, if roles are not clearly defined, the effective and meaningful functioning of the organisation can be affected.

The findings presented in Chapter Seven suggest that, due to the current roles and responsibilities of SMTs being too broad and not being regularly or clearly communicated throughout the system, roles are not fully understood and implemented as required by policy. A major challenge therefore highlighted across the phases of data collection is the need for clarification of SMTs' roles. This includes the need for clarity about who should be responsible for training SMTs to fully understand their roles and responsibilities. In theory, a broad job description can be perceived as acknowledging the multi-skilled abilities of SMTs. In practice, having a broad job description can be open to misinterpretation, abuse and overloading some SMT members at the expense of others (Taylor, 2009a). Clarity around the specifics of the job functions and expectations for each SMT member is therefore essential.

If there is no role clarity, SMT members could also lose their areas of speciality and operate as generalists, which are not conducive for effective and meaningful school functionality (Fullan, 2009). Participants raised the concern that, because SMT roles and responsibilities are so broad,

many SMT members have to do everything and no longer feel that their specialist contributions are valuable. Senge (2006), alerts that individual contributions need to be acknowledged as a means to strengthen roles and encourage responsibilities to take effect within an organisation. Defining specific roles will provide clarity in terms of what each SMT member is able to contribute to the change process by way of knowledge, skills and attitudes. In this way, the school benefits the most from the collective knowledge, skills and attitudes of all SMT members. The school is then in a better position to function more effectively and meaningfully, and is able to maintain and sustain democratic practices as espoused in policy.

Therefore, clarity around the knowledge, skills and attitudes of SMTs is vital and needs to be communicated regularly and clearly to the school staff, learners, parents, SBG and the broader school community. If everyone is clear about the specific roles and responsibilities of SMTs, then SMTs can be held accountable for all their professional actions (DOE, 2002).

Role clarification is a process that ought to happen when engaging in CPD to assist and enable school leaders and managers to understand what their new roles and responsibilities mean in practice. This should be followed by how to meaningfully and effectively implement the new roles and responsibilities within their school context (Fullan, 2009).

8.3. School-Based Support

School-based support as a key finding contained two main themes, namely:

- developing democratic systems and organisational cohesion; and
- need for practical school-based support.

8.3.1. Develop Democratic Systems and Organisational Cohesion

This theme highlights the importance of organisational cohesion within a democratic system when facilitating change through personal and professional development. Leadership and management authors like Finnigan and Daly (2010) and Morrish (2013), policy documents, policy guidelines, and job descriptions referenced in this study's document analysis acknowledge the vital importance of having organisational cohesion throughout the education system at a time of change. Organisational cohesion in this study implies that efficient and regular support is being made available to schools (DOE, 2009). The policy documents and guidelines present the

features of a democratic system that relies on organisational cohesion, but they do not present how to practically develop and implement such a system. It is necessary to enable SMTs to be empowered to deal with challenges that emerge at a time of change.

Senge (2006) asserts that, when developing democratic systems, the most important first step is to engage people in a manner that enables them to become more mindful of the benefits of the change. Being mindful of change enables people to be less fearful of change and less resistant to the envisioned change associated with a democratic system. One of the aims of guiding people through a first, second and third order of change process is to enable them to become more mindful of change (Bartunek & Moch, 1987). Guiding people through change enables them to acknowledge their current mental maps, and reflect on whether the mental maps are working optimally for them or whether they need to author new mental maps (Lott, 2011; Reynolds & Holwell, 2010; J. Zimmerman, 1986, 2006). During the focus group and individual interviews in this study, most SMT members reiterated that many of their challenges could be addressed if there were more democratic structures and procedures within the education system. According to the participants, this would mean that school-based support would be provided as part of their professional development. This would also mean that support for SMTs would be more efficiently coordinated, managed and communicated across the circuit, district, province and national education offices.

According to Morrish (2013), if coherent structures and procedures are democratic in nature, they stand a better chance of being embraced by those expected to facilitate and implement change. Most SMTs were emphatic that there are no consistent structures or procedures to enable them to engage more effectively with education officials, especially the circuit managers who are their direct line managers. Most SMT members were insistent that more user-friendly structures and procedures need to be established and instituted to enable SMTs to regularly engage openly across the circuit, district, province and national education offices, to address issues more speedily and effectively.

These structures and procedures also need to include clear, standardised and democratic protocols around CPD. Most SMTs commented that coordination and management of procedures are vital to make sure that they can be used regularly and efficiently. In addition, all units in the

district office should work with the structures and procedures, not only some officials, to avoid the SMTs having to duplicate information for the same district office. These suggestions from many participants are also highlighted in the NEEDU (2013) recommendations that clearly specify that all structures and procedures need to be aligned to ensure efficiency throughout the system. The structures and procedures must be used uniformly and timeously to communicate more effectively with schools. The implementation of this recommendation is vital as distances between the rural schools and the circuit and district offices are a serious logistical challenge. If structures and procedures are set, perhaps this will obviate the need for some face-to-face contact.

8.3.2. Need for Practical School-Based Support

Practical school-based support was identified as a significant and necessary intervention. The term school-based in this research refers to all professional development that happens at the school with the entire SMT and links directly to the school's identified needs and context. The document analysis regarding professional development calls for a shift in paradigm from a 'deficit' problem-oriented style of professional development towards developing support services which develop enabling learning environments through focusing on strengths, competencies and site-based development (DOE, 2008b). Such an approach has the potential to have a lasting, meaningful and sustainable impact. MacBeath (2011) concurs that there is a need to enable schools leaders to engage with and transfer new approaches, practices and concepts that underpins CPD in practical and varied situations in their particular institutions. Most participants in both the focus group and individual interviews supported the above idea and requested professional development to be more school-based.

Earley et al. (2011) argue that facilitating school-based professional development requires specialised knowledge and skills, as indicated in the document analysis (DOE, 2010a). Many SMTs in the focus group and individual interviews concurred that they need school-based professional development facilitated by officials who have an understanding of their context and of the new policy requirements in a balanced, holistic and democratic manner. The NEEDU Report (2013) concurs in its recommendations that it is important to employ appropriately qualified professionals to assist with the professionalisation of the civil service that includes school-based support.

According to Bartunek and Moch (1987), Zimmerman (1998) and J. Zimmerman (1986, 2006), first, second and third orders of change can assist people during a time of change through a guided process to acknowledge how they are doing things. Through continuous guided reflection, they can reflect on their current practices and understand for themselves the necessity of what, where, when and how they need to make adjustments to their practices and to begin to do things differently according to new requirements. Guided reflexivity that is school-based enables people to engage with their context and make changes to suit their context. The purpose of guided contextualised reflexivity is to enable people to begin to make changes for themselves (Archer, 2007; Hibbert, 2013). CPD incorporates school-based support, which develops schools to deal with issues that relate directly to their contexts and not to generalised and disconnected contexts (Christie, 2010). According to Fullan (2009), when school leaders and managers are engaged in CPD within their real contexts, change can be more easily understood and implemented. Change also stands a better chance of being owned, maintained and sustained if contextualised (Morrish, 2013).

8.4. Policy Mediation

Policy mediation was found to be central to facilitating effective educational change. According to Bloch (2009) and NEEDU (2013) a comprehensive policy mediation strategy is necessary that has clear consensus among all stakeholders to effect meaningful policy implementation. This strategy should be based on government's priorities, contextual analysis of education realities and the needs of those who are responsible for policy implementation. Policy mediation therefore needs a principled-driven commitment to increase participation by all stakeholders in the education arena, especially in schools. Policy mediation therefore needs to explore workable interventions that need to be co-ordinated, monitored and managed to impact on school improvement. This reflects a move from a 'protest' approach to social change, as was apparent prior to 1994, to 'reconstruction and development', or a move from a 'conflictual' to a more 'consensual' approach post 1994. (Bowe & Ball, 1992).

Bowe and Ball (1992) identify three contexts of policy process that must be taken into account when considering any attempts to influence change, namely, the context of influence, the context of policy text production and the context of practice. The context of influence is the context within which policy is initiated which includes a variety of political activities involving relevant

stakeholders. The context of policy text production refers to the development of policy documents and announcements made by politicians. The context of practice refers to the interpretation of policy and how this interpretation is translated into practice. All three contexts are characterised by some form of struggle and do not encompass an easy, smooth or seamless process. Each context is characterised by a 'push-and-pull' where different stakeholders attempt to achieve dominance and recognition. Various interest groups struggle to influence the process with their own values and interests using various means at their disposal like protests, submissions and interviews with the media (Sayed and Kanjee, 2013). Policy mediation is therefore a vital aspect of policy implementation which is dynamic process filled with contestation together with self and group interests which needs to be navigated carefully and led by experienced practitioners. These practitioners need to be sensitive to the various contexts of the policy implementation process and the people to be developed and supported to effectively implement policy changes (Jansen, 2013). The manner in which future education policies are developed in South Africa will have a major impact on the implementation thereof. If an empowerment agenda that includes a genuine participatory approach to policy formulation with the goal of facilitating maximum participation is undertaken, then policy could be better implemented. More importantly will be fostering the empowerment of citizens to provide them with real opportunities to take control of their professional lives. While this should be a general goal within a democratic education system, it is not without tensions and contestations.

Within this category of findings, two main themes emerged:

- introduction of democratic policies; and
- need for school-based policy mediation.

8.4.1. Introduction of Democratic Policies

This finding reveals that the introduction of democratic policies plays a vital role regarding the new roles that SMTs will play as key organisational structures in effecting change at schools. According to Bush and Middlewood (2013), democratic change as a result of policy introduction needs structures and processes to be fully operational to enable school leaders and managers to deal with all the challenges that can emerge. The structures and procedures need to include reflective processes to deal with the challenges that could hinder implementation. Archer (2007)

and Hibbert (2013) assert that the reflection processes needed to guide people through change processes should be put in place to make sure the required change can be effected. Change does not happen due to introduction of policy; CPD guides people through the required change (Fullan, 2009).

The education system has been drastically transformed since 1994, as discussed in Chapter One. To align the education system with political democratic changes, the education department began to implement democratic policies. The aim of introducing democratic policies was to address past imbalances (Christie, 2010). All nine provinces in South Africa were then mandated by law to oversee the implementation of the policy changes through their respective district and circuit offices (DOE, 2009). The district and circuit officials hold the responsibility of facilitating the professional development of SMTs to enable them to understand and implement all policy requirements. Mediating mandated change is an essential aspect of CPD of school leaders and managers, which needs to involve collaboration, contextualised and personalised learning, coaching and mentoring (Pedder, Opfer, McCormick, & Storey, 2010). Carrim (2013) concurs that mediation of policy should be a continuous process, as policies are continuously being revised. As policies are revised, so school leaders need to be trained and supported to stay updated with all required changes.

Most SMTs in the study explained that one of the major challenges that impacts on their ability to implement policy optimally is that they are yet to engage actively in any consultation process regarding new policies for SMTs. Yet, according to the DOE (2008b), all education stakeholders, including SMTs, are expected to engage in a consultation process regarding all policies being introduced into the education system. Instead, since 1994, most SMTs have mainly been involved in lecture-style information compliance instruction sessions facilitated by education officials from national, provincial, district and circuit levels (Taylor, 2009c).

Most SMT members maintain that this consistent disregard for their democratic and professional right to be consulted is disempowering and does not assist in developing their understanding and implementation of policies as the leaders and managers of schools. Morrish (2013) contends that implementing policy changes will take longer than expected if the vital processes of consultation and mediation are not given priority. It will also be more difficult for some school leaders and

managers to take ownership of the policy-required changes when they are not well coordinated, managed, communicated or consistently and regularly supported by their superiors, the circuit managers.

This study demonstrates that, particularly in disadvantaged and under-resourced rural contexts, the successful implementation of new policies for SMTs requires an ongoing mediated change process on both a professional and personal level, as suggested by Senge (2006). This means mediating appropriate change processes for the entire SMT as a team, as well as for each individual who makes up the SMT, as indicated in the integrated theoretical framework in Chapter Two. The integrated theoretical framework in this study indicates how current ways of thinking and doing can be revised and adjusted to develop new and more effective ways of implementing how an SMT member thinks and does things.

8.4.2. Need for School-Based Policy Mediation

The findings suggest that school-based policy mediation is important and needs to be part of all CPD. “The DOE can no longer afford the current state of large scale non-implementation of policy to continue” (DOE, 2009, p. 2). A task team report to the Minister of Education in 2009 (DOE, 2009) states that “mediation of policy is imperative at a time of change and must be included in all professional development” (p.3). Moolla (2011) concurs that policy understanding through practical mediation processes is critical for improved implementation and the establishment of sustainable effective practices at schools. Taylor et al. (2013) argue that, to fast-track the current large-scale lack of policy implementation, school-based policy mediation by professionals with the requisite skillsets is vital. Sharing policy in generalised afternoon workshops has proven to be inadequate given the large-scale non-implementation of policy (NEEDU, 2013).

Many SMTs in both the focus group and individual interviews were emphatic that it is unfair and unprofessional for officials to evaluate how SMTs are implementing policies that SMTs were not properly trained to implement. Many SMTs agreed to be monitored and managed by their circuit managers but first wanted the circuit manager or any official to support them through providing democratic, school-based, integrated professional and personal development. Mediation of policies therefore needs to precede the monitoring of policy implementation (Fullan, 2009). Van

der Berg et al. (2011) concur that mediation through practical demonstrations is one of the best strategies to mediate the expectations of policy. According to Christie (2010), contextualised practical demonstrations of policy requirements are also a strategy to show school leaders how to manifest participatory practices of change. Without school-based mediation to facilitate understanding of policy requirements, there is likely to be limited implementation of policy. Most school leaders will not implement what they do not understand unless they have been shown how to do it (Fullan, 2009).

8.5. Implications for the Development and Support of SMTs

The development and support of SMTs require a particular mindset on the part of circuit managers. In order to optimally develop and support SMTs as per policy requirements, circuit managers need to understand the SMTs' school contexts, practices and relationships. This implies developing and supporting the SMTs holistically at their schools. The key finding with regard to developing and supporting SMTs during professional and personal development highlights two main themes:

- change management training and development for district officials; and
- district officials as key change agents.

8.5.1. Change Management Training and Development for District Officials

Change management training and development for district officials are necessary since they impact directly on the quality of development and support offered to SMTs. Almost all SMTs called for their immediate supervisors, the circuit managers, to also undergo professional and personal development. This sentiment is echoed in the DOE mandate (2010a) and the NEEDU Report (2013) that indicates that all civil servants, including circuit managers, need to engage in regular processes of change management. The intention of engaging in regular change management is to enable district officials to develop and support SMTs to understand, embrace and implement the policy change requirements (DOE, 2010a).

Morrish (2013) suggests that the trainers first have to undergo change management development, focusing on what they are expected to do to develop and support their respective teams. In the case of this study, the trainers are district officials, circuit managers in particular, who are

responsible for the development and support of SMTs. Senge (2006) also suggests that the trainers should only begin to offer the required development and support to their teams once they feel that they have mastered the necessary knowledge, skills and attitudes, and feel confident to adequately develop and support their respective teams with their development and support needs. This process of first enabling the trainers is necessary because Morrish (2013) argues that people need to grow and develop before they can grow and develop others.

According to Fullan (2009), change management involves the trainer being willing to become the learner first, and then changing their role back to the trainer once they feel competent and confident about their new practices. Morrish (2013) concurs that, in the lifelong learning process, it is important that the educator becomes the learner and then this learner becomes the educator. It is important to become comfortable with interchanging between the two positions as is often necessary in a change management process.

8.5.2. District Officials as Key Change Agents

Participants regarded district officials as key change agents during a time of change. This role of district officials is crucial when enabling SMTs to begin to engage, understand, embrace and implement required policy changes. According to relevant policy (DOE, 2010a), circuit managers are responsible for the professional development and support that engage SMTs in practices that will eventually enable them to begin to engage with, understand, embrace and implement the required policy changes. An important role of the district officials as change agents is to empower SMTs to become more mindful of change (Brown, 2012). Once SMTs begin to become mindful of change, they no longer fear change, and are instead empowered to embrace it (Kariem, Langan, & Velensky, 2011b). Becoming mindful of change is a process and therefore a time-consuming task, given the lack of change management training that is currently available for circuit managers (NEEDU, 2013).

Enabling district officials to become key change agents could assist in the development of organisational cohesion between the district offices and schools. Engaging in more needs-based and school-based CPD may improve relationships between SMTs and officials. SMTs need to view their circuit managers as their change agents and not as compliance officers (Taylor, 2009c). In order to address the historically embedded pre-1994 knowledge, skills, values,

attitudes and practices of many education officials, the officials need the same reorientation and democratic hands-on practical training that SMTs need so that they are in turn able to embrace and support SMTs to implement new democratic policy requirements.

Archer (2007) and Hibbert (2013) assert that people need to reflect on whether their current mental maps are still relevant and serving them and their team optimally. If not, they need to engage in second and third orders of change to reflect on their current mental maps to acknowledge where adjustments need to be made. Once they know where, what and how they need to change, they can begin to revise, adjust and develop new mental maps to suit their current contexts and situations. This reflexive process needs to be continuous to enable people to feel that they are keeping abreast with change. This continuous reflexive process empowers people to embrace and not fear change (Brown, 2012).

To address these challenges of embedded pre-1994 knowledge, skills, values, attitudes and practices of many education officials, two shifts in approach and emphasis are necessary. The two shifts in focus and emphasis include, firstly, adopting supportive rather than judgmental attitudes and practices, and secondly, the ability to mediate policies and enable SMTs to implement policy guidelines. Change agents will need to adopt these two shifts in approaches (Kariem et al., 2011b).

Combined with a clear focus and approach, district officials also need to ensure that they support SMTs with the following, in order to facilitate change:

- All necessary SMT resources must be in place when the school year begins.
- All SMTs must properly understand how policy documents and guidelines embody the required policy roles, responsibility and practices.
- All SMTs must properly understand their roles and responsibilities as well as how to implement them practically within their school contexts.
- All SMTs must properly understand the policy intentions and guidelines they are responsible for implementing.
- School visits must focus on enabling SMTs to implement policy guidelines before attempting to monitor their administrative compliance.

- SMTs must receive regular continuous professional and personal development on how to practically implement policy guidelines (Kariem, Langhan, & Velensky, 2011a).

It is necessary to find ways to enable education officials at all levels in the system to support SMTs to facilitate these six requirements indicated above. However, Moolla (2011) reminds us that a lack of expertise and democratic relationship dynamics, as well as capacity challenges, have left officials at district level feeling challenged in terms of their ability to respond to the needs of schools holistically and in a coordinated and collaborative manner as outlined in section 8.5.1 above.

Given these challenges, the DOE needs to urgently find ways to enable all officials, especially at district level, to better support schools according to the policy requirements. This is crucial if trust and healthy professional relationships are to be developed between SMTs and circuit managers. To develop trusting professional relationships, the DOE needs to prioritise the development of district officials. The development of district officials through CPD needs to include aspects of the key findings identified in this study. Once the DOE has engaged their district officials in the suggested CPD discussed above, the district officials need to prioritise offering school-based support to SMTs prior to monitoring, evaluation and assessment. This means that district officials will no longer only focus on administrative compliance during school visits. This change of focus by district officials can enable more SMT members to begin to experiment with new post-1994 practices and let go of embedded pre-1994 practices. The focus of school visits from district officials must begin with development and support. Thereafter, the district officials can begin to evaluate SMTs against new criteria as espoused in post-1994 policies (Kariem et al., 2011a).

8.6. Summary and Conclusion

This chapter begins by highlighting the five key findings that have emerged from this research study, namely:

- integrating professional and personal development;
- role clarification;
- school-based support;

- policy mediation; and
- implications for developing and supporting SMTs.

Each of the five key findings above was discussed with its emerging themes that further explained SMT members' experiences of professional and personal development. These experiences were reflected on and implications for SMTs' professional development and support were expounded. These implications are extended into the recommendations that emerge from the study and are presented in the final chapter.

The discussions indicate that current professional development programmes for SMTs and officials alike lack the vital inclusion of:

- engaging in first-order change to enable people to acknowledge their current mental maps (how they think and do things);
- engaging in second-order change to enable people to engage with reflexive processes to assess whether they need to change their current mental maps;
- engaging in third-order change to enable people to further reflect and make revisions, adjustments and begin to author new mental maps; and
- engaging in first, second and third orders of change, which can enable people to begin the engage, understand, embrace and implement change and no longer fear it.

The DOE's approach to professional development is still too focused on administrative compliance rather than on balanced integrated professional development to effect practical, democratic, meaningful, effective and sustainable practices as espoused in new policies.

For more than 20 years, there has been limited meaningful professional development, coordination, decision-making or communication developed between schools and the various levels of the education department in the rural schools involved in this study. Systems alignment and organisational cohesion, professional and personal development between schools and the various levels in the education department have thus not been optimally fostered, despite policy guidelines. The DOE states that the fostering of professional development is a fundamental role and responsibility of both SMTs and officials alike across the education system (DOE, 2008b), yet there is little evidence of this happening on the ground.

Limited school-based professional development to SMTs or district-based support for officials is offered to demonstrate how to actually implement policy requirements. All this can have a negative effect on the professional identity and personal dignity of both SMTs and officials as they are expected to be the change agents in their respective schools and districts. The key research findings suggest that SMTs face major challenges in their attempts to engage, understand, embrace and implement their new professional roles and responsibilities.



CHAPTER 9

RECOMMENDATIONS AND CONCLUSIONS

This final chapter of the thesis begins with an overview of the study, highlighting the research aims and questions. A discussion of five key findings that emerged then follows. Comprehensive recommendations are then presented in response to the five key research findings. The recommendations that emerge from the study are expounded and the model that is proposed marks this research as a scholarly contribution to the field of educational change with regard to professional and personal development of SMTs. The model draws on the theory that framed this study and makes practical suggestions that will strengthen approaches to the development and support of SMTs in the context of education in South Africa. Finally, the limitations of this study are outlined, followed by suggestions for further research and a conclusion.

9.1. An Overview

The essential role that SMTs play in managing change effectively, meaningfully and sustainably has been debated for many years. Central to these debates has been the need to empower SMTs through a process of CPD. Policy argues that the purpose of professional development for SMTs is to enable them to develop thorough understandings of their respective roles and responsibilities for meaningful implementation. This study focused on the experiences of professional and personal development of SMTs as they tried to embrace their new roles and responsibilities within a new policy context. The challenges SMTs experienced were also highlighted and practical ways in which to address these challenges were recommended.

The literature review which grounded this study focused on three areas, namely, educational change, leadership and management in schools, and professional and personal development.

An integrated theoretical framework was employed to explore and illuminate the experiences of SMTs' professional and personal development. Key aspects within the framework included mental maps, reflexivity and authoring, which were woven into change theory that emphasised the need for first, second and third orders of change if meaningful change is to be facilitated. SMTs from three rural primary schools in three different provinces, comprising of six educators each, were the research participants. The research participants participated in three focus group and 18 individual interviews.

This research aimed to explore SMT members' experiences of professional and personal development in three rural primary schools in the broad context of educational change in South Africa and specifically in the context of new policy implementation. This aim was explored by asking the following research questions:

1. How did educational change in South Africa influence leadership and management in schools?
2. What professional development was experienced by the SMTs as they tried to embrace new roles and responsibilities within a new policy context?
3. What personal development was experienced by the SMTs as they tried to embrace new s
4. What are SMT members' suggestions for enhancement of personal and professional development and support of SMTs in schools in South Africa?

The social constructivist -interpretive paradigm that framed this research study is a worldview that understands reality as being constructed when people engage with each other. This worldview also acknowledges that multiple subjective realities are observed, constructed and interpreted by both the researcher and research participants. This means that the participants, together with the researcher, are able to construct multiple understandings and interpretations separately and together. Congruent with the social constructivist -interpretive paradigm is a qualitative research design, which was employed in this study to collect rich, comprehensive in-depth data that explored the professional and personal development experiences of SMTs to illuminate the complexity of the issue being studied.

The study encompassed three phases of data collection. Firstly, a detailed document analysis was conducted where policy documents, research reports and job descriptions were studied and analysed. Secondly, 18 SMT members were interviewed in three focus groups. Thirdly, the 18 SMT members were individually interviewed. Phases two and three of data collection employed semi-structured interview schedules to collect data. The data analysis employed a qualitative, thematic approach to analyse and interpret the generated data. A thematic approach was used to illuminate the professional and personal development experiences and challenges facing the SMTs. Using the thematic approach also allowed the researcher to illustrate the SMTs' mental maps, reflexivity and authoring processes, as discussed in Chapter Two, as participants tried to

embrace their new roles and responsibilities. The thematic approach generated distinct categories that were used as descriptors to report on the findings of the research.

9.2. Key Findings

The findings to be foregrounded in this study of SMT members' experiences of professional and personal development within a new policy context in three South African rural primary schools included the following:

- integrating professional and personal development;
- role clarification;
- school-based support;
- policy mediation; and
- implications for development and support of SMTs.

9.2.1. Integrating Professional and Personal Development

Integrating professional and personal development for SMTs was identified as crucial in policy and by participants in this study. Balanced professional and personal development was found to be critical to facilitating a paradigm shift towards democracy, where more consultative, systemic, holistic approaches can be adopted. Professional and personal development needs to be contextualised to address issues and challenges facing SMTs. All stakeholders involved in professional development would therefore need to regularly review their offerings of professional development and support. It should be stressed that professional development should include a focus on personal development, particularly to address issues of identifying fears and anxieties that may require change. It was also highlighted that attention needs to be paid to the capacity, character and experience of those tasked to provide professional and personal development to SMTs. Research participants felt that, at a macro level, integrated professional and personal development needs to be a priority of the DOE. However, it was evident that change needs to be effected at all levels of the system. Personal development needs to be foregrounded in all professional development provisioning, to enable the holistic provisioning of quality education in schools, circuits, districts and provinces in South Africa.

The current bureaucratic structures and nature of professional development within the education system has resulted in hierarchical structures in the circuit and districts. These hierarchical structures highlight two concerns, namely, power and marginalisation, which impact negatively on developing integrated professional development. This negative impact of power needs to be dealt with decisively to eliminate the disempowering effect on many SMTs to effect change at their schools.

9.2.2. Role Clarification

SMTs are expected to provide support on multiple levels within their respective schools and within the broader school community. Their respective roles and responsibilities include providing leadership and management to all aspects of school activities to learners, educators, SGBs, parents and the broader school community, while also being professionally accountable to a circuit manager and other officials based in districts and the province. These multiple levels of engagement, responsibilities and accountability indicate the varied knowledge, skills and expertise that are expected from SMTs. This makes the SMT a valuable and vital structure within the education system.

The SMT members interviewed in this research showed a keen willingness to embrace change, to enable them to engage with these multiple levels of responsibilities and accountability, but expressed concern that they are not being regularly consulted, developed and supported to fully understand, embrace and implement these varied roles and responsibilities effectively, meaningfully and sustainably. Participants were frustrated that their roles and responsibilities are not clear and explicit, as this leaves them floundering as a consequence of the broad and vague overview that is presented to them regarding their roles and responsibilities. Only with clarity of roles and responsibilities do they feel they can be held accountable during monitoring and evaluation by circuit managers.

9.2.3. School-Based Support

School-based support is vital at a time of policy change and is fully dependent on system and organisational cohesion. Challenges exist at both a micro and macro level with regard to coordination, change management and communication. This is impacting on the implementation of change required by policy at the level of the schools. The findings indicate that democratic

structures and procedures are lacking at circuit, district, provincial and national levels, and this is negatively impacting on the engagement between schools and officials regarding the provisioning of development and support to effectively, meaningfully and sustainably implement change at schools. All SMTs who participated in this study expressed concern about the lack of school-based support due to lack of coordination, management and communication from circuit managers and most other officials. The lack of change management processes at circuit and district levels is a concern raised by all SMTs, as they are not included in any consultations about policy changes or CPD plans. SMTs contended that collaboration between schools, circuit managers and other officials is not well coordinated or managed, resulting in poor communication and relationships that impact on accountability and decision-making. This consequently negatively impacts on professional quality education in rural primary schools.

9.2.4. Policy Mediation

Policy mediation is vital during a time of change. Policy mediation needs to be school-based as schools have different contexts that have be considered for effective policy implementation. Policy mediation must precede the monitoring and assessment of policy implementation. The findings of this study suggest that the former is sorely lacking. Mediation of policies through practical school-based demonstrations is essential to embed thorough understanding of how to meaningfully implement the required changes. School-based policy mediation includes practical demonstrations of policy requirements as a way to show school leaders how to manifest participatory engagement of required change practices. Without mediation and support of policies to enable SMTs, policy requirements are often poorly understood and then ineffectively implemented.

9.2.5. Implications for Development and Support for SMTs

The school contexts within South Africa are varied and complex, especially in rural areas. The rural school context therefore requires that professional development and support of SMTs need to be addressed in specific ways. This implies that officials need to have knowledge, skills and attitudes regarding management strategies. This means that the officials who are responsible for developing and supporting SMTs have to do so by employing comprehensive CPD over an extended period. The officials need to operate as change agents through engaging SMTs in CPD

that is integrated to effect meaningful and sustainable policy implementation and democratic change at schools. SMTs in this study acknowledged that effective, meaningful and sustainable change takes time and will involve building more democratic relationships; improving democratic communication strategies; engaging in regular continuous school-based professional and personal development; improving levels of knowledge and skills; democratic change management training for district officials, circuit managers in particular; and enabling district officials to become key change agents. Addressing SMTs' professional and personal development in an integrated and holistic manner will also take a collaborative effort by all education stakeholders to ensure quality, effective, meaningful and sustainable policy implementation by all SMTs at all schools in South Africa, especially in rural primary schools.

9.3. Significance

This research makes a contribution towards educational change in South African schools by providing insights into why professional development must not be separated from personal development. It proposes an integrated model of professional and personal development for SMTs that ought to be adopted by government and non-governmental agencies who engage in development initiatives. The model illuminates the vital importance of first acknowledging developmental needs and then facilitating integrated personal and professional development to effect practical implementation of change at the level of the individual and the school, as required by policy. The researcher demonstrates how three orders of change theory with related concepts can be integrated into a single theory to understand and facilitate change at the level of the individual and organisation.

The study offers practical recommendations for how the DOE could review, re-conceptualise, redevelop and implement more appropriate, holistic, integrated, meaningful, effective and sustainable professional development and support models. The integrated professional and personal development model suggested in this study is designed to enable district officials, circuit managers in particular, to mediate policy implementation by supporting and developing SMTs. In terms of both knowledge and practical contributions, this study foregrounds the importance of 'acknowledging the personal', especially in the context of the professional development of those who hold leadership and management positions in schools. The importance of acknowledging intra- and interpersonal development, often neglected during the DOE's

professional development of SMTs, is highlighted. A core position is the emphasis on how intra- and interpersonal development can influence the professional development of individuals and change within SMTs and the schools that they lead and manage.

9.4. Recommendations

In order to realise the national vision contained within the post-1994 democratic policies, the important role that SMTs play in providing quality school functionality needs to be acknowledged at all levels in the education system. This means that SMTs need to be continuously developed and supported to meaningfully, effectively and sustainably implement their new roles and responsibilities. The DOE needs to seriously and urgently address the current embedded pre-1994 knowledge, skills, attitudes and practices that still prevail, not only in many schools, but at all levels in the education system.

The recommendations are based on the five key findings discussed in Chapter Eight. The recommendations are on the whole practical, well-grounded responses to the professional and personal development experiences of SMTs as they engaged in a new policy context. The recommendations address issues emanating at the level of the individual, SMT, school and education department.

9.4.1. Acknowledge the Importance of the Personal

Due to pre-democracy imbalances in the education system, particularly the neglect of schools in the former Bantustans, it is critical that the DOE must make every effort to offer *integrated professional and personal development*. SMTs are people first and then SMT members. The Batho Pele ('people first') principles are underpinned in policy. Urgent attention must be paid to people's fears and anxieties regarding all the unfamiliar policy expectations that they are expected to implement in an attempt to acknowledge SMTs' professional identity and personal dignity.

The *professional identity and personal dignity* of SMTs have to be publicly acknowledged regularly by the DOE. The DOE needs to share and celebrate successful SMT stories at rural schools to motivate other rural schools through various communication platforms. The SMTs from well-performing rural schools can be used by the DOE as coaches and mentors to restore

the professional identity and personal dignity of educators and SMT members at other rural schools.

The DOE must enlist the services of reputable change management organisations to implement a comprehensive campaign that prioritises the *fostering of personal agency*. This campaign must focus on addressing in particular intrapersonal issues especially in rural areas. The purpose of the campaign must be to practically engage SMT members who may still be traumatised and locked in mental maps shaped by pre-democracy, yet expected to operate with mental maps using knowledge, skills and attitudes of post-democracy.

9.4.2. Build Professional Relationships

Current low levels of trust in the professional relationships between SMTs, circuit managers and all officials need urgent high-level attention and intervention before these relationships break down completely. Professional development sessions should be used to address the issue of mistrust to show SMTs that their professional wellbeing is a priority. Policy mandates that districts were established to bring professional service provision closer to schools. This mandate needs to be taken more seriously by district officials for SMTs and district officials to begin to *build trusting relationships*. Therefore, more regular professional development sessions between officials and SMTs need to take place so that there is more interaction between them. *Communication* needs to be improved to address the intra- and interpersonal dynamics between SMTs and officials. Where individuals take ownership of their own intra-and interpersonal issues since DOE proclamations in policy will not change this.

The DOE must take full responsibility for its part in power struggles and begin to ensure that undemocratic practices no longer have a place in our democratic education system. The DOE should use all forms of media to regularly *motivate, inspire and encourage SMTs*, especially in rural areas, to enhance interpersonal relationships. The DOE should access the support of reputable outside stakeholders to facilitate processes where SMTs and officials come together, to re-establish and strengthen interpersonal relationships as such ‘external agents’ will be seen as unbiased.

9.4.3. Provide Relevant and Meaningful Support

Professional development needs of SMTs are varied and numerous; therefore, support needs to be more *specific and contextualised*. The DOE needs to review the current provisioning to include more relevant and meaningful support for SMTs with priority given to contextualising support for SMTs. Relevant and meaningful development and support must enable SMTs, particularly in rural schools, to grapple meaningfully with the challenges in the contexts they work in. SMTs must be supported to engage with and address challenges and not to think and behave like victims of their contexts.

All educational stakeholders involved with continuous professional development of SMTs need to *network and collaborate* more regularly and coherently with the DOE to share best practices. The DOE needs to create more rigorous forums for all stakeholders to regularly share best practices, resources and change agents. The varied professional and personal development and support sessions must be used by the DOE to encourage SMTs to begin to take full responsibility for their own continuous professional and personal development.

9.4.4. Role Clarification

The roles and responsibilities of SMTs require urgent review at national level to ensure that these are not left open to varied interpretations by the SMTs, circuit managers and other officials, and consequently incorrectly implemented. Circuit managers must be held accountable to facilitate regular open consultative discussions with SMTs about their roles and responsibilities. SMT members and circuit managers must be clear about how these roles and responsibilities will be developed, supported, implemented, managed, monitored and evaluated.

9.4.5. School-Based Support

The DOE must pay attention to *creating organisational cohesion* that enables schools, especially in rural areas, to operate optimally. Organisational cohesion includes developing structures and procedures at district level to ensure that school-based support is offered to all schools. The school-based support must not only focus on administrative compliance, but also enable SMTs to understand and effectively implement policy. The structures and procedures within the district should operate democratically and cohesively to ensure that resource provisioning, personal and

professional development and support are brought closer to the schools to enable quality functioning of schools.

The circuit managers must use school-based support opportunities to personalise the professional development and support offered to SMTs. *Practical school-based* support is a policy mandate which needs to be implemented more comprehensively by all district officials. The DOE should hold all district officials accountable for practical school-based support in their monthly, quarterly and annual performance management reviews. The district must develop a timetable for regular school-based support and share and negotiate this with all schools in advance.

The focus of all practical school-based support must be to discuss and demonstrate policy requirements. These discussions and demonstrations must include reflective positive feedback. It is imperative that practical school-based support also focuses on the specific issues and challenges of a particular school and not be generalised. Practical school-based support must include follow-up support with tasks set between these follow-up school-based support visits. Officials must use practical school-based support to empower SMT members, to allow them to experience support with issues that directly affect them professionally and personally. Without policy mediation, many SMTs can misunderstand and consequently incorrectly implement policy, resulting in unfair assessments for incorrect policy implementation through no fault of their own.

9.4.6. Democracy in Action

The DOE needs to be more vigilant about ensuring that the paradigms and practices underpinning all CPD reflect and are aligned to the democratic nature of post-1994 policies. The DOE must avail itself to *democratic, solution-focused paradigms and practices* and, in so doing, encourage SMT members to become lifelong learners who can support continuous quality education at all schools. The DOE, through its district officials, needs to make sure that policies are regularly discussed, demonstrated, understood, implemented, monitored, managed and evaluated according to policy requirements and school contexts.

9.4.7. Policy Mediation

DOE officials need to make sure that they have effectively and meaningfully engaged SMTs in *policy mediation* processes before they monitor, manage and evaluate policy implementation. Officials need to employ mediation processes that target the entire SMT as a team as well as individual members whenever appropriate. Policy mandates that the school is central to all implementation; therefore, the school context is important and must be acknowledged and factored into all school-based policy mediation processes. District officials therefore need to prioritise the mediation of policy implementation at school. School-based mediation must include demonstrations that illustrate various strategies of how to implement the policy. Mediation of policies at schools must be an ongoing process as policies are regularly reviewed and cannot be only offered through a once-off orientation session, which has become the hallmark of most DOE policy information sessions.

9.4.8. Implications for Development and Support

SMTs play a vital and specific role in the education system; therefore, they need specific, *specialised professional and personal development and support*. Such professional and personal development needs to be provided by professionals who understand policy requirements, policy implementation, change management processes, the nature and context of disadvantaged schools, organisational development and interpersonal dynamics.

Change management training for district officials must be set as a priority. District officials like circuit managers need as much continuous professional and personal development as SMTs. This continuous professional and personal development training needs to be facilitated by reputable service providers to bring unbiased perspectives while practically mediating the interpersonal dynamics between officials and SMTs.

District officials are change agents and must present and be perceived by the schools as such.

District officials, especially circuit managers, need to be developed and supported to be viewed as key change agents by teachers and SMTs. Circuit managers need in particular to be regarded as change agents who embrace and facilitate change. Circuit managers therefore need to be developed so that SMTs can embrace them as specialists who can provide them with relevant,

meaningful, effective and quality professional development and support. Officials, especially circuit managers, need to develop professional networks to enable them to have a resource pool of professional people to advise, support, coach and mentor them. District officials must take full responsibility to engage in self-directed lifelong professional and personal development processes to be an example to all the schools and SMTs for which they are responsible.

Drawing on these recommendations, a model for continuous professional and personal development for SMTs is proposed below. The model, which is presented graphically in Table 9.1, integrates theory and practice.

9.5. Continuous Professional and Personal Development Model for SMTs

This model is designed to be employed firstly by SMTs, secondly by officials mandated to provide democratic school-based professional and personal development and support to SMTs. It can also be used by service providers who provide CPD to SMTs. The model could also be used in particular to review, adjust and improve current CPD programmes available for SMTs by including the personal aspects which this study argues are a vital component of any professional development programme.

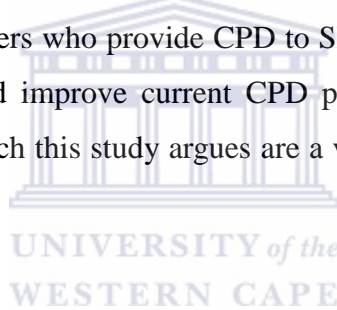



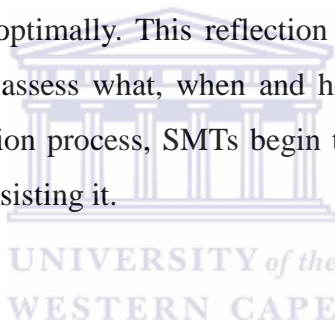
Table 9.1 Continuous professional and personal development model for SMTs

<p>Pre-1994 School leadership values, attitudes and practices</p>	<p>Where SMTs come from</p>	<p>Authoritarian, restrictive, rigid compliance, racial identity and little personal dignity</p>
<p>Post-1994 school leadership and management policy, values, attitudes and practices</p>	<p>Where SMTs need to be</p>	<p>Democratic, restoring professional identity and personal dignity, consultative, transparent and inclusive</p>
<p>Mental maps SMTs identify current thoughts, feelings and practices</p>		<p>First order of change - strategy: Review pre- and post-1994 school leadership and management values, attitudes and practices Determine professional and personal development needs and identify how SMTs think and behave School-based individual and full SMT reflective discussions, including active listening processes</p>
<p>Reflexivity SMTs reflect on current thoughts, feelings and practices</p>		<p>Second order of change – strategy: SMTs are enabled to begin to experiment with and adjust how they think and behave School-based reflection process with individuals and full SMT Mediate SMT policies through practical demonstrations, discussions, coaching and mentoring Reflect on both professional and personal development needs – reflect on how SMTs think and behave</p>
<p>Authoring SMTs develop revised thoughts, feelings and practices</p>		<p>Third order of change – strategy: SMTs are enabled to experiment more and evaluate their adjusted and revised mental maps School-based reflection processes with individuals and full SMT SMTs begin to incrementally adjust and revise how they think and begin to behave differently SMTs are enabled to begin to develop their own strategies to think and behave differently</p>
<p>New mental maps SMTs implement new thoughts, feelings and practices through constant reflection</p>		<p>Fourth order of change – strategy: SMTs become mindful of change as the norm School-based reflective support with individuals and full SMT SMTs further develop and consistently implement revised mental maps SMTs begin to independently create new contextualised and democratic practices</p>

Concepts (Drivers)

Change Process (Vehicles)

The model indicated in Table 9.1 above attempts to ensure that both personal and professional development needs of SMTs are addressed. This study has shown how an integrated theoretical framework, which synthesised mental maps, reflexivity and authoring within first, second and third orders of change, could be utilised in the provision of professional and personal development and support to SMTs. The concepts of mental maps, reflexivity and authoring could be used as the ‘drivers’ and the three orders of change could be used as the ‘vehicle’ when developing and supporting SMTs. The model can be used to enable SMTs to begin to collectively and independently reflect on their professional practices so as to embrace and engage with change more easily, instead of fearing and resisting change. The model suggests that SMTs need to reflect on their current thoughts, feelings and practices to determine whether these are enabling them to implement change effectively and meaningfully. Through continuous reflection, SMTs must decide if their practices need to be revised and adjusted to implement change optimally. This reflection process needs to be continuous to enable SMTs to independently assess what, when and how their practices need to change. Through this continuous reflection process, SMTs begin to become mindful of and embrace change, instead of fearing and resisting it.



9.6. Limitations of this Study

Although a concerted effort was made to capture the history of professional development in South Africa, pre- and post-1994, this study is still only limited to three rural primary schools in former Bantustans in only three of nine provinces in South Africa. This study can therefore be critiqued for only focusing on three rural primary schools with 18 SMT members.

Instead of presenting an overview of professional and personal development across South Africa, this study illuminates experiences and practices of only a very small sector in South Africa’s education system, namely, SMTs. In terms of the scope of this study, the aim was to understand the professional and personal development experiences of SMTs as they tried to embrace change in the context of new policy implementation, excluding other roles players in the education system. The perspectives shared in this study are clearly the subjective experiences of SMTs and could differ from, and be challenged by, those with whom they work. This is particularly true for circuit managers, who are directly responsible for SMTs’ continuous professional development within their immediate education context.

The documents analysed in the first phase of data collection were primarily policy documents, policy guidelines, job descriptions and criteria, which possibly need updating, and research reports from higher levels in the education system that were removed from the rural school contexts.

It must also be noted as indicated in 6.3.2 earlier that the researcher was first the change agent then the researcher which could have probably caused some 'bias' in that she was not completely independent of the process. Various processes were engaged in to encourage reflexivity in the research process. Although this may be perceived as a limitation, it is also what facilitated access and ensured trust and rapport throughout the study.

This study deliberately employed a qualitative approach to produce rich descriptions. Some quantitative elements could have enriched the study with vital statistics to further illuminate the urgent need for the DOE to review how professional development is conceptualised and offered to SMTs in South Africa's rural primary schools.

9.7. Suggestions for Further Research

The following suggestions for further research are proposed:

- *Personal development as a lever for effective Continuous Professional Development for SMTs*

Collaborative action research, focused on the effective implementation of SMT's monitoring of teachers classroom practice, involving a carefully selected team comprising representatives from national, provincial, district and circuit levels, schools, universities and service-providers to investigate how personal development can be an enabling process during professional development.

- *Professional development in action*

Case studies of action research that explores the extent to which CPD is meeting the needs of schools leaders and managers. This research should be framed within a whole school approach to support from circuit managers to SMTs,

- *Circuit managers' understandings of SMTs' continuous professional development*

Mixed methods research that involves circuit managers sharing their perceptions of how SMTs should be trained, developed and supported to best implement a particular

policy. Collaborative research involving a circuit manager, service provider and an HEI.

- *External professional development and support provision for SMTs*

Grounded research involving SMTs and developmental agencies reflecting on shifts in their practices after a particular professional development intervention. A participatory action research approach is proposed that includes schools, service providers and departmental officials.

9.8. Conclusion

The professional and personal development that SMT members experienced as they tried to embrace their new roles and responsibilities within new policy contexts were the focus of this study. The study was embedded in a context shaped by policy in South Africa, influenced by international educational trends.

It is a matter of concern when the knowledge and skills gaps, anxieties and fears of SMTs are not being fully acknowledged or adequately addressed by the DOE during the conceptualisation, development and implementation of their CPD and training sessions. It must be acknowledged that the acute disparate levels of SMTs' knowledge, skills, attitudes and values with regard to school leadership and management mean that many SMTs are unable to optimally implement the democratic and participatory practices that are required from policy now and into the future. This calls for urgent continuous 'up-skilling' of SMTs that focuses firstly on their personal anxieties and fears, to make them more confident to take on new roles and responsibilities as required by policy. Secondly, it is crucial that, after 20 years of democracy, more practical integrated approaches be employed by education officials to fast-track the democratic and participatory professional and personal development of school leadership and management teams. This is crucial in order to develop democratic professional relationships between schools and education officials. Consistent, coherent and democratic structures and procedures for continuous professional and personal development and support also need to be established, coordinated, monitored and managed to foster quality continuous professional development and support to all schools, irrespective of context.

This research has highlighted what appears to be a disjuncture between policy and practice on the ground. The policies referred to in this study state emphatically that CPD is framed around and underpinned by democratic, participatory, consultative and open developmental practices and paradigms. Policy is therefore clearly focused on conceptual framing, but needs to include guidelines that indicate how to practically implement all its democratic intentions.

This means that, after 20 years of democracy, many SMTs and officials have been operating according to pre-1994 leadership and management practices, holding pre-1994 attitudes and values, and using pre-1994 knowledge, skills and attitudes to implement post-1994 democratic policies.

Despite this, this study has shown that, with continuous school-based support developed around SMTs' needs, SMTs can begin to develop policy-required democratic and participatory practices through integrated professional and personal development. These participatory practices can consistently develop their knowledge, skills and attitudes to deal with change. SMTs can therefore become more mindful of change, actively engage with and manage change, and can begin to no longer fear change, as indicated by the suggested practical model for continuous professional and personal development of SMTs.

The essence and purpose of professional and personal development are to develop lifelong learning practices that continuously enable reflection on the mental maps of individuals and organisations simultaneously to keep abreast with change, so as to embrace change as part of the changing world we live in, instead of fearing and resisting change. Reflexivity is the fundamental feature of this lifelong learning and development process.

In conclusion, this research study contributes a practical application of first, second and third orders of change synthesised with mental maps, reflexivity and authoring. This synthesis of concepts within three orders of change is intended for the professional and personal development of SMTs to embrace change as a norm. Such a mind-set will guide SMTs and those working to facilitate school development towards quality education for all.

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APPENDICES

APPENDIX 1: INFORMATION SHEET

TO WHOM IT MAY CONCERN

Doctoral study on professional and personal development of School Management Teams

I am the director of professional development with the Pearson Marang Education Trust and a registered PhD student at the University of the Western Cape. I am responsible for all leadership and management training and support of schools and district officials supported by the Trust. I have worked extensively with rural schools encouraging a whole school support and development approach for over a decade.

I have embarked on a PhD in Education which is being supervised by Dr. Nadeen Moolla and co-supervised by Professor Sandy Lazarus. This research aims to explore SMT members' experiences of professional and personal development in three rural primary schools in the context of educational change in South Africa. This aim will be explored by asking the following research questions;

1. How did educational change in South Africa influence leadership and management in schools?
2. What professional development was experienced by the SMTs as they tried to embrace new roles, responsibilities and practices within new policy context?
3. What personal development was experienced by the SMTs as they tried to embrace new roles, responsibilities and practices within the context of professional development?
4. What are SMT members' suggestions for enhancement of personal and professional development and support of SMTs in schools in South Africa?

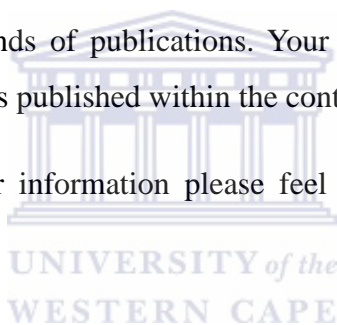
You have been identified as a key informant and are invited to participate in the research which will deepen our understandings of the roles, responsibilities and practices of school

management teams and what professional and personal development was necessitated. The experiences of professional and personal change will be illuminated and the influence thereof on practices of SMTs in schools explored. The research activities that will be pursued include an extensive literature review, document analysis, focus groups and individual interviews with the school management teams in three rural primary schools in each of the former homelands in the Eastern Cape, Mpumalanga and Kwa Zulu Natal.

You can be assured of protection through anonymity. This means that your name will not be revealed on any public documentation, unless you specifically agree for this to occur. The ethical principles of research will be upheld throughout the duration of the study and in the dissemination of the findings.

The findings of this research will be shared with relevant role players, and communities through forums and various kinds of publications. Your participation in the research gives your consent to have the findings published within the context of the aims outlined above.

Should you require any further information please feel free to contact me directly at the contacts listed below.



Sincerely

Vagriuah Kariem¹ (Nicky)

24 St Johns Road

Lansdowne 7764

Cape Town

Cell: 082 7777 071

Email: Vagriuah.kariem@pearson.com

¹ In 2014 I officially changed both my name and surname from Vagriuah Kariem to Veronique Genniker. This change was effected after all research instruments (including the information sheet and consent forms had been approved by UWC Ethics Committee). I was known by the name 'Nicky' to all research participants from the onset of the research process.

APPENDIX 2: CONSENT FORM: PARTICIPATION IN FOCUS GROUP INTERVIEW

1. I understand that I have the right to withdraw from the study at any time without fear or penalty; this includes having my inputs withdrawn from the study.
2. I understand that I may choose not to answer a particular question or set of questions.
3. I understand that I will be protected through anonymity. This means that my name will not be revealed on any public documentation, unless I specifically agree for this to occur.
4. I agree to the use of a tape-recorder during the interview and understand that I can request that it be switched off at any time.
5. I understand that the findings of this research will be shared with relevant role players, and communities through relevant forums, and various kinds of publications. I therefore agree to the findings being published within the context of the aims outlined in the covering letter.
6. I understand that I may, if I wish, have access to interview notes and/or transcriptions from the interview process for editing purposes, and that I must respond within one month should I wish to make any recommendations for changes.
- 7. I shall respect the confidentiality of all discussions during and after the focus group interviews.**

I hereby agree to participate in this study and to have the findings used in the ways described above.

Name in print	Signature	Date



**APPENDIX 3:
CONSENT FORM: PARTICIPATION IN INDIVIDUAL
INTERVIEW**

1. I understand that I have the right to withdraw from the study at any time without fear or penalty; this includes having my inputs withdrawn from the study.
2. I understand that I may choose not to answer a particular question or set of questions.
3. I understand that I will be protected through anonymity. This means that my name will not be revealed on any public documentation, unless I specifically agree for this to occur.
4. I agree to the use of a tape-recorder during the interview and understand that I can request that it be switched off at any time.
5. I understand that the findings of this research will be shared with relevant role players, and communities through relevant forums and various kinds of publications. I therefore agree to the findings being published within the context of the aims outlined in the covering letter.
6. I understand that I may, if I wish, have access to interview notes and/or transcriptions from the interview process for editing purposes, and that I must respond within one month should I wish to make any recommendations for changes.

I hereby agree / do not agree (indicate choice by circling) to participate in this study and to have the findings used in the ways described above.

Name in print: _____

Signature: _____

Date: _____

APPENDIX 4: FOCUS GROUP INTERVIEW SCHEDULE WITH SMT FOR PROFESSIONAL DEVELOPMENT

Overall Focus: Professional Development

1. What changes in education impacted on the leadership and management of schools?

1.1 In the context of educational leadership and management in South Africa:

1.1.1 What would you identify as the major changes that have occurred since 1994?

1.1.2 How have these changes impacted on the leadership and management at your school?

1.2 Current leadership and management in the school:

1.2.1 Who has and now leads and manages your school?

1.2.2 How is your school currently being led and managed?

1.3 Roles and responsibilities:

1.3.1 What are the roles and responsibilities of your SMT?

1.3.2 Have you received the official documents of the roles and responsibilities of SMTs?

1.3.3 If yes how have you used/followed them?

1.3.4 How have you carried out / are you carrying out your roles and responsibilities as an SMT?

2. What professional development was experienced by the SMTs as they tried to embrace new roles, responsibilities and practices within new policy context?

2.1 What is expected from you professionally as an SMT member?

2.2 How do you feel about these professional expectations from you as a SMT member?

2.3 What have your main professional challenges been as an SMT?

2.4 How do you feel about these professional challenges as an SMT?

2.5 How has the SMT dealt with the expected professional changes/challenges?

2.6 What did you have to do differently as your professional expectations shifted?

- 2.7 Who has supported you to address what is expected from you as an SMT?
- 2.8 Did you get any assistance as an SMT to deal with what is expected from you professionally, if yes, what kind of support did and are you receiving and how often?
- 2.9 How will this professional development improve how you function as an SMT at your school?

3. What are the implications of the personal development experiences of the SMT's for the development and support of SMT's in schools in South Africa?

- 3.1 Who should be supporting SMTs to deal with what is expected from them professionally?
- 3.2 What kind of professional development and support should be provided to SMTs?
- 3.3 How should this professional development and support be provided to SMTs?
- 3.4 How often should this professional development and support be provided to SMTs?
- 3.5 What form should this professional development and support take for SMTs?



APPENDIX 5: INDIVIDUAL SMT MEMBERS INTERVIEW SCHEDULE FOR PERSONAL DEVELOPMENT

Overall Focus: Personal development

1. What personal development was experienced by the SMTs as they tried to embrace new roles, responsibilities and practices within the context of professional development?

- 1.1 What were your main personal development needs as an SMT member?
- 1.2 What were your main personal challenges as an SMT member?
- 1.3 How did these personal challenges influence the quality of leadership and management at your school?
- 1.4 How did you need to develop on a personal level?
- 1.5 What personal level change was necessary as you embraced your new roles and responsibilities?
- 1.6 Who supported you to address your personal development needs as an SMT member?
- 1.7 How did your personal development experience improve the quality of leadership and management at your school?
- 1.8 What personal development and support was provided to you?

2. What are the implications of the personal development of SMTs for development and support of SMT's in schools in South Africa?

- 2.1 Who do you believe should be supporting you to deal with your personal development needs and challenges and why?
- 2.2 How often do you believe you should be supported to deal with your personal development needs and challenges?

APPENDIX 6: PERMISSION TO CONDUCT RESEARCH



education
DEPARTMENT: EDUCATION
MPUMALANGA PROVINCE

Private Bag X 1024
Hazyview 1242
Former Hoxane College
Kruger National Road
Mpumalanga Province
Republic of South Africa

OFFICE OF THE FACILITATING DISTRICT DIRECTOR

Litiko leTsimfundo Umnyango weFundo Departement van Onderwys Ndzawulo Ya Dyondzo

Enq: [REDACTED]
Tel: [REDACTED]

The Director: Professional Development
Corner Forest Drive & Logan Way
Pinelands
Cape Town
7406
South Africa



Dear Ms Vagriuah Kariem

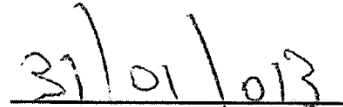
**SUBJECT: PERMISSION TO CONDUCT A RESEARCH AT [REDACTED]
[REDACTED] SCHOOL**

1. The above subject has reference.
2. In response to your application to conduct a research project at [REDACTED] School, the Mpumalanga Department of Education is pleased to have to inform you that permission or application has been approved by the Director of Bohlabela Education District.
3. You have permission to interact with educators, learners, parents and other stakeholders of the school for principles and purposes of your research project.

4. The District will appreciate if the research project findings can be shared with the District Officials as we hope that it is going to serve as preponderance for other research projects to other schools.

Hoping you will find the above to be in order.


THE DISTRICT DIRECTOR
[REDACTED]


DATE





education

Department:
Education
PROVINCE OF KWAZULU-NATAL

Enquiries: [REDACTED]

Date: 23 April 2013

UMZINYATHI DISTRICT

To: Principals of Schools

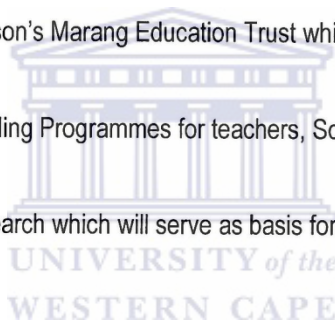
PERMISSION TO CONDUCT RESEARCH

Permission is hereby granted to Ms. Vagriuah Kariem to conduct research in schools within Umzinyathi District.

She is one of the Directors at Pearson's Marang Education Trust which is in partnership with Umzinyathi Education Department.

Ms. Kariem facilitates capacity building Programmes for teachers, School Management Teams and District Officials.

Kindly allow her to conduct the research which will serve as basis for further support to our District.



[REDACTED]
MANAGER: UMZINYATHI DISTRICT

KZN DEPARTMENT OF BASIC EDUCATION
UMZINYATHI DISTRICT OFFICE
PRIVATE BAG X2000 DUNDEE 3000

24 APR 2013

UKHAHLAMBA SERVICE CENTRE
KZN DEPARTMENT OF BASIC EDUCATION

LIBODE EDUCATION DISTRICT

K.D. Matanzima Building, Owen Street, Mthatha, P.O. Box 218 Libode, 5160
REPUBLIC OF SOUTH AFRICA, Website: www.ecdoe.gov.za Tel: 047 5027401. Fax: 047 5323505/5311314

Mrs. Vagriuah Kariem
Pearson Marang Education Trust
Cape Town

PERMISSION TO CONDUCT RESEARCH AT [REDACTED], LIBODE DISTRICT IN THE EASTERN CAPE PROVINCE

1. You are hereby granted permission to conduct research at [REDACTED] as requested.
2. It is worth noting that when doing your work to the targeted subjects; please stick to the principles of research especially in respect of confidentiality, anonymity and the right for one not to respond when necessary.
3. The district is very interested in the report of this piece of research as you topic is very relevant to the core business of teaching and learning. Kindly send one copy of your report to this district for use to improve the quality of education in this area.
4. On behalf of the district I wish you good luck in your research work.



District Director
Libode Education District

28th January 2013