2017 School Monitoring Survey:

Quantitative Survey Main Report

basic education
Department:
Basic Education
REPUBLIC OF SOUTH AFRICA

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School Monitoring Survey 2017/2018 Quantitative Survey Main Report

Produced for the Department of Basic Education by Nexia SAB&T

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Table of Content

Figures

Executive Summary

Background

In 2017, the Department of Basic Education (DBE) commissioned a national survey to measure public ordinary schools' progress towards achieving the key goals and indicators set out in the Action Plan 2019 and in the Medium-Term Strategic Framework 2014-2019. In assessing how far these goals and indicators are being met, the School Monitoring Survey (SMS) 2017 had to be comparable to the SMS 2011, which served as a baseline.

The SMS 2017 focused on 13 of the 15 Action Plan indicators in SMS 2011. SMS 2017 also gathered information about priority areas for the sector and, in particular, the Annual National Assessments (ANAs) and school level assessment practices; the prevalence of Grade R in schools; and the use of South African School Administration and Management System (SA-SAMS), and the Incremental Introduction of the African Languages (IIAL) policy.

A key objective of this study was to ensure the quality and relevance of data obtained for the SMS 2017. Ambiguities detected in the SMS 2011 study were addressed by revising and adding survey questions. To supplement the survey data, a qualitative study was undertaken for selected indicators. A separate report was produced to report on the findings of the qualitative study.

Methodology

The quantitative analysis is based on a nationally representative sample of 2 000 schools (1 000 offering Grade 6 and 1 000 offering Grade 12). Only schools categorised as public ordinary schools were included in the sample. Special-needs education schools and private schools were excluded.

The survey instruments were developed to ensure comparability with SMS 2011 data and to enhance the validity and reliability of the data. The instruments were administered to principals, Grade 3, 6, 9 and 12 teachers, LTSM co-ordinators and the LSEN representatives. Document analysis and school observation were also used in the study. Fieldwork started on 23 October 2017 and was completed by 24 November 2017.

Two fieldworkers visited each sampled school. Data collected were entered into electronic tablets programmed to enable efficient and accurate completion of the surveys. Recording of the responses was set up in such a way that every item had to be completed in order to avoid as far as possible having missing data. As soon as the survey was complete, the data captured on the tablets was automatically uploaded via 3G to a central server. All data cleaning and analysis was conducted at a central data management centre. Additional technical details are presented in a separate Technical Report. In this main report, the findings are presented using the following format for each indicator:

- Fact sheets that provide the context and sources of information;
- The rationale underpinning the indicator;
- Definition of the indicator as derived from the Terms of Reference (ToR) for the SMS 2017;
- Findings for primary and secondary school disaggregated by province and quintile; and
- Comparisons with the SMS 2011 findings.

Key findings

The key findings from the SMS 2017 for each indicator are as follows:

Indicator 1: The percentage of schools where all allocated teaching posts are filled.

The percentage of schools where all allocated teaching posts were filled in 2017 was 78%. In 80% of primary and 72% of secondary schools, all teacher posts were filled in 2017. Quintile 5 primary and secondary schools had the highest proportion of filled posts.

The national average for primary and secondary schools combined apparently increased from 69% to 78% since the 2011 survey. However, caution should be taken in interpreting this statistic, since temporarily filled allocated posts in 2011 may or may not have been reported as vacant due to the ambiguity in the questions used in 2011.

Indicator 2: The average number of hours per year that teachers spend on professional development activities.

The national average of 40 hours spent by teachers on professional development in 2017 equates to half the 2024 target of 80 hours per year. Fewer hours (36 on average) were devoted by primary school teachers to capacity development compared with the average of 44 hours by secondary school teachers.

In 2017, significant[1] increases in the average hours spent on professional development was evident among secondary school teachers, with the overall average improving from 28 hours to 44 hours. For Limpopo, the increase was 18 hours on average, for Gauteng 34 hours on average and the Western Cape reported an increase of 51 hours on average. Teachers in primary schools in the Free State, Gauteng, the Northern Cape and the Western Cape reported slight increases in the average hours spent on professional development, although an overall decrease of three (3) hours occurred at the national level. The overall average hours of professional development per teacher per year reflected marginal change since 2011, up from 36 to 40 hours.

Teachers in the Western Cape spent much more hours on professional development compared to their peers from other provinces. School principals spent an average of 43 hours per year on capacity development.

Indicator 3: The percentage of teachers absent from school on an average day.

The national average for teacher absence in primary and secondary schools combined on an average day was 10%, with wide variations noted within primary and secondary schools, and across provinces and quintiles. Nationally, in 23% of primary and 22% of secondary schools, teachers filled out the attendance register for future days. A relatively high percentage is evident for Quintile 5 primary schools (26%) and in Quintile 1 primary and secondary schools (25%).

Comparison with the findings of the SMS 2011 shows an increase in the national aggregate absence (from 8% to 10%) on an average day.

Indicator 4: The percentage of learners, per grade and subject, with access to the required textbooks and workbooks for the entire school year.

Access to textbooks varied across grades. About 85% of Grade 12 learners had access to Home Language (HL), First Additional Language (FAL), Mathematics and Mathematical Literacy textbooks. About 81% of Grade 9 learners had access to Home Language (HL), First Additional Language (FAL) and Mathematics textbooks, while for Grade 6, this was approximately 84% of learners. Approximately 95% of learners across all quintiles had access to both the Home Language and Mathematics workbooks. In Quintile 1 schools the figure was slightly lower at 92% for both workbooks.

The level of learner access to readers and works of fiction for Home Language (HL) and First Additional Language (FAL) was lower than the other required materials. At Grade 6 and 9 level, approximately 68% of learners had access, while the corresponding figure for Grade 12 learners was 79%.

Indicator 5: The percentage of learners in schools with a library or media centre meeting certain minimum standards.

Across the country, approximately 62% of learners had access to a school library/media centre. Access was similar for learners in primary schools and in secondary schools. The higher the quintile status of a school, the greater its access to a school library.

At a national level, learners' access to libraries increased significantly since 2011 from 45% to 62%. This increase was statistically significant for learners in Quintile 1 to 4 schools, but not in Quintile 5 schools.

1 In this report the adjective 'significant' is only used in the case were a difference is statistically significant.

Indicator 6: The percentage of schools with the minimum set of management documents at the required standard.

The minimum set of 10 management documents was observed in 31% of schools. Nationally, 33% of primary and 26% of secondary schools had the full set of required management documents.

Schools in the provinces of Gauteng, Mpumalanga (both at around 45%) and the Western Cape (65%) significantly exceeded the national average of 31% in relation to the percentage of schools where the required set of school management documents were observed. At schools in the Eastern Cape, the availability of these set of documents was significantly lower than the national average. In Quintile 4 and 5 primary schools and Quintile 5 secondary schools, the percentages were significantly above the respective national averages.

Academic improvement plans and non-textbook asset registers were found to be missing most often.

At a national level, the level of compliance with the school management indicator decreased significantly between 2011 and 2017 from 44% to 31%. As with the national average, Quintile 1, 2 and 3 schools had statistically significant declines in compliance over the period; this was in contrast with higher quintile schools.

Indicator 7: The percentage of schools where the School Governing Body (SGB) meets the minimum criteria of effectiveness.

Nationally, 62% of schools complied with the requirement of having the four identified functions in place (i.e. the SGB composition adheres to the policy, SBG meetings are recorded, the SGB is involved in key management activities of the school, and the SGB has met at least once a term), and having had three (3) sets of meeting minutes.

At 65% of primary schools and at 55% of secondary schools, SGBs met the minimum criteria of effectiveness. The level of compliance increased significantly between 2011 and 2017 from 54% to 62%.

Compliance at Quintile 1 schools improved significantly between 2011 and 2017 from 50% to 64%, exceeding the national increase; at Quintile 5 schools, compliance remained significantly above the national average over the period at 66% in 2011 and 75% in 2017.

Indicator 8: The percentage of learners in schools that are funded at the minimum level.

For 2016, 75% of learners were in schools where the expected amount or more had been transferred.

Over 95% of principals indicated that they had received letters stating the allocations for 2016 and 2017. In 90% of schools, such a letter was seen by the field worker in 2017. However, the “per learner amount” was stated in the letter for only 76% of schools.

For 2016, fewer learners (75%), compared to the 79% for 2010, were in schools where the expected amount or more had been transferred. The 2011 and 2017 SMS surveys were conducted before the end of the school year and thus it was appropriate to compare schools that had received 51% or more of their allocation given that some schools may still have received their allocations after the data was obtained. For 2011, this figure was 60%, while in 2017 the figure was 66%. Given the proviso mentioned, it could only tentatively be viewed as an improvement from 2011 to 2017.

Indicator 9: The percentage of schools which have acquired the full set of financial management responsibilities on the basis of an assessment of their financial management capacity.

Nationally, 57% of schools (i.e. 56% primary and 60% secondary) have acquired the full set of financial management responsibilities in terms of Section 21 of the South African Schools Act (i.e., maintaining and improving the school’s facilities, purchasing required materials or equipment, and paying for services).

Among primary schools, there was a gradual and consistent increase in responsibility as quintile status increased, with Quintile 5 primary schools being significantly more likely to have the full set of responsibilities than Quintile 1 primary schools. The same trend was not apparent among secondary schools, however.

The percentage of schools responsible for purchasing learning materials were approximately 20 to 25 percentage points below the percentage of schools responsible for maintaining and improving school property and purchasing municipal and other services.

Between 2011 and 2017, there was a substantial decline in the average national indicator value from 74% to 57%. Declines among Quintile 4 and 5 schools (4 and 5 percentage points respectively) were not as large as among lower-quintile schools.

Indicator 10: The percentage of schools which comply with nationally-determined minimum physical infrastructure standards.

Nationally, 59% of schools complied with the determined minimum physical infrastructure standards set for November 2016 (i.e. running water, adequate toilets and electricity).

Very basic facilities that still were not universally available included running water (76% of schools had running water) and adequate toilets (80% had adequate toilets).

The higher a school's quintile status, the greater was the tendency to comply with the minimum school infrastructure requirements, with Quintile 4 and 5 primary and secondary schools exceeding the national averages

In relation to the percentage of schools with adequate classroom infrastructure (i.e., enough functional classrooms) in 2017, the figures for Mpumalanga and the North West were much lower than the national average of 67%, while in the Northern Cape and the Western Cape they were much higher than the national average.

At a national level, the level of compliance remained constant over time: 59% in both 2011 and 2017.

Indicator 11: The percentage of schools with at least one educator who has received specialised training in identifying and supporting learners with special educational needs (LSEN).

Approximately 78% of schools nationally complied with the set standard of having at least one educator who has received formal/informal training or an LSEN qualification to provide them with the specialisation for identifying and supporting learners with special education needs. Nationally, the secondary school indicator value was 12 percentage points lower than for primary schools.

For both primary and secondary schools, LSEN specialisation did not differ substantively for the designated teachers at schools with different quintile status, with the exception of higher indicator values for Quintile 4 secondary schools compared to their national average.

In just more than 60% of schools, teachers reported to be somewhat confident or confident in supporting LSEN, in almost 20% they were not confident at all, and in another 20%, they were very confident.

Indicator 12: The percentage of schools visited at least twice a year by district officials for monitoring and support purposes.

Nationally, 84% of schools had been visited at least twice by district officials for monitoring and support purposes. A substantively larger percentage of secondary schools (94%) than primary schools (80%) received at least two visits from district officials in 2017. Figures reached 90% in many provinces: better than the national average (of 80%) for receiving at least two support visits.

For primary schools, the national average was 20% when calculating the percentage of schools that had not received at least two monitoring and support visits from district officials, a figure that reached 39% in the case of at least one (1) province.

For primary and secondary schools combined, the national percentage of schools receiving at least two (2) monitoring and support visits from district officials revealed no statistical differences between 2011 and 2017. Among Quintile 4 and 5 schools, these increases were substantive.

Indicator 13: The percentage of school principals rating the support services of districts as being satisfactory.

For primary and secondary schools combined, 78% of principals were satisfied with monitoring and support visits by district officials. The national average for secondary schools (78%) was similar to the national average for primary schools (77%).

Although not substantively so, Quintile 5 primary school principals reported greater satisfaction with monitoring and support visits by district officials than did Quintile 5 secondary schools, while Quintile 5 primary school principals reported greater satisfaction than did Quintile 1 to 4 primary schools.

Additional information on Common examinations, National/International Assessments, Grade R, Use of information systems and Teaching of Languages

A large majority of teachers (90%) found common examinations useful. However, while 87% of teachers and principals supported a common examination at Grade 9 level, only 66% of them supported such an examination at Grade 3 level.

Provincial assessments were rated as useful by 91% of teachers and 95% of principals. The Annual National Assessments and international assessments such as TIMSS, SACMEQ and PIRLS were rated as useful by about 60% to 70% of teachers and principals. Between 20% and 40% of principals and teachers reported that international/regional assessments were unknown to them. The majority of those who knew about these tests, though, found them useful.

According to both teachers and principals, the Annual National Assessments conducted by DBE served a useful purpose. They underpinned the provision of relevant feedback, particularly to teachers, as teachers marked the scripts of their learners themselves. The majority found that the ANA results assisted them in planning revision with their learners before final examinations. There appears to be room for improvement in relation to the extent to which district and/or provincial offices can provide principals and teachers written feedback about the ANA results, and the usefulness of such feedback. Parents were reported to be provided with feedback to a reasonable extent.

Ninety-one percent of primary schools had Grade R classes, with an average of 50 Grade R learners per school. About 68% of Grade 1 learners had completed Grade R in government schools.

Excluding the Western Cape, which uses a different electronic system, the SA-SAMS electronic information system is used in approximately 92% of schools. Ninety-nine percent of schools use the SA-SAMS for learner registration, reporting on assessments and submitting data to the Department. For financial management, SA-SAMS is used by 58% of schools.

Regarding the Incremental Introduction of African Languages policy (IIAL), 73% of principals in primary school and 70% in secondary school reported that they were aware of the IIAL policy. At primary schools, 73% of principals at Quintile 5 schools indicated that it would be feasible to introduce the IIALS policy in their schools. The corresponding figure at secondary schools was 61%.

Background

The Action Plan 2019, as was the case with the Action Plan 2014 (*Towards the Realisation of Schooling 2025*), is directed at a broad range of stakeholders involved with the task of transforming South Africa's schools. These stakeholders include parents; teachers; school principals; district, provincial and national officials; Members of Parliament; leaders of civil society organisations including teacher unions; private sector partners; researchers; and international partner agencies such as the United Nations Children's Fund (UNICEF) and the World Bank.

The Action Plan 2019 provides continuity in that it follows the basic structure of the previous sector plan. The original 27 goals covering a broad range of issues and interventions remain. Of these 27 goals, 13 deal with improving performance and participation outcomes and 14 with the 'how' of realising these improvements. To give focus, five remain priority goals. These deal with Grade R, teacher development, learning materials, school management and support provided by district offices. The 36 indicators, which are attached to individual goals, also remain.

Public discourse about the schooling sector in South Africa sometimes creates the impression that nothing is changing and that challenges remain unchanged in their size and nature. This is an impression that is not supported by the facts. The system is dynamic. Schools in 2014 were not the same as schools in 2009. Changes have occurred, some very obvious and others more subtle. By far the largest number of changes have been in the right direction. It is critical to continue to monitor progress on key indicators to help inform planning and to highlight areas that require improvement.

By means of the 2011/12 School Monitoring Survey (SMS 2011/12), the DBE monitored progress towards the achievement of some of the goals and indicators in the Action Plan 2014 and the Minister's Delivery Agreement Outcome 1: Improved Quality of Basic Education. The SMS used a range of indicators aligned with the sector plan to measure system performance nationally and focussed particularly on gathering information not available in, for example, the Education Management Information System (EMIS).

In 2017, the DBE commissioned a national survey to measure public ordinary schools' progress towards achieving the key goals and indicators of the Action Plan 2019 and of the Medium-Term Strategic Framework 2014-2019. In its assessments of how far these goals and indicators were being met, the SMS 2017/18 was required to be comparable to SMS 2011/12, which served as a baseline.

The SMS 2017/18 focused on 13 of the 15 Action Plan indicators in the SMS 2011/12. These were:

1 The percentage of schools where allocated teaching posts are all filled;

2 The average number of hours per year that teachers spend on professional development activities;

3 The percentage of teachers absent from school on an average day;

4 The percentage of learners, per grade and subject, with access to the required textbooks and workbooks for the entire school year;

5 The percentage of learners in schools with a library or media centre meeting certain minimum standards;

6 The percentage of schools with the minimum set of management documents at the required standard;

7 The percentage of schools where the School Governing Body (SGB) meets the minimum criteria of effectiveness;

8 The percentage of learners in schools that are funded at the minimum level;

9 The percentage of schools which have acquired the full set of financial management responsibilities on the basis of an assessment of their financial management capacity;

10 The percentage of schools which comply with nationally determined minimum physical infrastructure standards;

11 The percentage of schools with at least one educator who has received specialised training in identifying and supporting learners with special educational needs;

12 The percentage of schools visited at least twice a year by district officials for monitoring and support purposes; and

13 The percentage of school principals rating the support services of districts as being satisfactory.

The SMS 2017/18 also gathered information about priority areas for the sector and, in particular, about teacher and principal participation in, and perceptions and experiences of provincial, national and international assessments, including Annual National Assessments (ANAs) and school level assessment practices. Further issues covered included the Incremental Introduction of African Languages (IIAL) and the use of school management data collection mechanisms including the South African School Administration and Management System (SA-SAMS), the Learner Unit Record Information and Tracking System (LURITS) and other information and communication technology (ICT) systems.

The ToR for the SMS 2017/18 specified the sampling strategy for the qualitative component of the survey as follows:

> *The sub-sample for the qualitative work should be from the main survey sample. This component will be limited to three provinces in South Africa; Limpopo, Western Cape and Free State. The qualitative work should be completed in a total of 18 schools consisting of 6 schools in each province: 3 schools offering Grade 6 and 3 schools offering Grade 12."*

The qualitative study was also undertaken to enhance understanding of the information collected on the Action Plan indicators and to indicate potential areas for further research. The findings from this study are presented in a separate report.

The next section gives an overview of the methodology used in the quantitative study. This is followed by the findings for each indicator.

Methodology

As specified in the ToR, the primary purpose of the SMS 2017 is to monitor progress towards achieving the key goals and indicators in the Action Plan 2019 and in the Medium-Term Strategic Framework 2014-2019 (MTSF 2014-2019). The ToR also specified that the data collected through the SMS 2017/18 must be comparable with the data in the SMS 2011/12, specifically in terms of the Action Plan Indicators 13 to 15.

This chapter provides an overview of the sampling methodology by means of which the data was obtained; the instruments used to obtain the data; and the process of data collection, data cleaning and analysis. More detail about the technical aspects of the methodology is given in the Technical Report.

Sample

The quantitative analysis in the 2017/18 SMS is based on a nationally representative sample of schools: 1 000 which offer Grade 6 and 1 000 which offer Grade 12. Only schools categorised as public ordinary schools were included in the sample. Special-needs education schools, specialisation schools and private schools were excluded.

The samples were drawn using data from the 2015 SNAP Survey and stratified by province to ensure that the sample for each province was roughly the same size. Within each province, the sample was further stratified by quintile to ensure that the provincial sample was representative of the quintile ratios within the province. The sample included small schools drawn with probability proportional to school size as indicated by enrolment.[2] Table A shows the number of schools, by province, selected to participate in the SMS 2017/18. (Table B and the adjacent text provide the details for the realised sample.)

2 Further sampling details appear in the Technical Report. A separate sampling report, approved by the project's Steering Committee, is also available.

Table A: Number of primary and secondary schools by province sampled to participate in the SMS 2017 vs realised sample of schools actually visited

Province	Number of primary schools sampled	Number of realised sampled primary schools	Number of secondary schools sampled	Number of realised sampled secondary schools
Eastern Cape	116	114	114	114
Free State	106	106	107	107
Gauteng	116	112	116	107
KwaZulu-Natal	119	116	120	119
Limpopo	114	115	115	114
Mpumalanga	110	110	110	110
Northern Cape	100	100	100	100
North West	108	108	107	107
Western Cape	111	111	111	111
Totals	1 000	992	1 000	989

There were two instances in the Northern Cape of combined schools selected in both the Grade 6 and the Grade 12 sample. Information gathered for these schools was treated accordingly for the sample under consideration when reporting. An alternate sample was also drawn in exactly the same manner to utilise as a replacement sample in the event of schools not being accessible or no longer being in existence.

Survey Instruments

In developing the instruments for the 2017 SMS, the following brief and the information specified in the ToR[3] were used as the basis for adding or revising questions for each instrument.

> *The following 13 indicators and qualitative research questions form the basis of the survey though improvements/ refinements are required particularly in data collection and monitoring. Further details on the rationale and methodology for the indicators are provided in the full version of the previous Sector Plan, Action Plan 2014. This should be read in addition to the Action Plan 2019 and all other strategic documents detailed in the Terms of Reference (please refer to Annexure A for the detailed Terms of Reference). Further details on reference documents are specified within each indicator.*

A primary consideration in instrument development was to strive for comparability of indicators in the SMS 2011 and SMS 2017. In many cases, the same questions were used. In some cases, data obtained in the SMS 2011 was shown to provide ambiguous information as indicated in subsequent analysis reported by the DBE (for example: Report on the *National School Monitoring Survey* (DBE, 2013a) and the concomitant *Technical Report* (DBE, 2013ab), the *Detailed indicator report for the Basic Education Sector* (DBE, 2013c) and the *Second Detailed indicator report for Basic Education Sector* (DBE, 2014). In such cases, care was taken to ensure that relevant questions were presented in a manner that would yield the required information as well as allow for comparability with the 2011 data. However, as agreed with the SMS steering committee, priority was given to obtaining reliable and valid data. Questions on school level, national and international assessments were added as were questions on SA-SAMS. Finally, professional development activities were also extensively covered.

3 See Appendix for Terms of References published by the DBE

The following instruments were developed:

- Principal Interview;
- Educator Interview: Grades 6, 9 and 12;
- Educator interview: Grade 3 (included direct observations of workbooks);
- LTSM Questionnaire;
- LSEN Questionnaire;
- Document Analysis; and
- School Observation.

Additional details specified in the ToR that guided the instrument development process as well as examples of the instruments are contained in the Technical Report.

Instrument presentation

Care was taken to avoid some of the problems with the SMS 2011 in relation to missing data due to field workers being unable to obtain all the required information at some schools. It was decided that the two (2) field workers visiting each school for a day would obtain the information via interviews (conducted with the school principal and selected teachers) and observations (of facilities and resources). All questions were programmed on tablets, which in all cases were operated by the relevant field worker only. All instructions for the field workers were also programmed onto the tablets. Recording of responses was set up in such a way that every item had to be completed before the next one would be available. In this way, it was possible to that all responses were completed and thus avoid the problem of missing data. Field workers were also provided with hardcopies which were available for use to reference or review any questions. To optimise the interview time, the tablets were also programmed to skip questions that were irrelevant or not applicable to the interviewees. Responses to interview schedules and observations were automatically recorded on the tablets and the results of an interview were uploaded to a central server for storage as soon as the interview had been completed.

Administration

Schools in the sample were informed by the DBE of the purpose of the SMS 2017/2018 study and were requested to assist the field workers by providing the information required. The service provider contacted schools in advance and arranged for visits on dates that suited the schools.

All prospective field workers recruited had to provide evidence of successfully completing a tertiary training course. A detailed training manual was compiled and made available to all trainee field workers. Training of field workers was conducted by the service provider at a central venue in each province. Some training sessions were monitored by DBE monitors. At the end of the training, each field worker had to demonstrate proficiency in administering the instruments and trainee field workers who did not meet expectations were removed from the list of field workers. Before visiting a school, the field workers called the principal and verified that the prearranged date for the visit was still suitable.

When they arrived at the school, the field workers had to inform a central information centre about the time of their arrival. Field workers were requested to hand the principal a list of all the documents that would be required during the interview so that s/he could have time to locate these before the administration of the instruments commenced. The two field workers divided the interview and observation schedule between themselves. The principal or delegated member of staff assisted with arranging venues in which to carry out the interviews and with making the relevant members of staff available. One Language educator and one Mathematics educator responsible for teaching these subjects in Grades 3, 6, 9 and 12 were interviewed. The principal nominated an appropriate member of staff for the LSEN and LTSM interviews. When each interview schedule was completed on the tablet, the information was sent directly to a central database.

The fieldwork started on 23 October 2017 and was completed by 24 November 2017. One hundred percent of the planned 2 000 schools were contacted and/or visited. However, because of a range of difficulties, it was not possible to complete all surveys for the full sample of 2 000 schools. The main difficulties were:

- Schools initially sampled had closed or had been merged with other schools. In such instances, these schools were replaced by equivalent alternate schools from the replacement sample drawn specifically for such instances.
- Schools refused field workers access, stating that the timing of the survey was not convenient; national Matric examinations were in progress at secondary schools as were annual examinations for other grades.
- Despite having agreed telephonically to scheduled visits, schools in certain districts in Gauteng refused field workers entry. The reason given related to unresolved issues with the provincial Department of Education; it was claimed that the teacher union representatives had advised such schools and officials not to participate in any Departmental activities of this nature. Attempts were made to replace these schools with alternate schools from the replacement sample; however, as they were from the same districts, the majority of the replacement schools also refused field workers entry to the schools.
- In a few instances, surveys were not completed for reasons including absence or unavailability of school officials and refusal by officials to take part in the survey.

To improve the correctness of the procedures implemented by field workers at schools, the data collection process at approximately 6% of the schools were monitored by senior staff from the service provider.

Table B shows the realised sample for each of the instruments administered.

Table B: Realised sample for each instrument administered, by province

Province	Principal Questionnaire	Document Review	Grade 3 Educator Questionnaire	Grade 6/9/12 Educator Questionnaire	LSEN Questionnaire	LTSM Questionnaire	School Observation
EC	227	227	131	718	226	227	228
FS	212	213	180	765	213	213	213
GT	216	216	194	930	211	216	218
KZ	233	233	174	709	234	235	234
LP	229	229	161	804	228	229	229
MP	220	220	166	653	220	220	220
NC	199	200	157	634	199	200	200
NW	214	215	178	840	215	215	215
WC	222	221	200	1028	220	221	222
SA	1972	1974	1541	7081	1966	1976	1979
Expected Total	2000	2000	2000	12000	2000	2000	2000
Variance	28	26	459	4919	34	24	21
Access Denied	19	19	11	19	19	19	19
Equates to:	19	19	22	90	19	19	19
Unavailable / Absent	6	4	101	1286	11	4	1
Unwilling to Assist	3	3		22	4	1	1

Province	Principal Questionnaire	Document Review	Grade 3 Educator Questionnaire	Grade 6/9/12 Educator Questionnaire	LSEN Questionnaire	LTSM Questionnaire	School Observation
Only 1 Educator			242	3186			
Do not Offer / Cater for Grade			94	335			
Balance	0	0	0	0	0	0	0

Data cleaning

After fieldwork, appropriate cleaning of the data was undertaken and school and learner weights were calculated on the realised samples.

After the field work, the five 5 datasets (Principal Questionnaire, Document Analysis, School Observation, LTSM and LSEN) were exported from Droid Survey, the data collection tool utilised, and combined into a single SPSS dataset. While minimal data cleaning was required, due to the application controls within the capturing tool, the following checks were performed: verification of completeness to ensure all data from all schools and questionnaires were entered, checks for duplicates to ensure no data from any of the questionnaires were repeated, system special characters that resulted from the conversion of the data from the tablet formats were removed, and adding missing school information (e.g. name, sample selection) in instances where manual EMIS numbers were entered by the field workers. In addition, for schools that were surveyed twice due incomplete data obtained on the first visit, the duplicated entries were removed from the first visit, while a prefix was added to the question numbers of each survey to identify the origin of the data, and a suffix was added to the question numbers to indicate that the specific questions were dependent on previous answers provided in the questionnaire.

The final data were made available for analysis in SPSS. School weights were used for reporting when the indicator referred to the percentage of schools, while learner weights were used when the indicator referred to the percentage of learners. Due to the nature of the sample and the available information, no teacher weights could be calculated, therefore, indicators relating to teachers are expressed in terms of learner weights. Two (2) schools overlapped between the sample for Grade 6 schools and the sample for Grade 12 schools. They were given unique record numbers in the Grade 6 data set and the two data sets were merged as a combined data set. A data set was made available for all information obtained from a single respondent at the school level. A separate data set was made available for the Teacher Questionnaire for Grades 6, 9 and 12 while another was made available for the Grade 3 teacher questionnaire.

Quantitative analysis

The SPSS was used to analyse the data to respond to the questions posed in the quantitative report. The point of departure for constructing the indicators was the *Second detailed indicator report for basic education* (DBE, 2014). The composition of the indicators is given in the main report along with a discussion of each indicator. Appropriate weighting of the data, as implied in the indicator statements and specified in the quantitative report, was applied. Analyses were done for all schools, as well as for schools in the Grade 6 sample (primary schools) and schools in the Grade 12 sample (secondary schools) separately. Tables were generated per province and per quintile. Where possible, standard errors and confidence intervals were provided for the indicators.

Comparison of indicators: 2011 and 2017

Given some of the changes in 2017 SMS to the questions used to collect information, it was not possible to provide comparisons for some indicators to the 2011 SMS data. Table C gives the list of indicators as well as the reasons for not being able to make the comparisons.

Table C: Indicators for which comparisons were not possible or compromised for 2011 and 2017

Indicator No	Content	Comparable 2011 and 2017	Weight	Reasons	Possible solutions
1	Teaching posts filled	Tenuous	School	The 2011 questionnaire was ambiguous; temporarily filled allocated posts may or may not have been reported as vacant.	Consider the reported comparisons with care
4	Only information on workbooks	No	Learner	In 2011, information was obtained from observations for Grade 6; no Grade 3 data was collected. In 2017, Grade 6 information was obtained from teachers while Grade 3 data was obtained from classroom observations.	Not possible
8	Funded at a minimum level	For 2010 and 2016 only	Learner	Given that the 2017 and 2011 surveys were conducted before the end of the school year, it was possible that some schools were still to receive their allocated amounts, and thus the information reported was regarded as incomplete.	Consider only figures for 2010 and 2016
11	LSEN	No	School	In 2011, 10 teachers responded. In 2017, only one teacher considered by the principal to be best equipped to do so responded.	Not possible
13	Satisfaction with district visits	No	School	In 2011, a number of questions were used. In 2017, only one broad question was used.	Not possible

Presentation of findings

The findings are presented in two reports: the Main Report and the Technical Report. The Main Report presents an overview of the findings as specified in the ToR for SMS 2017. For each indicator, the findings are reported using the following format:

1. Fact sheet: gives the context, sources of information, the weights used for the calculations, and the questions and formulas used in calculating the indicator;
2. The rationale underpinning the indicator: highlights the relevance of the indicator within the schooling system;
3. Definition of indicator: as derived from the ToR for SMS 2017;
4. Findings for primary and secondary school samples combined and separately, as well as disaggregated by province and quintile;
5. Where possible, trend analysis comparing findings from the data obtained in SMS 2011 and 2017. These comparisons are informed by the analyses in the detailed indicator reports for the Basic Education Sector (DBE,2013, 2014);
6. Where comparisons are given, only differences that were statistically significant at the 95% level are noted. However, in some instances where noteworthy changes were observed but were not statistically significant these are also noted; and
7. Where additional details are available in the Technical Report, this is indicated in footnotes.

The Technical Report provides additional information about the methodology and about information used in deriving the findings presented in the main report. This includes standard errors and confidence intervals; and tables with further disaggregation.

Qualitative study

To enhance understanding of the information collected on the Action Plan indicators and to indicate potential areas for further research, a qualitative study was also undertaken. The ToR for SMS 2017/18 specified the sampling strategy for the qualitative component of the survey as follows:

> *"The sub-sample for the qualitative work should be from the main survey sample. This component will be limited to three provinces in South Africa; Limpopo, Western Cape and Free State. The qualitative work should be completed in a total of 18 schools consisting of 6 schools in each province: 3 schools offering Grade 6 and 3 schools offering Grade 12."*

As the qualitative study was to be carried out after the main SMS survey, it was agreed that the five key indicators which would form the focus of the qualitative study would be finalised after a high-level overview of the results of the main survey was conducted. The five selected indicators (see indicators listed below), together with the rationale behind them were discussed and agreed upon by all parties before the finalisation of the qualitative survey. The five indicators which were selected to be further interrogated through the qualitative survey are as follows:

a. Indicator 2: Teacher Professional Development
b. Indicator 6: School Management Functioning
c. Indicator 7: SGB Functioning
d. Indicator 12 and 13: School Rating of District Monitoring and Support
e. Additional information: Assessment practices in schools

The service provider was also expected to develop questions to respond to the areas specified in the ToR. These were to include lesson observations, a review of the curriculum planning documents and a review of learner workbooks and exercise books, amongst other activities. The results for the qualitative survey are presented in a separate report, together with details on the indicators identified and provinces and schools selected.

Indicator 1: The percentage of schools where allocated teaching posts are all filled

Indicator 1 Fact Sheet

To avoid possible ambiguities that were identified (DBE, 2014) in relation to how information for this indicator had been obtained in 2011, relevant questions were revised for the 2017 survey. The details appear in the Technical Report. Noting the caveat mentioned further below in the section describing the indicator and data collection, and by recalculating the 2011 baseline values, comparing the trend over time could be motivated and undertaken.

Indicator value: 78% of schools had all their allocated teaching posts filled.

Source: Principal interview

Weight: School weight

Variables and calculations:

For each school the following calculation was done:

- Posts allocated = PQ14 + PQ18 + PQ22 + PQ26 *
- Posts filled = PQ15 + PQ16 + PQ19 + PQ20 + PQ23 + PQ24 + PQ27 + PQ28 **
- Percent filled = Posts filled / Posts allocated x 100 (Growth posts, that is additional posts that schools expect due to increases in learner numbers, were not factored into this calculation)

Verbatim formulations of questions in Principal Interview:

* “Number of [Principal] [Deputy principal/s] [Head/s of Department] [Educator (excluding principal, deputy principal/s, HoDs and Grade R practitioners)] posts allocated to the school by the Provincial Education Department?”

** “Number of [Principal] [Deputy principal/s] [Head/s of Department] [Educator (excluding principal, deputy principal/s, HoDs and Grade R practitioners)] posts occupied by [permanent] [temporary] employee/s?”

Importance of filling all allocated teaching posts

In the ToR for the present survey, it is stated how critical it is to know and understand where vacancies exist. This need drove the content and quality of data collection in November 2017 and underpinned the accuracy of indicator calculations while producing the present report and during all preceding discussions.

Goals 14 to 17 from the Action Plan 2019 all relate to the teachers who will be required to fill the allocated posts per school and making use of the resources and skills that should make teaching and learning in classrooms productive. These goals and the concomitant indicators in the Action Plan 2019 therefore cover matters such as attracting motivated and appropriately-trained new teachers to the profession (Goal 14), their effective allocation and utilisation to reduce the size of excessively large classes (Goal 15), improving teachers’ professionalism, skills and knowledge (Goal 16), and ensuring a healthy workforce which enjoys job satisfaction (Goal 17). Once these are in place further objectives can be achieved, such as covering the intended curriculum (Goal 18), using learning materials appropriately (Goal 19), and facilitating access to additional resources and resource persons, as set out in many of the remaining goals. These goals also involve the use of sound assessment practices aimed at enabling learners to gain knowledge and skill to the full extent of their capabilities. Thus, the goals referred to are geared towards assisting teachers to work with other stakeholders in achieving the overall vision of national development and growth, as illustrated, for instance, by the National Development Plan and the Medium-Term Strategic Framework. Accordingly, outlining its vision for South African teachers, the Action Plan 2019 states that in 2030 (p.9):

> Teachers who received the training they require are continuously improving their capabilities and are confident in

their profession. Teachers understand the importance of their profession for the development of the nation and do their utmost to give their learners a good educational start in life. They are, on the whole, satisfied with their jobs because they feel their employer is sensitive to their personal and professional needs and that their pay and conditions of service in general are decent and similar to what one would find in other professions.

It goes without saying that the chances of achieving these ideals improve when every allocated post is filled with an educator who can maintain teaching quality. However, Goal 15 addresses allocation and filling of posts directly. Page 33 of the Action Plan 2019 refers to how the post-provisioning policy governs teacher availability per school, also noting details such as incentives to teach in remote areas. This is the post structure for which human resources must be found. Clearly, this involves a complex balance between factors such as school facilities, teacher supply and demand, salary structure and provincial budgets.

Underpinned by the above, a specific indicator (Indicator 15.2) elaborated on Goal 15 (treated here as Indicator 1 for the purposes of the SMS 2017): "The percentage of schools where allocated teaching posts are all filled" (p.34). Success in filling posts will enable the Department to avoid classrooms with more learners than what is necessary, or affordable, by current criteria. Most recent figures and analysis by the DBE (as cited from the Action Plan 2019) put the proportion of posts filled at around 90%. The average vacancy rate is around 6% across schools where not all posts were filled. Provincially, the situation in the Free State was most worrisome. In terms of grade level, the large proportion of vacant posts among teachers of Grades 10 to 12 is highly concerning. SMS data were accepted as serving a useful purpose in supplementing other Departmental records, including those from administrative systems such as PERSAL. These will enable a more immediate sense of vacancies at the school level, and the ability to move 'excess' teachers in good time.

Indicator definition and data collection

As already mentioned, correct information about vacant posts is critical for teaching and learning and crucial to counteracting any detrimental effect on learners. To address key issues pointed out in relation to the correctness of the data collected in 2011, the 2017 SMS calculations included posts filled by both permanent and temporary teachers. In this way, the role of substitute teachers in ensuring that learners receive teaching was included. It therefore becomes possible to gauge whether or not learners miss any learning opportunities by not having a teacher in the classroom daily for every lesson. Secondly, the distinction between publicly-paid teachers and those privately paid, for example by SGBs, was ignored for the purposes of this indicator, thus all posts that were filled were included in the data collected in 2017.

The sources of the raw data that could be used to compile the indicator values were twofold, but the school principal interview schedule was primary. Principals provided the numbers of permanently-filled, temporarily-filled and vacant principal, deputy-principal, head of department and teacher posts in response to Questions 14 to 29. Three further items enabled verifying information on SGB posts. Secondly, using the document analysis schedule, a single data entry (Question 34[4]), based on the attendance register, verified the total staff complement at a school. Grade R posts were excluded for purposes of calculating the overall school indicator. School weights were used on 2017 data.

Status of filling all allocated teaching posts in 2017

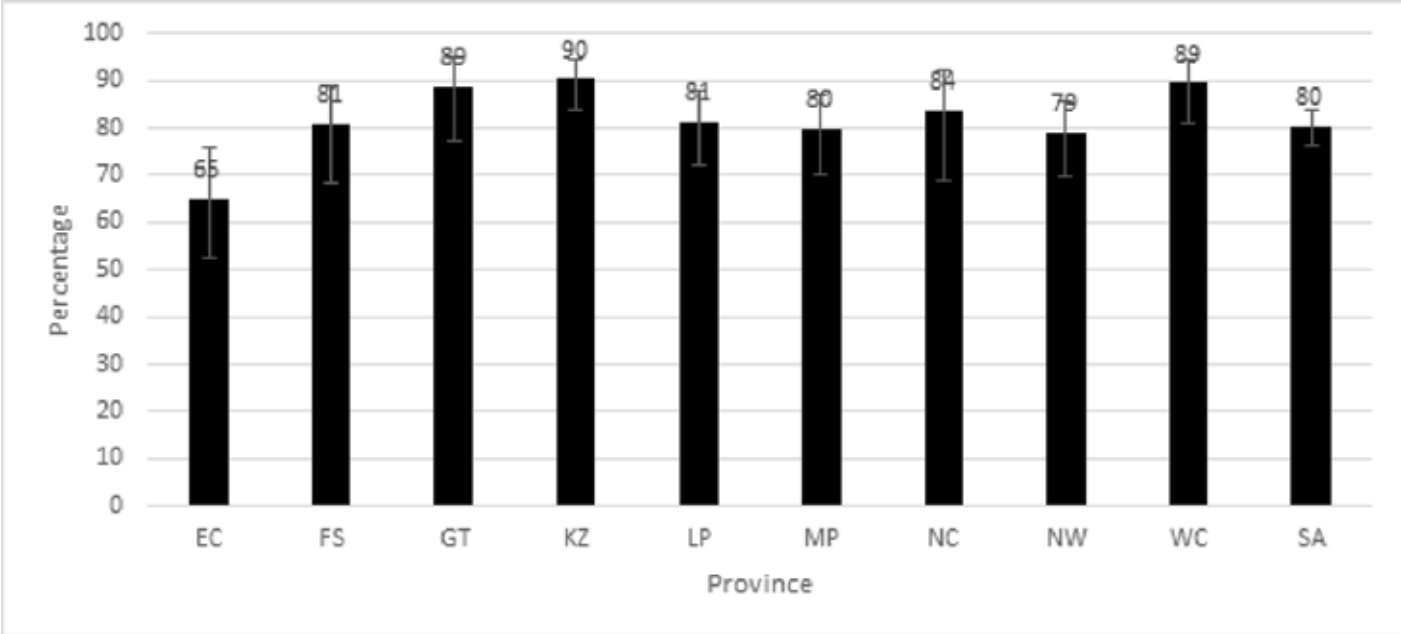
The percentage of schools (primary and secondary schools combined) where all allocated teaching posts were filled in 2017 was 78%, as reflected in Figure 1.4. The substantive differences found between primary and secondary schools required additional analysis and discussion.

4 "Count the number of educators that are listed in the attendance register. Look through the register and count the number of educator names that are listed. These do not have to be marked as present or absent but should reflect the total number of educators employed at the school."

Figures 1.1 and 1.2 portray the percentage of primary and secondary schools per province that had all their teaching posts filled. It is clear from Figure 1.1 that a significantly lower proportion of primary schools in the Eastern Cape (65%), compared to the national average of 80%, had all their posts filled. In Gauteng (89%), KwaZulu-Natal (90%) and the Western Cape (89%) the situation seemed to be better than the national average, although the differences were not statistically significant.

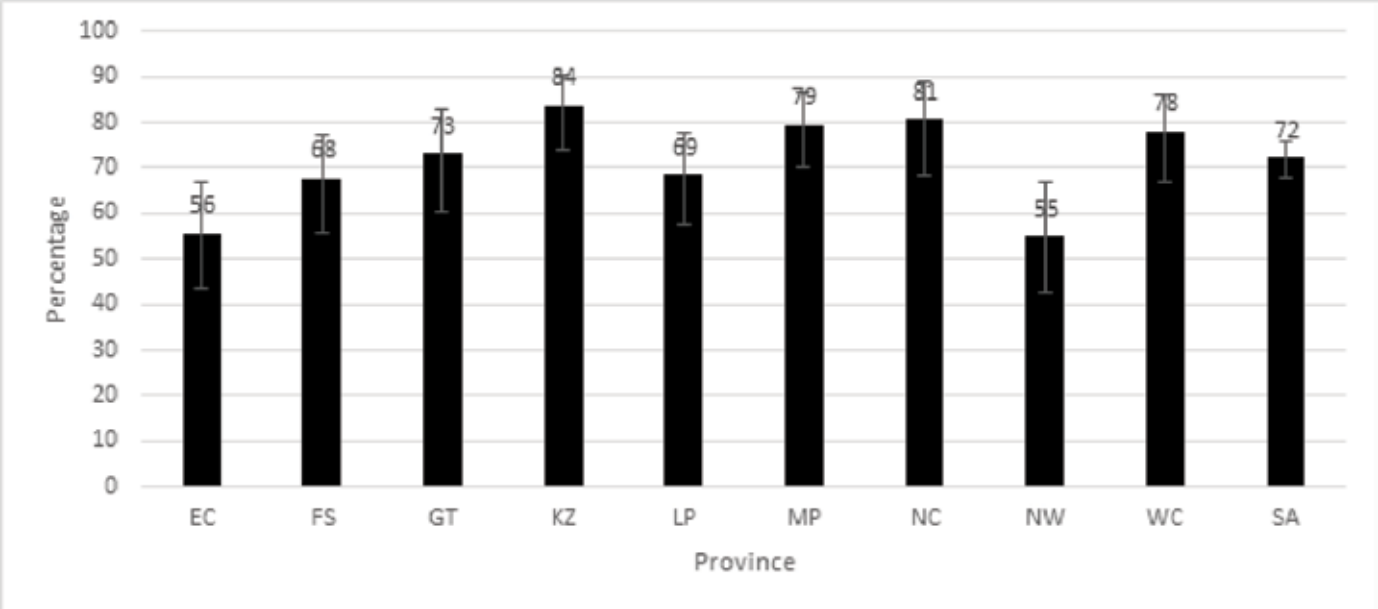
In secondary schools, according to Figure 1.2, a significantly lower proportion of schools in the Eastern Cape (56%) and the North West (55%) had all their teaching posts filled, in comparison to the country average of 72%. In KwaZulu-Natal (84%) and the Northern Cape (81%), the situation seemed to be better than the national average, although these differences were not statistically significant.[5]

Figure 1.1: Percentage of primary schools that had all their allocated teaching posts filled (Indicator 1) in 2017 by province



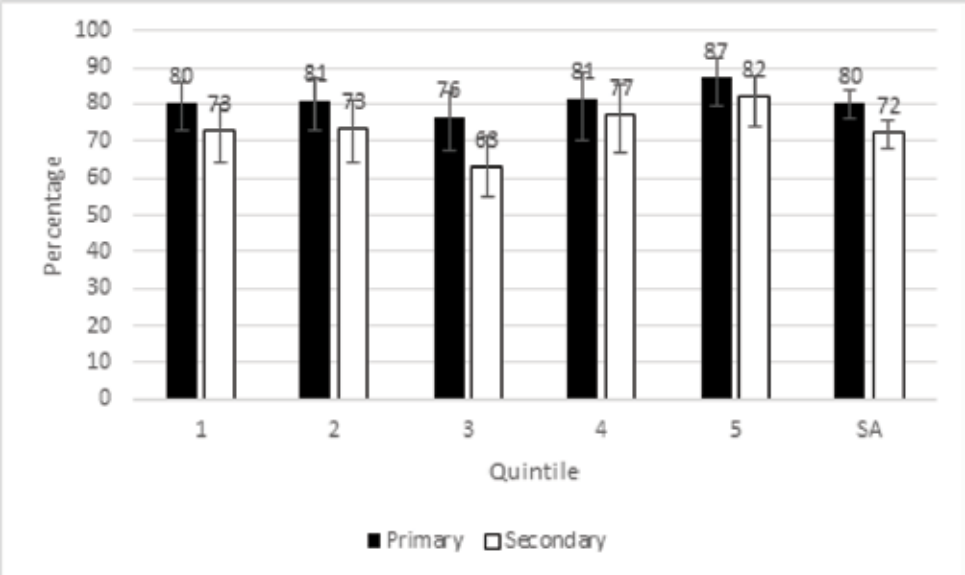
5 The standard errors, with the percentage estimates for all teacher posts being filled by province and quintile at primary and secondary schools separately over time (2011 and 2017) appear in the Technical Report in Tables T-1.1 and T-1.2.

Figure 1.2: Percentage of secondary schools that had all their allocated teaching posts filled (Indicator 1) in 2017 by province



In Figure 1.3, the extent to which primary and secondary schools had all their allocated teaching posts filled is indicated by quintile. In relation to primary school quintiles, the lowest proportion of schools that had filled all their allocated posts had Quintile 3 status (at 76%), while Quintile 5 schools had the highest proportion (at 87%). Similarly, in secondary schools, the lowest proportion of schools that filled all their allocated posts again were in Quintile 3 (at 63%), while Quintile 5 schools had the highest proportions (at 82%). Across both primary and secondary schools, the observed differences were not statistically significant to their respective national quintile averages.[6]

Figure 1.3: Percentage of primary and secondary schools that had all their allocated teaching posts filled (Indicator 1) in 2017 by quintile



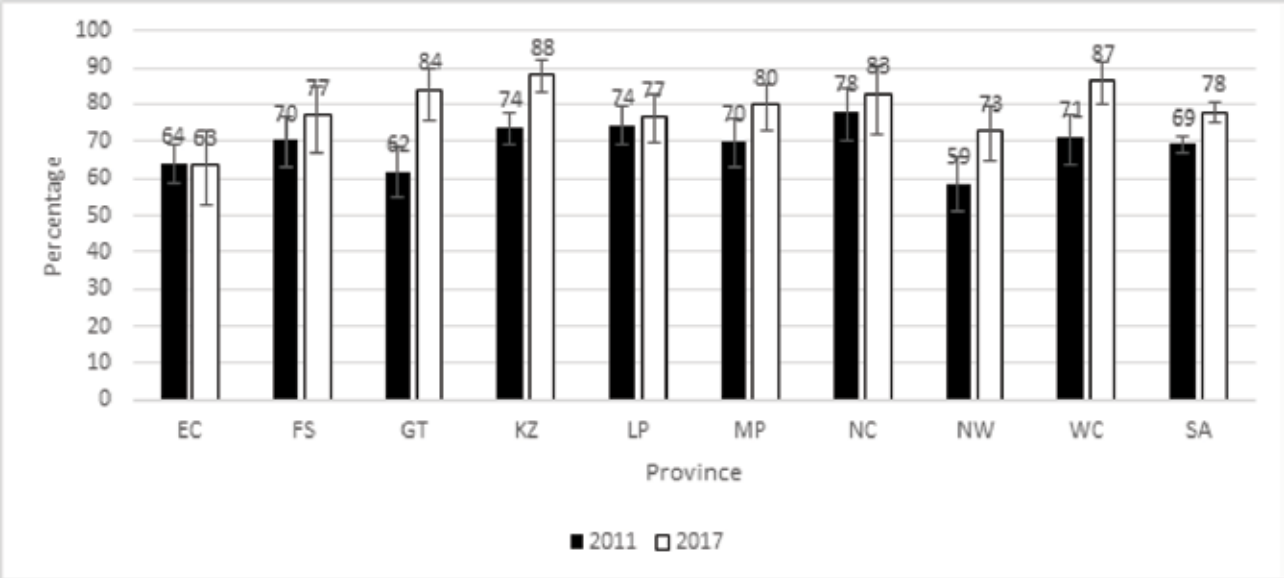
6 The standard errors and confidence intervals for 2017 figures by province and quintile appear in Tables T-1.9 and T-1.10 in the Technical Report.

Changes from 2011 to 2017 in filling all allocated teaching posts

One report compiled after the SMS 2011 (DBE, 2014, p.4) noted that in one important aspect the SMS 2011 questionnaire was ambiguous. Temporarily filled allocated posts may or may not have been reported as vacant. Various estimates of the percentage of schools where allocated teaching posts were filled were made, but the data put a limit on what was possible and consequently a proxy indicator was calculated. Therefore, comparisons to 2011 may be tenuous and should be interpreted with caution.

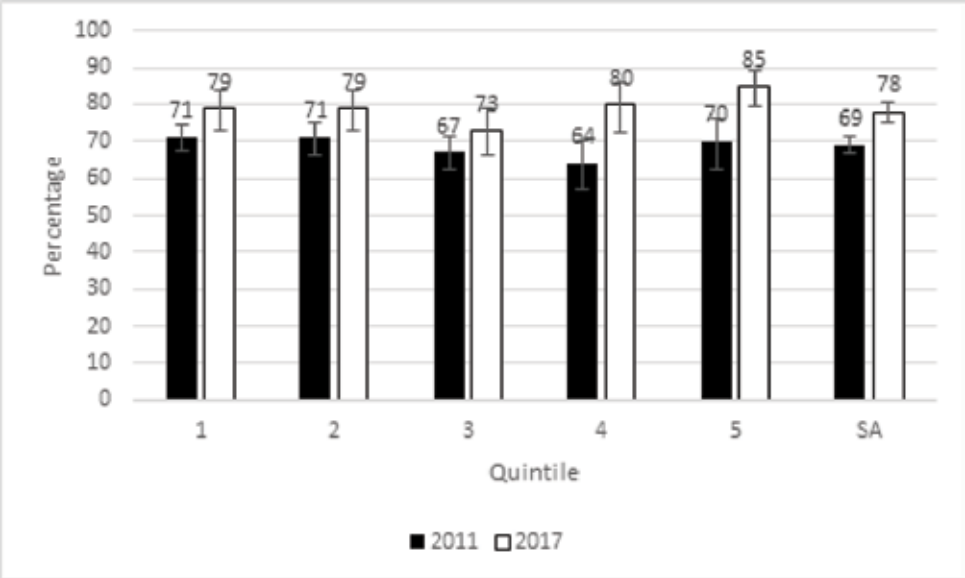
Taking this caveat into consideration, trends over time at the provincial level are shown in Figure 1.4. Primary and secondary schools are combined. In 2011, 69% of schools nationally had all their allocated posts filled. This figure increased to almost 78% in 2017, when the ambiguity in the questions was addressed. The situation in schools in Eastern Cape and Limpopo seemed unchanged. In schools in Gauteng, KwaZulu-Natal, North West and Western Cape, as with the national average, indicator values improved.

Figure 1.4: Percentage of primary and secondary schools combined that had all their allocated teaching posts filled (Indicator 1) in 2011 and 2017 by province



School quintiles 1 to 3 appeared to have experienced small increases in the percentages of allocated posts filled, while increases were slightly larger for Quintile 4 and 5 schools, as can be seen in Figure 1.5. Bearing in mind the provisos about the 2011 data, the increase in the reported national figure should be interpreted with caution.

Figure 1.5: Percentage of primary and secondary schools combined that had all their allocated teaching posts filled (Indicator 1) in 2011 and 2017 by quintile



Summary

Success in ensuring that all allocated teaching posts are filled is important for the DBE as this serves as the minimum requirement for providing quality teaching for all learners in the schooling system. Eighty percent (80%) of primary and 72% of secondary schools had all their teaching posts filled in 2017. The national average across primary and secondary schools combined was 78%.

In all provinces, percentages for secondary schools were clearly lower than for primary schools, with the exception of Mpumalanga and the Northern Cape. In the case of secondary schools in the North West, the percentage of posts filled was much lower than the national average.

Comparisons across school quintiles reveal that Quintile 5 primary and secondary schools had the highest proportion of post filled. However, it needs to be noted that the difficulties with 2011 data rendered comparisons over time tenuous.

Indicator 2: Average hours per year spent by teachers on professional development activities

Indicator 2 Fact Sheet

Equivalent indicator calculations were possible across the 2011 and 2017 survey data. In 2017, teachers of Language and Mathematics in Grades 3, 6, 9 and 12 were interviewed and their responses captured. Professional development was categorised into five categories: self-initiated; school initiated; externally initiated by the district, provincial or national office; externally initiated by unions or professional associations; and externally initiated by other institutions. A score for all categories combined was calculated. The distribution was extremely skewed, with approximately 0,5% of educators claiming to have spent more than 1 000 hours per year on professional development. As was the case for 2011 data (DBE, 2014), all values larger than 1 000 were excluded as they were extremely improbable and inordinately influenced the mean.

Indicator Value: On average teachers spent 40 hours on professional development activities.

Source: Educator Questionnaire / Interview ([a] Foundation Phase Grade 3; [b] Grade 6, 9 and 12)

Weight: Learner weight

Variables and calculations:

All Professional Development [a] = EQ32 + EQ35 + EQ38 + EQ41 + EQ44

All Professional Development [b] = EQ31 + EQ34 + EQ37 + EQ40 + EQ43

These variables were conditional upon answers to subsequent question(s), and responses to these questions were taken into account in calculations:

- "What were the estimated number of hours?"

The total hours of professional development for each educator were calculated.

Values higher than 1 000 were deleted from the dataset, in order to ensure comparability to the of SMS 2011 data (DBE, 2014).

The average hours for the required category was calculated.

Verbatim formulations of questions in Educator Interview:

* "Did you undertake any participation (or just "participate") in [SELF-] [SCHOOL-] [EXTERNALLY**] INITIATED professional development activities (** provided by [the DBE (district / province / national)] [the unions / professional associations] [other institutions]) in 2017?"

(Including the following note with the first three sources of professional development - "Fieldworker must explain what [SELF-] [SCHOOL-] [EXTERNALLY] initiated activities are – from SACE list".)

Below follows the second part of the fact sheet about capacity development, this time as undertaken by school principals. Results from the principal interviews are reported after those from the teacher questionnaires in the relevant section further down.

Source: Principal Interview

Weight: School weight

Variables and calculations:

All Professional Development (hours) = PQ210 + PQ213 + PQ216 + PQ219 + PQ222

In the case of the principals, the same approach as with the educator instrument was taken to find out about the sources of capacity development and the number of hours spent on it. All item formulations were identical.

Importance of teacher professional development

The Action Plan 2019 states (p.9) that:

> "*Teachers who received the training they require are continuously improving their capabilities and are confident in their profession. Teachers understand the importance of their profession for the development of the nation and do their utmost to give their learners a good educational start in life. They are, on the whole, satisfied with their jobs because they feel their employer is sensitive to their personal and professional needs and that their pay and conditions of service in general are decent and similar to what one would find in other professions.*"

The Action Plan 2019 argues for an increase in professional development options available to teachers, in terms of effort (quantity) and quality. This indicator is closely tied to Goal 16 of the Action Plan 2019 which requires improvements to the professionalism, teaching skills, subject knowledge and computer literacy of teachers throughout their careers. This indicator is one of five indicators (goals) given priority status, which provided a further incentive to the Department for adding a strong in-depth qualitative component to the 2017 SMS. Resolution 7 of the Education Labour Relations Council (ELRC), relating to the workload of educators and as part of their conditions of service, requires each teacher to undergo 80 hours per year of professional development. The Action Plan 2019 specifies the 80 hours of professional development as a target to be reached by 2024, and proposed interim targets for each year leading up to 2024. In 2017, the target was an average of 66 hours of professional development. By surveying the number of capacity development hours for the purposes of this indicator, the achievement of the said target could be established and reported on.

These principles should be seen against the background of the SMS 2011 which showed that up to half of all teachers spent fewer than 12 hours per year on capacity development and training. The average was 39 hours, approximately half of the ELRC target. Findings from the implementation of the Integrated Quality Management System (IQMS), particularly relating to self- and peer-based rating of teachers, and from other sources such as SACMEQ, also indicate that teacher proficiency needs to be increased.

The Action Plan 2019 (pp. 34-36) further motivates and contextualises teacher development. There still is reticence about regularly assessing the proficiency of teachers with a view to improving their capacity, whether through self-assessment or special diagnostic tests, although such assessment is an important way in which to understand teacher strengths and weaknesses and develop solutions. As already noted, proficiency in assessment is pivotal. The current low uptake of mandatory hours of professional development can partly be linked to a lack of external training opportunities and failure to guide schools in setting up their own training opportunities. Recent years have seen an increase in opportunities and guidance from the Basic Education Department in collaboration with higher-education institutions, the Council on Higher Education (especially in relation to quality assurance of such training content), the South African Council for Educators (SACE), and all five teacher unions. Many teachers have responded positively by using the Department's website to identify and manage professional development opportunities.

A key parallel thrust is to improve the professional identity of teachers (still as indicated by the Action Plan 2019). Streamlining the Continuing Professional Teacher Development (CPTD) system, including the management of CPTD points, remains challenging. Professional development underpins proficiency, while accountability is fundamental to commitment. Modes of professional development, especially those initiated by teachers, include optimal utilisation of professional learning communities (PLCs), in conjunction with some subject associations, such as for Mathematics education. Self-initiated activities and in-service training by the DBE and external providers such as universities will always prove valuable supplements. A critical focus will be curriculum stability and implementation, based on an emphasis on subject knowledge and subject teaching methodology.

Indicator definition and data collection

The in-depth qualitative site visits supplement the information underpinning the survey results, for which indicator information was collected primarily during principal and teacher interviews. Additional information based on the Document Review instrument was also obtained on school and academic development plans and are not mentioned further here.

As specified in the ToR, during the quantitative survey (similar to how the 2011 data had been obtained and analysed (DBE, 2014)), information was collected on training received from different sources and training of different types. These included self-initiated training, school-initiated training, externally-initiated training (by departments, teacher unions and associations) and training initiated by others. In addition, there were specific questions about the number of hours per category of training, and how training hours contribute to planning for obtaining and to recording CPTD points. There was also a focus on the impact of and teacher satisfaction with such training. Questions 208 to 228 in the Principal Interview covered these topics, as did Questions 30/31 to 50/51 in the Teacher Interviews, on which analysis is based. Teachers were also asked about their participation in professional learning communities. Learner weights were used during the analysis of data provided by teachers.

Baseline-equivalent calculation, and improved 2017 surveying, were dealt with in accordance with the DBE (2014) report. Specific items that had been flagged were factored into the SMS 2017's instrument development and data collection. These included:

- Precise recording of professional development hours;
- Clear categorisation of activities in relation to sources and types of training opportunity (among other things to avoid the confusion of earlier surveys about which category each training event had to be categorised under);
- Keeping in mind peaks and ebbs across school years; and
- Grade-specific linking of professional development activities, hours, content, etc.

The matters subjected to further interrogation during the qualitative data collection of March 2018, at the principal and teacher levels, including their specific areas and tasks, were:

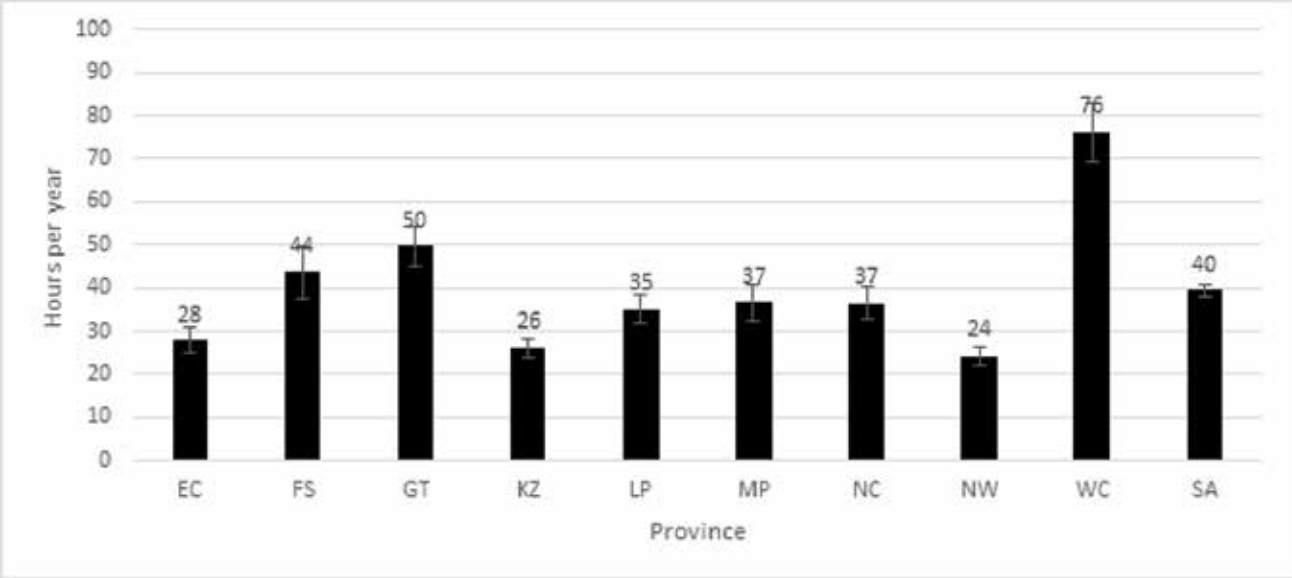
- Articulation between plans, content and amounts of training, annual reports (and evaluation, including IQMS), and re-planning;
- Teacher satisfaction and needs (and gaps, including priority setting) related to different types and sources of training (self-, internally and externally initiated);
- The role of teacher unions and achievements through their participation;
- The value of the professional development undertaken;
- The need for and functioning of the Continuous Professional Teacher Development (CPTD) system;
- Training in the practical use of learning and teaching resources and materials; and
- Training in digital competencies.

Such information was sought during document reviews related to the School Development Plan and Academic Development Plan, and how the vision and mission statements of these plans guided career pathing and staff development. A separate report based on the qualitative data covers the relevant findings.

Status of teacher professional development in 2017

Figure 2.1 shows that on average teachers in primary and secondary schools combined spent 40 hours in 2017 on professional development up to the date of the survey. The national average of 40 hours equals half the 2024 target of 80 hours per year, or just over 60% of the 2017 target of 66 hours per year. There were noteworthy differences in time spent by teachers across provinces. Teachers in Gauteng (50 hours) and the Western Cape (76 hours) significantly exceeded the national average, with the Western Cape the only province where the 2017 target was achieved. Teachers in the North West, KwaZulu-Natal and the Eastern Cape spent the least time on professional development (24 to 28 hours), significantly below the national average.

Figure 2.1: Average hours a year spent by teachers in primary and secondary school combined, on professional development (Indicator 2) by province, 2017



The pattern did not change much when the hours of professional development of primary and secondary school teachers were considered separately. Fewer hours, 36 on average, were devoted by primary school teachers to capacity development, compared to the 44 hours on average spent by secondary school teachers. The 86 hours devoted by secondary school teachers in the Western Cape to professional development is noteworthy, being the only instance where the 2024 target was reached, with their primary school peers spending 66 hours (thereby reaching the 2017 target). Table 2.1 shows the detailed figures. Because of the small standard errors and confidence intervals, most provincial levels differed statistically significantly from one another, and many of the provincial hourly averages also differed from the national average.

Table 2.1: Average hours a year spent by teachers on professional development in primary and secondary schools by province, 2017

	Primary schools		Secondary schools		All schools combined	
Province	Hours	SE	Hours	SE	Hours	SE
EC	26.0	2.0	30.5	2.3	27.8	1.5
FS	40.7	4.0	47.1	4.7	43.7	3.1
GT	46.4	3.4	53.1	3.4	49.7	2.4
KZ	24.0	1.3	28.0	1.6	26.1	1.1
LP	28.9	2.1	39.6	2.6	35.2	1.7
MP	36.3	3.0	37.1	2.9	36.6	2.1
NC	31.5	2.2	45.4	3.4	36.5	1.9

	Primary schools		Secondary schools		All schools combined	
Province	Hours	SE	Hours	SE	Hours	SE
NW	21.6	1.3	27.8	2.0	24.2	1.1
WC	65.6	3.9	85.6	5.8	76.0	3.6
SA	35.5	1.0	43.7	1.2	39.5	0.8

Patterns were similarly investigated across primary and secondary schools by quintile. Generally, teachers at Quintile 4 and 5 schools spent more time on capacity development than their peers from lower quintile schools. This pattern is consistent for teachers from primary schools and for the figures combining primary and secondary schools. For secondary schools the pattern is slightly different with teachers in Quintile 1 schools receiving on average 49 hours of professional development, relative to 38 hours on average by teachers in Quintile 2 and Quintile 3 schools. Table 2.2 shows the detailed figures, many of which differ significantly from each other because of the small sizes of standard errors and confidence intervals.

Table 2.2: Average hours a year spent by teachers on professional development in primary and secondary schools by quintile, 2017

	Primary schools		Secondary schools		All schools combined	
Quintile	Hours	SE	Hours	SE	Hours	SE
1	33.5	1.7	49.4	3.2	40.1	1.7
2	33.2	1.8	38.4	2.5	35.6	1.5
3	30.0	1.7	38.2	1.9	34.2	1.3
4	42.8	3.1	52.1	3.5	47.8	2.4
5	46.2	3.5	45.6	2.8	45.8	2.2
SA	35.5	1.0	43.7	1.2	39.5	0.8

Further details are provided in Table 2.3 and Table 2.4 on professional development activities by category of initiation (by self, the school, externally, etc.), by province and by school quintile respectively.

Table 2.3: Average hours a year spent by teachers on professional development by category of initiation for provinces, 2017

Province	Self-initiated	School-initiated	Externally-initiated Departmental	Externally-initiated professional associations	Externally-initiated other
EC	8.1	6.6	9.6	1.9	1.6
FS	20.1	14.3	9.1	3.2	3.1
GT	20.4	11.8	12.7	2.9	3.4
KZ	6.1	6.4	8.1	3.2	2.2
LP	16.2	7.1	9.2	2.9	1.9
MP	11.2	8.1	11.8	3.6	2.9
NC	9.9	8.9	11.4	3.2	3.2
NW	4.4	6.3	9.4	2.2	1.9
WC	39.6	27.8	11.1	2.0	4.5
SA	15.4	10.6	10.1	2.8	2.7

Nationally the self-initiated professional development category had the highest average. School-initiated and Departmentally initiated professional development activities also made a substantial contribution. It is evident that the high average hours in the Free State, Gauteng and the Western Cape is mostly driven by self-initiated and school-initiated training. Gauteng, however, had the highest percentage of teachers who stated that they attended training which was initiated by the Department.

Table 2.4: Average hours a year spent by teachers on professional development by category of initiation for quintiles, 2017

Quintile	Self-initiated	School-initiated	Externally-initiated Departmental	Externally-initiated professional associations	Externally-initiated other
1	15.3	11.0	11.8	3.1	2.2
2	12.4	9.0	10.1	2.5	2.3
3	10.8	9.4	9.8	2.6	2.9
4	19.9	14.4	11.0	3.0	3.4
5	23.0	11.4	8.0	2.6	2.9
SA	15.4	10.6	10.1	2.8	2.7

Professional development activities appear to be fairly evenly spread across quintiles for school and Departmentally-initiated activities. Quintile 4 and 5 schools have higher means for self-initiated activities.

Most hours of development were recorded as self-initiated (on average 15 hours per year), followed by school-initiated development (11 hours per year), externally-initiated by the Department (10 hours), by professional associations (3 hours) and other (3 hours). Summarising, self-, school- and externally-initiated activity comprised approximately a quarter to a third each time of the overall volume of training. In the Free State and Gauteng, and especially the Western Cape, the first two categories of training were above the national average, while the opposite was the case in the Eastern Cape, KwaZulu-Natal and the North West. In relation to self-initiated professional development, teachers from Quintile 4 and 5 schools had greater access. Teachers from Quintile 5 schools received Department-initiated professional development at lower levels than the national average in this category of externally-initiated professional development.

In exploring frequency distribution figures (not elsewhere reported in detail), some further significant patterns emerged. Fifty per cent of teachers reported spending 17 hours or less per year on capacity development. Six percent reported spending no time at all on professional development. Twenty per cent spent six hours or fewer per year. The proportion who achieved at least half the target of 80 hours per year, 40 hours, was 26%. Only 20% of teachers exceeded 53 hours per year. Only 12% of teachers achieved or exceeded the target of 80 hours per year.

School principals on average spent 43 hours per year on capacity development. Figures for principals from schools in Gauteng (77 hours) and the Western Cape (99 hours) were significantly higher than the national average, while those for principals from schools in the Eastern Cape (24 hours) and the North West (23 hours) were significantly lower, as can be seen in Table 2.5.

Table 2.5: Average hours per year, standard errors and confidence intervals for professional development for school principals by province, 2017

Province	Average Hours per year	Standard Error	95% Confidence Interval	
			Lower	Upper
EC	23.8	2.5	18.9	28.7
FS	48.7	9.4	30.3	67.1
GT	77.1	9.5	58.4	95.7
KZ	38.9	4.4	30.2	47.5
LP	46.5	6.7	33.3	59.7
MP	38.4	4.9	28.9	48.0
NC	41.4	8.5	24.8	58.1
NW	23.1	2.8	17.7	28.5
WC	99.2	11.9	75.8	122.6
SA	43.4	2.2	39.0	47.8

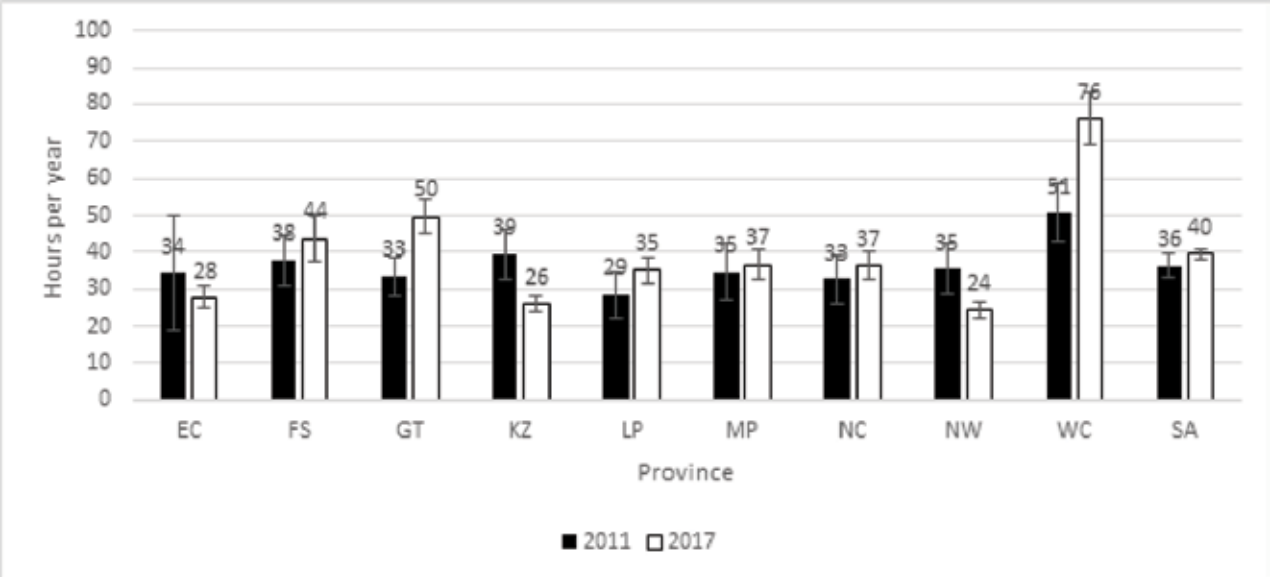
Changes from 2011 to 2017 in teacher professional development

In 2011, a maximum of 10 educators, randomly drawn from members of staff across grades and subjects, completed an educator questionnaire. In it, teachers provided information about time spent on professional development. In 2017, two Grade 3 (Foundation Phase) educators, and two each for Language and Mathematics for each of Grades 6, 9 and 12, were sampled. Though the samples were drawn slightly differently across the two survey years, their responses are likely to give a good idea of the professional development engaged in by teachers. The justification for continuing with the trend analysis is found in the longstanding policy specification (ELRC Resolution 7; Action Plan 2019 (DBE, 2015)) that all teachers, irrespective of subject or grade, should undergo 80 hours of professional development per year as the same basis of comparison, thus not differentially influencing training outcomes for anybody. In both years, 2011 (DBE, 2014) and 2017 (the present data), the distributions were strongly skewed to the right and led to all values larger than 1 000 being excluded, being extremely unlikely and influencing the mean inordinately.

Trends over time at the provincial level are explored in Figure 2.2. Average hours of professional development per teacher per year reflected no significant change over time, being marginally up from 36 to 40 hours. Significant increases were evident among teachers in Gauteng and the Western Cape. The former moved from below to above the national average, while the latter approached the set target of 80 hours at the time of the survey. The hours for teachers from schools in KwaZulu-Natal and the North West dropped significantly from 2011 to 2017.[7]

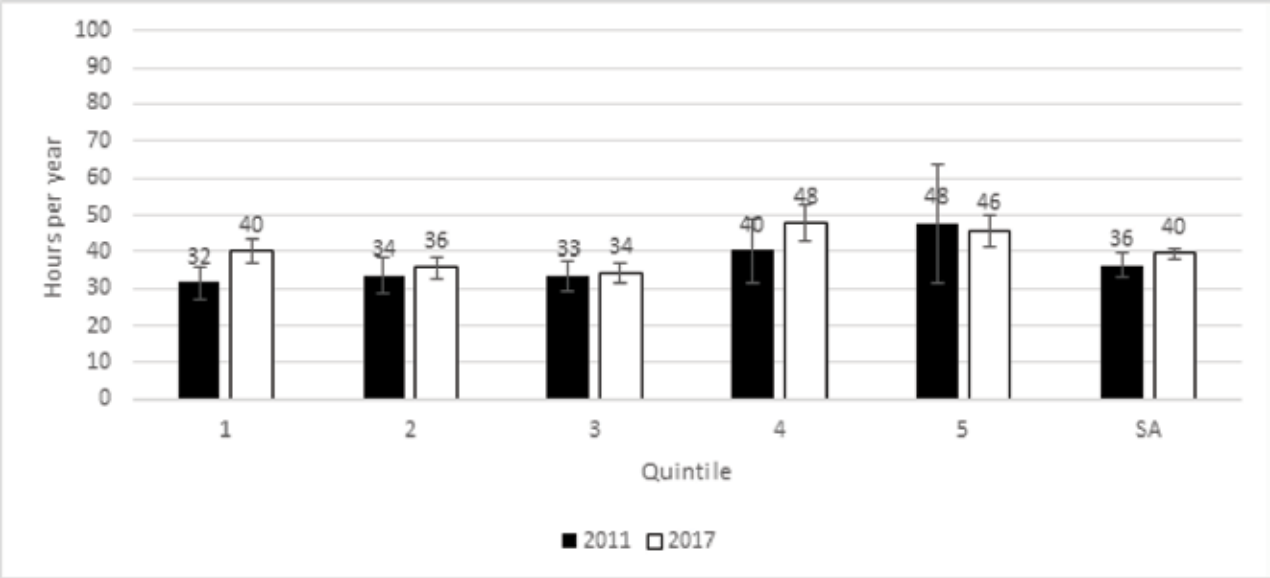
7 Analysing the median instead of mean statistic, as reflected in Table T-2.1 in the Technical Report, resulted in largely the same picture, although a more nuanced understanding of the numbers of teachers above and below the point where half of them lie becomes possible.

Figure 2.2: Average hours a year spent by teachers on professional development (Indicator 2) in 2011 and 2017 by province



In relation to quintiles, no strong or consistent link was found with changes in the hours that teachers spent over time on capacity development, as can be seen in Figure 2.3. Changes were statistically significant only for teachers in Quintile 1 schools, where the hours increased over time (by eight hours, compared to the non-significant average increase of four hours nationally).

Figure 2.3: Average hours a year spent by teachers on professional development (Indicator 2) in 2011 and 2017 by quintile



The contrasts between 2011 and 2017 are interesting. Exploring the professional development hours spent separately by primary and secondary school teachers in 2011, fewer hours, 28 on average, were devoted by secondary school teachers to capacity development, compared to the 39 hours on average spent by primary school teachers. Secondary school teachers from Gauteng, Limpopo, Mpumalanga and the Eastern Cape spent on average 24 hours or less on capacity development. In 2017, significant increases in the average hours spent on professional development was evident among secondary school teachers, with the overall average improving from 28 hours to 44 hours. For Limpopo, the increase was 18 hours on average, for Gauteng 34 hours on average and the Western Cape reported an increase of 51 hours on average.[8] Teachers in primary schools in the Free State, Gauteng, the Northern Cape and the Western

8 Table T-2.6 in the Technical Report shows the standard errors with the percentage estimates for primary and secondary schools separately and combined for 2011. Because of the small sizes of standard errors and confidence intervals, most provincial levels differ significantly from each other, and many of the provincial averages of hours also differ from the nation-

Cape reported slight increases in the average hours spent on professional development, although an overall decrease of 3 hours occurred at the national level.

Patterns for 2011 were investigated across primary and secondary schools by quintile. Generally, teachers at Quintile 4 and 5 schools spent more time on capacity development than their peers from lower-quintile schools. This pattern was slightly more pronounced for teachers from primary schools.[9]

Summary

The national average of 40 hours spent by teachers on professional development in 2017 equals half the target of 80 hours per year. Fewer hours, 36 on average, were devoted by primary school teachers to capacity development, compared to the 44 hours on average spent by secondary school teachers. Provincial and quintile patterns did not change much when the hours of professional development of primary and secondary school teachers were considered separately.

Most hours of development were recorded as self-initiated (on average 15 hours per year), followed by school-initiated development (11 hours per year), externally-initiated by the Department (10 hours), by professional associations (3 hours) and other (3 hours).

School principals spent 43 hours per year on capacity development. Principals from schools in Gauteng (77 hours) and the Western Cape (99 hours) spent statistically significantly more hours compared to the national average, while principals from schools in the Eastern Cape (24 hours) and the North West (23 hours) spent significantly fewer hours.

The average hours of professional development per teacher per year reflected no significant change over time, being marginally up from 36 to 40 hours.

al average.

9 Table T-2.7 in the Technical Report shows the standard errors with the percentage estimates for primary and secondary schools separately and combined for 2011 by quintile, many of which differ significantly from each other because of the small sizes of standard errors and confidence intervals.

Indicator 3: The percentage of teachers absent from school on an average day

Indicator 3 Fact Sheet

The fieldworker had to count the number of teachers absent according to the register on the day of the visit, as well as the Wednesday and Friday of the previous week. S/he also had to obtain information from the principal in relation to those teachers who were absent from or present at the school on the day/s concerned. This accounted for teachers not yet having signed in on a given day, but actually present. Fieldworkers also asked the principal about the number of educators absent from school on the day precisely one week before the visit.

Schools were visited by field workers on all working days for three weeks. For this reason, the percentage of teachers absent on the day of the visit will be regarded as the status quo **on an average day**. Information on this matter was obtained independently from the principal and the register. After considering relevant factors, the final indicator for teacher absence was based primarily on the observation of the educator register. The number of absentees obtained from the register was corrected by subtracting the number of educators who had not yet signed in from the number absent according to the register. The principal provided information on the number who had not yet signed in.

Indicator value: 10% of teachers were absent from school on an average day

Source: Principal Interview and Document Analysis

Weight: Learner weight (as no educator weight was available)

Variables and calculations:

- PQ8 = number of educators employed at the school *
- DQ37 = number of educators who did not sign the register on the day of the visit **
- PQ90 = number who had not yet signed in ***

Percentage of teachers absent was calculated per school and averaged as appropriate to report by province, school quintile and nationally.

Verbatim formulations of questions:

* “How many EDUCATORS were employed at your school as at the end of September 2017? Note: Educators include both SGB and state-employed educators and include the following: principal, SMT members and educator/ practitioners (including Grade R educators). It does not include administrative staff/clerks, cleaners, caretakers, security, student teachers on practical, etc.”

** (Numeric) “Number of educators who did not sign the register ON the day of the visit?”

*** (Numeric) “Have not signed in yet, but are at the school today?”

Importance of teacher attendance

Although none of the Action Plan 2019 goals specifically refer to this topic, it remains crucial. A situation in which teachers are not in class teaching diligently during scheduled teaching time seriously erodes teaching and learning and robs learners of many important opportunities for gaining knowledge. By implication, Goal 14 on attracting, equipping and eventually deploying teachers to classrooms, to a large extent relates to Indicator 3. So does Goal 15 which refers to avoiding excessively large classes through appropriate availability and utilisation of teachers. These two goals further call for the professionalism, teaching skills, subject knowledge and computer literacy of teachers, set as tasks in Goal 16, to be mobilised to benefit learners. The achievement of Goals 17 to 20 also depends on teacher attendance to make possible a healthy workforce and job satisfaction, curriculum coverage, the appropriate use of learning and teaching support materials, and the utilisation of enabling media and other tools. This is only achievable with the eradication of excessive teacher absence. The school management proficiency and quality objectives in Goal 21 further reiterate the enabling process. It is also obvious that most of the other indicators reported on in this report are about outcomes that teachers help achieve through their diligence and presence in classrooms every day executing their teaching tasks to the full.

In addition, the ToR for the 2017 SMS alert those responsible for data collection and its instruments about conceptualising teacher absence so that it accounts for absence on leave. Thus, where substitute teachers are not provided, learners still forego the opportunity to learn.

Indicator definition and data collection

The indicator constructed to reflect teacher absence on a typical day in 2017 was based on information from the school registers regarding the number of teachers present on the day of the data-collection visit. Additional information, also based on the attendance registers, covered teacher absence on the Wednesday and Friday of the previous week. It must be noted that the information obtained on the day of the visit was also verified with the school principal. At some schools, a few teachers were present but had not yet signed the registers. This anomaly was accounted for in the calculations by correcting the information gained from the registers, that is, by considering such confirmed teachers as having signed the register for the appropriate days. Further explanations of and reporting on the various measures involved follow at appropriate points through the rest of this section. Calculations were made by applying learner weights.

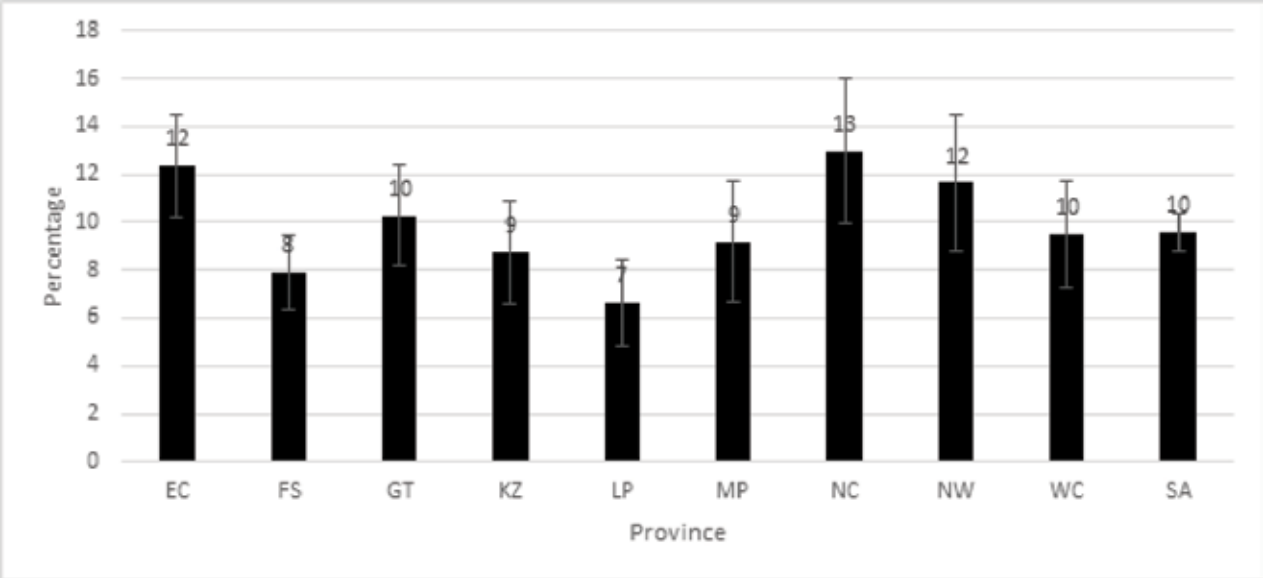
Status of teacher absence in 2017

The national teacher absence percentage for primary and secondary schools combined was 10%.

Figure 3.1 displays the absence rate per province. The absence rate of 7% among teachers in Limpopo is statistically significantly lower than the national average of 10%. The absence rate in the Eastern and Northern Cape and the North West was above the national average, although the difference was not statistically significant.[10]

Given the higher absence figures among teachers at secondary as compared to primary schools, plus a few other differing patterns, separate discussions follow further down in relation to primary and secondary schools.

Figure 3.1 Percentage of teachers absent on an average day[11] (Indicator 3) in primary and secondary schools combined by province, 2017



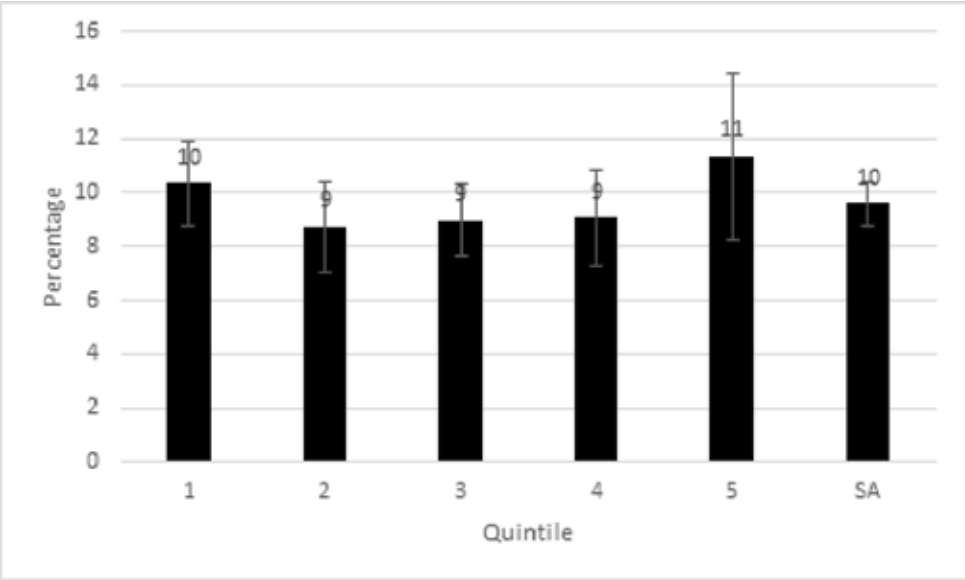
Findings for absence rates for primary and secondary school combined by quintile are displayed in Figure 3.2.[12] No consistent pattern or statistically significant findings were observed.

10 Table T-3.6 in the Technical Report shows the relevant standard errors and confidence intervals by province for the 2017 figures for primary and secondary schools combined.

11 "On an average day" in this figure heading and elsewhere always refer to the information obtained on the day of the survey visit, as corrected using information obtained from the principal.

12 Table T-3.7 in the Technical Report shows the relevant standard errors and confidence intervals by quintile for the 2017 figures for primary and secondary schools combined.

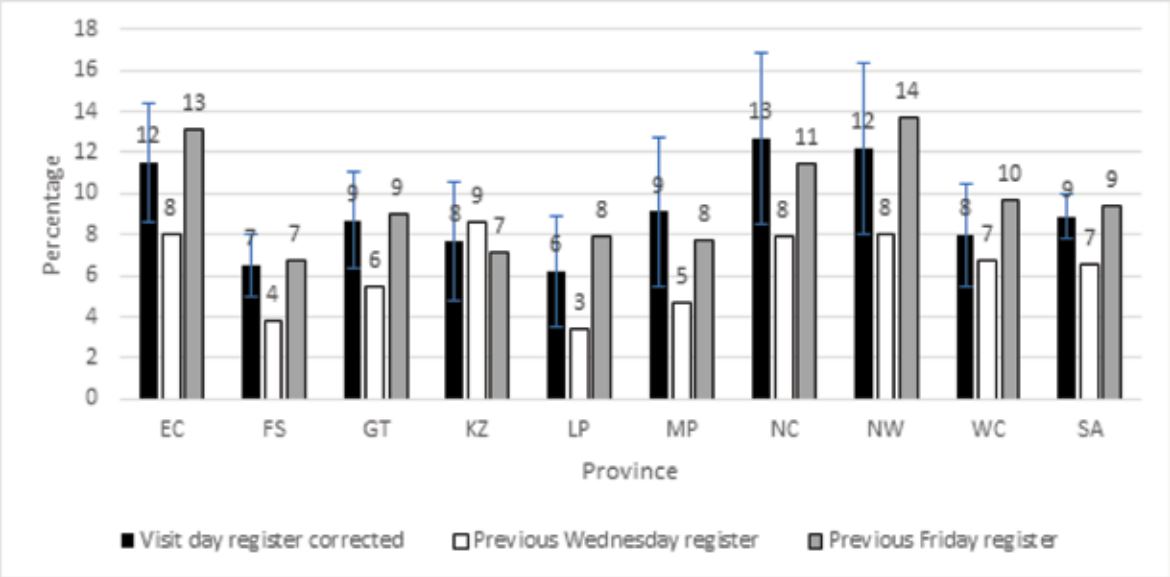
Figure 3.2: Percentage of teachers absent on an average day (Indicator 3) in primary and secondary schools combined, by quintile, 2017



Based on the 2017 survey, teacher absence in the Northern Cape (13%) and North West and the Eastern Cape (both at 12%), was higher than the national average of 9% for primary school teachers. The figures for teachers in Limpopo (6%) and the Free State (7%) were lowest. As noted in Figure 3.3, the average absence rates for primary school teachers across the provinces ranged from 3% on the Wednesday to 14% on the Friday before the school visit.[13] The two lowest absence rates, based on register entries on the Wednesday before the school visits, were for teachers in the Free State (4%) and Limpopo (3%). Absence on the Friday before the survey was high in the Eastern Cape (13%), the Northern Cape (11%) and the North West (14%). As can be seen in Figure 3.3, absence rates varied considerably between teachers from high- and low-absence provinces, but provincial differences remained consistent across all three indicators.

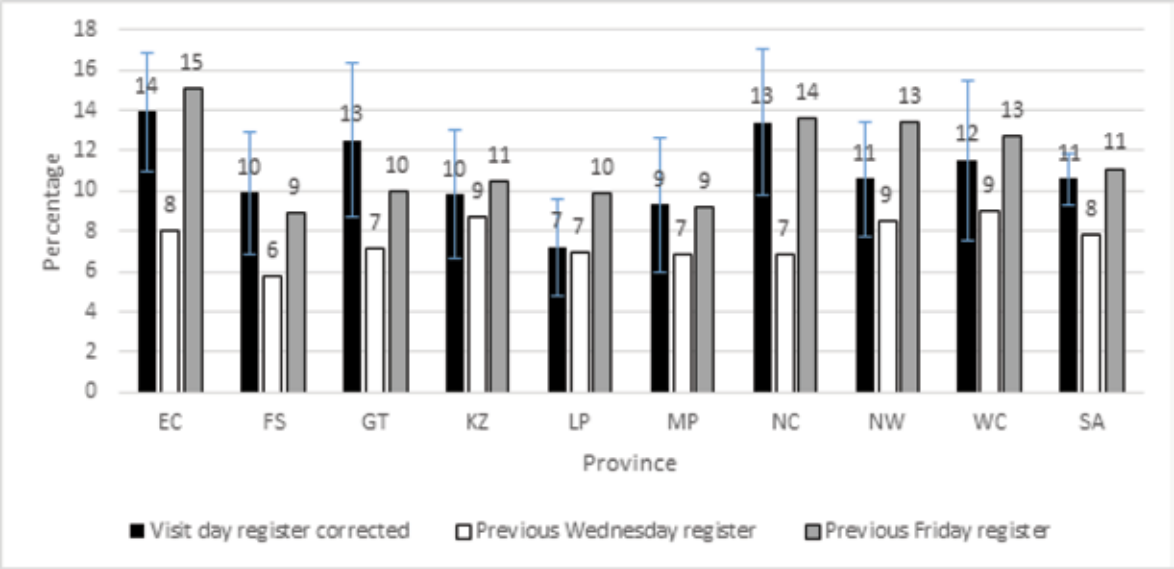
13 Provincial percentages for various sources and calculations of absence among primary school teachers for 2017, and the overall rate for 2011, are shown in Table T-3.1a in the Technical Report.

Figure 3.3: Percentage of teachers absent on an average day (Indicator 3) in primary schools by province, 2017



The average national absence figures for secondary school teachers across the provinces ranged from 6% (on the Wednesday before the school visit in the Free State) to 15% (on the Friday before the visit in the Eastern Cape).[14] Teacher absence in the Eastern Cape (14%) and the Northern Cape (13%) was higher than the national average of 10% for secondary school teachers, based on survey-day corrected school registers. The corresponding figure for Limpopo teachers (7%) was lowest. Absence on the Friday before the survey was also lowest in the Free State (8%). Figure 3.4 shows a high absence rate variation between teachers from high- and low-absence provinces.

Figure 3.4: Percentage of teachers absent on an average day (Indicator 3) in secondary schools by province, 2017



In arriving at the best possible figure, especially for the comparisons over time from 2011 to 2017 that follow, the absence of information obtained on and for the day of the visit was corrected by accounting for teachers who had not yet signed in. Such delayed signing in appears to be more prevalent in secondary than primary schools, hence the greater effect of applying the correction to the figures from the former group. As a result, absence among secondary school teachers reduces by 4,3 percentage points, and among primary school teachers by 1,3 percentage points, when delayed signing is taken into account. This corrected attendance information for the visit day is considered, and used as, the best data designating a typical or “average” school day.

14 Provincial percentages for various sources and calculations of absence among secondary-school teachers for 2017, and the overall rate for 2011, are shown in Table T-3.1b in the Technical Report.

There is a special interest in knowing the percentage of schools where teachers completed the attendance register in advance. The overall figures for the country were 23% and 22% respectively for primary and secondary schools. At primary schools, relatively high figures were observed for KwaZulu-Natal (42%), with low percentages (9%) in the Western Cape. For secondary schools, there were high percentages in the Free State schools (34%) and again KwaZulu-Natal (32%), while Mpumalanga schools (11%) displayed low percentages. No clear patterns could be linked to the quintile status of schools. A relatively high percentage is evident for Quintile 5 primary schools (26%) and Quintile 1 secondary schools (25%). Quintile 2 secondary schools displayed a low percentage (19%). The foregoing figures appear in Tables 3.1 and 3.2.

Table 3.1: Percentage of teachers who had filled out the attendance register for future days by province, 2017

Province	Register was filled out for future days	
	Primary schools	Secondary schools
EC	14,0	12,3
FS	18,9	33,6
GT	16,8	13,4
KZ	42,0	31,9
LP	21,9	25,2
MP	26,4	10,9
NC	15,0	21,0
NW	22,2	28,0
WC	9,0	13,5
SA	23,0	21,7

Table 3.2: Percentage of teachers who had filled out the register for future days by quintile, 2017

Quintile	Register was filled out for future days	
	Primary schools	Secondary schools
1	25,1	25,4
2	20,6	18,5
3	22,8	22,9
4	20,7	20,6
5	25,6	20,2
SA	23,0	21,7

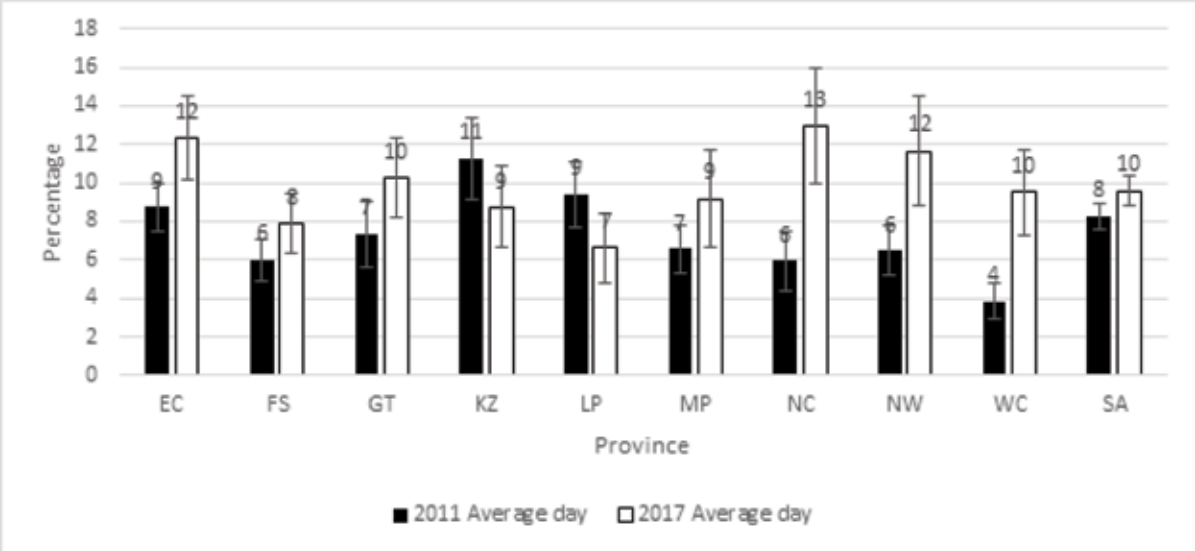
Changes from 2011 to 2017 in teacher absence

Trends over time at provincial level follow. As before, the indicator used to calculate this trend is based on information obtained from the school registers regarding the number of teachers present on the day of the data collection visit. A correction, as previously noted, was made to this information by having principals confirm which teachers were indeed at schools although they had not yet signed the register, thereby deriving the best indication of absence on a typical day.

Comparability was ensured by using the same variables and calculations in 2011 and 2017. For the present report the same measure as the 2017 calculation of teacher absence on a typical day was used, that is, the random day on which a school was visited. Learner weights were used. Those teachers who had not signed in yet, as confirmed by the principal, were counted as present in the column with corrected percentages as done by the DBE (2014).

The DBE (2014, p.17) reported, based on 2011 data regarding teacher absence in primary and secondary schools combined, figures at a national level ranging between 8% and 12% for figures obtained from attendance registers and the school principal. The 2011 information, as with the absence information obtained in 2017 on and for the day of the visit, as reported in the previous sub-section, was also corrected by accounting for teachers who had not yet signed in. Figure 3.5 shows teacher absence in schools per province over time. This report's analysis of 2011 data regarding teacher absence in primary and secondary schools combined resulted in figures ranging from 4% to 11% across provinces. In the whole of South Africa, on aggregate, a significant increase in absence from 8% to 10% was found by using the "average-day" (or visit-day) measure. In relation to four provinces, the Eastern, Northern and Western Cape and the North West, significant increases in teacher absence over time occurred, resulting in provincial outcomes more negative than in the country as a whole for three (3) of the provinces mentioned (excluding the Western Cape).

Figure 3.5: Percentages of teachers absent (Indicator 3) on an average day in primary and secondary schools combined by province, 2011 and 2017



Analysis of trends from 2011 to 2017 linked to the quintile status of schools is reported next. Detailed results appear in Tables 3.3 and 3.4[15]. Those teachers who had not yet signed in, as confirmed by the principal, were counted as present in the column with corrected percentages. In both primary and secondary schools, no significant differences were noted in teacher absence rates across the quintile categories, besides the Quintile 5 primary schools where the teacher absence rate deteriorated significantly (from 5,0% to 11,8%).

Table 3.3: Percentages of teachers absent (Indicator 3) on an average day in primary schools by quintile, 2011 and 2017 (SE in brackets)

Quintile	2011 Average day	2017 Average day
1	8,9 (0,6)	10,3 (1,1)
2	8,9 (1,0)	7,5 (1,0)
3	7,9 (0,5)	7,7 (0,7)
4	6,8 (0,6)	8,1 (1,1)
5	5,0 (0,7)	11,8 (2,4)
SA	7,8 (0,3)	8,9 (0,5)

15 Information on additional measures calculated are shown in tables T-3.2a and T3.2b in the Technical Report

Table 3.4: Percentages of teachers absent (Indicator3) on an average day in secondary schools by quintile, 2011 and 2017 (SE in brackets)

Quintile	2011 Average day	2017 Average day
1	10,2 (0,8)	10,5 (1,0)
2	9,2 (0,8)	10,6 (1,4)
3	8,8 (1,3)	10,7 (1,3)
4	10,4 (3,7)	10,1 (1,5)
5	6,0 (1,6)	10,8 (2,1)
SA	9,0 (0,7)	10,6 (0,6)

Summary

Having a teacher in the class on a regular basis in the classroom is an important factor that not only impacts on learning and teaching, but also on the regular functioning of the schools. The indicator constructed to reflect teacher absence on a typical day in 2017 was based on information from the school registers regarding the number of teachers present on the day of the data-collection visit, while information was also obtained on teacher absence on the Wednesday and Friday of the previous week.

The findings indicate that the national average for teacher absence in primary and secondary schools combined stood at 10%. However, within primary and secondary schools, the absence rates across provinces and quintiles differed substantively.

Analysis of the percentage of schools where teachers filled out the attendance register for future days revealed national averages of 23% and 22% respectively for primary and secondary schools. A relatively high percentage was evident for Quintile 5 primary schools (26%) as well as for Quintile 1 primary and secondary schools (25%).

A review of the national and provincial trends reveals a significant increase in the national aggregate absence (from 8% to 10%) using the “average-day” (or visit-day) measure, while trends across the provinces varied widely.

Indicator 4: The percentage of learners having access to the required textbooks and workbooks for the entire school year

Indicator 4 Fact Sheet

As requested in the Learning and Teaching Support Material (LTSM) questionnaire, principals were asked to nominate a member of staff able to provide correct information on the availability of textbooks in all grades and subjects. Information on the availability and use of workbooks was obtained directly from learners during the classroom visits.

Indicator value for Grades 6, 9 and 12: 84% of learners had access (see the information source and indicator calculation details immediately below) to Home Language, First Additional Language and Mathematics textbooks.

Indicator value for Grade 3: 96% of learners had access (see the information source and indicator calculation details below) to both the first and second workbook[1] for Home Language and Mathematics.

Textbooks

Source: LTSM Questionnaire (Grades 6, 9 and 12)

Weight: Learner weight

Variables and calculations:

- LTSM 8 (7) = percentage of learners with access to HL (Home Language) textbooks [c]
- LTSM 20 (19) = percentage of learners with access to Numeracy textbooks [d]

The percentage of learners with access to textbooks was calculated from the information obtained through the LTSM questionnaire (see the response categories below).

Verbatim formulations of questions:

[c] "What percentage of learners have access to HL textbook?" [A 1 0; A 2 about 20%; A 3 about 40%; A 4 about 60%; A 5 about 80%; A 6 100%; A 7 I don't know] (conditional upon "Do you use a textbook for HL?")

[d] "What percentage of learners have access to Numeracy textbook?" [Response categories as above] (conditional upon "Do you use a textbook for Numeracy?")

Workbooks

The DBE makes workbooks available in Language and Mathematics for all grades from Grade 1 to Grade 9. Every learner should receive Workbook 1 and Workbook 2 in each grade. During SMS 2017, the presence of workbooks in schools was determined through site visits only with Grade 3 classes.

Source: Educator Interview (Foundation Phase Grade 3) (as observed in the classroom)

Weight: Learner weight

Variables and calculations:

- Q129 = number of learners observed in class*
- Q132 / Q133 = receipt of Mathematics workbook 1 / workbook 2 **
- Q156 / Q157 = receipt of Home Language workbook 1 / workbook 2 ***

The required indicator percentage was obtained by dividing the number of workbooks by the number of learners and multiplying by 100.

Verbatim formulations of questions:

* "Count and record the number of learners present in this Foundation Phase class."

** "Did you receive a DBE Maths [workbook 1] [workbook 2]? [Show an example of the workbooks you are referring to and count the number of learners saying yes by show of hands.]"

*** "Did you receive a DBE language [workbook 1] [workbook 2]? [Show an example of the workbooks you are referring to and count the number of learners saying yes by show of hands.]"

Importance of access to textbooks and workbooks

Page 9 of the Action Plan 2019 categorically states the objective of providing learning and teaching materials "in abundance and of a high quality". Citing the large increase, from 30% in 2002 to 70% in 2011, in teacher responses stating that they use a textbook as their main classroom resource for teaching mathematics, the Action Plan 2019 further notes that this "trend reflects increased spending on textbooks and, since 2011, a particularly strong emphasis on providing standardised textbooks and workbooks to all schools" (p. 12).

Most of the teachers participating in the survey taught in disadvantaged communities. This increase in textbook use is claimed to reflect increased spending on textbooks. The DBE has continued to emphasise the importance of providing standardised textbooks and workbooks to all schools, given findings from the 2009 curriculum review (DBE, 2009) that insufficient use of good quality textbooks had led to poor learning and teaching. The DBE therefore now emphasises the need for regular and consistent monitoring of learner access to, and use of, learning and teaching support materials.

From the classroom visits and document review, the SMS 2011 found that in key subjects there were between eight (8) and nine (9) printed workbooks or textbooks for every ten (10) learners per classroom. Learners in 90% of Grade 6 Mathematics classes had appropriate books, resulting in between nine (9) and ten (10) learners out of every ten (10) per class having a book. The 2011 survey showed similar results across other grades and subjects. Access to books was highest in Grades 10 to 12 and among learners in schools serving wealthier communities. The 8% to 10% of surveyed classes where learners were still without the necessary materials remained a concern. Access to books seems to have increased but there is room for improvement. This relies on sufficient funding (budget), effective distribution of the books, their effective retrieval and reallocation annually at every school, and learners' appreciation of the use and educational value of the books.

On p.38, Goal 19 (one of the five priority[16] goals) of the Action Plan 2019 describes the task as to "ensure that every learner has access to the minimum set of textbooks and workbooks required according to national policy"[17]. It is also stated that, for the period reviewed (2011 to 2015), workbooks had consistently been delivered nation-wide. Standards of use issues are referred to as key, also, in that learners write in these books which become their property; teaching and learning are said to have improved considerably through this approach.

By 2014, Mathematics, Languages and Life Orientation workbooks, were provided from Grade R to Grade 9. Textbooks for Mathematics and Physical Science was also provided to Grade 10 to Grade 12 learners. As a result, in line with the set minimum requirements, approximately 117 million books (workbooks, textbooks and study guides) were provided to learners during the 2011 to 2013 school years. In 2010, the approximately 50 million textbooks in the public-school system through national provision did not yet satisfy the minimum policy requirement of one textbook per subject per

16 The indicator formulated on the basis of this goal, given recent special investigations and reports, is not included in the present 2017 SMS as one of those receiving priority attention through additional in-depth qualitative data collection.

17 The "Draft National Policy for the Provision and Management of Learning and Teaching Support Material (LTSM)" issued in September 2014 is general in nature (covering also stationery, consumables, library resources, laboratory equipment, etc.) and refers at most to the National Catalogue and other procedures for procuring, controlling and keeping safe learning materials. Mention is made of "a minimum set of textbooks for every learner for every subject as stipulated in the Minimum Schoolbag Guidelines" (p.17). Sources such as the DBE's Annual Report for 2015/2016 (p.37; Table 7) stipulate the exact numbers per school phase.

learner although provinces supplement national provision (DBE, 2015).

Continued monitoring should go beyond the mere numbers of distributed learning material items and should take into account their quality. This issue has been receiving attention and will continue to do so. The Action Plan 2019 provides many pointers to assist with assessing quality; these include the use of full colour; abundant exercises and explanations; teacher pacing guidelines; user guides and videos for teachers; evaluation and advice from international experts (such as the Australian Council for Educational Research (ACER)); national quality assurance; national pre-screening and approval of offerings (including national textbook catalogues as released in 2013 for the first time across all grades); and reduced prices through economies-of-scale. Future tasks include linking national workbooks and textbooks to assessment and integrating the management of learning material procurement and use across all levels of the school system. The public debate reflects the sentiment of ensuring that learner access at school and at home to the best possible materials facilitate their learning experience (DBE, 2015).

Indicator definition and data collection

A widespread aim across the educational system since 2011 has been to reduce the large amount of information about types of learning materials across school levels (grades and primary/secondary) and subjects to a single useful indicator. The ToR for the SMS 2017 state that information about workbooks and supplementary textbooks is to be gathered so that it is possible to evaluate how far there is access to appropriate materials at the various grades, and to differentiate between textbooks provided by the DBE and by others. This requires counting in classrooms those who have and do not have books; why they do not have them; and how sharing is dealt with in cases where not every learner has the required item/s. It also requires assessing how national workbooks and textbooks complement each other.

The Action Plan 2019 formulates Indicator 19 as it appears in the heading of this section. At the time of the SMS 2011, the system was in the best position yet to determine and describe the actual extent of access of learners to texts. The resulting national indicator average was 61% on the basis of data for two (2) grades and two (2) subjects. This figure was an adjusted one to account for how some schools were better resourced for serving their learners. For instance, using worksheets instead of books would not compromise the statistic. The methodology of observing a book with a learner on the day is stringent but is also simple. The concern of an individual learner having forgotten a book home, for instance, was addressed by asking learners to indicate if they had received any books.

The respondents from whom the information was collected for the 2011 SMS and the instruments used for data collection were discussed in the DBE report (2013a). A dedicated, comprehensive LTSM Questionnaire served this purpose. It was administered to selected teachers per grade level and appropriate to subjects. Where necessary, principals were asked to provide clarification. Teachers who had “a relatively good idea of the ‘access to textbook situation’ in the school” were identified for participation. Percentages were estimated for each item (for example, Grade 3 Home Language textbook) using the following categories of percentage of learners with access: 0%; approximately 20%; approximately 40%; approximately 60%; approximately 80%; 100%; and “Don’t know”. Other items not in the example above referred to readers, fiction etc.; other subjects to English, First Additional Language (FAL), Mathematics, Life Skills, Natural Science, Technology, and all other possible subjects; and grades to Grade 6, 9 and 12. Participants were first asked, in “Yes” and “No” format, if the school was using each item and whether learners could take it home before indicating the percentage categories. To calculate the access indicator percentages among learners in a classroom, the results from counting the number of learners in a particular classroom were recorded using the two Educator Questionnaires (for Foundation Phase Grade 3; and for Grades 6, 9 and 12) using the appropriate items.

To improve data collection and indicator calculation, the DBE report (2013c) critically re-analysed the 2011 data. A large variety of information sources and contents (collected data), calculation options (including deriving composite scales), subjects and grades, and comparative information therefore underpin the approach used in SMS 2017. The assumptions underpinning certain choices and solutions to some of the challenges have remained and include, for example, using the information from a survey day to estimate practices over an entire school year, as required in the indicator conceptualisation; how to account for learners having left their books at home on the survey day; and whether some practices are problematic for knowledge acquisition: for instance, taking books home or having to share. Learner weights were used in calculating access to text- and workbooks.

Status of access to textbooks and workbooks in 2017

Textbooks

For Home Language, First Additional Language and Mathematics, 84% of Grade 6, 9 and 12 learners had access to textbooks. The information obtained on categories of access to textbooks was transformed to provide an estimate of the percentage of learners with access to the relevant textbooks. Figures 4.1 to 4.6 show the percentages of Grade 6, 9 and 12 learners, per province and quintile respectively, with access to these textbooks. The textbook items about which information is shown in the figures are for Grade 6, 9 and 12 Home Language, First Additional Language and Mathematics and Grade 12 Mathematical Literacy. The percentages were calculated by transforming the percentages of learners per school deemed to fall within six categories of access (with a typical category, for example, being "about 40%" learners have access) to a single estimate of the percentage of learners in a school with access to the relevant textbook.[18]

Figure 4.1 shows that approximately 85% of Grade 6 learners had access to their Home Language, First Additional Language and Mathematics textbooks. In the Eastern Cape, Limpopo and Mpumalanga, learner access appeared to be below the national average; for learners in Gauteng, the North West and the Western Cape, the opposite seemed the case. Access to Mathematics textbooks for learners in most provinces was marginally higher.

18 The percentages of learners per province and quintile, respectively, for primary school (Grades 6) and secondary school (Grades 9 and 12) language and mathematics textbooks, additional learning materials such as language readers and fiction books, and Mathematical Literacy, appear in Tables T-4.2 and T-4.3 in the Technical Report.

Figure 4.1: Percentage of Grade 6 learners per province with access to home language, first additional language and mathematics textbooks (Indicator 4), 2017

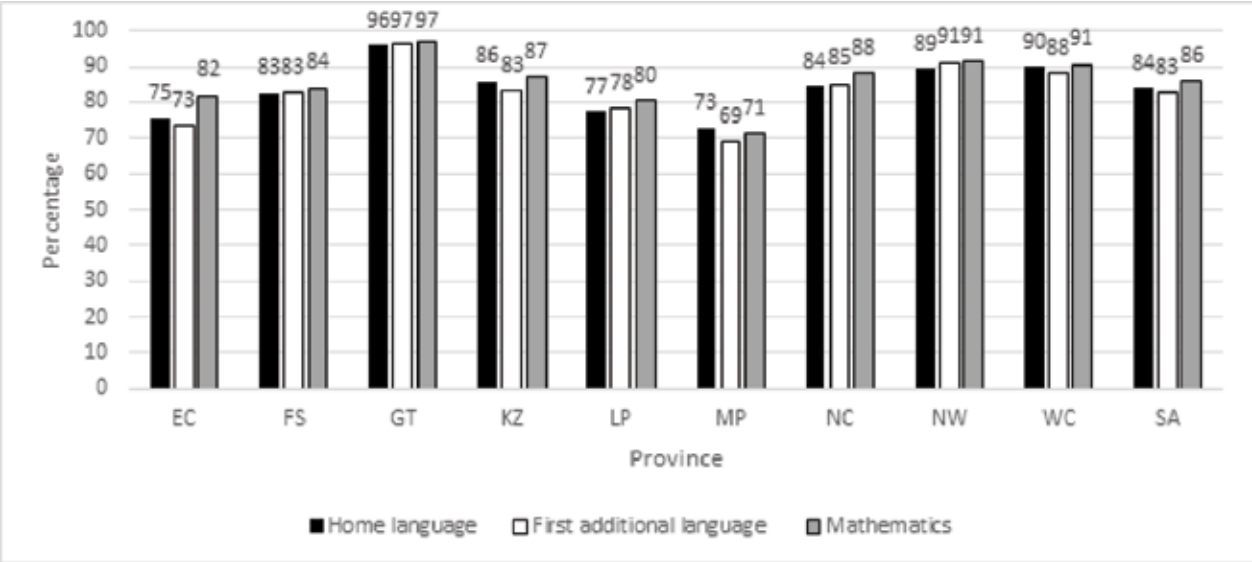


Figure 4.2 shows that around 80% of Grade 9 learners had access to Home Language, First Additional Language and Mathematics textbooks. In KwaZulu-Natal and Mpumalanga the percentages appeared to be below the national average; in Gauteng, the Northern Cape and the Western Cape and the North West, access seemed to have been above the national average. Access to Mathematics textbooks in most provinces was marginally higher.

Figure 4.2: Percentage of Grade 9 learners per province with access to Home Language, First Additional

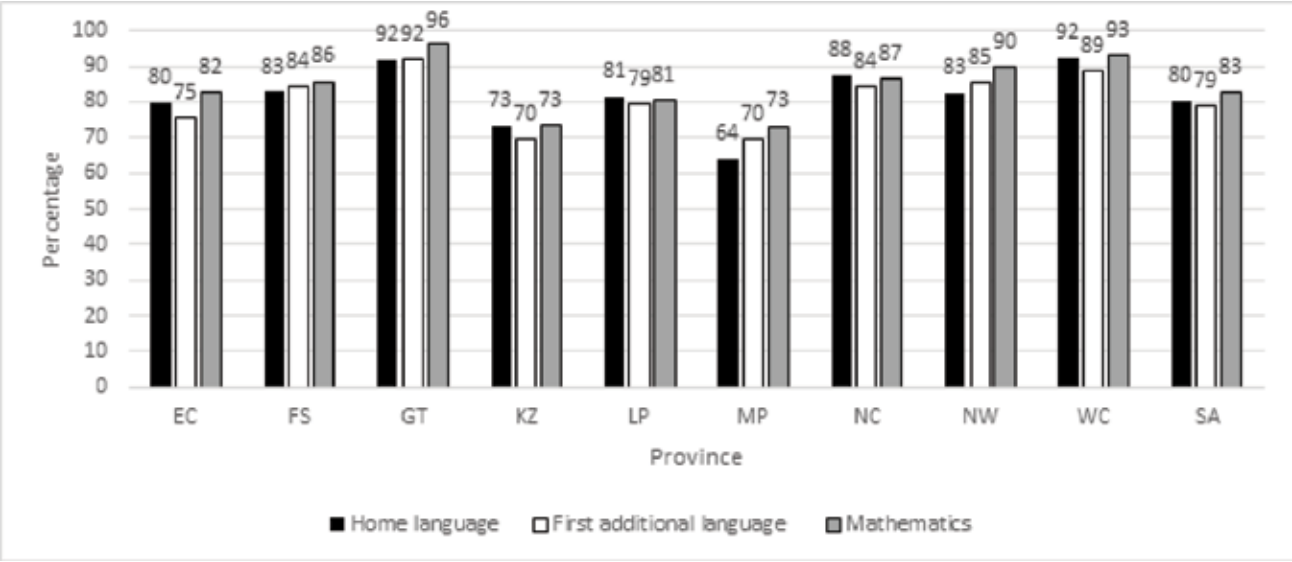


Figure 4.3 shows that in approximately 86% of the schools surveyed, Grade 12 learners had access to Home Language, First Additional Language and Mathematics textbooks. Access for Mathematical Literacy textbooks seemed to have been slightly lower at 82%. The percentages for learners in the Eastern Cape, KwaZulu-Natal and Mpumalanga schools were below the national average; for learners in the Free State, Gauteng, North West and the Northern and Western Cape the opposite generally seemed to have been the case.

Figure 4.3: Percentage of Grade 12 learners per province with access to Home Language, First Additional Language, Mathematics and Mathematical Literacy textbooks (Indicator 4), 2017

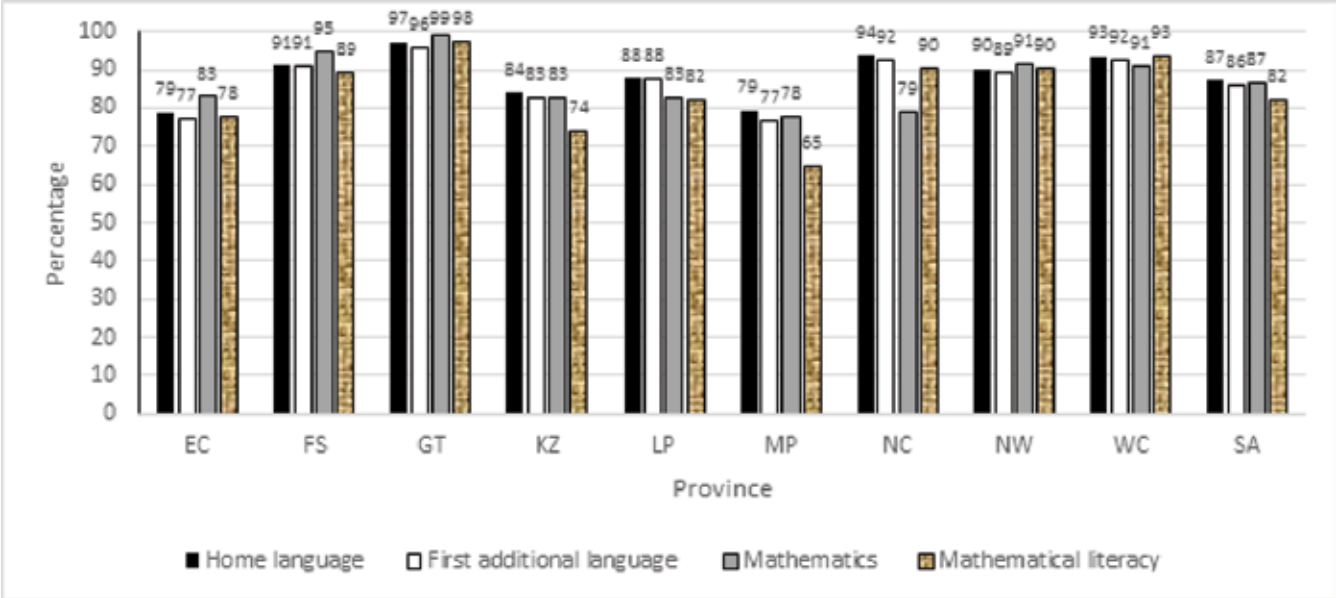
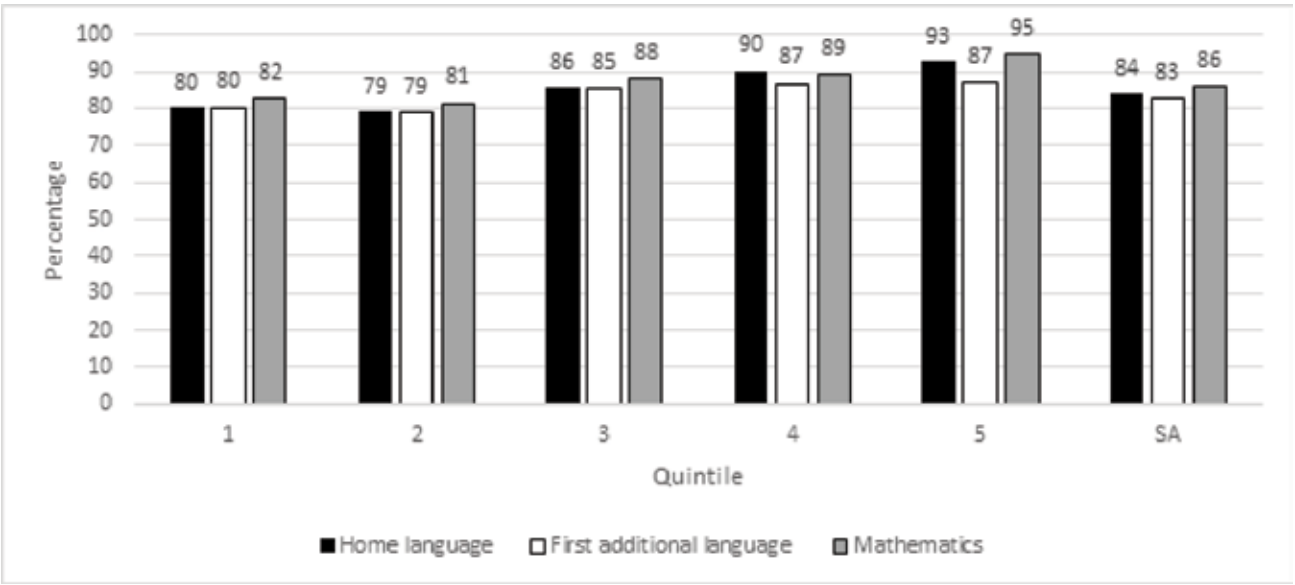


Figure 4.4 shows, for Grade 6 learners, the relationship between levels of access to Home Language, First Additional Language and Mathematics textbooks and schools' quintile status. In Quintile 4 and 5 schools, the level of access appeared to have been higher than for learners in Quintile 1 and 2 schools.

Figure 4.4: Percentage of Grade 6 learners per quintile with access to Home Language, First Additional Language and Mathematics textbooks (Indicator 4), 2017



Figures 4.5 and 4.6 shows, for Grade 9 and Grade 12 learners respectively, the relationship between levels of access to Home Language, First Additional Language and Mathematics textbooks and schools' quintile status. In Quintile 5 schools, learner access appeared to have been above the national average; in Quintile 1 schools, it seemed to have been below the national average.

Figure 4.5: Percentage of Grade 9 learners per quintile with access to Home Language, First Additional Language and Mathematics textbooks (Indicator 4), 2017

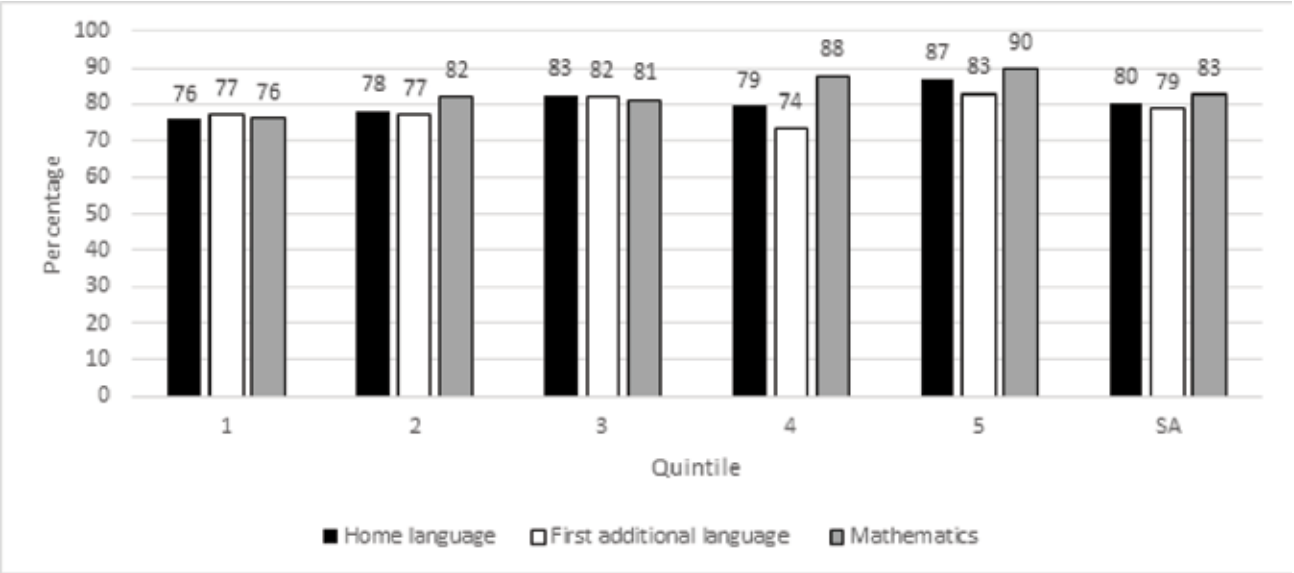
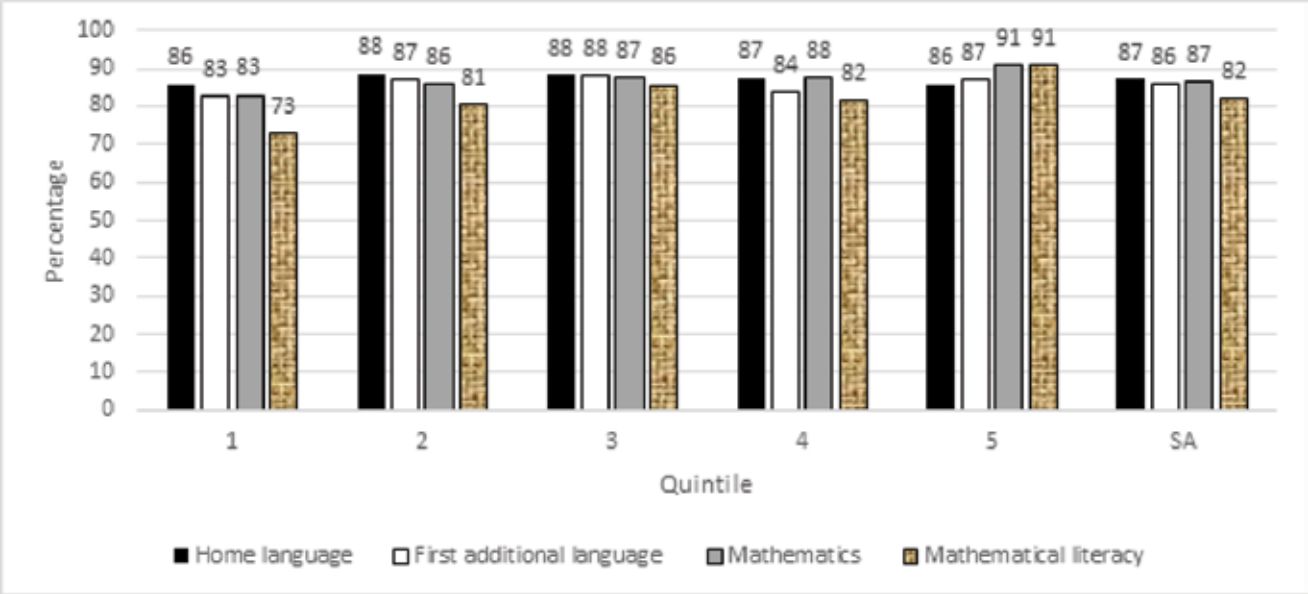


Figure 4.6: Percentage of Grade 12 learners per quintile with access to Home Language, First Additional Language, Mathematics and Mathematical Literacy textbooks (Indicator 4), 2017



Workbooks

As indicated by a show of hands, approximately 96% of Grade 3 learners nationally indicated that they had received their first and second workbooks for Home Language and Mathematics (see Figures 4.7 and 4.8). No strong provincial differences were observed, although access to workbook 1 for both Home Language and Mathematics for the Eastern Cape and KwaZulu-Natal was between four and five percentage points less than the national average.

Figure 4.7: Percentage of Grade 3 learners with Mathematics workbooks 1 and 2 by province, 2017

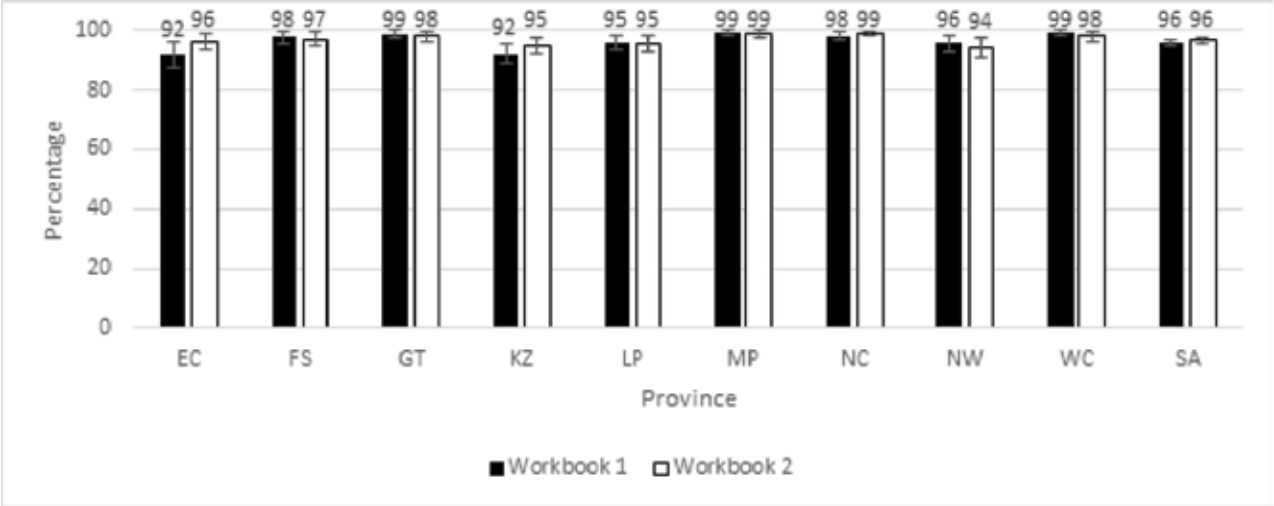
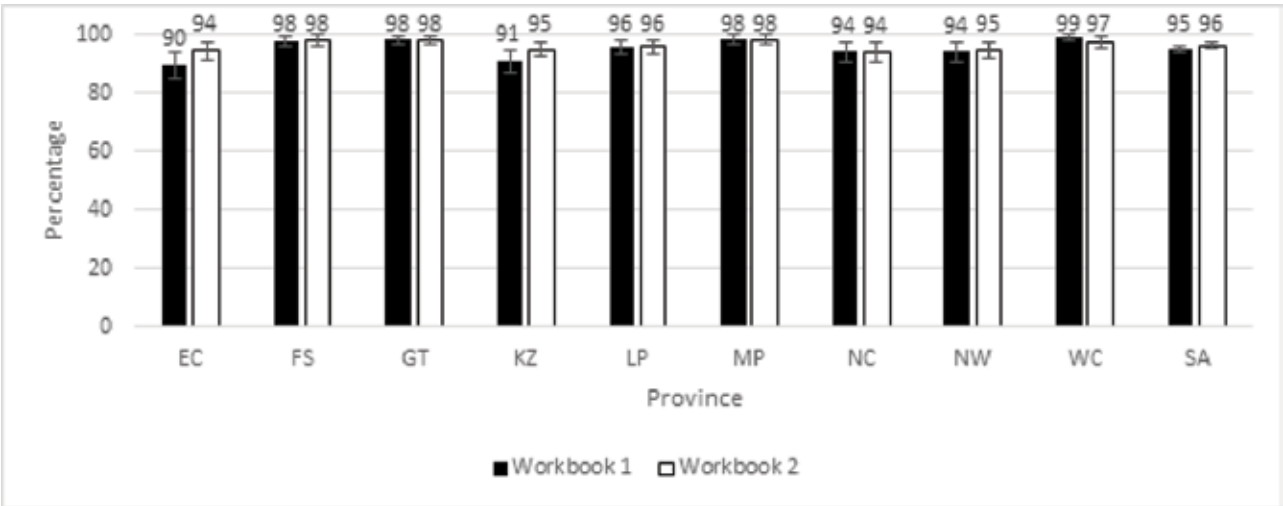
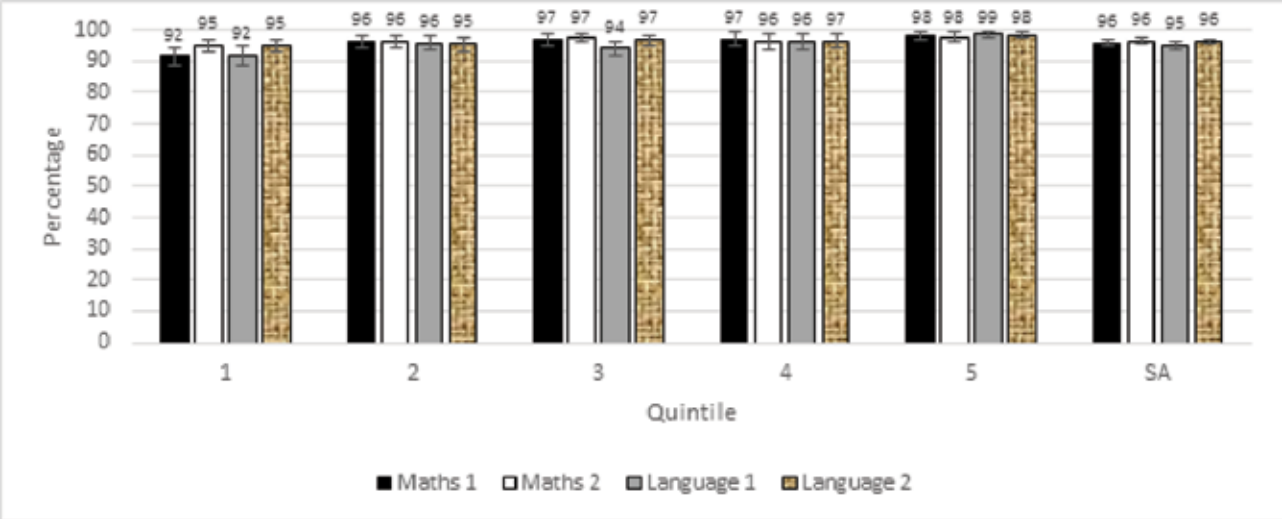


Figure 4.8: Percentage of Grade 3 learners with Home Language workbooks 1 and 2 by province, 2017



For all quintiles, Figure 4.9 shows details relating to both Mathematics and Home Language workbooks. Learners in Quintile 1 schools had lower levels of access for both Mathematics and Home Language workbook 1 than learners in the other Quintiles.

Figure 4.9: Percentage of Grade 3 learners with Mathematics and Home Language workbooks 1 and 2 by quintile, 2017



Approximately 46% of Grade 3 learners had Language textbooks and 42% Numeracy textbooks, as workbooks[19] are the predominant resource used in the Foundation Phase.

Changes between 2011 and 2017 in access to textbooks and workbooks

Because of the large differences in the way in which items were formulated in 2011 and 2017 (especially pertaining to response categories depicting learner access intervals), in who within the schools were sampled to provide the required information, and in how the various grade levels were covered, no similar textbook access figures could be calculated.

With regard to the availability of Grade 6, 9 and 12 textbooks, data in 2017 was obtained from the LTSM instrument reflecting discrete percentage band categories, while in 2011, this information was obtained using percentages of learners who had access to textbooks. Information about Grade 3 textbooks was not obtained in 2011 through classroom observation as in 2017.

For Grade 3 workbooks no information was collected in 2011, while for Grade 6 and 9 workbooks, no information was collected in 2017.

Summary

Approximately 85% of Grade 6 learners had access to HL, FAL and Mathematics textbooks, while about 80% of Grade 9 learners had access to HL, FAL and Mathematics textbooks. About 86% of Grade 12 learners had access to HL, FAL and Mathematics textbooks, with the corresponding figure at about 82% for Mathematical Literacy textbooks. Access to these textbooks increased marginally as school quintile status increased.

As indicated by a show of hands, approximately 96% of Grade 3 learners nationally indicated that they had received their first and second workbooks for Language and Mathematics (see Figures 4.8 and 4.9). No strong provincial differences were observed although access to workbook 1 for both language and mathematics for the Eastern Cape and KwaZulu-Natal was between four and five percentage points lower than the national average.

Across all quintile categories, a minimum of 92% of learners reported having access to both DBE workbooks. The lowest levels of access were for Mathematics and Language workbooks 1 among learners in Quintile 1 schools. The foregoing shows virtually complete access for learners to Grade 3 workbooks.

19 As stated earlier, Grade 3 textbook access appeared to be low, most likely because 96% of schools used the workbooks provided by the DBE. No further analysis was therefore conducted.

Indicator 5: The percentage of learners in schools with a library or media centre, fulfilling certain minimum standards

Indicator 5 Fact Sheet

Several questions relating to matters in the National Guidelines for School Library and Information Services (2012) were included in the 2017 SMS, but at this stage, only information with a direct bearing on the Baseline Indicator proposed in DBE (2014) is reported on. A school with any of the relevant facilities and holdings from the two lists (of possible responses to observation schedule items) below, that is, a central school or mobile library from the first, or a media centre with any of the listed holdings from the second (excluding audio-visual equipment), was deemed to have a library or media centre.

Indicator value: 62% of learners were in schools with a library or media centre, fulfilling certain minimum standards.

Source: School Observation (schedule)

Weight: Learner weight

Variables and calculations:

- SQ25 = either option A 2 or A 3 in the first list below, or
- SQ26 = any of options A 1 to A 7, or A 9, in the second list below

Verbatim question:

(SQ25) “Does the school have one of the following types of libraries?

A 1 Classroom library

A 2 Central school library

A 3 Mobile library

A 4 Municipal libraries

A 5 None of the above”

The following information was added for fieldworkers: “Note: • Classroom library refers to a set of books or resources within classroom/s. This could also include a “trolley” library that travels from class to class. • Mobile library refers to a vehicle equipped with library resources, which travels to the school on a regular basis. • Central school library refers to a central dedicated room in the school with library resources and which all learners and educators have access to. • Municipal libraries: refers to a local library the school has access to, not located on the school premises. Instructions: → Please ask to be taken to see the central library and/or classroom libraries if these exist. It is only necessary to see one example of a classroom library from each of the following grades in the school (if that grade is offered in the school); Grade 3, 6, 9, and 12.”

(SQ26) “What kinds of materials are available in the central school library/media centre?

A 1 Reference material (encyclopaedias, etc.)

A 2 Fiction books

A 3 Non-fiction books

A 4 Magazines

A 5 Newspapers

A 6 Children's Books

A 7 Internet access

A 8 Audio-visual (e.g. projector or smart board)

A 9 Computers

A 10 Not Applicable (Only Class Library/ies)"

Importance of a library (or media centre) at schools

Goal 20 of the Action Plan 2019 (p.40) is to "(i)ncrease access amongst learners to a wide range of media, including computers, which enrich their education." The focus is on libraries. The SMS 2011, citing figures on primary schools in the Action Plan 2014 (2011), stated that approximately 40% of learners in all schools had access to a "stand-alone" library, excluding book corners or classroom libraries. This figure corresponded with PIRLS 2011, which noted that just below half of these school libraries could offer more than two (2) books per learner, while a quarter had more than four (4) books per learner.

Recent years have seen important improvement. Based on clearer policy foundations, including key planning and funding provisions, the aim is to equip all schools with libraries. A first milestone was the release in 2012 of the comprehensive *National Guidelines for School Library and Information Services*, with at least five (5) books per learner as a target. At the time only one (1) in ten (10) learners had such access. Therefore, the concern was not only to establish new libraries but also to expand the existing libraries. Further information on minimum library standards was provided in 2013 in the *School Infrastructure Norms* (published as Government Regulation 920 of 2013). These included minimum floor areas of 60m^2 for stand-alone school libraries. For the SMS 2017/2018 and the present report, Indicator 5 was used for monitoring and evaluating Goal 20 (and associated Indicator 20) by surveying and recording learner access to central school libraries/media centres.

Further analysis of the SMS 2011 data (DBE, 2013) concluded that by 2011, 40% of learners had access to a school library if one included permanent stand-alone libraries or mobile libraries, but not classroom libraries. If mobile libraries were excluded the percentage dropped to 37%. Including classroom libraries raised it to 58%. Only 8% of learners in Limpopo schools were found to have access to a school library. It was anticipated that continued efforts to standardise definitions and data collection would produce reliable tracking of trends and robust data over time. With indications that improvement in access to libraries is still weak, the DBE emphasises the need for better progress, especially towards the quality and content of libraries, and good utilisation of these facilities.

Indicator definition and data collection

Data collection centred around Questions 25 and 26 of the School Observation schedule. Affirmative responses, completed by fieldworkers, to either of the two options on the observed presence of a central school or mobile library, or any of the relevant options covering the kind of materials in the central-school library / media centre (excluding audio-visual equipment, but including reference material, fiction or non-fiction books, magazines, newspapers, children's books, Internet access or computers) were considered as complying with the minimum standard. This excluded remote electronic access, municipal or otherwise.

Additional work done when producing the DBE 2014 report (pp. 19-23) further clarified some conceptual and definitional uncertainties and anomalies to allow for valid data collection in 2017 and for standard calculations underpinning a reliable evaluation of trends from 2011 to 2017, as noted above. Larger schools were more likely to have libraries. This factor must be considered when pursuing the target of the more than 17 000 new libraries required for one to be given to every school. Prioritising large schools, though, would increase the percentage of learners in schools with a permanent library from 37% to 80% by adding just 6 800 libraries. Another issue is the coverage of classroom libraries across

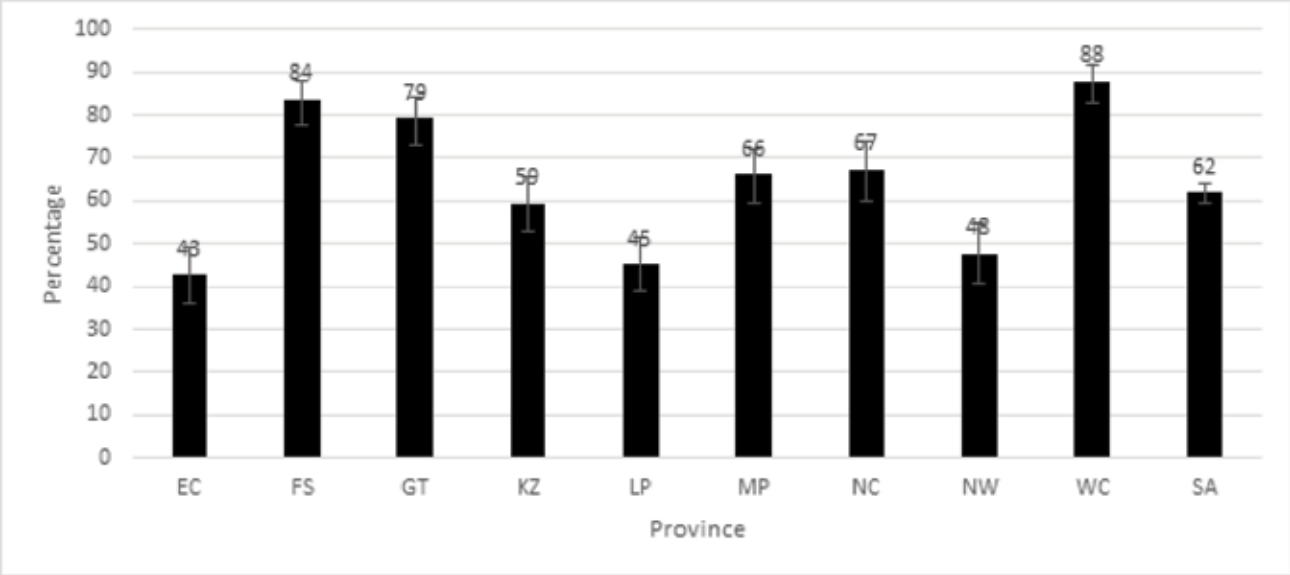
classrooms and grades. The SMS 2011 required fieldworkers to observe the existence of at least one (1) classroom library for each of the survey grades (Grades 3, 6, 9 and 12) to register compliance at a school. The extent to which some grades have libraries, but not others, is not clearly accounted for in this process. Consensus is also required on accepting or not accepting the existence of a mobile library in cases where the visits of fieldworkers did or did not overlap with the visits of mobile libraries. The data was nevertheless considered valuable and sufficiently reliable, notwithstanding these potential problems.

Data collection and analysis, after appropriate instrument development, therefore adhered to the requirements in the ToR developed on the basis of the *National Guidelines for School Library and Information Services*. Learner weights were used when doing the estimates of the percentage of learners who have access to a central school or mobile library.

Status of a library or media centre at schools in 2017

Because indicator values for learner library or media centre access at schools varied subtly across primary and secondary schools, and more substantively by province, the national situation is presented first, and the situation across primary and secondary schools thereafter. Figure 5.1 shows the overall situation for primary and secondary schools combined.

Figure 5.1: Percentage of learners with access to a school or mobile library facility in primary and secondary schools combined by province, 2017

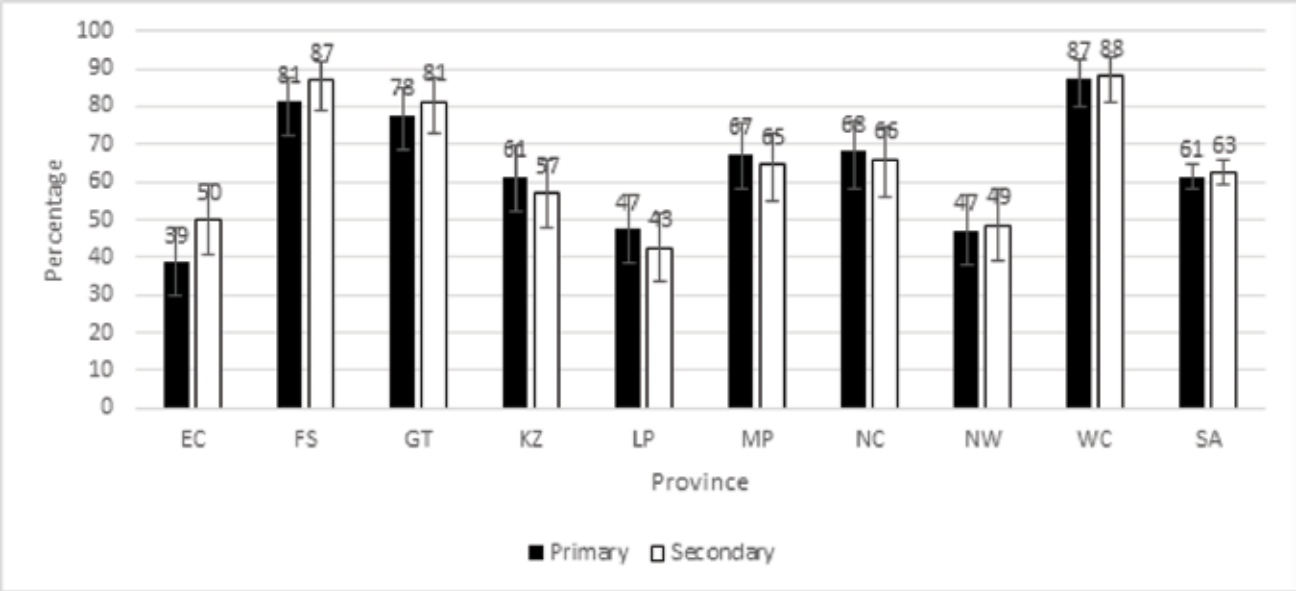


Provinces, where significantly fewer learners had access to library facilities at schools than the national average of 62%, were the Eastern Cape, Limpopo and the North West. At the other end of the spectrum were learners at schools from the Free State, Gauteng and the Western Cape, with significantly better access, around 80% or higher.

In Figure 5.2 compliance with minimum standards of access to library facilities for learners in primary and secondary schools is shown, foregrounding below- and above-average access by province. The first thing that became clear was that across the country almost two-thirds of learners have such access. Secondly, access seemed slightly weaker for learners in primary than in secondary schools. However, the difference was not statistically significant. Thirdly, primary and secondary schools in the same province showed similar positions above and below the respective national averages for primary and secondary schools. Fourthly, of all the provinces, access for learners in primary schools in the Eastern Cape was furthest below access for learners in secondary schools (with 11 percentage points; 39% compared to 50%). This difference was not statistically significant either.

Provinces, where significantly fewer primary and secondary school learners had access to library facilities at schools, compared to the respective national averages (61% and 63%) were the Eastern Cape, Limpopo and the North West. At the other end of the spectrum were learners at primary and secondary schools from the Free State, Gauteng and the Western Cape, with significantly better access.

Figure 5.2: Percentage of learners with access to a school or a mobile library facility in primary and secondary schools by province, 2017



Not surprisingly, the higher the quintile status of a school, the more likely it was that learners would have access to library facilities. Access for learners in Quintile 4 and 5 schools was significantly higher than average access at the national level, as can be seen from Figure 5.3. The inverse applied to learners from Quintile 1 schools, where only 47% of learners had access to library facilities.

Figure 5.3: Percentage of learners with access to a school or mobile library facility in primary and secondary schools combined by quintile, 2017

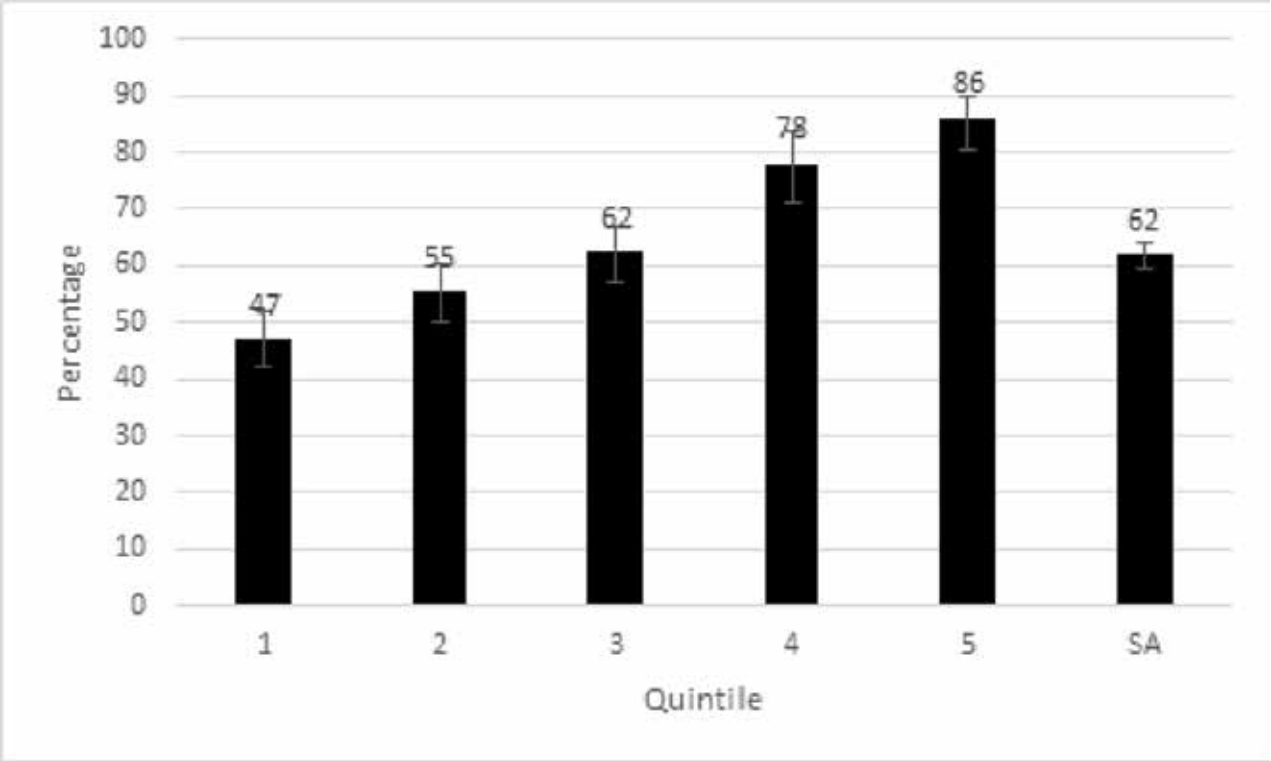
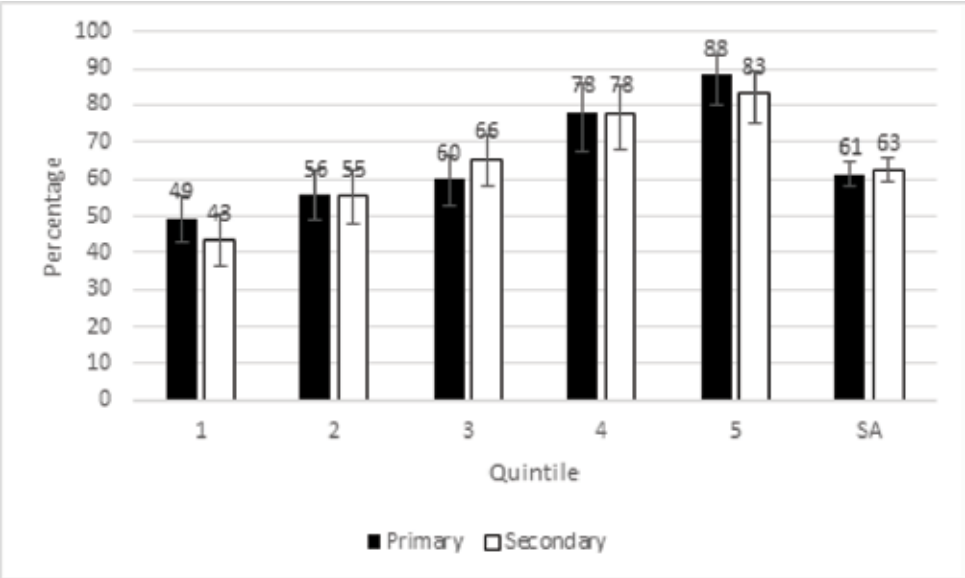


Figure 5.4 portrays the situation for learners in primary and secondary schools viewed separately by quintile. It is similar to the combined picture for primary and secondary schools. It seemed as if more learners in secondary schools with Quintile 3 status had access compared to learners in primary schools. The opposite was true for Quintile 1 and Quintile 5 schools. These differences were not statistically significant, though.

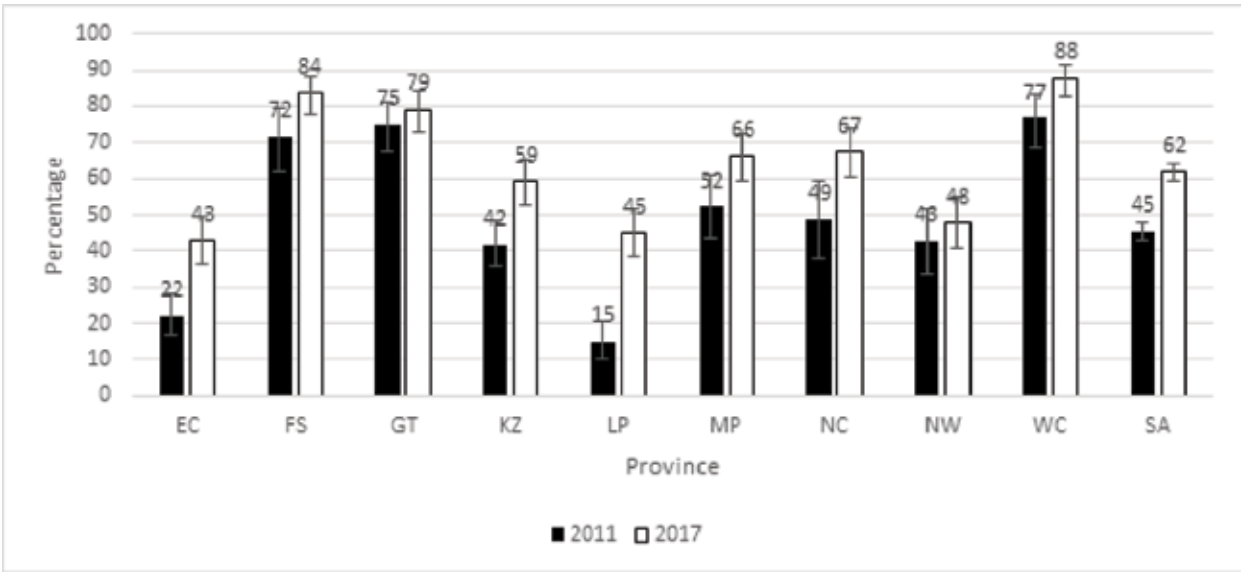
Figure 5.4: Percentage of learners with access to central school or mobile library facilities in primary and secondary schools separately by quintile, 2017



Changes from 2011 to 2017 in library access at schools

Trends over time at the provincial level for learners in primary and secondary schools combined are explored next, as shown in Figure 5.5.

Figure 5.5: Percentage of learners with access to school or mobile library facilities in primary and secondary schools combined by province, 2011 and 2017

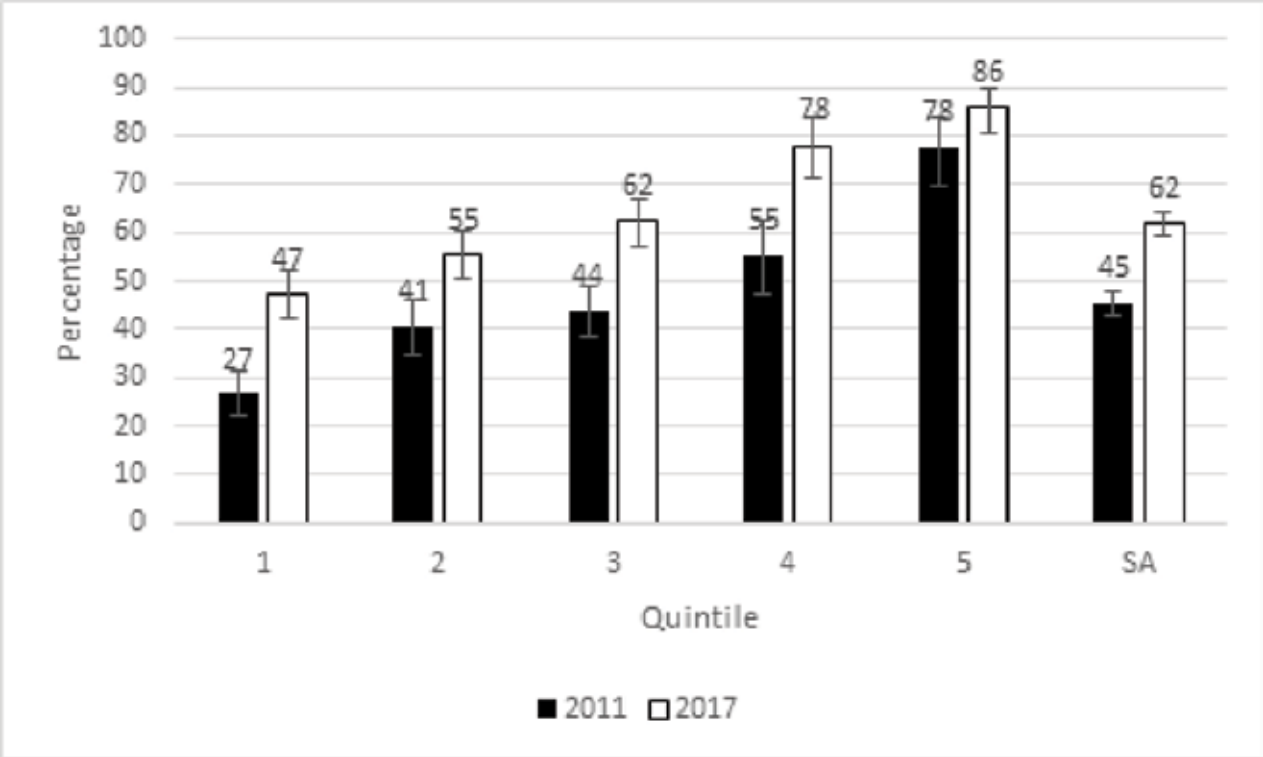


Learner access to library facilities improved significantly over time at the national level, and for learners in schools in the Eastern Cape, KwaZulu-Natal, Limpopo and the Northern Cape. The situation seemed to have improved well for learners in schools in the Free State, Mpumalanga and the Western Cape, although not statistically significantly so. Learners in the North West Province, although seemingly having experienced some gains in access, in 2017 statistically significantly fell below the national average. In 2011, they also fell below the national average, although not statistically significantly so.[20]

20 Trends over time across primary and secondary schools, although patterns remained largely intact, can be compared in Tables T-5.3 and T-5.4 where percentages, standard errors and confidence intervals are displayed by province.

Trends over time by quintile for learners in primary and secondary schools combined are displayed in Figure 5.6. Access for learners in Quintile 1 to Quintile 4 schools to library facilities increased statistically significantly from 2011 to 2017.[21]

Figure 5.6: Percentage of learners with access to school or mobile library facilities by quintile, 2011 and 2017



Summary

Access to sufficient volume and variety of quality textual information serves as an important resource for both teachers and learners. Such access is of immeasurable value in unlocking every learner's potential. Across the country, almost two-thirds of learners (62%) had access to central school (including media centre) or mobile libraries. Significantly fewer learners in the Eastern Cape, Limpopo and the North West, compared to the national average, had access to library facilities, while significantly more learners in schools from the Free State, Gauteng and the Western Cape had such access.

Access seemed slightly weaker (not statistically significant) for learners in primary than in secondary schools, and did not show prominent within-province variation. Across provinces, access for learners in primary schools in the Eastern Cape was furthest below access for learners in secondary schools (not statistically significant).

The higher the quintile status of a school, the more likely it was for learners to have access to library facilities. Access for learners in Quintile 4 and 5 schools was significantly higher than average access at national level. The inverse (significantly lower access) applied to learners from Quintile 1 schools.

Learners in secondary schools with Quintile 3 status appeared to have greater access (not statistically significant) compared to learners in primary schools, while learners in primary schools with Quintile 1 and Quintile 5 status appeared to have greater access (not statistically significant) than in secondary schools.

Learner access to library facilities improved significantly from 2011 to 2017 at the national level, and specifically so for learners in schools in the Eastern Cape, KwaZulu-Natal, Limpopo and the Northern Cape, and in Quintile 1 to Quintile 4 schools.

21 Trends over time across primary and secondary schools, although patterns remained largely intact, can be compared in Tables T-5.5 and T-5.6 where percentages, standard errors and confidence intervals are displayed by quintile.

Indicator 6: The percentage of schools producing the minimum set of management documents at the required standard

Indicator 6 Fact Sheet

The 2017 survey asked specific questions to detect the presence and assess the value and use of management documents required at the school. Full equivalence between indicator calculations for 2011 and 2017 was achievable.

Indicator value: 31% of schools produced the minimum set of management documents

Source: Document Analysis (schedule)

Weight: School weight

Variables and calculations:

Compliance with the indicator required a school to have all the documents listed below in place. For the analysis we used the 10 document types that could be directly compared. The 2014 report used 11 document types. We used school weights, same as in the 2014 report.

Verbatim formulation of questions:

- Question 4: "Have you seen the school improvement plan/school development plan for 2017?"
- Question 7: "Have you seen an academic improvement plan for 2017?"
- Question 10: "Have you seen a summary academic performance/term report for 2017?" (Options A1, A2 and A3 for Quarters 1, 2 and 3 all had to be present to comply.)
- Question 12: "Have you seen an annual budget for the school for 2017?"
- Question 14: "Have you seen financial statements for 2016?"
- Question 32: "Have you seen the educator attendance register?"
- Questions 46 or 50 or 54 or 58 (as relevant): "Is the [Grade 3] [Grade 6] [Grade 9] [Grade 12] class register up to date?"
- Question 60: "Have you seen a non-textbook asset register or inventory for 2017?"
- Question 61: "Have you seen an inventory for learning and teaching support materials (LTSM) for 2017?"
- Question 63: "Have you seen minutes of SGB meetings held in 2017?" (Three sets of minutes, held at least quarterly over three terms at this point in the year, had to be present.)

All fieldworkers were provided with a set of guiding notes to help them identify the document in question and to guide their compliance ratings. Responses had to be recorded in a "No" / "Yes" format.

The 2011 instrument covered the topics under the following question numbers: school improvement (7); academic improvement plan (8); academic performance report (10); school budget (11); financial statement (13); educator attendance register (29); class register (33-36); non-textbook asset register (37); learning materials inventory (38); and SGB minutes (39).

Importance of effective school management

The Action Plan 2019 has evidence of the existence of school management documents of the required standard as Goal 21. One of its five priority goals is to "ensure that the basic annual management processes take place across all schools in the country in a way that contributes towards a functional school environment" (p.41). Autonomy and leadership are considered strong components of good school management. Although statistics collected in 2009 and in the SMS 2011 show that there was an increase from 79% to 88% in the percentage of schools with school-improvement plans in place, there are concerns that mere existence does not sufficiently translate into efficiency and good management (DBE, 2015). The same applies, for instance, to the existence and use of the Annual National Assessment (ANA) results, which give principals a useful point of entry for discussions with teachers about curriculum implementation and other aspects of school quality. The picture becomes stark when considering that only 52% of schools had all 11 key documents in place in 2011. This implies the urgent need to investigate the value of these documents for the quality of school management, and in particular how management problems in schools can be addressed through improved policy and capacity building. Two key actions or strategies that education authorities envisage in this regard are the increased use of competency assessments for principals; and a national training programme for school managers.

The Action Plan 2019 cites the National Development Plan to justify the empowerment of capable school principals. This should include the following components (p.310 of the NDP):

> *Gradually give principals more administrative powers as the quality of school leadership improves, including in financial management, the procurement of textbooks and other educational material, and human resources management. These delegations ensure that principals are held accountable for their schools. Provincial departments will remain the employer of educators, and wages will continue to be centrally determined.*

Granting that it is difficult to measure improvements in school management practices over time, the Action Plan 2019 reports some trends, such as that the percentage of schools with school improvement plans went up, as noted above, from 79% in 2009 (Action Plan 2011) to 88% in 2011 (SMS 2011), and that by then all schools had class registers. Very high proportions of schools, though, remained without annual financial statements. The Action Plan 2011 also argued that the introduction of Annual National Assessments (ANA) had perhaps been the single most important policy intervention leading to improved school management, essentially by engaging teachers about learning outcomes.

As teachers keep teaching and learning together daily in the classroom, school principals and their school management teams, and the relevant procedures and documents, keep teachers, learning materials, infrastructure, curriculum management, delivery and assessment and all other components of schooling moving in an ever-improving direction.

Indicator definition and data collection

The ToR single out the following management documents and, by definition, their underpinning procedures, for attention: a school improvement plan, school budget, annual report, attendance registers and mark schedules. To enable direct comparisons over time, the indicator ultimately came to be defined as the documents listed in the fact sheet above and the text below.

The information is collected through the Document Analysis schedule by fieldworkers who only record the presence of these school management documents having observed them physically. The full list, including those specified in the ToR, entails a school improvement or development plan, an academic improvement plan, summary academic performance report/s, an annual budget, financial statements of the previous year (2016), a teacher attendance register, class registers by grade, a non-textbook asset register, an LTSM inventory, and SGB meeting minutes. The school has not complied with minimum standards if one or more of these items are missing, according to the definition that also applied to 2011 data. As in the DBE report (2014), school weights were applied.

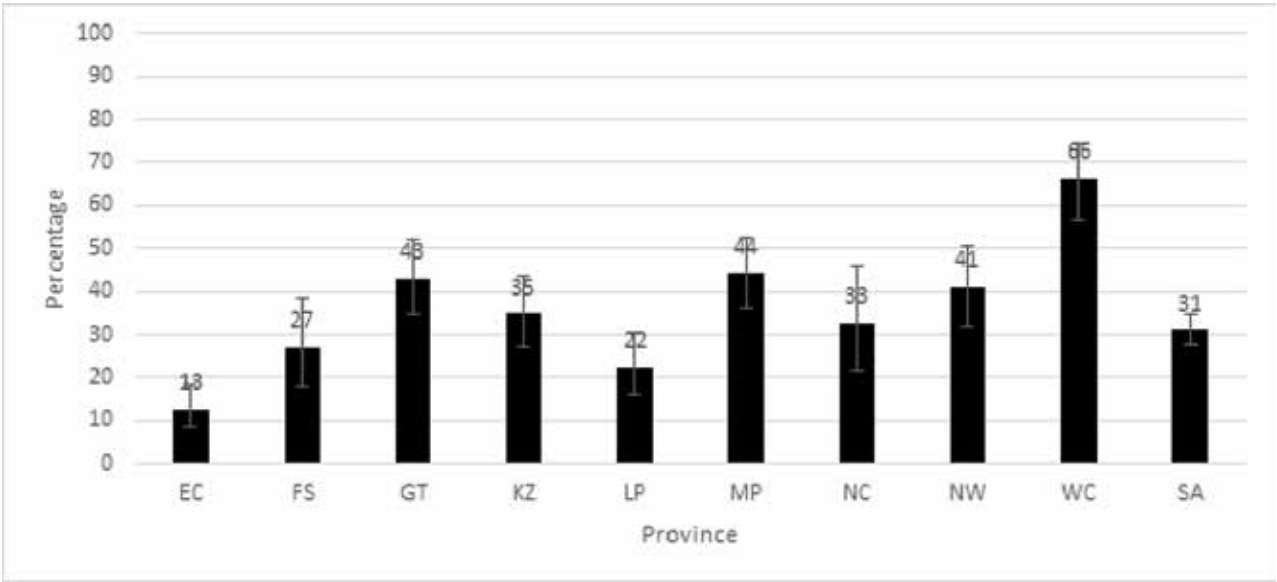
After a detailed analysis of the 2011 data, the DBE 2014 report concluded that the 52% indicator figure obtained in 2011 was feasible on the basis of schools having been able to show external observers the full set of 11 essential management documents. Provincial values fluctuated between low in the case of the Eastern Cape and high for Gauteng. A caveat was raised concerning equating uncritically the mere presence and quality of the documents with the existence of sound school management outcomes. Two further matters must be handled diligently and consistently. Firstly, how to guarantee existence when there were apparently non-problematic reasons why something was not at the school on the day, as for instance when it might have been at the principal's home. Secondly, the subjectivity involved in making evaluations of whether a document is of the required standard.

Many of the matters raised in the foregoing paragraphs provided the motivations for further investigating some of the ambiguous conceptualisations and operational procedures in more depth, through the qualitative data-collection component of March 2018. Some of these matters relate more closely to management and leadership competencies among principals, and others to how efficiently school management processes operate on the basis of the relevant documents. This was done through further document review, followed up by an in-depth interview with principals and other relevant staff at schools about the documents. The qualitative evaluation focussed on the reasons behind the use of such documents, and the value the documents have for schools, especially teaching and learning in the classroom. Matters such as levels of buy-in and feedback loops to end-of-period reviews and reports and next-cycle plans then become pivotal.

Status of effective school management in 2017

The minimum set of 10 management documents was observed in 31% of schools. Figure 6.1 portrays the overall 2017 indicator scores in relation to the percentages of primary and secondary schools combined with the necessary school management documents. Schools in the provinces of Gauteng, Mpumalanga (both at around 45%) and the Western Cape (65%) significantly exceeded the national average of 31%. At the opposite end, compliance was significantly lower than the national average at schools in the Eastern Cape.

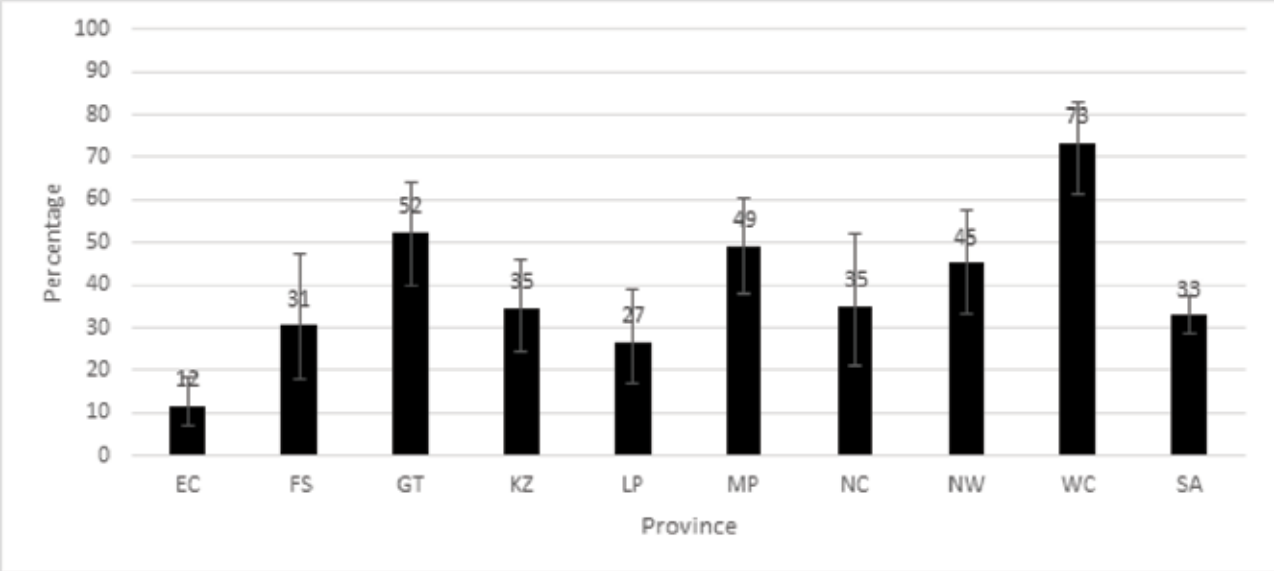
Figure 6.1: The percentage of schools producing the minimum set of required management documents (Indicator 6) in primary and secondary schools combined by province, 2017



To highlight differences between primary and secondary schools, in 2017 the presence or otherwise of the required school management documents is reflected in Figure 6.2 for primary schools. The national average of primary schools that had the full set of required management documents in place stood at 33%. Eastern Cape schools with an indicator value of 12% fared worst, significantly so relative to the remaining provinces. Schools in Gauteng (52%), Mpumalanga (49%), and the Western Cape (73%) exceeded the national average significantly.[22]

22 Table T-6.1 shows the percentages (with standard errors for all documents combined) related to specific management documents at primary schools by province.

Figure 6.2: The percentage of schools producing the minimum set of required management documents (Indicator 6) in primary schools by province, 2017



The situation in secondary schools is reflected in Figure 6.3. It shows that the national average of secondary schools that had the full set of required management documents in place stood at 26%, lower than that for primary schools. Limpopo schools, with an indicator value of 15%, seemed to fare worst relative to the remaining provinces, albeit not statistically significantly so. Only schools in the Western Cape (45%) significantly exceeded the national average.[23]

Figure 6.3: The percentage of schools producing the minimum set of required management documents (Indicator 6) in secondary schools by province, 2017

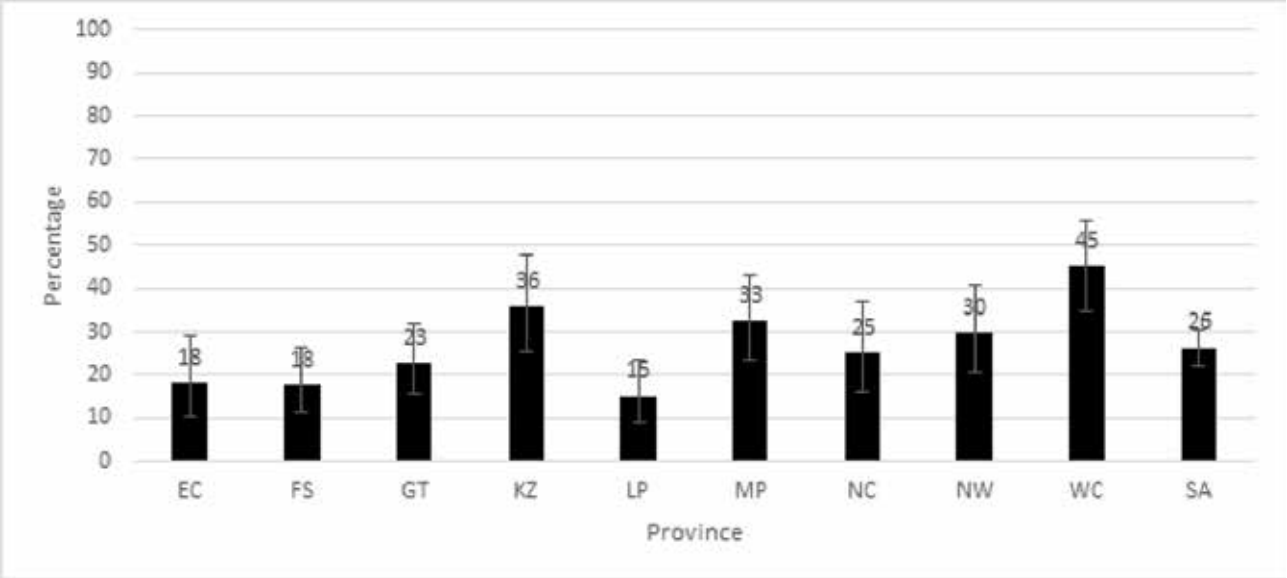


Figure 6.4 reveals the consistent link between the quintile status of both primary and secondary schools and compliance with the presence of the minimum set of required management documents. Indicator values for Quintile 4 and 5 primary schools and Quintile 5 secondary schools significantly surpassed those of the national average, and, for that matter, of schools from lower quintiles in the case of primary schools. Primary schools at Quintile 4 and 5 status levels also significantly outperformed secondary schools in terms of compliance.[24]

23 Table T-6.2 shows the percentages (with standard errors for all documents combined) related to specific management documents at secondary schools by province.

24 The percentages (with standard errors for documents combined) for specific management documents at primary and secondary schools respectively for each quintile category can be found in Tables T-6.3 and T-6.4 in the Technical Report.

Figure 6.4: The percentage of schools producing the minimum set of required management documents

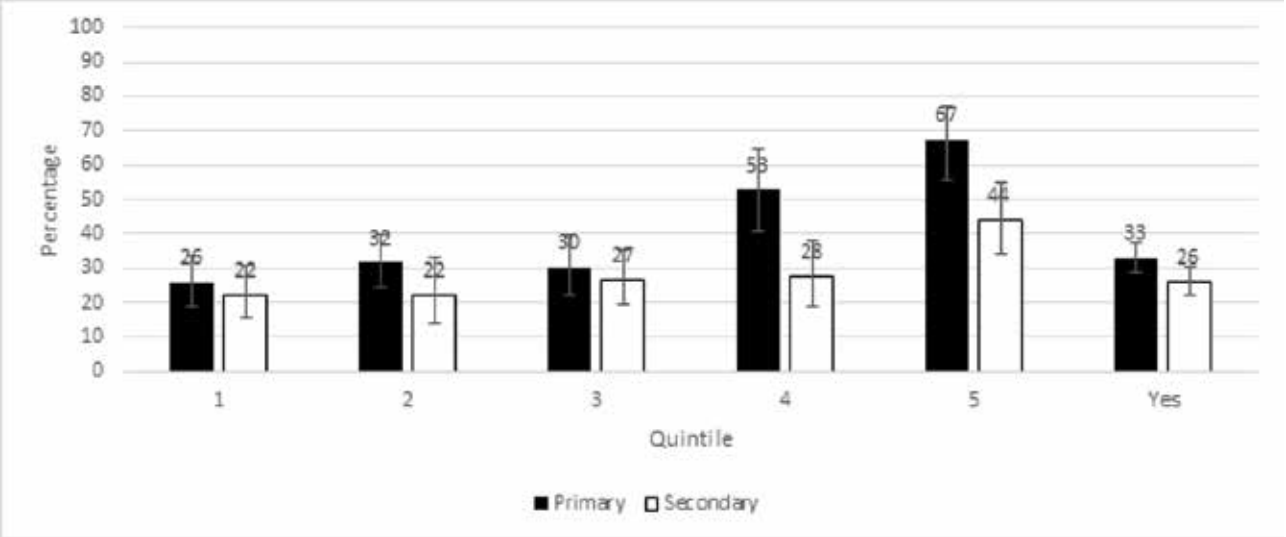
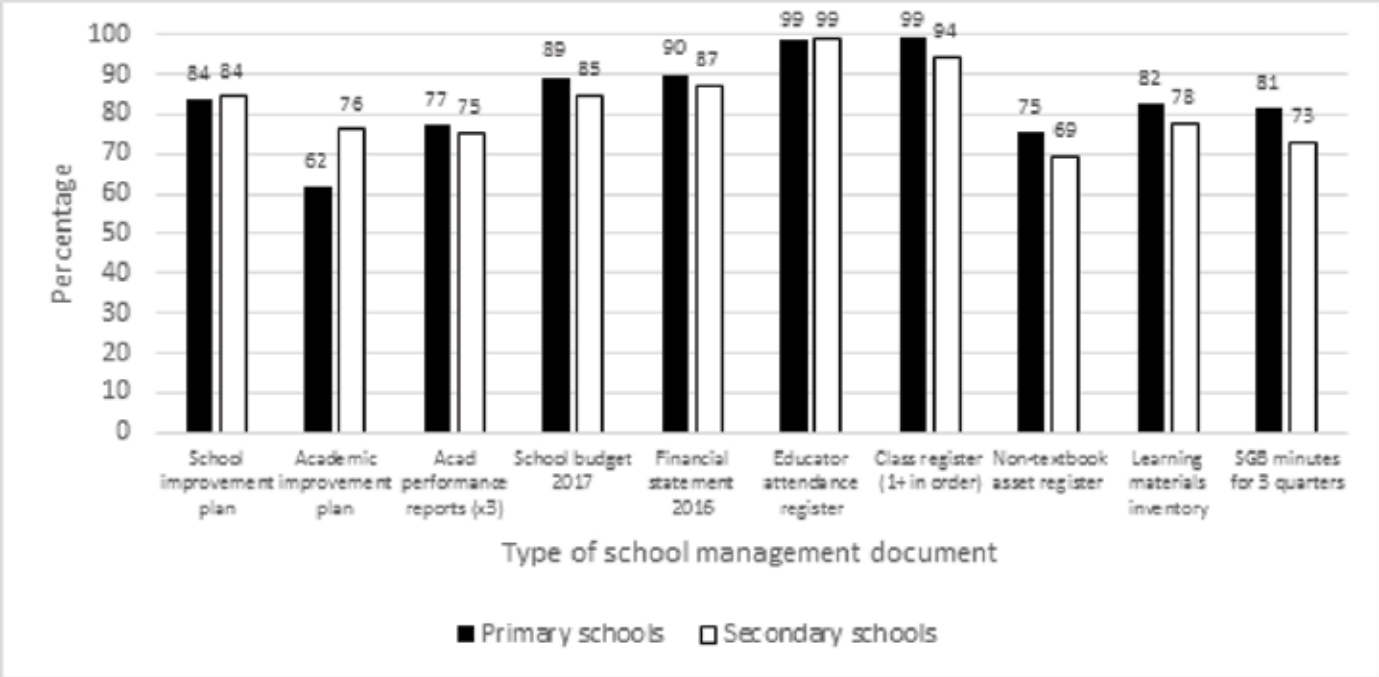


Figure 6.5 provides additional details on the specific management documents that primary and secondary schools could provide. Attendance registers for both teachers and learners were available in almost every school. For primary schools, the academic improvement plan and non-textbook asset registers were the two documents that schools most likely failed to produce. Similarly, for secondary schools, non-textbook asset registers and SGB minutes for all three quarters preceding the survey visit were the two documents that were least likely to have been produced. These documents would be the ones that reduce the overall indicator value.

Figure 6.5: The percentage of primary and secondary schools that could produce each individual school management document, 2017



Another way to give meaning to how well schools kept, and supposedly utilised, school management documents was to indicate the percentages of primary and secondary schools that were able to produce some or all the requirement management documents (i.e., from 0 to 10). As noted in Figure 6.6, 33% of primary schools and 26% of secondary had all 10 the required documents, while 14% of primary schools and 13% of secondary schools had less than seven of the required documents. The figures for primary and secondary schools combined appear in Figure 6.7.

Figure 6.6: The percentage of primary and secondary schools combined that could produce the indicated numbers of school management documents, 2017

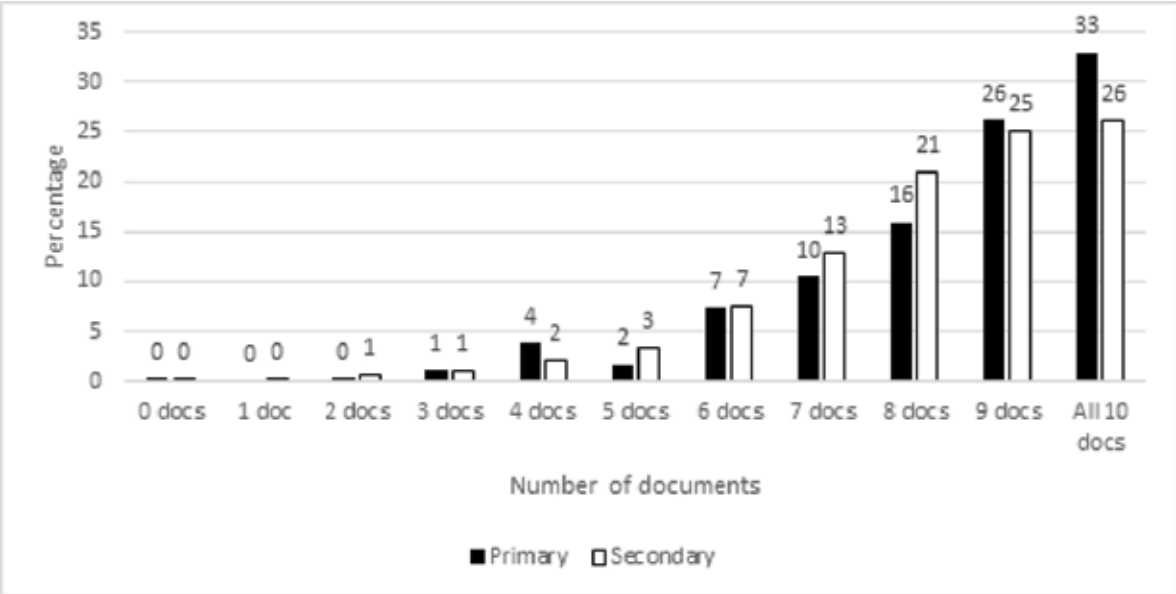
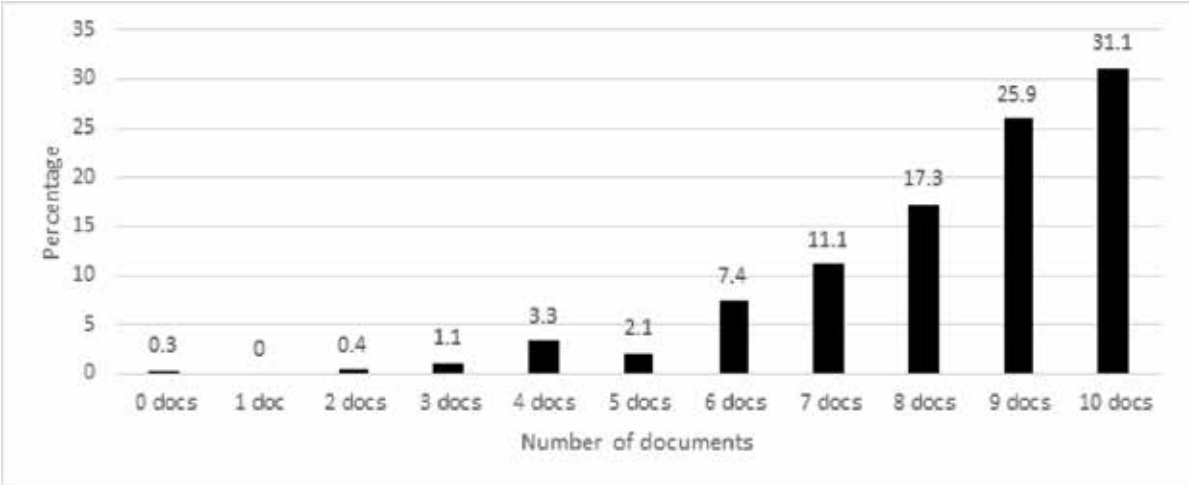


Figure 6.7: The percentage of primary and secondary schools combined that could produce the indicated numbers of school management documents, 2017

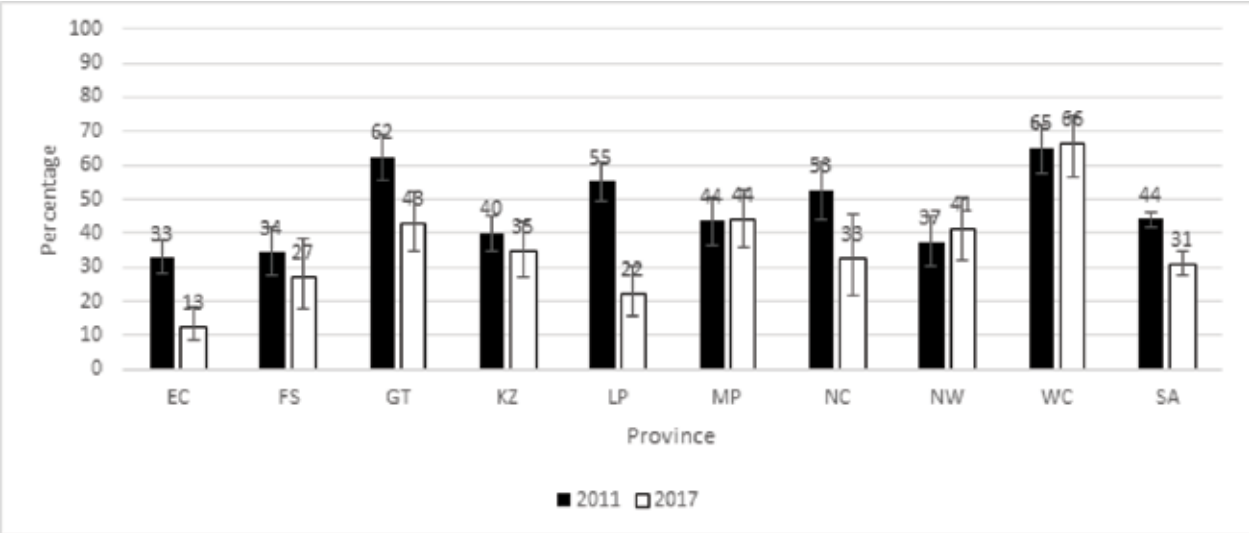


Changes from 2011 to 2017 in effective school management

Trends over time at the provincial level were explored on the basis of the construction of equivalent indicator values across the two survey years for primary and secondary schools combined. Figure 6.8 indicates that at the national level, compliance decreased statistically significantly from 44% to 31%. Decreases were also statistically significant in the Eastern Cape, Gauteng and Limpopo schools. In Limpopo, the decrease was from above average compliance in 2011 to below average compliance in 2017, relative to the overall national context.[25]

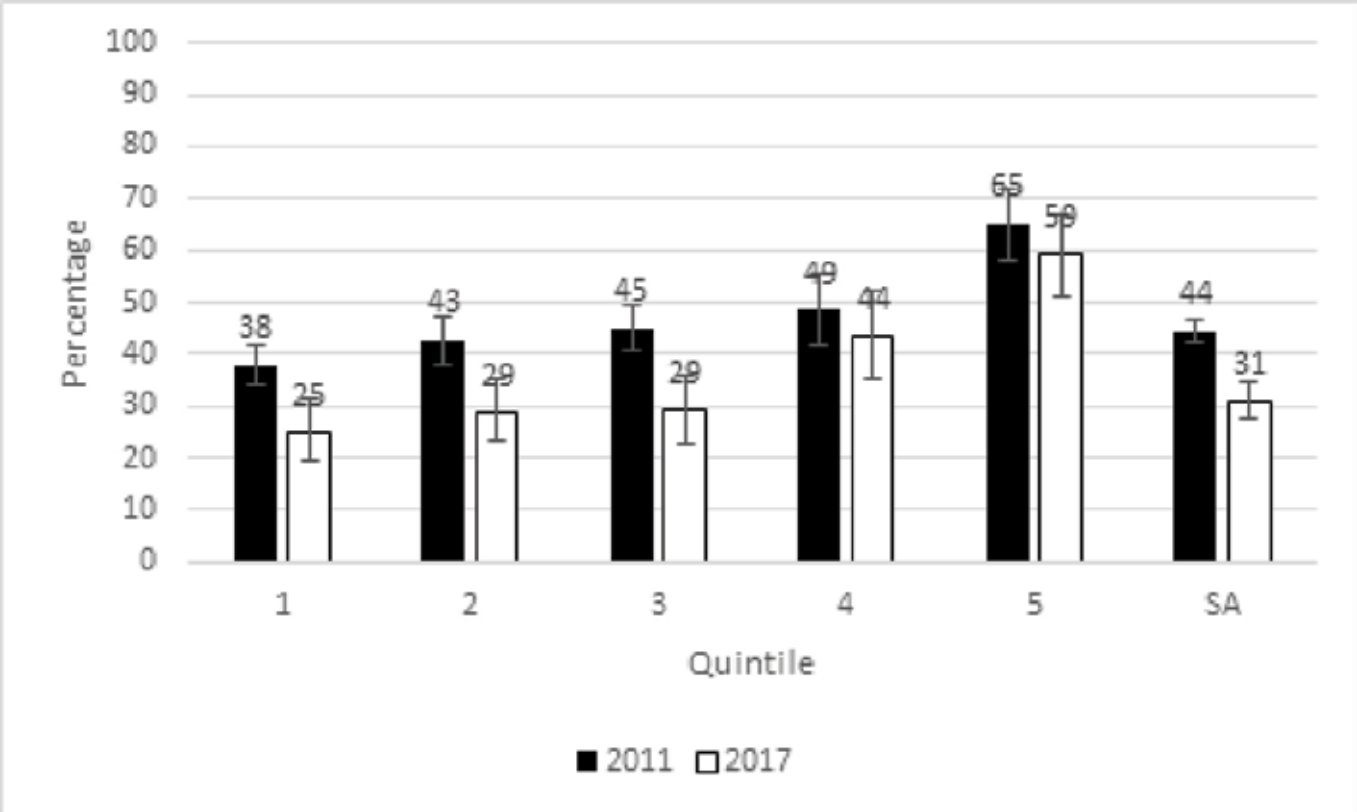
25 Table T-6.9 shows the percentages (with standard errors for all documents combined) related to specific management documents at primary and secondary schools combined by province. The absence of academic improvement plans and non-textbook asset registers seems to be what influenced overall indicator score outcomes most. The pattern was rather consistent across provinces, with the exception of a few deviations. The percentages, standard errors and confidence intervals overall for all required documents by province in 2017 and 2011 appear in Tables T-6.5 and T-6.6 respectively.

Figure 6.8: The percentage of schools producing the minimum set of required management documents (Indicator 6) in primary and secondary schools combined by province, 2011 and 2017



The link between school quintiles and change over time in relation to the percentage of schools with access to all the required school management documents is shown in Figure 6.9. Quintile 1, 2 and 3 schools, as with the national average, had statistically significant declines in compliance over time.[26]

Figure 6.9: The percentage of schools producing the minimum set of required management documents (Indicator 6) in primary and secondary schools combined by quintile, 2011 and 2017



26 Table T-6.10 shows the percentages (with standard errors for all documents combined) related to specific management documents at primary and secondary schools combined by quintile. The slightly larger apparent influence of the absence of academic improvement plans and non-textbook asset registers was also more or less consistent across quintile. The percentages, standard errors and confidence intervals overall for all required documents by quintile in 2017 and 2011 appear in Tables T-6.7 and T-6.8 respectively.

Summary

Schools in the provinces of Gauteng, Mpumalanga (both at around 45%) and the Western Cape (65%) significantly exceeded the national average of 31% in relation to the percentage of schools where the required set of school management documents were observed. At the opposite end, document availability was statistically significantly lower than the national average at schools in the Eastern Cape.

The national average of schools that had the full set of required management documents in place stood at 33% for primary schools and at 26% for secondary schools. This difference was not statistically significant.

A consistent link was found between the quintile status of both primary and secondary schools and the presence of the minimum set of required management documents. Indicator values for Quintile 4 and 5 primary schools and Quintile 5 secondary schools statistically significantly surpassed those of the respective national averages, and, of schools from lower quintiles in the case of primary schools. Primary schools in Quintile 4 and 5 also significantly outperformed secondary schools in terms of compliance.

Comparisons between 2011 and 2017 indicate that at the national level, school compliance with the school management indicator decreased significantly from 44% to 31%. Quintile 1, 2 and 3 schools, as with the national average, had statistically significant declines in compliance over time, in contrast with higher-quintile schools.

Across both provinces and quintiles, some degree of consistency seemed to exist in relation to the slightly larger apparent influence of the absence of academic improvement plans and non-textbook asset registers on the overall indicator values for the existence of the full set of required school management documents at schools.

Indicator 7: The percentage of schools where the School Governing Body (SGB) meets the minimum criteria in terms of effectiveness

Indicator 7 Fact Sheet

The baseline set by DBE (2014) relied on several questions to which principals responded. Only one of these questions was repeated in the 2017 SMS.

Indicator value: In 62% of schools, the SGB met the minimum criteria in terms of effectiveness

Source: Principal Interview (Document Analysis)

Weight: School weight

Variables and calculations:

An indicator of a functional and efficient SGB was constructed based on positive responses by the principal to the following variables and the presence of SGB minutes:

- The four statements as cited below (Respondents had to select at least "Agree" in response to all four statements).
- Minutes of SGB meetings are available (Respondents had to produce minutes for at least three terms).

Complying with the above was viewed as adhering to minimum criteria for effectiveness.

Verbatim formulation of questions:

Question 110 (Principal Interview): "Please indicate whether you strongly agree, agree, disagree or strongly disagree with the following statements about the SGB:

- (S 1) The SGB has promoted the best interest of the school and strived to ensure its development through the provision of quality education at the school
- (S 2) The SGB has supported the principal, educators and other staff of the school in the performance of their professional functions
- (S 3) The SGB has administered and controlled the school property, and buildings and grounds occupied by the school, including school hostels, if applicable
- (S 4) The SGB has encouraged parents, learners, educators and other staff to render voluntary services to the school."

Question 63 (Document Analysis): "Have you seen the minutes of SGB meetings held in 2017? Note: SGB meetings should be held at least once a quarter. Select all relevant blocks. [A 1 Minutes for first quarter seen] [A 2 Minutes for second quarter seen] [A 3 Minutes for third quarter seen] [A 4 No minutes seen]."

In SMS 2011 the same information as above was obtained from Document Analysis Question 39 and Principal Interview Question 19.

Importance of SGB effectiveness

The Action Plan 2019 (p.42) phrases this indicator as essentially about "parent and community participation in the governance of schools, partly by improving access to important information via the e-Education strategy" indicates its key policy thrust. Within school communities, but also as part of provincial and national structures and processes, the more than 25 000 SGBs embody the commitment of society towards improving education quality through strengthening schools. The primary intention is to empower parents to be an integral part of improving teaching and learning in schools as well as to become involved in the progress of learners and school activities. In this way, it is expected that parents will contribute at home to learning, and this is even the case where there are literacy challenges amongst the adults. Although SGBs have registered many successes, transcending mere compliance with bureaucratic requirements such as being properly constituted, holding the necessary number of meetings per year, keeping minutes, etc., the key element is achieving meaningful governance and participation. The involvement of increasing numbers of parents and community members should be striven for. The kind of calls and complaints received by the DBE's call centre from parents and communities about schools' and parents' rights and obligations testify to the need for improving governance (DBE, 2105). Of further importance is the need for SGBs to uphold the constitutional rights of children. Appropriate training for SGB members forms yet another element in promoting the efficiency of these organisations.

Following from the above, under Goal 22 of the Action Plan 2019 (p.43) Indicator 22 is formulated so as to enable the monitoring the school achievement with reference to a set of minimum criteria reflecting evidence of SGB effectiveness. The indicator is intended to determine how well the SGB system is established, among other things, through knowing if these bodies are properly constituted, meet regularly (four (4) times per year), and have enough parents and other community representatives as members. Another reason behind surveying this indicator is the intended current changes to some SGB jurisdictions. In 2011, 81% of schools complied with this indicator, calculated as it was then. Schools in KwaZulu-Natal (75%) and Mpumalanga (70%) got lower ratings, mainly because SGBs had not met regularly.

As referred to again below, the difficulty of reducing a complex dynamic such as SGB effectiveness to an indicator rating and some other statistics justified the efforts in 2017 to collect in-depth qualitative data aimed at reaching a more nuanced understanding of the role of SGBs.

Indicator definition and data collection

The ToR of this study underscore the importance of determining the extent to which SGBs fulfil their basic administrative duties. This would be visible in the degree to which required enabling documentation and procedures are in place. Specific SGB duties are overseeing the implementation of the school improvement plan, handling staff vacancies, and making optimal use of assessment results. Evidence should be credible, that is, more than mere responses to questionnaires, for instance through sampling meeting registers, minutes and other key documents.

In the DBE (2014) report, based on further analysis of the SMS 2011 data, attention was given to refining criteria of effectiveness. It was conceded that a single final indicator value, together with a narrow compliance view, would not be able to reflect the full extent of effective functioning. The multi-faceted nature of compliance was thus pursued further, among other ways by critically discussing and selecting the most meaningful components. Those emphasised included: how SGBs are composed/constituted, how often they meet, and how well they achieve core tasks. However, being constituted correctly and meeting regularly may meet formal requirements without any guarantee of effective functioning.

Additional related matters discussed in the Action Plan 2019 include those briefly summarised in the rest of this paragraph. The important role of parents as stakeholders is emphasised (p.9). They should be well-informed, keenly involved in the affairs of the school, informed regularly about their children's progress against clear standards, and aware that they are free to approach the school about anything concerning their children, especially issues related to learning and teaching. Finally, the pursuit of the benefits of innovation in e-Education is stressed (pp. 17-19). Information and communication technology certainly has the potential to improve and diversify learning greatly. It is critical to bridge the digital divide, as introduced in the White Paper on e-education (Government Notice 1922 of 2004), in anticipation of a national strategy document by 2015. At the heart of all this lies school managers' capacity to understand and use data.

In 2017, a Principal Interview schedule was at the core of data-collection on this indicator. Four sub-questions directly obtained the principal's opinion about SGBs, rated on a four-point scale: whether they promoted the best interests of the school in ensuring increased education quality at the school; supported all staff in their professional functions; administered/managed school property (e.g., buildings, grounds and hostels); and encouraged voluntary service among its stakeholders (staff, learners and parents). Additional questions covered SGB powers in staff appointment, the frequency of meetings, training of members, and keeping SGB minutes. Evidence of the latter was cross-validated for purposes of indicator construction using one item on the presence of minutes from the Document Analysis schedule.

For the 2011 SMS, each of the following had to be in place for the SGB to meet the minimum criteria for effectiveness:

- Members must include: (a) educators, (b) non-teaching staff, (c) parents, and (d) learners (in secondary schools only), and (e) the number of parent members must be greater than the sum of the other members;
- Minutes of SGB meetings must be recorded;
- The SGB must have: (a) developed a mission statement for the school, (b) adopted a code of conduct for learners, (c) determined the school's admission policy, (d) adopted a constitution for the SGB, and (e) have audited financial statements for the previous year; and
- The SGB must have at least one meeting a term. By implication, it should have met on at least three (3) occasions by the time of a survey taking place towards November of a given year.

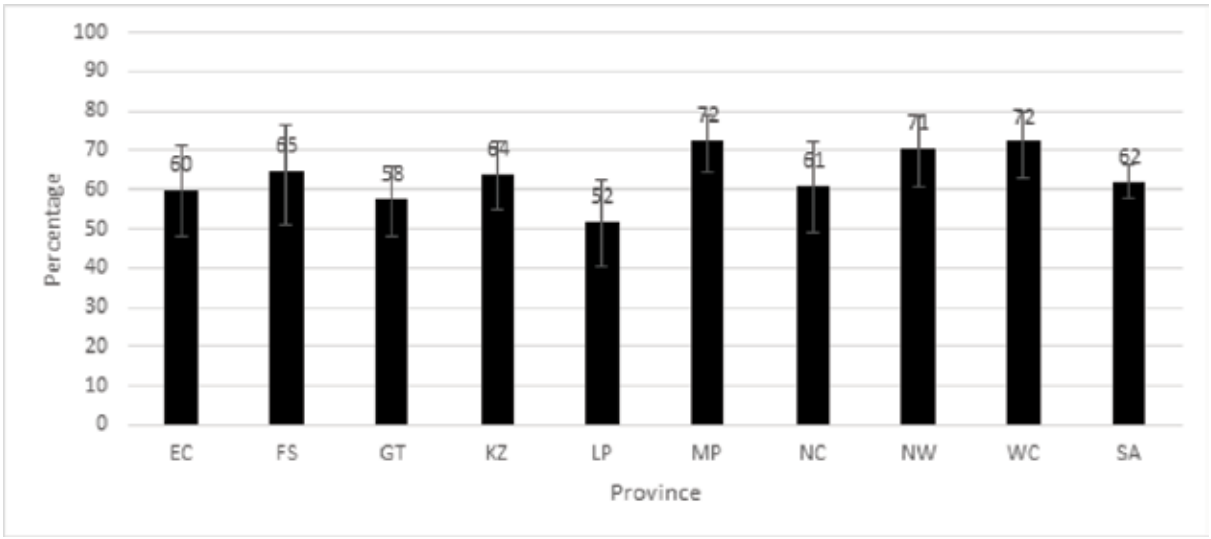
However, most of these items from 2011 were not repeated in 2017. After consideration, the four sub-items from the Principal Interview above, plus one from the Document Analysis on the availability of SGB minutes, were the only questions retained for the 2017 survey. For the present report, therefore, equivalence in calculating the indicator across the two surveys, of 2011 and 2017, could be achieved because the items retained for 2017 already appeared in the 2011 survey too. School weights were applied in the process.

A qualitative component was subsequently developed with a view to obtaining more in-depth information towards March 2018. Further, required information was identified for collection using document review and principal interviews at a sample of 18 schools. Issues interrogated qualitatively included the relationship between the requirement for documentary and procedural compliance, on the one hand, and operational value and effective functioning, on the other; and the induction and training of SGBs and their members. In addition, it had to be established and understood how school governance supports effective school management, including coherence and collaboration between a school's management team (SMT), the principal, in particular, and its SGB. The matter of curbing or expanding SGB powers was flagged too, especially in relation to staff appointments, the language used in the school, and financial controls. The impending SGB elections also provided an opportunity to interrogate matters linked to this transition point, such as handing over to the next group, and SGB training. A separate report was produced on the qualitative data and their analysis.

Status of SGB effectiveness in 2017

Nationally the SGBs of 62% of schools had responsibility for the four identified functions and had three (3) sets of meeting minutes. This evaluation of the effectiveness of how SGBs function in primary and secondary schools combined is reflected in Figure 7.1. No provincial deviations from this average were statistically significant. Higher compliance levels (above 70%), were nevertheless observed for schools from Mpumalanga, North West and the Western Cape. The compliance level for schools from Limpopo, at the other end, seemed to be just 50%.

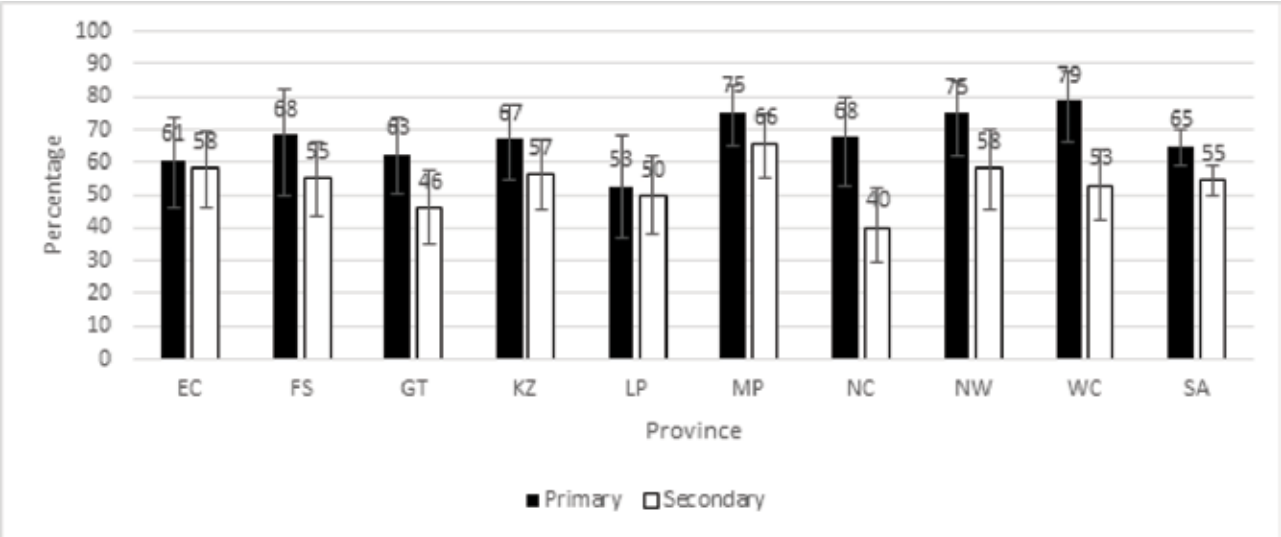
Figure 7.1: Percentage of schools with the required SGB effectiveness (Indicator 7) in primary and secondary schools combined by province, 2017



SGBs at 65% of primary schools met the minimum criteria in terms of effectiveness, as displayed in Figure 7.2. No differences were statistically significant (but one; see below) because standard errors and confidence intervals were quite large. Some patterns are nevertheless pointed out as potentially meaningful. Approximately 75% of schools in Mpumalanga and the North West, and 79% in the Western Cape (the highest above the national average) may have achieved a relatively high standard. Only 53% of schools in Limpopo seemed to be able to engage in the required set of four school governance tasks. There was no clear pattern across the quintile status of schools. Eighty percent (80%) of Quintile 5 primary schools, though, achieved the required standard, which is statistically significant, while just 54% of Quintile 4 schools did so.

SGBs at 55% of secondary schools seemed to meet the minimum criteria in terms of effectiveness. Around 40% of schools in the Northern Cape seemed to have achieved the standard, while 66% of schools in Mpumalanga may have done so. There was no clear pattern across school quintiles, though. Quintile 5 schools achieved just under 70%, while Quintile 1, 3 and 4 schools all achieved at or below 50%. Only the Quintile 4 (below the national average) and Quintile 5 (above the national average) differences were statistically significant. Tables 7.1 and 7.2 provides the percentage estimates and standards errors for primary and secondary schools separately, by province and quintile, and for 2017 and 2011.

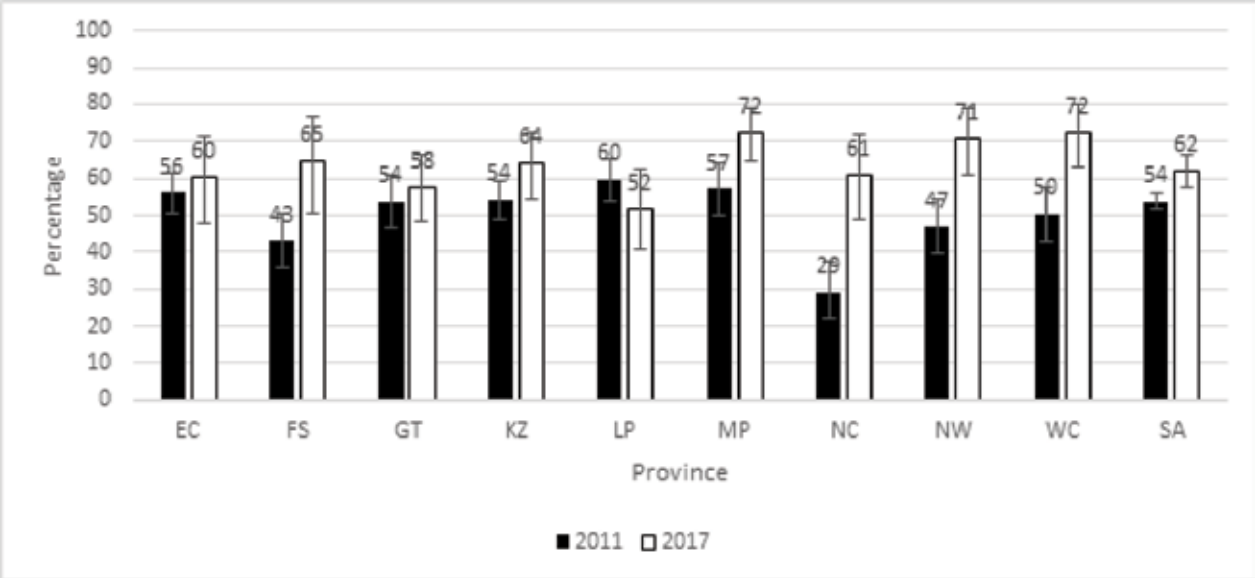
Figure 7.2: Percentage of schools with the required SGB effectiveness (Indicator 7) in primary and secondary schools by province, 2017



Changes from 2011 to 2017 in SGB effectiveness

Trends over time are explored next. Compliance of schools in terms of SGB effectiveness increased significantly between 2011 and 2017 from 54% to 62%. The greatest improvements, as displayed in Figure 7.3, occurred in schools in the Northern Cape, although they had not yet exceeded the national average. Schools in the Free State, North West and Western Cape also improved significantly over time, having all moved to above the national average. Mpumalanga schools also improved significantly, keeping abreast of the national average. Compliance of Limpopo schools did not improve, but instead decreased from above to below the national average, though this was not a statistically significant decline. Tables 7.1 and 7.2 provide further details on the situation in 2011 and 2017 across primary and secondary schools by province and quintile.

Figure 7.3: Percentage of schools with the required SGB effectiveness (Indicator 7) in primary and secondary schools combined by province, 2011 and 2017



Changes in the SGB effectiveness indicator by quintile showed diverse, inconsistent, and non-significant outcomes, as can be seen in Figure 7.4. Quintile 1 schools improved significantly from 50% to 64%, exceeding the national increase (54% to 62%) between 2011 and 2017. Quintile 3 and 4 schools seemed to experience small increases of one or two percentage points over the same period, from around the national average value in 2011 to below it or well below it in 2017. The values for Quintile 5 schools remained significantly above the national average over time.

Figure 7.4: Percentage of schools with the required SGB effectiveness (Indicator 7) in primary and secondary schools combined by quintile, 2011 and 2017

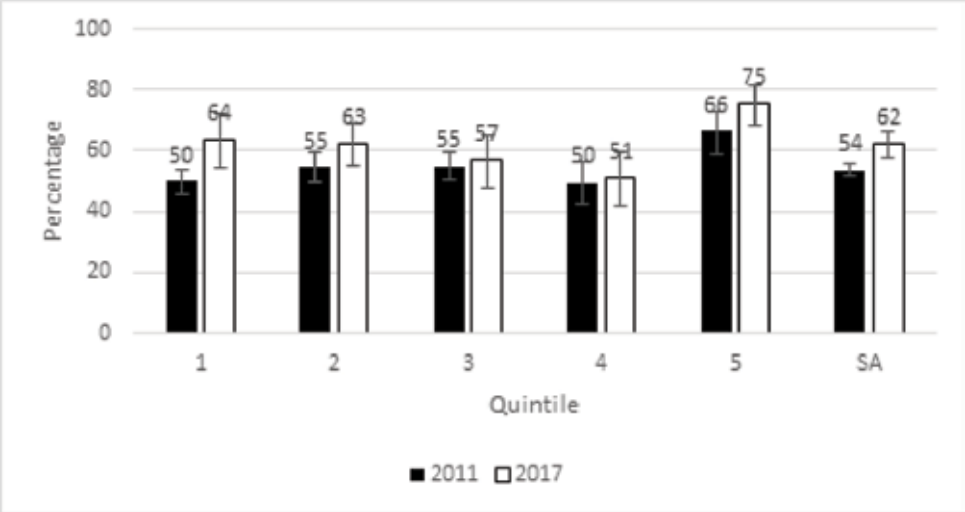


Table 7.1: Percentage of schools in 2011 and 2017 with SGBs operating efficiently by province

Province	2011 Primary Schools (SE)	2011 Secondary Schools (SE)	2017 Primary Schools (SE)	2017 Secondary Schools (SE)
EC	63,2% (3,0)	36,0% (5,1)	60,5% (7,1)	58,1% (6,0)
FS	45,5% (4,3)	34,2% (7,8)	68,1% (8,5)	55,2% (5,8)
GT	56,6% (4,3)	47,5% (6,4)	62,6% (6,1)	46,0% (5,8)
KZ	60,5% (3,0)	37,8% (4,9)	67,0% (5,9)	56,7% (5,6)
LP	62,4% (3,7)	54,6% (5,0)	52,7% (8,3)	49,9% (6,3)
MP	59,6% (4,5)	52,3% (6,2)	75,4% (4,8)	65,6% (5,1)
NC	24,2% (4,4)	40,7% (7,7)	67,8% (7,1)	40,0% (5,9)
NW	49,6% (4,8)	41,7% (6,4)	75,1% (5,9)	58,1% (6,4)
WC	48,5% (4,4)	56,4% (8,0)	78,8% (5,5)	53,2% (5,5)
SA	57,8% (1,4)	44,0% (2,1)	64,9% (2,9)	54,5% (2,4)

Table 7.2: Percentage of schools in 2011 and 2017 with SGBs operating efficiently by quintile

Quintile	2011 Primary Schools (SE)	2011 Secondary Schools (SE)	2017 Primary Schools (SE)	2017 Secondary Schools (SE)
1	52,1% (2,4)	43,7% (4,0)	67,7% (5,8)	49,9% (4,7)
2	60,3% (2,9)	41,6% (4,4)	63,3% (4,6)	60,5% (5,1)
3	60,5% (2,8)	42,8% (4,1)	59,4% (5,9)	50,1% (4,6)
4	53,9% (4,1)	38,3% (6,6)	53,6% (6,3)	45,9% (6,1)
5	69,4% (4,2)	59,9% (6,4)	79,5% (4,3)	68,0% (4,6)
SA	57,8% (1,4)	44,0% (2,1)	64,9% (2,9)	54,5% (2,4)

Summary

Nationally 62% of schools complied with the requirement of having the four identified functions in place. No provincial deviations from this average were statistically significant. SGBs at 65% of primary schools and at 55% of secondary schools met the minimum criteria in terms of effectiveness. There was no clear pattern across school quintiles.

Compliance of schools in terms of SGB effectiveness increased significantly between 2011 and 2017 from 54% to 62%. The greatest improvements, occurred in schools in the Northern Cape, although they had not yet exceeded the national average. Schools in the Free State, North West and Western Cape also improved significantly over time, having all moved to above the national average. Mpumalanga schools also improved significantly, keeping abreast of the national average. Quintile 1 schools improved significantly from 50% to 64%, exceeding the national increase (from 54% to 62%) between 2011 and 2017, while values for Quintile 5 schools remained significantly above the national average over time.

Indicator 8: The percentage of learners in schools that are funded at the minimum level

Indicator 8 Fact Sheet

It is important to provide schools with the resources that will ensure good teaching and learning. An important element of this dynamic is the monetary transfers made to schools in the form of the per-learner allocation. Exact amounts, not only for the impending year but also projected to subsequent years, are specified on an annual basis in the Government Gazette. The 2017 DBE Norms and Standards for School Funding were presented in the Government Gazette of 28 April 2017. The 2016 figures appeared in the Government Gazette of 17 January 2014. The following allocations were reflected in these two documents:

Allocations per learner for 2017:		Allocations per learner for 2016:	
- Quintile 1	R1 243	- Quintile 1:	R1 175
- Quintile 2	R1 243	- Quintile 2:	R1 175
- Quintile 3	R1 243	- Quintile 3:	R1 175
- Quintile 4	R623	- Quintile 4:	R588
- Quintile 5	R215	- Quintile 5:	R203

During interviews, school principals were requested to provide information about the amount/s allocated to and received by schools and to give their thoughts concerning the sufficiency thereof. Key parts of this information were compared to what appeared on the allocation letters looked at as part of completing a document review schedule. Information relating to 2017 funding allocations was obtained via principal interviews and document analysis. For 2016, this information was obtained only via principal interviews.

Indicator value: 74,6% of learners were in schools that were funded at the minimum level.

Source: Principal interviews; document analysis (see cross-referencing as PQ and DA below)

Weight: Learner weight

Variables (and calculations):

For SMS 2017: PQ129, PQ137, PQ138, DA19, DA20

For SMS 2011: PQ28, PQ29

Given the nature of the information, reporting largely comprised question- or item-level response distributions. The final indicator directly reflects the percentage of schools which reported receiving at least the amount of money that was expected[2], that is, based on an amount that the principal knew as, or believed to be, the designated allocation for the school for the years (2016 and up to the survey date in 2017) that information was requested for and recorded.
In both the DBE 2014 and the current report, learner weights were used. On p.32 of the DBE 2014 report it is stated that the findings were based on 39% of schools. The analysis in this report could not emulate the analysis conducted in the DBE 2014 report

Verbatim formulation of questions:

Question 129 (Principal Interview): “Did you receive notification from the Provincial Education Department about your school’s allocation for the following years? [S 1 Received in 2015, for 2016 allocation. S 2 Received in 2016, for 2017 allocation. S 3 Received in 2017, for 2018 allocation. (With No/Yes response format)]”

Question 137 (Principal Interview): “With respect to the actual transfer of funds to the school in 2016, which one of these apply?

- A 1: Less money than expected was transferred
- A 2: The expected amount of money was transferred
- A 3: More money than expected was transferred
- A 4: Not applicable (Instructions: If the school does not carry out a single Section 21 function then money will not be transferred into the school’s bank account and, therefore, this question should be selected as ‘Not applicable’)”

Question 138 (Principal Interview): “With respect to the actual transfer of funds for 2017, how much of your allocation have you received to date? (Instructions: If the school does not carry out a single Section 21 function (i.e., has answered NO to questions 128.1 AND 128.2 AND 128.3), then money will not be transferred into the school’s bank account and therefore this question should be selected as ‘Not applicable’)

- A1: None received
- A2: 1 - 30% received
- A3: 31 - 50% received
- A4: 51 - 99% received
- A5: 100% received
- A6: Not applicable

Question 19 (Document Analysis): “Have you seen the notification from the Provincial Education Department about the school’s financial allocation for 2017?” (No/Yes format; with an explanatory note about when schools should have received the letter.)

Question 20 (Document Analysis): “Does the letter state the per learner allocation for 2017?”

In SMS 2011: Question 28 is the same as Question 137 in 2017

Question 29 is the same as Question 138 in 2017

Importance of funding learners at a minimum level

Adequate funding for schooling in South Africa should enable equitable access to infrastructure, learning materials and qualified staff and thus a good teaching and learning experience for every learner and his/her teacher. The Minister’s

Foreword to the Action Plan 2019 indicates that such access and participation are essential for delivering on the mandate for good quality and efficient schooling with sound accountability. Against this background, Indicator 8, in line with its conceptualisation, focuses on the per-learner allocation to schools and does not cover the funding of physical infrastructure and educator salaries.

On the matter of minimum funding targets, Goal 23 states, "Ensure that all schools are funded at least at the minimum per learner levels determined nationally and that funds are utilised transparently and effectively" (p 3). On pages 43-44, it refers to non-personnel funding in the form of the per learner allocations that schools receive each year. These allocations form part of government's strategies to alleviate poverty and are intended to lift some of the burden of schooling costs from poorer households. Goal 23 states:

> "The 'minimum threshold' for the school allocation, or the amount of funding per learner that quintiles 1 to 3 schools (those serving the poorest communities) should receive to maintain their status as 'no-fee schools', has increased in real terms. The 2009 to 2014 increase in the threshold from R605 per learner to R1 059 per learner represented a real inflation-adjusted increase of 34%. Household data, in fact, point to successes in upholding the system of no fee schools. In both 2009 and 2013, officially 60% of learners in public schools were meant to be in no-fee schools. The General Household Survey indicates that the percentage of learners actually paying zero fees increased from 51% to 66% between 2009 and 2013, suggesting strongly that implementation of the no-fee system in Quintiles 1 to 3, as well as fee exemptions for poor learners in Quintiles 4 and 5 schools, are working rather well." (p 43)

There is a strong commitment to preventing erosion of this benefit by ensuring that the amounts are not reduced and that transfers to schools are made on time. However, the Action Plan 2019 stated that, despite the target of 100% for 2014, in that year approximately 25% of schools did not receive the amounts that they were intended to receive.

Goal 23 is translated into two indicators (p.43) as stated below. The first was used in SMS 2017 as Indicator 8, and management at school level of budget processes and documents forms part of Indicator 9.

- Indicator 23.1: The percentage of learners in schools that are funded at the minimum level.
- Indicator 23.2: The percentage of schools that have acquired the full set of financial management responsibilities on the basis of an assessment of their financial management capacity.[27]

Indicator definition and data collection

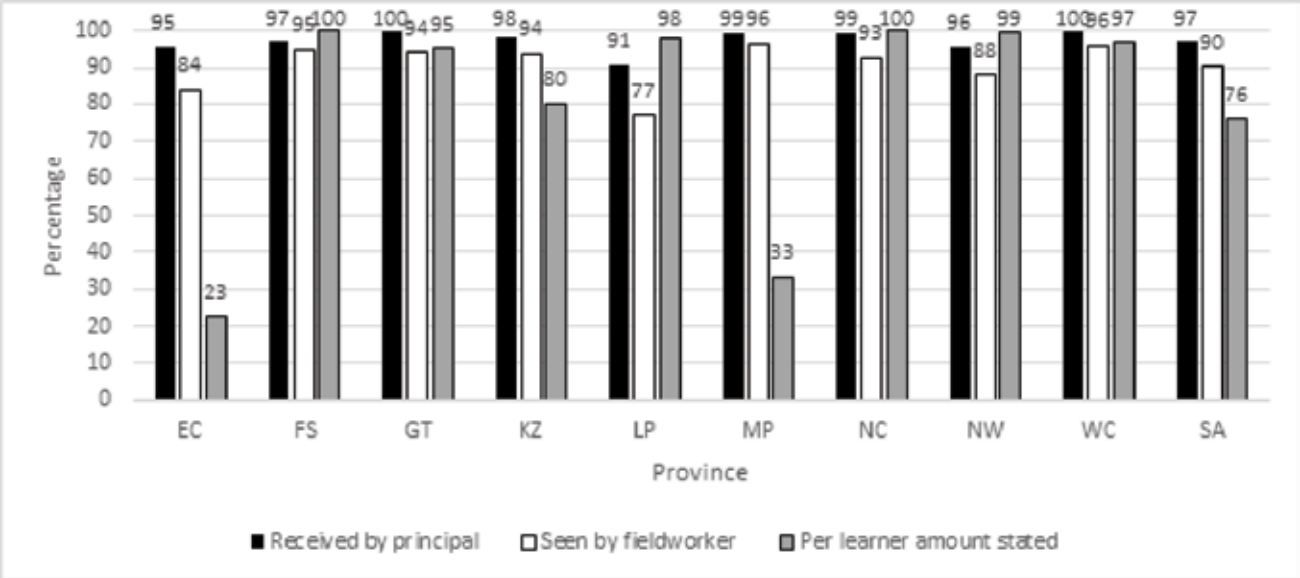
The ToR state that the minimum standard for this indicator is whether schools received funding per learner in line with the national allocation. The national allocation is informed by the Norms and Standards for School Funding which sets out the minimum monetary target for the quintile ranking of each school. These allocations for 2016 and 2017 are noted in the fact sheet.

Status of funding learners at a minimum level in 2016 and 2017

Figure 8.1 shows the percentage of learners in schools where principals indicated that they were notified by their Provincial Departments of Education about their schools' 2017 financial allocation. The figure also shows whether or not the allocation letter was seen by the fieldworker and showed the per learner allocation amount. The percentages of principals who indicated that they had received their schools' 2016 financial allocation letters were slightly lower, consistently with about one to two percentage points (see Table T-8.1 in the Technical report).

27 From Action Plan 2019 (p.44): "The national value for the second indicator, dealing with financial management responsibilities, was 76% in 2011, and there is little to suggest this has shifted much between 2011 and 2014 as there has been little emphasis on such a shift. However, there has been some movement in the right direction insofar as the national value was 64% in 2008 (reported in 2011 Action Plan). One province that appears consistently to be permitting school principals very few financial management responsibilities is Mpumalanga. The 2019 target for this indicator at the national level is 95%."

Figure 8.1: Percentages of learners in schools receiving the notification letter from the Provincial Education Department about the school's financial allocation for 2017



Nationally, more than 97% of learners were in schools where principals indicated that they had received letters stating the allocations for 2016 (see Table T-8.1) and 2017. The remaining 5% responded "No". While in 90% of schools the 2017 allocation letters were seen by the field worker, in only 76% of these schools did the letters state the per learner amounts. In the Eastern Cape and Mpumalanga, the percentages were 23% and 33% respectively.

Principals provided information about the extent to which they received the expected allocations for 2016 and 2017. As the survey took place during October and November 2017, it was still possible to encounter schools where part of the allocation may still have been outstanding. For 2016, however, it is expected that the full allocated amounted were received by schools. The degree to which schools received their allocation by the Provincial Departments of Education for 2016 is reflected in Table 8.1 for provinces and in Table 8.2 for Quintiles. The degree to which schools received the allocation for 2017 is presented in Tables 8.3 and 8.4.[28]

28 Standard errors and confidence intervals for provinces and quintiles may be found in the Technical Report in Tables T-8.2 to T-8.5.

Table 8.1: Percentages of learners in schools receiving their specified financial allocation by province,2016

	Province	Less money than expected was transferred	The expected amount of money was transferred	More money than expected was transferred	Total
Primary	EC	55,0	45,0		100,0
	FS	26,8	73,2		100,0
	GT	16,5	83,5		100,0
	KZ	33,9	65,2	0,9	100,0
	LP	23,4	70,3	6,3	100,0
	MP	10,8	86,3	2,9	100,0
	NC	7,6	89,1	3,3	100,0
	NW	9,3	86,0	4,7	100,0
	WC	13,7	81,4	4,9	100,0
	SA	27,1	70,8	2,1	100,0
Secondary	EC	53,9	46,1		100,0
	FS	30,4	68,5	1,1	100,0
	GT	12,6	86,4	1,0	100,0
	KZ	20,6	77,5	2,0	100,0
	LP	23,4	69,2	7,5	100,0
	MP	9,7	88,3	1,9	100,0
	NC	16,1	80,6	3,2	100,0
	NW	4,0	87,0	9,0	100,0
	WC	21,6	75,5	2,9	100,0
	SA	22,9	74,3	2,8	100,0
All	EC	54,6	45,4		100,0
	FS	28,3	71,3	0,4	100,0
	GT	14,9	84,7	0,4	100,0
	KZ	27,8	70,8	1,4	100,0
	LP	23,4	69,7	6,9	100,0
	MP	10,3	87,2	2,5	100,0
	NC	10,5	86,3	3,2	100,0
	NW	7,6	86,3	6,1	100,0
	WC	17,1	78,8	4,1	100,0
	SA	25,4	72,3	2,4	100,0

For 2016 the expected amount, or more, was transferred to schools providing for 74,7% of learners. In the Eastern Cape, only 45,4% of learners were in schools that had already received their expected allocation or more for 2016. Nationally, less money than expected was received by schools providing for 25,4% of learners in 2016, with more than half of the schools in the Eastern Cape stating that they received less than expected.

Table 8.2: Percentages of learners in schools receiving their specified financial allocation by quintile, 2016

	Quintile	Less money than expected was transferred	The expected amount of money was transferred	More money than expected was transferred	Total
Primary	1	33,5	65,3	1,2	100,0
	2	27,3	68,5	4,2	100,0
	3	29,0	70,6	0,4	100,0
	4	23,4	73,4	3,2	100,0
	5	12,2	85,6	2,2	100,0
	SA	27,1	70,8	2,1	100,0
Secondary	1	19,9	78,9	1,2	100,0
	2	26,0	70,8	3,1	100,0
	3	25,4	70,8	3,8	100,0
	4	20,4	75,8	3,8	100,0
	5	20,5	77,1	2,4	100,0
	SA	22,9	74,3	2,8	100,0
All	1	28,3	70,5	1,2	100,0
	2	26,8	69,5	3,8	100,0
	3	27,5	70,7	1,8	100,0
	4	22,1	74,5	3,4	100,0
	5	16,2	81,5	2,3	100,0
	SA	25,4	72,3	2,4	100,0

Across the school quintiles, 82% of Q5 schools received the amount expected while 2% received more than the expected amount, with the corresponding amounts for Q1 schools being 71% and 1% respectively.

Table 8.3: Percentages of learners in schools receiving their specified financial allocation by province, 2017

	Province	None received	1 - 30% received	31 - 50% received	51 - 99% received	100% received	Total
Primary	EC		9,0	39,6	44,1	7,2	100,0
	FS	1,0	3,1	27,8	49,5	18,6	100,0
	GT	1,0	1,0	31,1	37,9	29,1	100,0
	KZ	1,8	8,0	27,7	32,1	30,4	100,0
	LP	0,9		67,0	22,0	10,1	100,0
	MP			7,8	9,8	82,4	100,0
	NC	1,1		18,7	57,1	23,1	100,0
	NW		1,0	9,5	17,1	72,4	100,0
	WC	1,0	4,0	11,1	50,5	33,3	100,0
	SA	0,8	4,1	30,3	34,1	30,6	100,0
Secondary	EC		11,1	21,2	48,5	19,2	100,0
	FS		1,1	22,5	57,3	19,1	100,0
	GT		3,0	29,0	39,0	29,0	100,0
	KZ	3,9	3,9	31,4	25,5	35,3	100,0
	LP	1,9	1,0	57,3	20,4	19,4	100,0
	MP		1,0	2,0	8,8	88,2	100,0
	NC	2,2		22,6	48,4	26,9	100,0
	NW		2,0	12,1	11,1	74,7	100,0
	WC	1,0	2,9	13,7	53,9	28,4	100,0
	SA	1,4	3,6	27,5	32,3	35,2	100,0

	Province	None received	1 - 30% received	31 - 50% received	51 - 99% received	100% received	Total
All	EC		9,7	33,4	45,6	11,2	100,0
	FS	0,6	2,3	25,7	52,6	18,8	100,0
	GT	0,6	1,8	30,2	38,3	29,1	100,0
	KZ	2,8	6,1	29,4	29,1	32,6	100,0
	LP	1,4	0,5	62,5	21,3	14,4	100,0
	MP		0,4	5,4	9,4	84,8	100,0
	NC	1,5		20,0	54,2	24,4	100,0
	NW		1,3	10,4	15,1	73,2	100,0
	WC	1,0	3,6	12,3	52,0	31,2	100,0
	SA	1,1	3,9	29,2	33,4	32,5	100,0

In 2017, 65,9% of learners were in schools that had received at least 51% of their allocation at the time of the survey, while 34,1% of learners were in schools that had received less than 51% of their allocation. In Mpumalanga 84,8% and in the North West 73,2% of learners were in schools that had already received their full 2017 allocation by the time of the survey while corresponding figures for the Eastern Cape and Limpopo Province was 11,2% and 14,4% respectively.

Table 8.4: Percentages of learners in schools receiving their specified financial allocation by quintile, 2017

	Quintile	None received	1 - 30% received	31 - 50% received	51 - 99% received	100% received	Total
Primary	1	0,4	3,6	24,2	36,3	35,4	100,0
	2		5,1	35,3	29,1	30,5	100,0
	3	0,2	3,7	35,2	38,0	22,9	100,0
	4		3,4	23,4	37,1	36,1	100,0
	5	5,3	4,8	29,1	28,4	32,4	100,0
	SA	0,8	4,1	30,3	34,1	30,6	100,0
Secondary	1	0,7	1,7	24,7	35,8	37,1	100,0
	2	1,1	6,2	33,4	28,1	31,2	100,0
	3	2,6	4,3	26,1	33,3	33,8	100,0
	4	2,0	1,6	21,0	39,4	35,9	100,0
	5	0,7	3,0	30,2	26,3	39,8	100,0
	SA	1,4	3,6	27,5	32,3	35,2	100,0
All	1	0,5	2,9	24,4	36,1	36,1	100,0
	2	0,4	5,6	34,6	28,7	30,8	100,0
	3	1,2	3,9	31,5	36,1	27,3	100,0
	4	0,9	2,6	22,3	38,1	36,0	100,0
	5	3,1	4,0	29,6	27,4	35,9	100,0
	SA	1,1	3,9	29,2	33,4	32,5	100,0

Across the quintile categories in 2017, 72,2% of learners in Q1 schools received at least 51% of their expected allocation while 63,2% of learners in Q5 schools did.

Changes between 2011 and 2017 in funding learners at a minimum level

In SMS 2011 Question 137 (see the Fact Sheet at the outset) was also asked with respect to the previous year (2010), and Question 138 (see Fact Sheet) was also asked with respect to the year of the survey (2011). The results for 2010 appear in Table 8.5 for provinces and in Table 8.6 for Quintiles. For 2011, the results appear in Tables 8.7 and 8.8.[29]

Table 8.5: Percentages of learners in schools receiving their specified financial allocation by province, 2010

Province	Less money than expected was transferred	The expected amount was transferred	More money than expected was transferred	Total
EC	25,1	72,4	2,5	100,0
FS	15,5	84,5		100,0
GT	6,6	90,4	3,0	100,0
KZ	45,3	53,9	0,8	100,0
LP	10,3	88,6	1,1	100,0
MP	19,9	79,0	1,2	100,0
NC	2,1	93,6	4,3	100,0
NW	8,5	87,2	4,3	100,0
WC	11,2	86,0	2,8	100,0
SA	21,2	76,9	1,9	100,0

Table 8.6: Percentages of learners in schools receiving their specified financial allocation by quintile, 2010

Quintile	Less money than expected was transferred	The expected amount was transferred	More money than expected was transferred	Total
1	19,4	79,9	0,7	100,0
2	20,1	78,1	1,7	100,0
3	20,6	76,7	2,7	100,0
4	23,4	74,8	1,8	100,0
5	24,5	72,6	2,9	100,0
SA	21,2	76,9	1,9	100,0

For 2010, approximately 77% of all learners were in schools that had received their expected financial allocation, with approximately 2% receiving more than they expected. In KwaZulu-Natal and the Eastern Cape, 54% and 72% respectively of learners were in schools that had received their expected allocations.

Table 8.7: Percentages of learners in schools receiving their specified financial allocation by province, 2011

Province	Nothing	1--30%	31--50%	51--99%	100%	Total
EC	0,3	5,6	29,8	42,4	21,9	100,0
FS	0,0	1,3	7,7	70,5	20,5	100,0
GT		2,1	33,7	27,4	36,8	100,0
KZ	1,6	7,6	34,3	31,8	24,8	100,0
LP	0,3	0,4	73,7	13,0	12,7	100,0
MP	0,1	0,5	19,1	71,0	9,4	100,0
NC		1,7	25,4	59,7	13,2	100,0
NW	2,8	1,0	51,4	8,3	36,5	100,0
WC			15,7	62,6	21,7	100,0
SA	0,6	3,2	35,8	37,2	23,1	100,0

29 Standard errors and confidence intervals for provinces and quintiles may be found in the Technical Report in Tables T-8.6 to T-8.9.

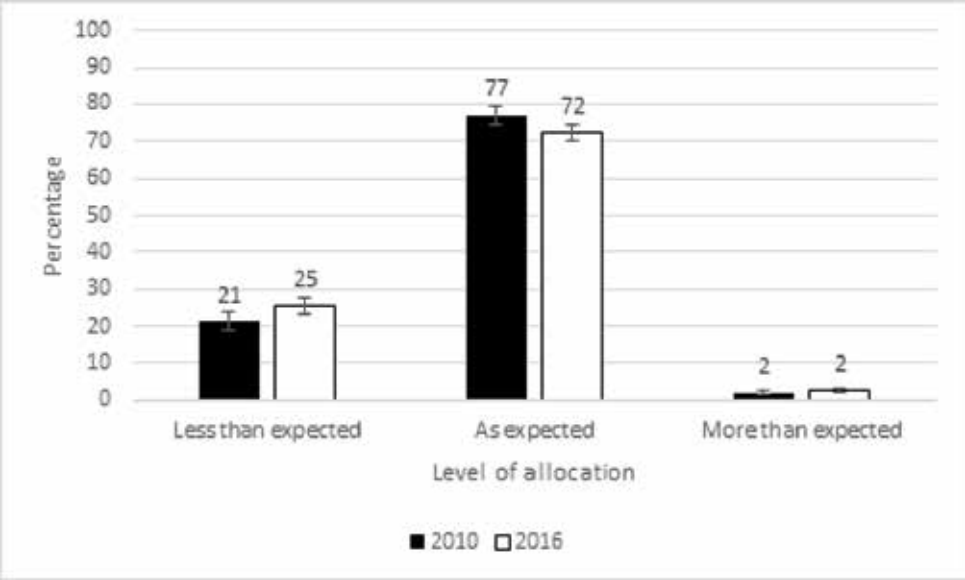
Table 8.8: Percentages of learners in schools receiving their specified financial allocation by quintile, 2011

Quintile	Nothing	1--30%	31--50%	51--99%	100%	Total
1	0,4	4,8	38,2	34,7	21,9	100,0
2	0,2	2,5	33,1	37,1	27,1	100,0
3	0,4	3,4	39,6	36,4	20,2	100,0
4	1,4	2,1	31,5	40,0	25,0	100,0
5	1,5	2,5	33,2	39,7	23,1	100,0
SA	0,6	3,2	35,9	37,1	23,2	100,0

For 2011, 60% of learners were in schools where principals indicated that they had received at least half of their allocation, with 91,0% of Free State learners, and 25,7% of Limpopo learners being in such schools.

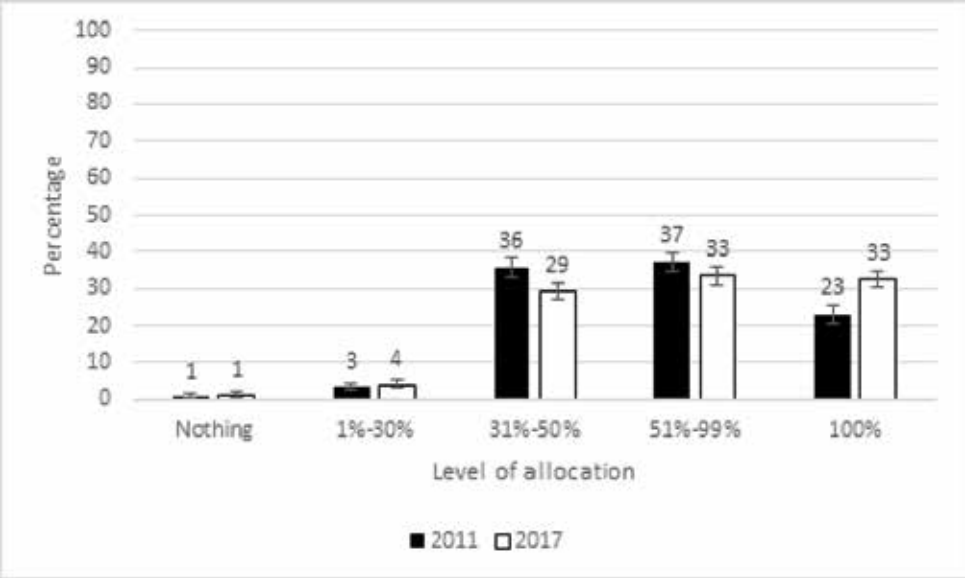
In Figure 8.2 (see Table T-8.10 in the technical report for standard errors) the finding for the whole country in 2010 is presented next to the finding for the whole country in 2016, while in Figure 8.3 (see Table T-8.11 for standard errors) similar information is presented for 2011 and 2017.

Figure 8.2: Percentages of learners in primary and secondary schools combined receiving their specified financial allocation, 2010 and 2016



It can be accepted that for 2010 and 2016 all monies had been transferred by the time the surveys took place. In 2010, 21% of learners were in schools where less money than expected was transferred, while for 2016 this percentage was 25%. Therefore, in 2016 slightly more learners were in schools where the principal indicated that less money than expected had been transferred.

Figure 8.3: Percentages of learners in primary and secondary schools combined receiving their specified financial allocation, 2011 and 2017



The 2011 and 2017 SMS surveys did not take place right at the end of the year. It is therefore not adequate to look at only schools that indicated that they had received 100% of their allocation. It makes sense also to look at schools that had received 51% or more of their allocation even though the 51%-99% category is very wide and can therefore not give exact information on the state of transfer reached in the last quarter of the year. For 2011, this figure was 60%, while for 2017 the figure was 66%. Given the proviso mentioned it could only tentatively be viewed as an improvement from 2011 to 2017.

Summary

More than 95% of learners were in schools where principals indicated that they had received the letters stating the allocations for 2016 and 2017 and 90% were in schools where such a letter was seen by the field worker. However, only 72% of learners were in schools where the per learner amount was stated in the letter. For 2016, 74,6% of learners were in schools where the expected amount or more had been transferred while in 2010, 78,8% of learners were in such schools.

In 2016, 25,4% of learners were in schools receiving less than the expected amount of money from the Department of Education while in 2010 the percentage was 21,2. This was a small decline in the delivery of allocated monetary benefits.

Indicator 9: The percentage of schools which have acquired the full set of financial management responsibilities on the basis of an assessment of their financial management capacity

Indicator 9 Fact Sheet

Three questions answered by the principal indicated whether the school is responsible for the relevant financial management functions. These questions were about the school having the responsibility to procure goods and services related to school property, learning materials and services. Details are shown below. The schools' Section 21 status was not surveyed.

Indicator value: 57% of schools have acquired the full set of financial management responsibilities.

Source: Principal Interview

Weight: School weight

Variables and calculations: Principals had to report that their school was responsible for all three functions in order to have been classified as having acquired the full set of financial management responsibilities. On p.32 of the DBE 2014 report the following is stated regarding weighting in Section 8: "Unless otherwise indicated, from this point onwards in this section any statistic is learner-weighted in order to ensure that aggregate statistics are not biased in favour of smaller schools." It was agreed for this report that Indicator 9 data should be school-weighted in line with the indicator formulation on p.5 of the ToR. Therefore, in this report, the difference could be attributed to weights applied.

Verbatim formulation of questions:

Question 128 (Principal Interview): "The following sets of questions are about the financial management functions in terms of Section 21 of the South African Schools Act.

Does the school use public funds transferred to it by the Provincial Education Department to:

- [S 1] maintain and improve the school's property, building(s) and grounds occupied by the school (i.e. Section 21 (a) functions)?
- [S 2] purchase its own textbooks, educational materials or equipment for the school (i.e. Section 21 (c) functions)?
- [S 3] pay for services (e.g. telephone, electricity, water, etc.) provided to the school (i.e. Section 21 (d) functions)?"

The information for the SMS 2011 was collected using Question 24 during the Principal Interview.

Importance of acquiring the capacity to carry out key financial management responsibilities

Indicator 9 is about the financial responsibilities that have been delegated from the province to the school. Section 21 of the South African Schools Act (SASA), particularly sub-sections (a), (c) and (d) of the Act, specifies that the following financial management responsibilities can be granted to a school on application, and carried out by using funds transferred to it by the provincial education department:

(a) Maintaining and improving the school's property, buildings and grounds (including hostels);

(c) Purchasing textbooks, educational materials or equipment for the school; and

(d) Paying for services to the school (e.g., telephone, electricity, water, etc.).

The effective management of finances is important for schools to develop and maintain an environment that is conducive to learning and teaching by ensuring the availability of relevant learning materials, textbooks and workbooks (in Goal 19 of Action Plan 2019), effective digital connectivity and access to related media (Goal 20), improved school management (Goal 21) and appropriate infrastructure (Goal 24). In addition, both Indicator 8 and Indicator 9 are linked to Goal 23. In the first instance, the goal underpins the motivation and conceptualisation of Indicator 8 which deals with minimum per-learner funding allocations to each school. Indicator 8 in SMS 2017 responded to and was driven by Indicator/Goal 23.1 in Action Plan 2019.

Indicator 23.2 (p.43) also formed part of the discussion and motivation of Goal 23 in the Action Plan 2019 and came to underpin Indicator 9 in the SMS 2017. Indicator 9 is about taking responsibility for the specific financial procurement tasks identified in Section 21 through the transparent and efficient use of schools' funds, focusing beyond the minimum funding allocation levels to all public schools covered in Indicator 8, as a result. It applies irrespective of the quintile status of a school. The indicator therefore reflects how many schools have taken on the relevant set of three financial responsibilities. The underpinning rationale and motivations discussed in this report under Indicator 8 also apply here and are not repeated here in detail.

Indicator definition and data collection

In line with the ToR for this study, measurement of this indicator takes Section 21 of the South African Schools Act (SASA) into account. Three questions based on the schools' responsibility for certain financial functions formed part of the school principal interviews in SMS 2017. The principals' answers to these questions were taken as indicators of the presence of these financial management functions at their respective schools. Taking responsibility for these functions is not necessarily equivalent to having the management capacity, implying that the indicator value does not describe the quality of financial management at schools. Schools' Section 21 status was not surveyed. School weights were applied when calculating the percentage of schools having the various functions.

Status of capacity in, and carrying out, key financial management responsibilities in 2017

In 2017, about 57% of schools had acquired the full set of financial management responsibilities in terms of Section 21 of the South African Schools Act. Figure 9.1 gives information by province for primary and secondary schools combined about the percentage of schools having the required financial management capabilities in place. Fewer schools in the Eastern Cape and KwaZulu-Natal had the full set of financial responsibilities than the national average, although the differences were not statistically significant. A higher percentage of schools in Gauteng, the Northern Cape and the Western Cape had the full set of functions, than the national average. These differences were statistically significant.

Figure 9.1: Percentage of primary and secondary schools combined with the required financial capacity by province, 2017

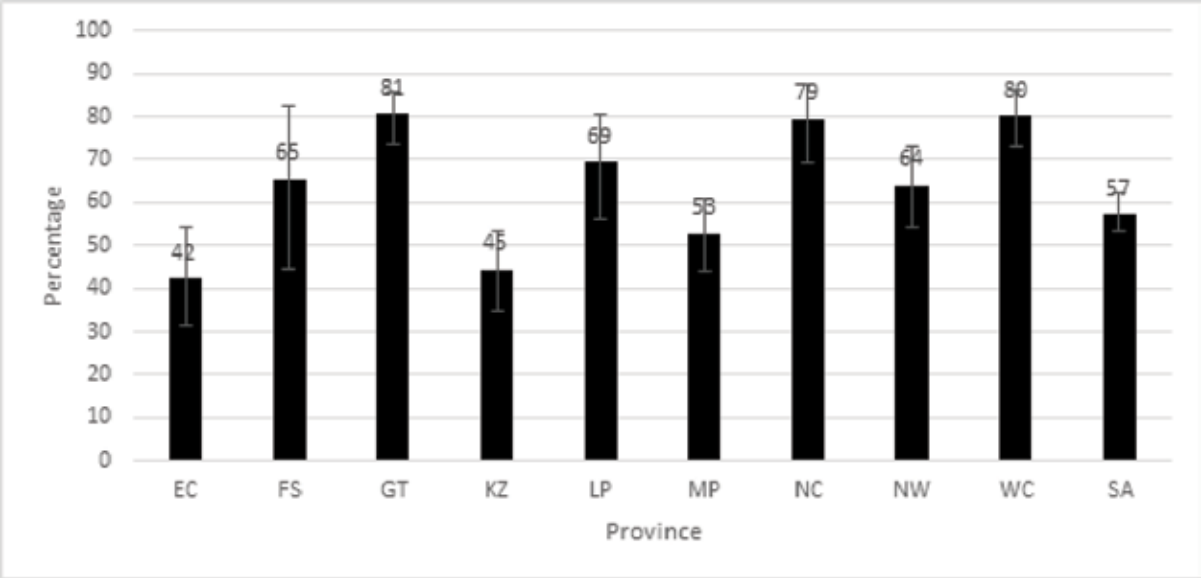


Figure 9.2[30] shows the overall indicator 9 values separately for primary and secondary schools in 2017 by province. The figure shows that there was consistency in the acquired prescribed financial management responsibilities within provinces across primary and secondary schools. The most significant exceptions were schools in Mpumalanga, where secondary schools had significantly more of these acquired responsibilities than primary schools, and Gauteng where significantly fewer secondary schools had the full set of functions than primary schools. Primary schools in the Eastern

30 Detailed information about the three financial capacities and about the single combined financial management responsibility indicator value by survey year (2011 and 2017), school type (primary and secondary), province and quintile are given in the Technical Report (Tables T-9.1 to T-9.4).

Cape, the Northern Cape and the Western Cape and secondary schools in the Free State and Limpopo also seemed to more likely to have acquired the full set of financial management responsibilities than their respective secondary and primary school counterparts. These differences were not statistically significant, though.

Across provinces, there was no discernible difference in the patterns among primary or secondary schools. Country-wide, only 56% and 60% of primary and secondary schools respectively had acquired the full set of financial management responsibilities. Also, this difference is not statistically significant. The percentages were highest among primary schools in Gauteng (87%) and the Northern Cape and the Western Cape (both 83%); these were significantly above the national average for primary schools. The percentages among primary schools in the Eastern Cape and KwaZulu-Natal were 43% and in Mpumalanga, it was 46%. These potential differences from the national primary school average were not statistically significant. Seventy-five percent (75%) of secondary schools in Limpopo, and 73% of secondary schools in the Free State had the full set of financial management responsibilities, which is above the national average. The score for secondary schools in the Eastern Cape was 36%, a statistically significant difference below the national average for secondary schools.

Figure 9.2: Percentage of primary and secondary schools with the required financial capacity by province, 2017

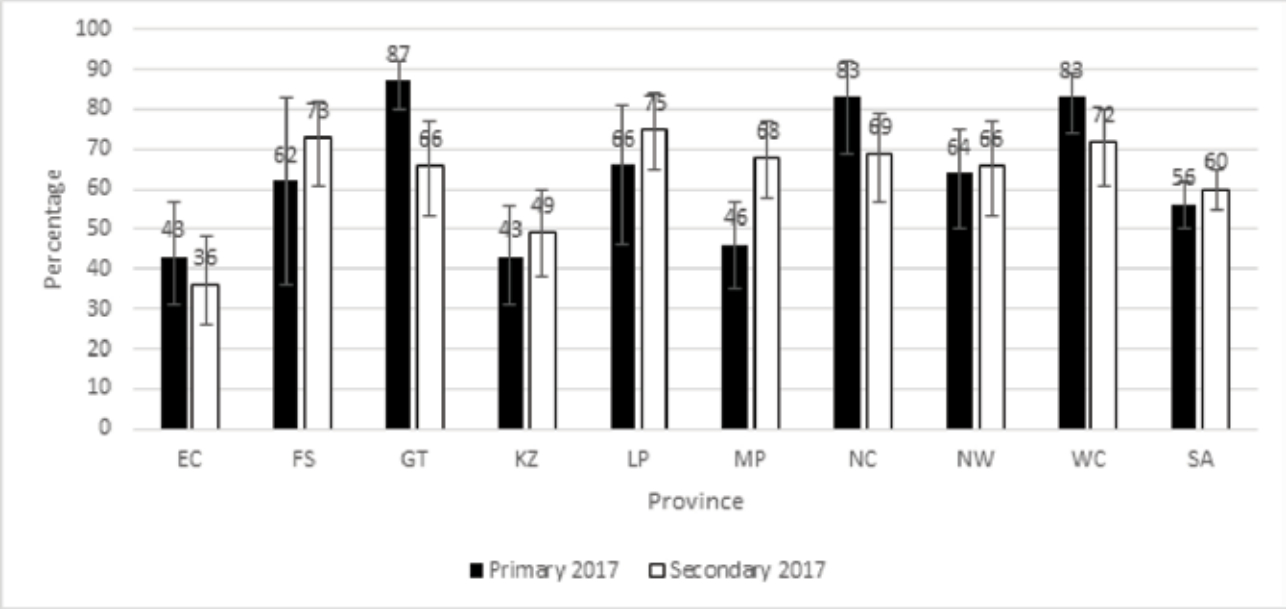
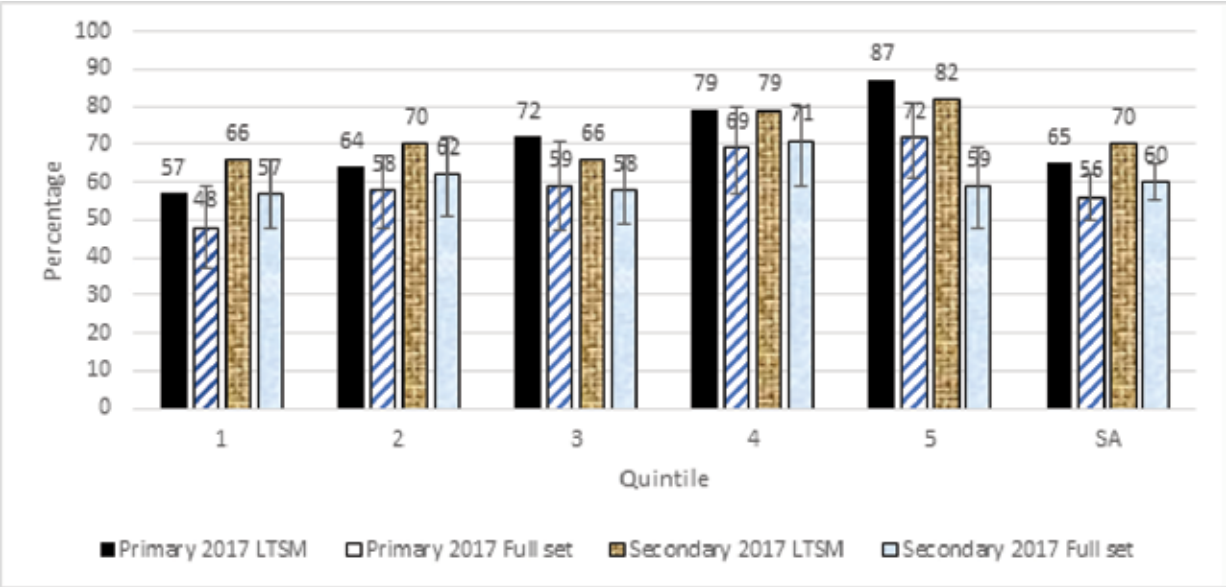


Figure 9.3 gives information about financial management responsibilities and capacity in primary and secondary schools in 2017 in relation to schools' quintile status. It shows that not many more schools acquired and executed financial responsibilities for purchasing learning materials and equipment (65% and 70% for primary and secondary schools respectively) in comparison with the overall indicator of compliance with all three financial functions (56% and 60% for primary and secondary schools respectively). The percentage of schools that were responsible for purchasing learning materials were approximately 20 to 25 percentage points below those responsible for maintaining and improving school property and purchasing municipal and other services (not shown in the figure; see Tables T-9.3 and T-9.4 in the technical report). This implies that not having acquired responsibility for purchasing learning materials was the largest contributor to the relatively low percentage of schools that acquired the full set of financial management responsibilities. The increased central control by provincial offices over recent years may explain this pattern. Among primary schools, there was a gradual and consistent increase in responsibility as quintile status increased, with a statistically significantly higher proportion of Quintile 5 primary schools having the full set of responsibilities than those in Quintile 1. The same trend was not apparent among secondary schools, however.

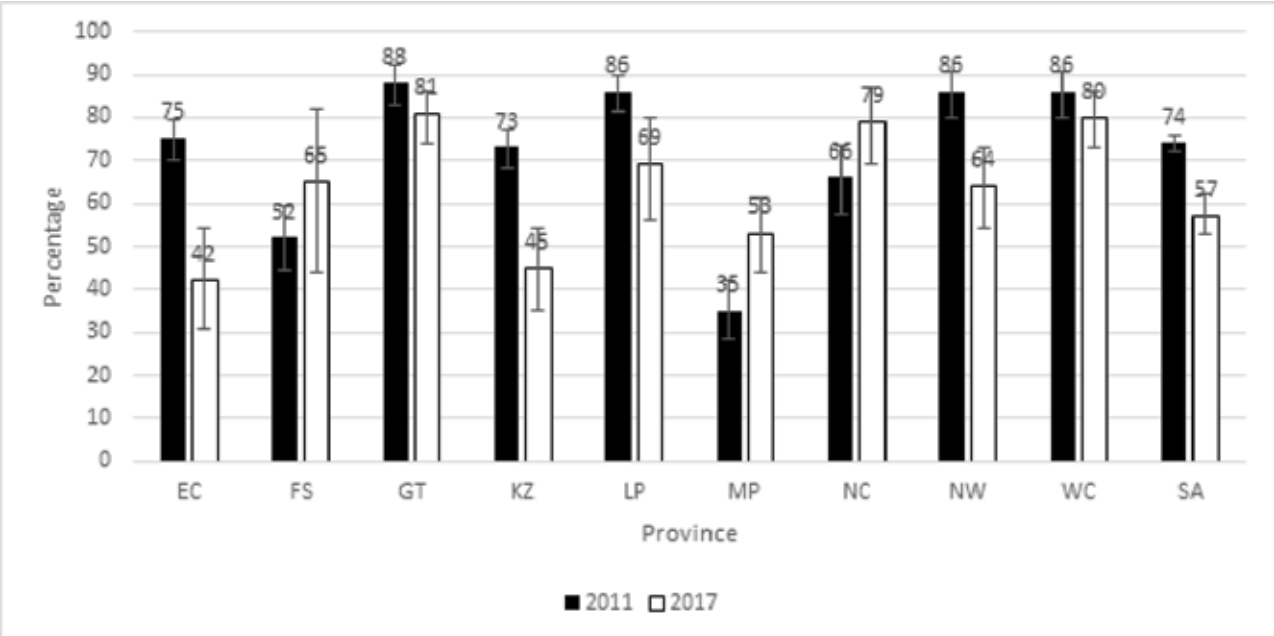
Figure 9.3: Percentage of primary and secondary schools with the required financial capacity by quintile, 2017



Changes from 2011 to 2017 in acquiring capacity in and carrying out key financial management responsibilities

Figure 9.4 shows a significant decline in the average national indicator value from 74% to 57% over the period between 2011 and 2017. Only schools in the Free State, Mpumalanga and the Northern Cape improved their performance, moving from below the national average to close to or well above it. The difference was statistically significant in the case of Mpumalanga. Schools in Gauteng, Limpopo, the North West and the Western Cape retained their position above the national averages for both years. In the Eastern Cape and KwaZulu-Natal, declines were significantly higher than the decline noted in the national averages. A possible explanation for this downward trend could be that the increased central control by provincial offices over recent years resulted in less responsibility at schools for this. As such this may not necessarily signify a decline in financial management responsibilities.

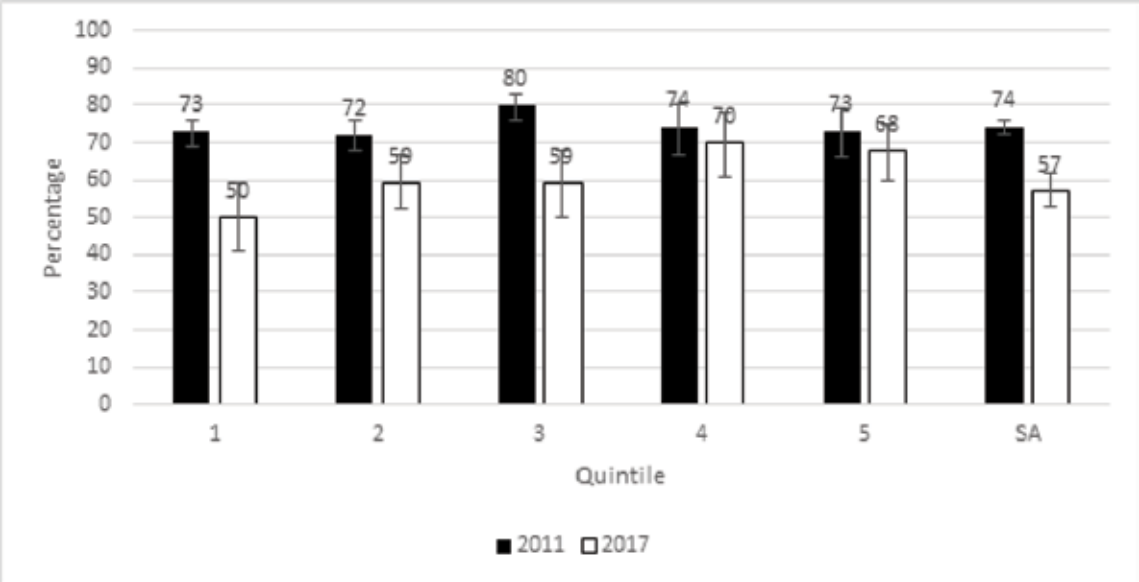
Figure 9.4: Percentage of primary and secondary schools combined with the required financial capacity (Indicator 9) by province, 2011 and 2017



Trends over time in relation to quintile status are shown next. Figure 9.5 shows the outcome for primary and secondary schools combined. Declines among Quintile 4 and 5 schools (4 and 5 percentage points respectively) were not as large as among lower-quintile schools (23, 13 and 21 percentage points respectively for Quintile 1, 2 and 3), where all declines were statistically significant.[31]

31 Tables T-9.3 and T-9.4 in the Technical Report also show that Quintile 4 and 5 secondary schools declined less than primary

Figure 9.5: Percentage of primary and secondary schools combined with the required financial capacity (Indicator 9) by quintile, 2011 and 2017



Summary

Fifty-seven percent (57%) of schools nationally were found to be responsible for all three financial management functions. A statistically significantly higher proportion of schools in Gauteng, the Northern Cape and the Western Cape were responsible for the full set of financial functions than the rest of the country.

There was consistency in the acquired prescribed financial management responsibilities within provinces across primary and secondary schools. Across provinces, there was no discernible difference in the patterns among primary or secondary schools. Country-wide, only 56% and 60% of primary and secondary schools respectively had acquired the full set of financial management responsibilities. The most significant exceptions were schools in Mpumalanga, where secondary schools were more likely to have acquired the full responsibilities compared to primary schools, and Gauteng where secondary schools were less likely than their primary schools.

Percentage of schools responsible for purchasing learning materials were approximately 20 to 25 percentage points below the percentage of schools who were responsible for maintaining and improving school property and purchasing municipal and other services. Among primary schools, there was a gradual and consistent increase in responsibility and capacity as quintile status increased, with Quintile 5 primary schools being significantly more likely to have the full set of responsibilities relative to Quintile 1 schools. The same trend was not apparent among secondary schools.

A significant decline occurred in the average national indicator value from 74% to 57% from 2011 to 2017. However, this finding must be viewed within the context of increased central control of specific financial management responsibilities by provincial offices over recent years. There was an increase in schools in the Free State, Mpumalanga (significantly so) and the Northern Cape who are responsible for the full set of functions, moving from below the national average to close to or well above it. Schools in Gauteng, Limpopo, the North West and the Western Cape remained above the national average throughout. In the Eastern Cape and KwaZulu-Natal there was a significant decline in the proportion of schools with the full set of functions. Declines among Quintile 4 and 5 schools (4 and 5 percentage points respectively) were not as large as among lower-quintile schools.

schools, especially those at Quintile 4 level.

Indicator 10: The percentage of schools which comply with nationally determined minimum physical infrastructure standards[32]

Indicator 10 Fact Sheet

Norms and standards for minimum school infrastructure were made public in Regulation 920 of 2013. The Regulation lists a large number of required standards as well as basic features, as shown below. During SMS 2017, fieldworkers collected information on these by physically verifying the nature and condition of these amenities.

Indicator value: 59%[3] of schools comply with the nationally determined minimum physical infrastructure standards.

Source: Principal Interview and School Observation (schedules)

Weight: School weight

Variables and calculations:

To confirm schools' adherence to the minimum criteria for physical infrastructure by November 2016, all of the following were required to be in order: sanitation (toilets), electricity and water (DBE, 2014, p. 44). Regulation 920 of 2013 defines sanitation facilities as acceptable when separate toilets are available for boys, girls and staff. Flush toilets and Enviro-loo toilets are considered appropriate. Adequacy of classrooms, included in the target for 2020 (that is, having enough functional classrooms in the school for the number of learners) was calculated, where relevant, by dividing the school enrolment (Question 7 below) by the norm of 40 learners per class, and establishing if the observed number of classrooms (the answer to Question 13 below) was equal to or more than the required number just calculated.

Verbatim formulation of questions:

- Question 7 (Principal Interview): "How many LEARNERS were enrolled in your school as at the end of September 2017?"
- Question 74 (Principal Interview): "Does your school have access to the internet?"
- Question 8 (School Observation): "Is there running water in the school on the day of the visit?" *
- Question 9 (School Observation): "Is there working electricity in the school on the day of the visit?" *
- Question 10 (School Observation): "Is the school's premises fenced?" *
- Question 12 (School Observation): "Are there sanitation facilities available on the school site for educators and learners?" "[S 1 Boys] [S 2 Girls] [S 3 Separate toilets for educators *]" "[S 4 Is there at least one toilet in the school that has been adapted for use by disabled people?]" "[A 1 Flush toilets] [A 2 Ventilated pit latrine and Enviro-loo toilets] [A 3 Other types of sanitation] [A 4 No toilets]"
- Question 13 (School Observation: "What is the total number of ordinary classrooms in the school?" (Extensive notes provided about what qualifies as sufficient in relation to each item, as well as how to verify its presence).

*The information for SMS 2011 was collected using Questions 17-20 from the School Observation schedule and Question 8 from the Principal Interview.

32 Indicator values in this Quantitative Report are aligned with those infrastructure components included in both the three-year targets and the seven-year targets that were set in Regulation 920 of 2013 respectively for November 2016 and November 2020. The relevant target components and dates used are clearly indicated as appropriate.

Importance of physical infrastructure

Goal 24 of the Action Plan 2019 (p.44) concerns the physical infrastructure and environment of schools. It aims to ensure that these two elements inspire learners and teachers to want to come to school. The Accelerated Schools Infrastructure Delivery Initiative (ASIDI) since 2013 has focused on replacing school buildings that no longer served their purpose: for example, where they are built of inappropriate materials.

Of the 496 schools identified in for replacement in 2012, 49 new ones had been built in 2014, with another 196 under construction. These schools adhere to and serve as models of the required minimum standards for the various infrastructure elements. This national initiative has been characterised by some experimentation by the DBE with building processes and designs. Provinces have been provided with up to 80% of the funding. Monitoring has been strengthened in line with the Education Infrastructure Grant flows, as well as the policy framework in the National Infrastructure Plan 98 and the 2013 regulations. The latter envisages four key goals achievable by all schools by the following dates: meeting minimum standards with respect to water, toilets, electricity and the materials used for school buildings (2016); a minimum number of classrooms, relative to enrolments; electronic connectivity; and perimeter fencing (2020); the required libraries and laboratories (2023); and all remaining standards governing, for instance, sporting facilities (2030). The first goal's targets were due to have been achieved before the SMS 2017 data was collected.

Special recognition is given in the Action Plan 2019 of the possibility of eroded cost-effectiveness and unnecessarily complicated bureaucracy. Contingency measures include innovative approaches, decentralisation, co-funding at the school level, communities valuing and protecting school property, and the increased after-hours use of school facilities for community purposes.

Indicator definition and data collection

The Action Plan 2019 (p.45) described the recent, existing and intended levels of compliance by schools with infrastructure requirements as follows:

> *… it has been estimated that by 2014 around half of schools were complying with minimum standards which the 2013 regulations specify should be reached in all schools by 2020. These standards focus, in particular, on the availability of water, toilets, electricity and a minimum number of classrooms. Specifically, by 2011 an estimated 46% of schools complied with the standards in question. The standards* are more stringent than those used for the *indicator values published in the 2011 Action Plan. The adequacy of classrooms plays a large role. If classrooms are removed from the calculation, then 84% of schools were found to comply with the remaining standards (water, toilets and electricity) in 2011. Clearly more work needs to occur on the calculation of composite indicator values. What is important is that, whatever method is used, the same provinces emerge as having the largest school infrastructure deficits. These provinces are Eastern Cape (by far the worst), KwaZulu-Natal and Mpumalanga."*

The ToR stipulated that measurement of this indicator was to be informed by Regulation 920 of 2013 and that the definitions of electricity, water and sanitation and other features were to be in line with the National Education Infrastructure Management System (NEIMS). These stipulations were adhered to when the data-collection instruments were being developed and when fieldworkers were being trained and deployed. This required accounting for the specified standards for running water; working electricity; and separate toilets for boy learners, girl learners and teachers, including flush toilets and VIP or Enviro-loos but excluding bucket, chemical and mobile toilets. The DBE 2014 report (p.44) states that indicators of basic acceptable facilities include running water[33], adequate toilets and classrooms, and electricity. This indicator was calculated for the SMS 2017 using school weighting, and initially only aligned with the SMS 2011 approach (including the adequate classrooms from the 2020 targets). Further comparisons were added in alignment with the

33 It has to be noted that NEIMS reported a figure as high as 90% in relation to learners with access to running water in 2011 (DBE, 2014, p.39), much different from the figures cited in the present report. The reason for such a difference most likely lies in SMS 2017 having followed very stringent observation criteria on the day of the visit, while the former report could typically be based on official delivery history and records about the installation of infrastructure.

targets set for 2016. The data collection process required fieldworkers to report on the presence of each infrastructure item, to the set minimum standard, after physically verifying their nature and condition at each school.

Status of physical infrastructure in 2017

Nationally, 59% of schools complied with the determined minimum physical infrastructure standards set for 2016.

Table 10.1 gives the percentages of primary and secondary schools combined where specific basic facilities were in place at schools. Very basic facilities that still were not universally available included running water (only 75,9% of schools had running water on the day of the visit) and adequate toilets (at 79,9%).[34] It has to be noted that perimeter fences and Internet access did not form part of the indicator calculation, but that classroom adequacy (see Figure 10.4) did. The former two items are reported in this table only for interest's sake.

Table 10.1: Percentage of primary and secondary schools combined, by province, where certain facilities were available, 2017

Province	Running water	Perimeter fence	Electricity	Internet	Adequate toilets
EC	74.2%	81.8%	79.6%	43.9%	69.9%
FS	78.4%	78.4%	96.3%	77.4%	71.9%
GT	95.9%	97.6%	95.0%	88.7%	97.8%
KZ	54.6%	89.9%	86.9%	28.8%	77.2%
LP	87.4%	86.2%	98.2%	55.5%	76.8%
MP	80.2%	78.5%	94.2%	66.0%	91.7%
NC	91.0%	92.7%	99.4%	76.5%	89.1%
NW	77.0%	93.5%	87.3%	71.7%	81.5%
WC	94.3%	92.7%	98.8%	98.4%	96.3%
SA	75.9%	87.2%	89.9%	55.3%	79.9%

The ToR state that this indicator must reflect how well schools comply with the required minimum standards: running water; working electricity; adequate separate toilets for boy learners, girl learners and teachers; and adequate classrooms. Figure 10.1a shows the overall level of compliance with the suite of infrastructure requirements by 2020 for primary and secondary schools combined. Put differently, schools had to have all the items outlined more clearly hereafter, to be considered to have sufficient infrastructure. Sanitation (toilets) were acceptable, in line with Regulation 920 of 2013, when separate toilets were available for boys, girls and staff. Flush toilets and Enviro-loo toilets were the only forms of toilet considered to be appropriate. Schools also had to have active electricity and water connections on the day of the visit. Learner-to-classroom ratios had to be at or above the prescribed norm. Levels of compliance by schools in Gauteng, the Northern Cape and the Western Cape were significantly higher than the national average; levels of compliance by schools in KwaZulu-Natal were significantly lower. Adherence to the infrastructure requirements set for 2016 (that is, excluding classroom adequacy), is shown in Figure 10.1b.

34 Tables T-10.3 and T-10.4 of the Technical Report show, by province, the percentages of primary and secondary schools separately which had the facilities portrayed in Figure 10.1 for all schools combined. Tables T-10.5 and T-10.6 shows the same information, again for primary and secondary schools separately, but this time by school quintile. In these tables school weighting is applied so that figures are comparable with NEIMS reports. Figures 10.1 to 10.6 of the Technical Report summarise selected patterns in the presence of basic facilities by province and school quintile status at primary and for secondary schools.

Figure 10.1a: Percentage of primary and secondary schools combined adhering to minimum physical infrastructure standards for 2020 by province, 2017

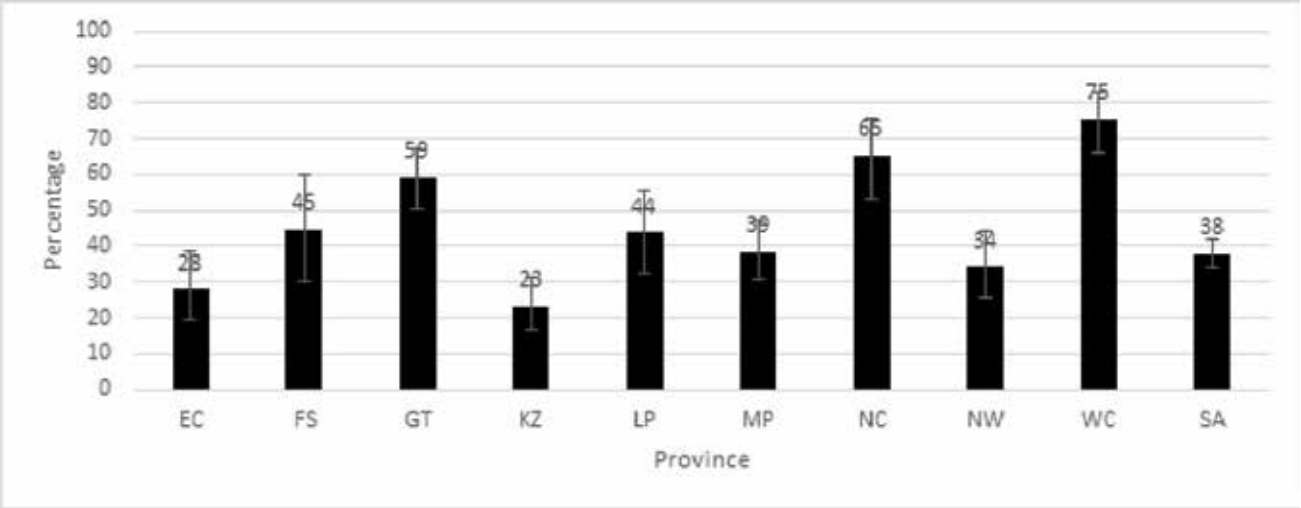
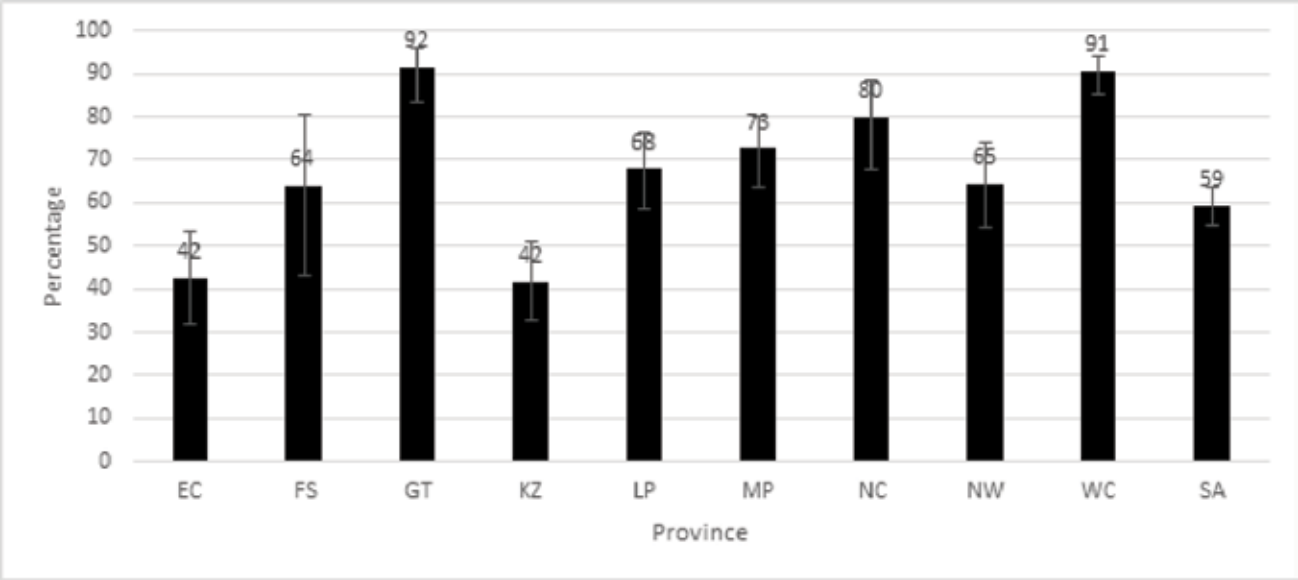


Figure 10.1b: Percentage of primary and secondary schools combined adhering to minimum physical infrastructure standards for 2016 by province, 2017



Figures 10.2a and 10.2b and 10.3a and 10.3b show the findings on primary and secondary schools' compliance with minimum physical infrastructure by province and school quintile status respectively, as set for 2016 and 2020 in turn.[35]

Figure 10.2a shows that the levels of compliance to the minimum physical infrastructure for 2020 by primary and secondary schools in the Western Cape and Gauteng, primary schools in the Northern Cape and secondary schools in the Free State were significantly higher than the national averages. Higher compliance rates clustered around 75% while those between 60% and 70% also exceeded the national compliance averages of 36% and 44% for primary and secondary schools respectively. Compliance levels among primary schools in the Eastern Cape (26%) and KwaZulu-Natal (20%) were the lowest, while secondary schools in the Eastern Cape, KwaZulu-Natal, Mpumalanga and North West had compliance rates between 31 and 39%. Only the low 20% compliance rate at primary schools in KwaZulu-Natal was significantly different from the national average. Limiting the comparisons to 2016 targets produced similar patterns, as can be derived from Figure 10.2b.

35 Tables T-10.1 and T-10.2 in the Technical Report can be consulted for the percentages and standard errors for the overall indicator scores by province and quintile, separately for primary and secondary schools and survey years (2011 and 2017), and in relation to both the three 2016 and four 2020 infrastructure targets.

Figure 10.2a: Percentage of primary and secondary schools adhering to minimum physical infrastructure standards for 2020 by province, 2017

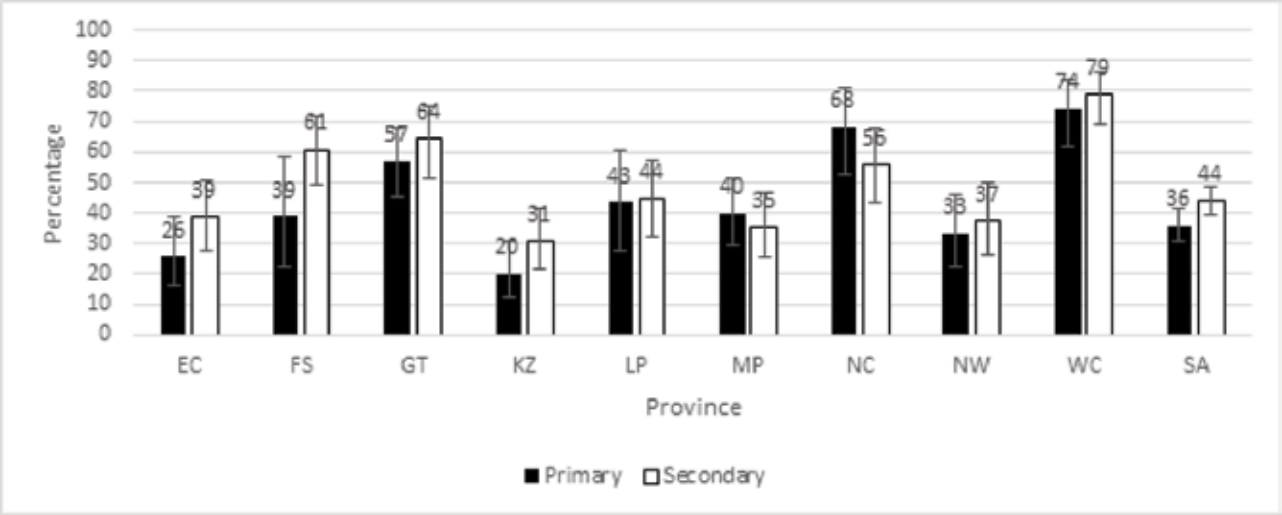
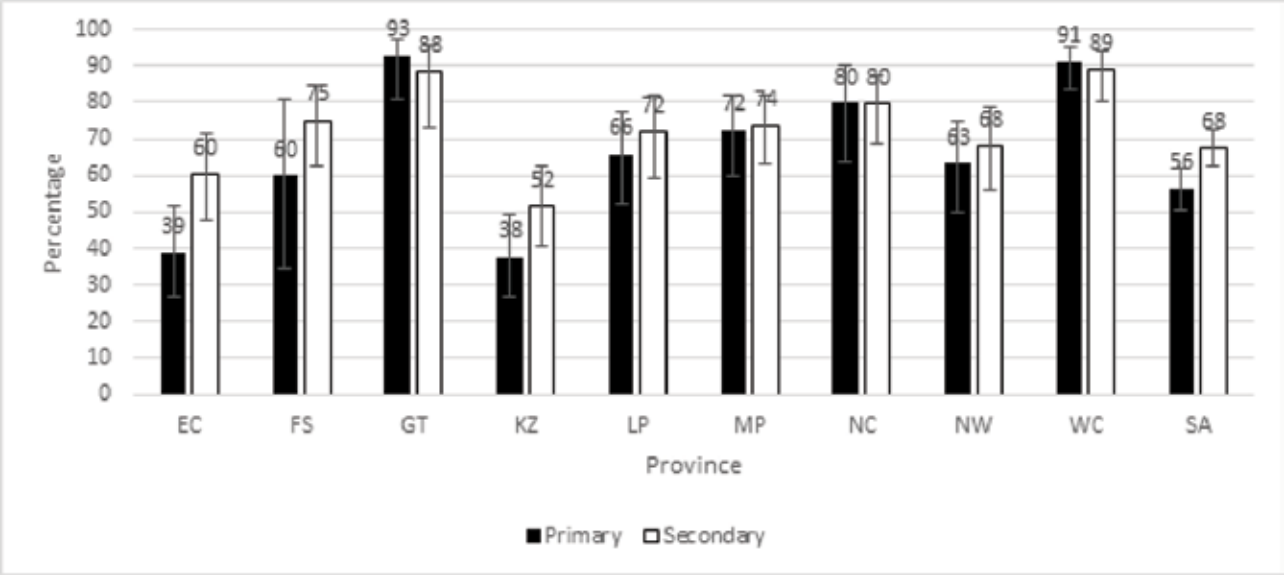


Figure 10.2b: Percentage of primary and secondary schools adhering to minimum physical infrastructure standards for 2016 by province, 2017



As could be expected, the higher schools' quintile status the greater their tendency to comply with the minimum school infrastructure requirements. To a statistically significant extent, Quintile 4 and 5 primary and secondary schools exceeded the national average ratings and those of Quintile 1 to 3 schools, when compared to both 2020 and 2016 targets, as shown in Figures 10.3a and 10.3b respectively. Except for Quintile 3 schools, within each quintile secondary schools' compliance when compared to 2020 targets was higher than that of primary schools, although the differences were not statistically significant.

Figure 10.3a: Percentage of primary and secondary schools adhering to minimum physical infrastructure conditions for 2020 by the quintile status of schools, 2017

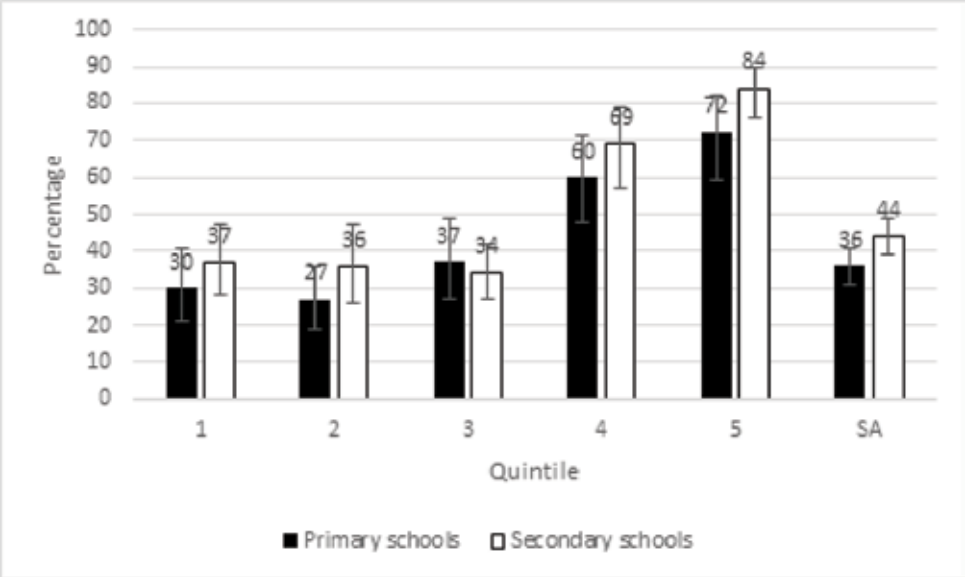


Figure 10.3b: Percentage of primary and secondary schools adhering to minimum physical infrastructure conditions for 2016 by the quintile status of schools, 2017

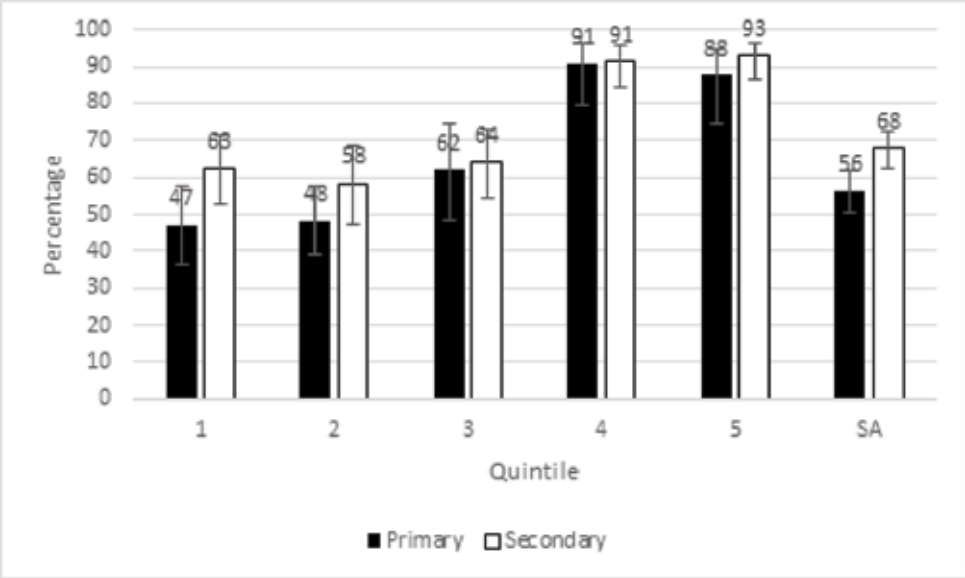
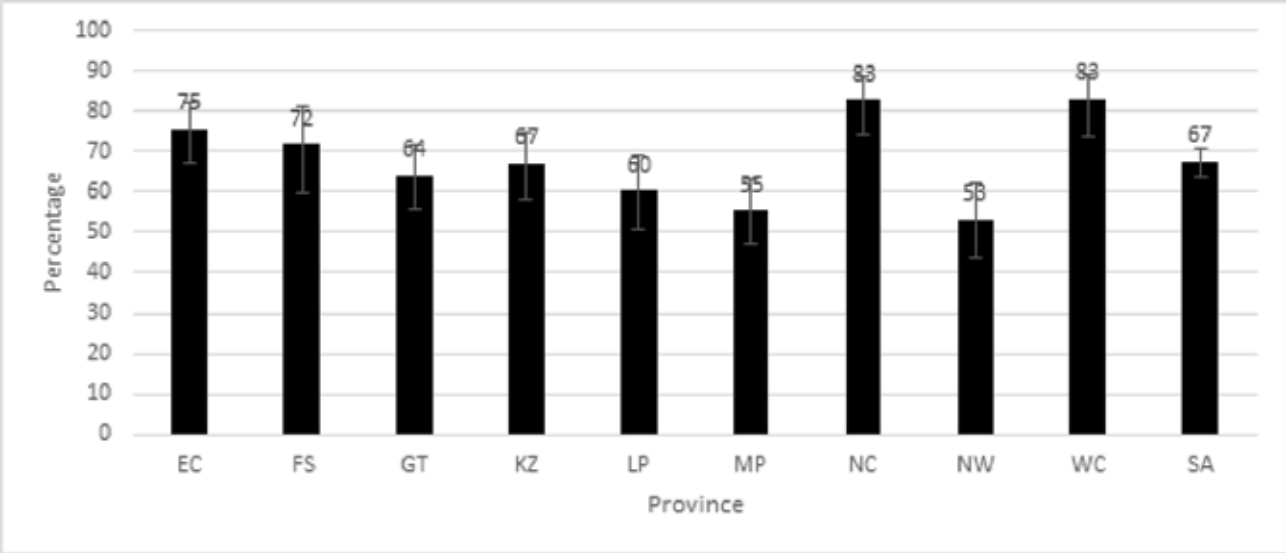


Figure 10.4 gives information about the percentage of schools, by province, with adequate classroom infrastructure (i.e., enough functional classrooms) in 2017. In Mpumalanga and the North West, the percentages were significantly lower than the national average; in the Northern Cape and the Western Cape, the percentages were significantly higher than the national average. (Adequacy of classrooms, that is, having enough functional classrooms in the school for the number of learners, was calculated by dividing the school enrolment by the norm of 40 learners per class. Next, it was established whether the observed number of usable classrooms at the school met the requirement just calculated, or not.) The large contribution of the classroom adequacy value to the low overall indicator value of 38% (see Figure 10.1a) is evident when comparing the 67% overall classroom adequacy percentage in Table 10.4 with the percentages of 76%, 90% and 80% respectively for water, electricity and sanitation in Table 10.1a, The resulting increased level of adherence to 2016 targets is shown in Figure 10.1b.

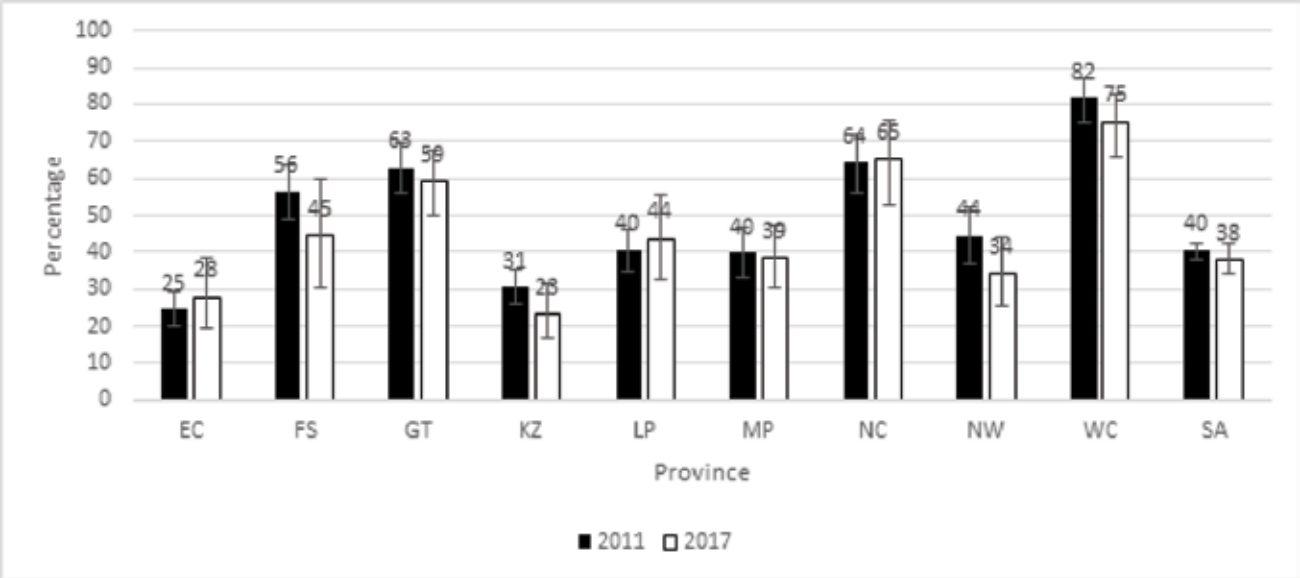
Figure 10.4: Percentage of schools with adequate classrooms by province, 2017



Changes in adherence to standards of minimum physical infrastructure between 2011 and 2017

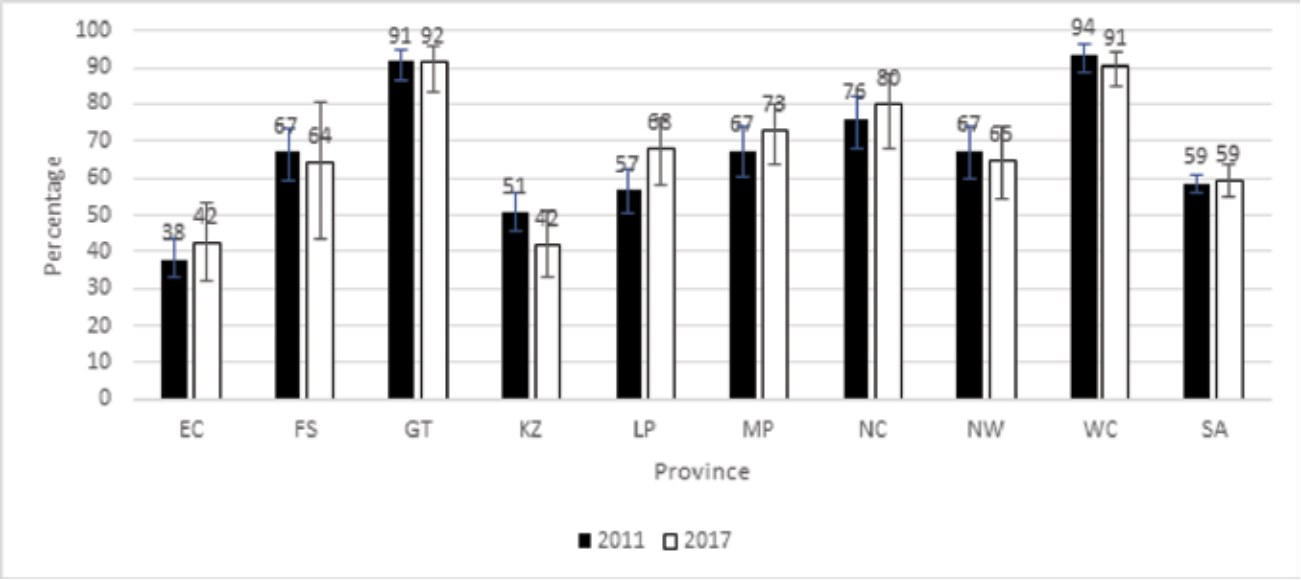
This section gives information about trends, between 2011 and 2017, in the extent to which schools complied with minimum infrastructure requirements. Figures 10.5a and 10.5b provide information by province for primary and secondary schools combined, in relation to the four 2020 targets and the three 2016 targets respectively.[36] At a national level, the calculated percentages of compliance in relation to the four targets sets for 2020 over the period were 40% and 38% respectively for 2011 and 2017. This difference was not statistically significant. One could therefore conclude that the situation remained stable. On the same basis, a small increase was noted for Eastern Cape and Limpopo, while a small decrease was noted in the Free State, KwaZulu-Natal, the North West and the Western Cape. However, none of these changes were statistically significant. A similar pattern emerged when using the three 2016 infrastructure targets, with the exception of schools in Mpumalanga now showing a slight improvement. The indicator value remained stable as before, albeit now at 59%.

Figure 10.5a: Percentage of primary and secondary schools combined adhering to minimum physical infrastructure standards for 2020 by province, 2011-2017



36 Tables T-10.7 and T-10.8 in the Technical Report provide the percentage estimates, along with their standard errors and confidence intervals, for the data from 2011 and 2017.

Figure 10.5b: Percentage of primary and secondary schools combined adhering to minimum physical infrastructure standards for 2016 by province, 2011-2017



In terms of schools' quintile status, neither clear or consistent patterns, nor statistically significant ones, emerged in relation to changes in compliance with minimum infrastructure standards for 2020, as can be seen in Figure 10.6a. Among Quintile 4 primary and secondary schools combined, the level of compliance increased (from 57% to 63%), as also among Quintile 5 schools (from 73% to 76%). Figure 10.6b reveals similar trends when using the three 2016 infrastructure standards.

Figure 10.6a: Percentage of primary and secondary schools combined adhering to four minimum physical infrastructure standards for 2020 by quintile, 2011-2017

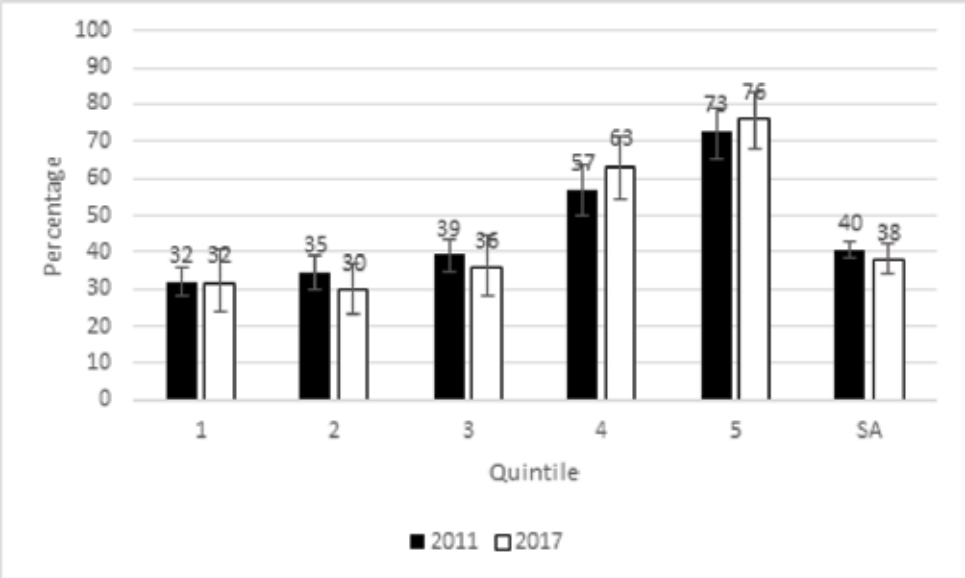
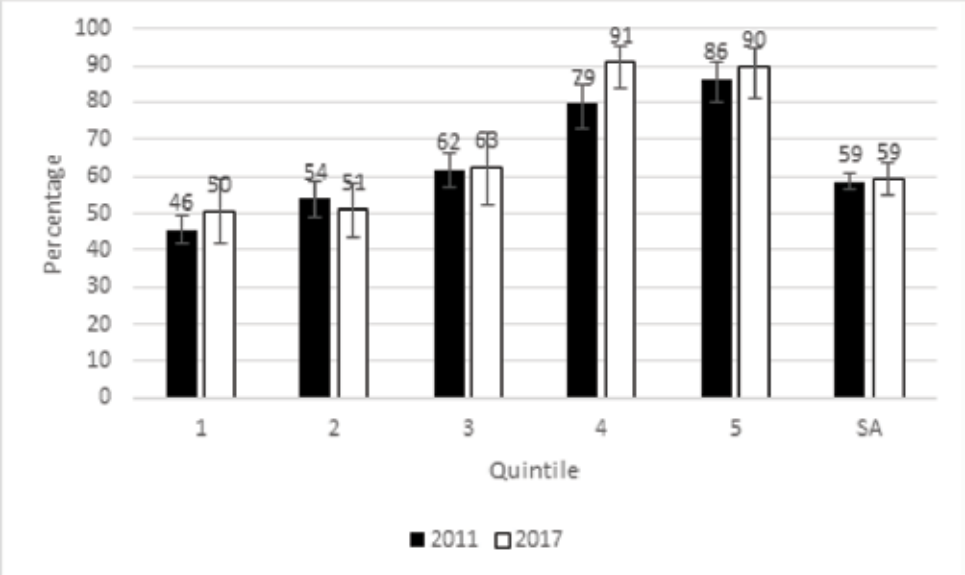


Figure 10.6b: Percentage of primary and secondary schools combined adhering to three minimum physical infrastructure standards for 2016 by quintile, 2011-2017



Summary

Very basic facilities that still were not universally available included running water (only 75,9% of schools had running water on the day of the visit) and adequate toilets (at 79,9%). Levels of overall compliance by schools in Gauteng, the Northern Cape and the Western Cape were significantly higher than the national average (59%; three 2016 targets); levels of compliance by schools in Eastern Cape and KwaZulu-Natal were significantly lower.

Levels of compliance to the minimum 2020 physical infrastructure standards by primary and secondary schools in the Western Cape and Gauteng, primary schools in the Northern Cape and secondary schools in the Free State were significantly higher than the national averages. Compliance levels among primary schools in the Eastern Cape (26%) and KwaZulu-Natal (20%) were the lowest, while secondary schools in the Eastern Cape, KwaZulu-Natal, Mpumalanga and the North West had compliance rates between 31% and 39%. Only the low 20% compliance rate at primary schools in KwaZulu-Natal was significantly different from the national average. Limiting the comparisons to 2016 targets produced trends.

The higher schools' quintile status the greater their tendency was to comply with the minimum school infrastructure requirements. To a statistically significant extent, Quintile 4 and 5 primary and secondary schools exceeded the national average ratings, when compared to both 2020 and 2016 targets.

In relation to the percentage of schools with adequate classroom infrastructure (i.e., enough functional classrooms) in 2017, the figures for Mpumalanga and the North West were significantly lower than the national average, while in the Northern Cape and the Western Cape they were significantly higher than the national average.

At a national level, the calculated percentages of compliance against the four targets set for 2020 over the period were 40% and 38% respectively for 2011 and 2017. This difference was not statistically significant. Neither was the consistent figure of 59% in relation to the three targets set for 2016.

Indicator 11: The percentage of schools with at least one educator who has received specialised training in the identification and support of special needs

Indicator 11 Fact Sheet

In the SMS 2017, principals were requested to nominate the member of staff who was best qualified to identify and assist learners with special education needs (LSEN) for an interview with the fieldworker. The indicator suggested by the DBE (2014) was that formal qualifications in Special or Remedial Education and formal/informal training on identifying/supporting LSEN was to be understood as specialised training in identifying and supporting LSEN. This principle was followed when constructing the indicator for 2017.

Indicator: 78% of schools with at least one educator who has received specialised training in the identification and support of special needs.

Source: LSEN Questionnaire

Weight: School weight

Variables and calculations:

An overall indicator was constructed using a combination of two sets of responses: formal/informal training or an LSEN qualification to indicate an LSEN specialisation. Details are given below.

The verbatim questions:

- Question 6: “Do you have a specific qualification in Special or Remedial Education? [S 1 Tertiary (degree, post-matric diploma, post-graduate diploma) in special or remedial education] [S 2 ACE in special or remedial education] [S 3 Accredited Short Courses in special or remedial education]” (With “No”/”Yes” response format for each of the three types of qualification.)
- Question 8: “Have you received any formal/informal training on identifying/supporting learners with learning barriers?” [This could include training provided by the school district, PED or courses that you self-initiated.]
- Question 13: “How confident are you in dealing with learners with learning barriers?”

In the 2011 SMS, similar questions regarding LSEN were included in the Educator Questionnaire. Educator questionnaires were completed in each school by a maximum of 10 teachers. Even though similar questions were asked, the way in which educators were selected was so different that direct comparisons were not considered.

Importance of specialised training for teachers in identifying and supporting special needs

The Action Plan 2019 (pp. 46-47) sets as Goal 26 to “Increase the number of schools that effectively implement the inclusive education policy and have access to centres that offer specialist services.” The plan states that there has been progress in enhancing teacher awareness and knowledge in relation to the principles and specific special needs methods that schools use to provide inclusive education. It states that “[b]y 2011, 64% of learners were in schools where the school principal reported that the school had constituted a team to deal specifically with special needs” and that the Department accepts the challenge of the remaining task. A key challenge is to utilise existing capacity among teachers in schools properly. Principals need to ensure that time, structures and physical resources are allocated to this end. Formal content was given to the foregoing in 2014 with the release of Government Notice 293. This aligned with a draft policy document on screening, identification, assessment and support for special needs education and in support of standardised educational support services in line with the integrated school health policy. School- and district-based support teams, full-service schools and special schools serving as resource centres are all prominent role players in this regard, although post-provisioning needs much more attention. The Action Plan 2019 proposed having mobile specialists serving clusters of schools as a mode of implementation.

The context and principles described above are concretised in the Action Plan 2019's required indicator, formulated exactly as the SMS 2017 Indicator 11 (as in the heading of this main section). In the SMS 2011 91% of schools nationally had at least one educator who has received specialised training in supporting learners with special needs, suggesting substantial capacity. There are some concerns, though. Teacher confidence was linked on the basis of the SMS 2011 data to having received a formal qualification that had focused on special needs and the teachers concerned also having received some informal training. This led the authors of the Action Plan 2019, in developing the indicators, to state that "a combination of more theoretical and practical training is required" (p. 47). Furthermore, "[o]nly 63% of learners are in schools where at least one teacher reported having undergone both types of development. The data also suggest that in a substantial number of schools which appear to have the capacity to implement certain special needs education, this work is not occurring. This could be because school principals have not fully bought into the idea of special needs support". At the time of the SMS 2011, the Free State, Gauteng and the Western Cape performed best in terms of this indicator and the Eastern Cape worst. Measuring the indicator was also informed by adherence across the whole schooling system to Education White Paper 6 on Special Needs Education as well as by the need to rate teacher confidence in identifying and supporting special needs education.

Indicator definition and data collection

As part of the SMS 2017, interviews were conducted with specific members of staff (usually identified with the assistance of the principal), who had been designated to support LSEN in their respective schools. In the 2011 SMS, the questions about LSEN were included in the Educator Questionnaire. These questionnaires were completed in each school by a maximum of 10 teachers. In the 2011 and 2017 surveys, the principals also had to answer questions about LSEN. The 2017 LSEN questionnaire collected information on teachers' specific qualifications in special or remedial education in the form of tertiary degrees, advanced certificates or accredited short courses. Additional questions were also asked about any informal or formal training received on supporting learners with learning barriers, curriculum differentiation and setting assessments for these learners. An overall indicator was constructed from a combination of two sets of responses: formal/informal training, or an LSEN qualification (any of the individual qualifications surveyed).

Status of specialised training to teachers in identifying and supporting special needs in 2017

Nationally, 78% of schools had at least one educator with formal/informal training or an LSEN qualification, thus confirming that they had received specialised LSEN training in identifying and supporting LSEN learners.

Schools' compliance in relation to teachers having at least one educator who had received formal/informal training or an LSEN qualification by province is shown in Figure 11.1. Approximately 78% of schools complied with the set standard. Compliance levels for schools in Limpopo were somewhat lower (not statistically significant) than the national average; in the Free State, Gauteng and the Western Cape, the indicator levels were significantly higher.[37]

Figure 11.2 displays the situation in relation to quintiles. There were no statistically significant differences in the percentages of teachers that hade received specialised training between schools with different quintile status.

37 Tables T-11.5 and T-11.6 in the Technical Report provide the estimates and standard errors pertaining to the overall indicator value (LSEN specialisation) as well as informal / formal training and an LSEN qualification received by respondents from primary and secondary schools combined, respectively by province and quintile. Table T-11.8 provides the confidence intervals for the overall indicator of LSEN specialisation.

Figure 11.1: Percentage of primary and secondary schools combined with a teacher who had received specialised training in LSEN (Indicator 11) by province, 2017

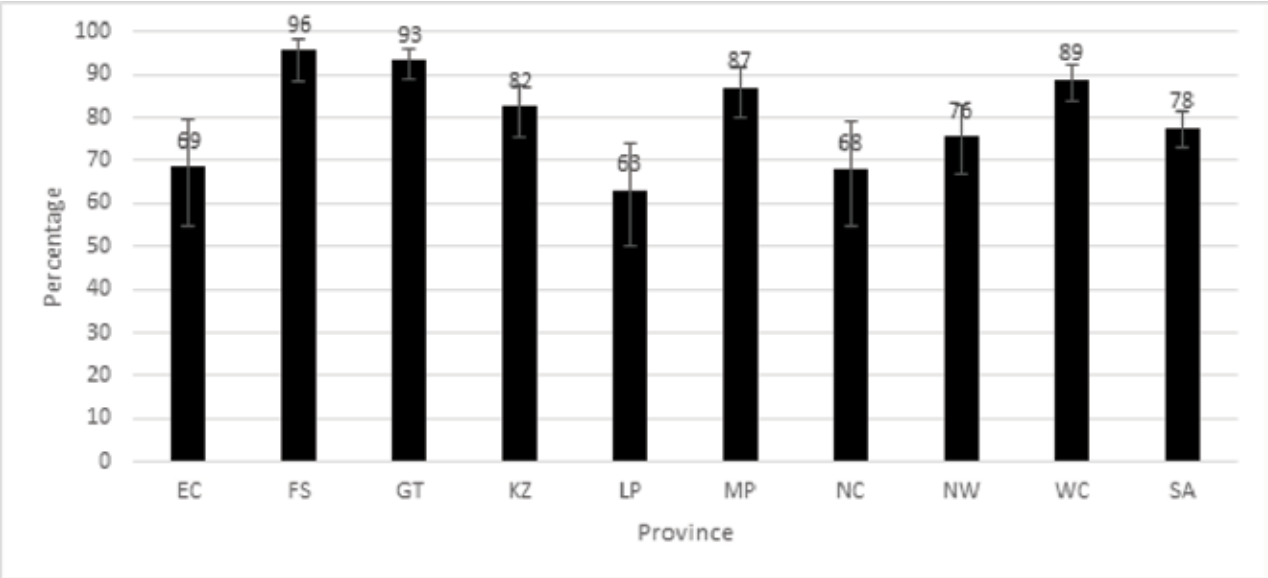
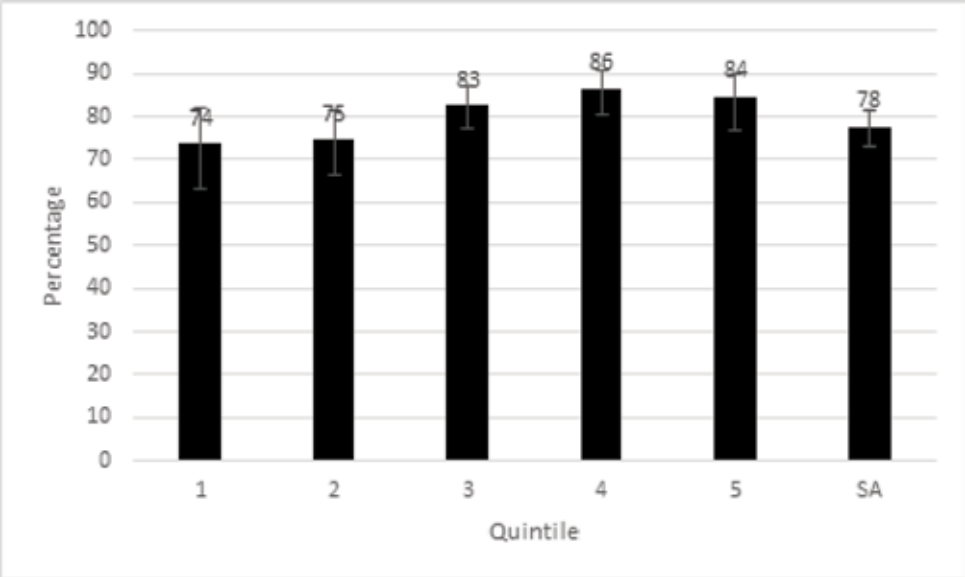


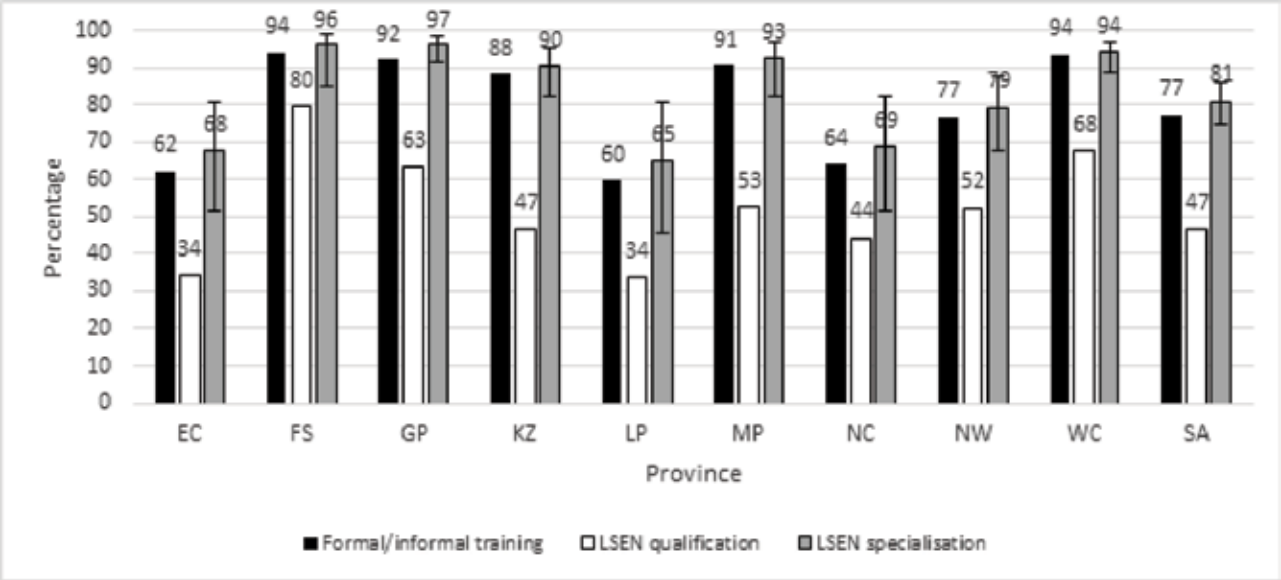
Figure 11.2: Percentage of primary and secondary schools combined with a teacher who had received specialised training in LSEN (Indicator 11) by quintile, 2017



As Figure 11.3 shows, in the Eastern Cape and Limpopo fewer primary schools than the respective national averages reported having at least one teacher with formal/informal training, an LSEN qualification and the resulting specialisation to identify and support LSEN learners (the latter appears as the third bar in the figure for each province and for the national average). The differences regarding specialisation were not statistically significant. Primary schools in the Free State, Gauteng and the Western Cape had relatively high training levels, qualifications and specialisation compared with the national figures. The combined indicator value (third bars) differences were statistically significant in the final two provinces mentioned.[38]

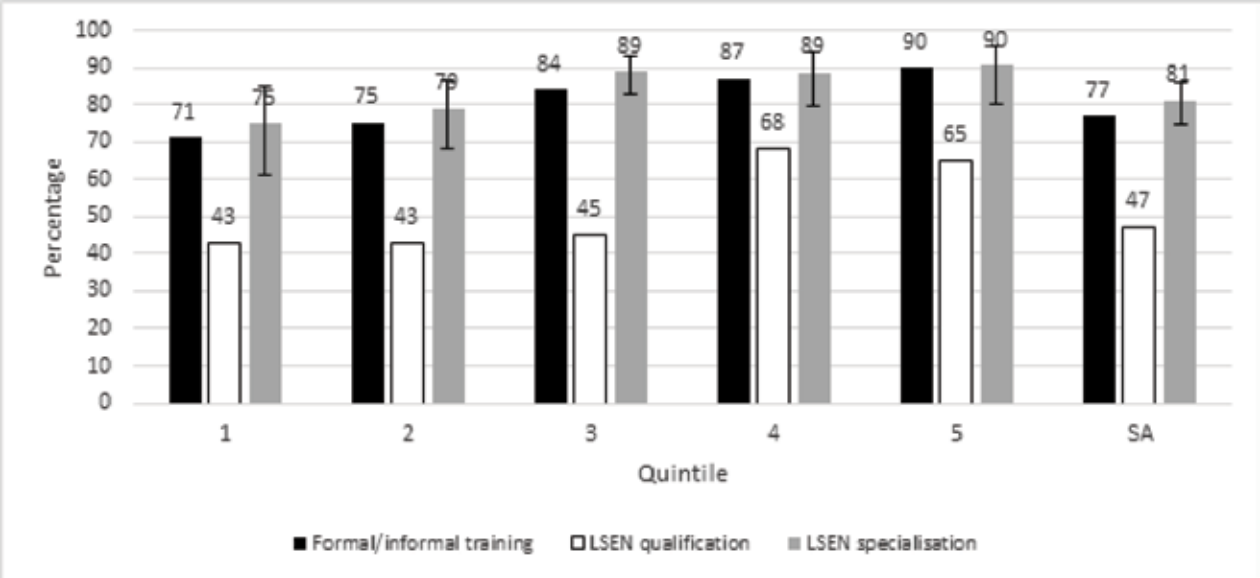
38 Tables T-11.1 to T-11.4 in the Technical Report provide the estimates and standard errors pertaining to the overall indicator value (LSEN specialisation) as well as informal / formal training and an LSEN qualification received by respondents from primary and secondary schools separately, respectively by province and quintile.

Figure 11.3: Percentage of primary schools with a teacher who had received specialised training in LSEN (Indicator 11) by province, 2017



LSEN specialisation did not differ significantly among the designated teachers from primary schools with different quintile status (see Figure 11.4; the third column in every set).

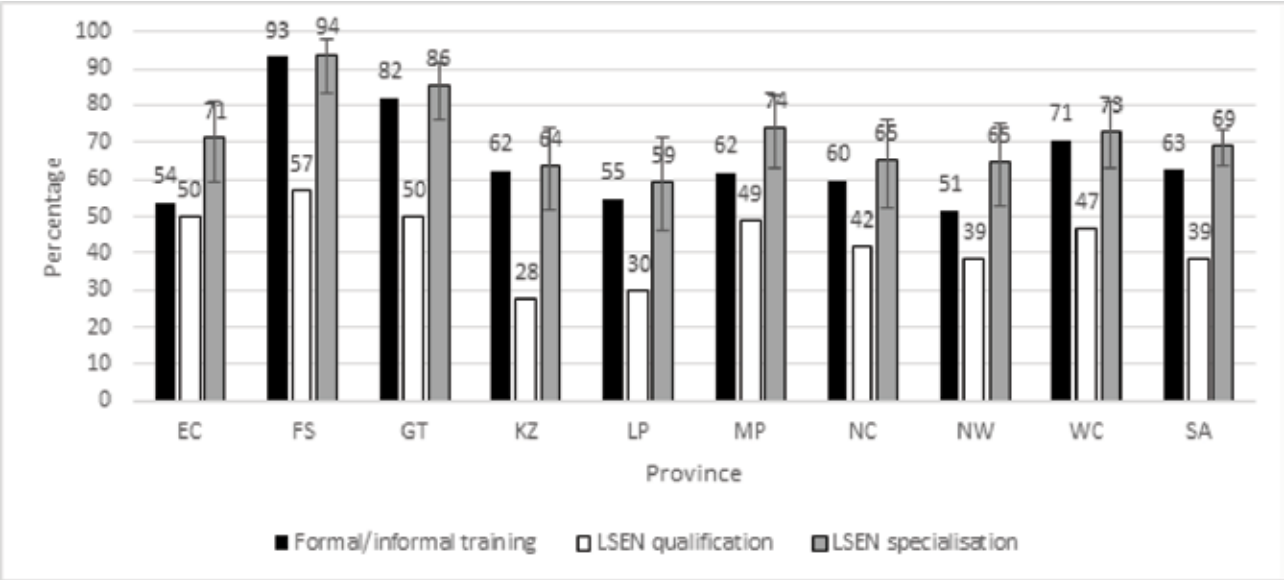
Figure 11.4: Percentage of primary schools with a teacher who had received specialised training in LSEN (Indicator 11) by quintile, 2017



For secondary schools, the general patterns across provinces followed those of primary schools although differences between formal/informal training and qualification levels appeared to be less pronounced than for primary schools, as can be seen in Figure 11.5. Secondary schools in the Free State and Gauteng had statistically significantly higher LSEN specialisation levels (third bars in graph) compared with the national figure.

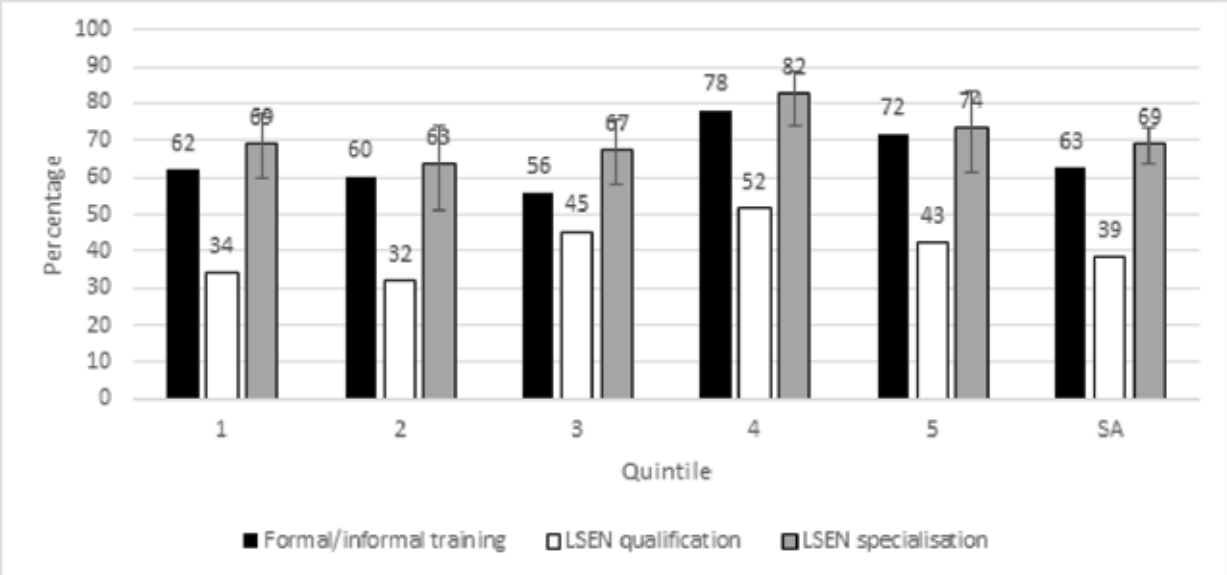
Nationally, the secondary school indicator value was 12 percentage points lower for secondary schools (69%) than for primary schools (81%), a pattern that was evident for teachers in schools in a majority of provinces, although the extent of differences varied.

Figure 11.5: Percentage of secondary schools with a teacher who had received specialised training in LSEN (Indicator 11) by province, 2017



The inconsistent relationship between secondary schools' quintile status and their LSEN capacity indicator values is shown in Figure 11.6. Indicator values (third bars in graph) did not differ statistically significantly between quintiles, with the exception of the difference for schools in Quintile 4 above the national average.

Figure 11.6: Percentage of secondary schools with a teacher who had received specialised training in LSEN (Indicator 11) by quintile, 2017



No consistent patterns between quintile status and LSEN training, qualifications and specialisation were evident. Quintile 4 secondary schools had the highest scores, generally followed by those in Quintile 5 although this order was not consistent. Quintile 3 schools had the second highest compliance in relation to LSEN qualifications. Quintile 1 schools did not score lowest for LSEN qualifications, as this was the case for Quintile 2 schools. Quintile 3 schools scored lowest in relation to formal/informal training.

Responses to the question about levels of teacher confidence in dealing with LSEN showed that in just more than 60% of schools, teachers were reported to be somewhat confident to confident. In almost 20% of schools, teachers were not confident at all, and in another 20%, they were very confident.[39]

39 The percentages of primary and secondary schools separately and combined with teachers who reported being in the four categories of confidence to support learners with special needs appear in Table T-11.7 in the Technical Report.

Changes from 2011 to 2017 in specialised training for teachers in identifying and supporting LSEN

As the selection of the respondent to the questions on LSEN was different between the SMS 2011 and the SMS 2017, a comparison of the availability of a member of staff who had received specialised training in the identification and support of LSEN was not possible. In 2011 a maximum of 10 teachers responded. The presence of an LSEN qualification in each school was determined and the percentage of schools with an educator with such qualification was calculated to be 70%. This is not directly comparable to the figure of 45% obtained for 2017 as, in 2017, only one educator per school was selected to respond and the selection of that educator was not exclusively based on her/his having obtained a formal qualification in LSEN. For this reason, no comparison to 2011 data is made.

Summary

Approximately 78% of schools complied with the set standards of having at least one educator who had received formal/ informal training or an LSEN qualification to provide them with the specialisation for identifying and supporting learners with special education needs. Compliance levels for schools in Limpopo were somewhat (not significantly) lower than the national average; in the Free State, Gauteng and the Western Cape, they were significantly higher.

Educators in primary schools in Gauteng and the Western Cape had statistically significantly higher LSEN specialisation levels compared with the national figure. LSEN specialisation did not differ significantly among the designated teachers from primary school with different quintile status.

There were statistically significant differences in secondary schools in the Free State and Gauteng which showed higher LSEN training specialisation in identifying and supporting LSEN learners compared to the national average. Quintile 4 secondary schools had the highest scores, significantly above the national average.

Nationally, the secondary school indicator value (69%) was 12 percentage points lower than for primary schools (81%).

In just more than 60% of schools, teachers reported being somewhat confident or confident in supporting LSEN, in almost 20% they were not confident at all, and in another 20% they were very confident.

Indicator 12: The percentage of schools visited at least twice a year by district officials for monitoring and support purposes

Indicator 12 Fact Sheet

According to the *Policy on the Organisation, Roles and Responsibilities of Education Districts* published in the Government Gazette of 3 April 2013, among the responsibilities of the district office is to assist school principals and educators to improve the quality of teaching and learning in their institutions through school visits, classroom observation, consultation, cluster meetings, suitable feedback reports and other means.

Indicator value: 84% of schools were visited at least twice by district officials for monitoring and support purposes in a year.

Source: Principal Interview

Weight: School weight

Variables and calculations:

In the SMS 2017, principals were requested to report on the number of visits from district officials that they received during 2017. Principals had to select one of the options given (as reported below). At least two visits were required to be received during the year (Action Plan 2019). The second question was dependent on the first. Thus selecting "No" as the answer to the first question implied coding of the second as "0".

Verbatim formulation of questions:

- Question 166: "Has your school been visited by any district/circuit officials this year?" (with "No"," Yes" and "Don't know" response format.)
- Question 167: "How many visits have the school received this year from district officials for monitoring and support purposes? Important: exclude meetings, delivery visits, visits related to grievance procedures and visits not relating to monitoring or support activities. For instance, visits only to deliver correspondence should not be counted." (The response categories provided were: 1, 2, 3-6, 7-12, More than 12.)
- Questions 41 and 42 in the 2011 SMS covered the same information.

Importance of visits by district officials to schools for monitoring and support purposes

This indicator is one of five identified for parallel in-depth qualitative study because of its special importance. Indicator 13 is treated in conjunction with the present one (Indicator 12) because the former relates to how satisfied schools are with the support services provided by district offices. The information presented here is therefore not repeated in detail in the corresponding section for Indicator 13. The Action Plan 2019 (p. 47) states that school weaknesses reflect district weaknesses. The district offices policy, finalised in 2013 (described in more detail later), is perhaps the best example of what the DBE has been doing to remedy deficiencies in the situation. Between 2009 and 2011, there was an increase from 78% to 87% in the percentage of schools reporting at least two face-to-face interactions with district officials. Districts' use of assessment information, strengthening the capacity of districts and generating a greater variety of standard monitoring and management reports have been identified in the Action Plan 2019 as key issues to address. Both this present report based on November 2017 survey data and the qualitative component of the 2017 SMS, aimed to investigate the processes and relevant factors related to the number and nature of visits by district officials. Information was collected about the purpose of the visits, which do not automatically appear to translate into significant support from the district.

Indicators (sub-goals) 27.1 and 27.2 from the Action Plan 2019 were used as Indicators 12 and 13 for SMS 2017. The two sub-goals focus on districts' monitoring and support task, carried out through the district office as key role player in relation to assessment policy, practice and use; accountability and reporting; monitoring curriculum coverage (in line with Goal 18 of the Action Plan 2019); and enhancing inclusive education through district-based support teams (in line with Goal 26). SMS 2011, with its data collection undertaken in November 2011, indicated that 88% of schools were

visited at least twice in 2011.

In response to directives in the National Development Plan, the Action Plan 2019 (pp. 47-49) suggests short- to medium-term deployment of district multidisciplinary support teams as an important strategy towards alleviating schooling quality issues. Improved communication platforms and frequencies, especially between national and district structures, as well as between district offices, were also said to have started to yield results from about 2010, all the time improving districts' ability to support schools. Following on from the National Education Policy Act (27 of 1996), Government Notice 300 of 2013, in particular ("Policy on the Organisation, Roles and Responsibilities of Education Districts"), was claimed to have played a major role. One of the tasks given to district offices was to increase assistance to schools in developing school improvement plans and to principals and teachers in improving the quality of teaching and learning. Section 20.2 (2) identifies school visits, classroom observation, consultation, cluster meetings, suitable feedback reports and other approaches as appropriate. Section 50 identifies assistance with curriculum, management/governance, learner assessment and operations support teams. Understandably, the policy to a large extent focuses on issues such as human and other resources; appropriate district, circuit and school ratios; delegations; and accountability.

The Action Plan 2019 also underscores the importance of involving teacher unions, parent associations and the private sector in supporting improvements in schooling quality and innovation, pivotally through district mechanisms. The intention of the National Education Collaboration Trust (NECT), established in 2013, is to lead this initiative as part of its institutional capacitation thrust.

Indicator definition and data collection

The 2011 SMS included 10 questions on principals' satisfaction with district monitoring and support (Indicator 13) as well as questions about the frequency and purposes of district officials' visits to schools, principals and teachers (Indicator 12). The national statistic for Indicator 12 (the percentage of schools having received at least two monitoring and support visits in the previous year), was retained over the two surveys (from 2011 to 2017) to monitor trends over time.

To generate the national indicator in 2017, the data were collected by fieldworkers through interview questions put to school principals[40]. These covered whether or not schools had been visited by district or circuit officials; how many visits there had been (with the questions giving frequency categories: 1, 2, 3-6, 7-12 and more than 12); the designation or identity of the visitor; the topics covered during visits as related to monitoring of compliance; the topics covered during support visits and who at the school was visited. Follow-up questions were asked about the school officials' satisfaction with these visits and, from a list of six potential improvements at a district level to support schools better, which three of them (in rank order) the principals wanted to be prioritised. For each province, the number of schools in each visit frequency category was transformed to a percentage. Percentages per category were then reported by province and school quintile status. School weights were applied in estimating the national numbers of visits.

In-depth qualitative data were collected on this indicator in three primary and three secondary schools in three provinces: the Free State, Limpopo and the Western Cape. A separate report covers these findings. The information was collected by administering a suite of instruments across a range of participants. The instruments were twofold: they included interviews with the principal, selected teachers, the SGB Chair and an additional parent SGB member; and document review of materials such as the school, academic and curriculum development and improvement plans, the visitors' book and correspondence with the district office. The information of interest was that relating to benefits of district officials' visits to schools and principals and subject advisors' visits to teachers. The main focus was an improvement of teaching and learning in the classroom, including classroom-based support. Participants were provided with ample opportunity to make recommendations about how interactions with and support from district officials can be improved. Special attention was given to joint participation relating to school development plans, budgets and annual reports, and to the nature, frequency, scheduling of visits and advance notification about them.

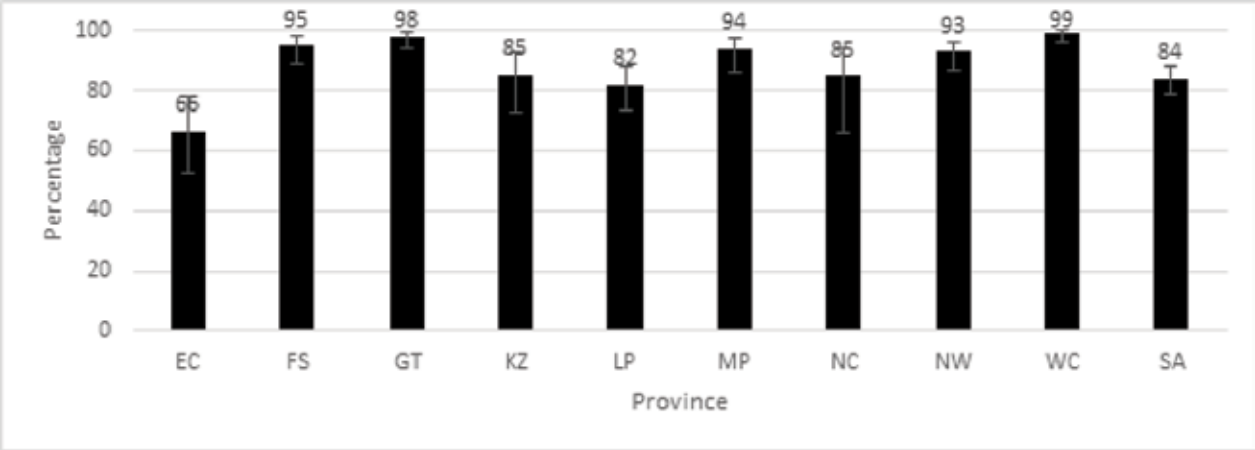
40 Teachers also participated in interviews, during which the same questions were asked about being visited (by subject/curriculum advisors in their case); the frequency of these visits; the purpose of the visits; the teachers' satisfaction with the visits; how far in advance of the visits they had been informed about them; and recommendations for improvements. (This teacher-based information falls outside the national indicator calculations and can be reported on in subsequent studies).

Status of district monitoring and support visits in 2017

At the national level, for primary and secondary schools combined, 84% of schools reported having been visited at least twice a year by district officials for monitoring and support purposes.

Figure 12.1 shows the percentage of primary and secondary schools combined that reported receiving the required minimum of two monitoring and/or support visits in 2017 from district officials. In the Eastern Cape, only two-thirds of schools received at least two visits, significantly below the national average of 84%. In five provinces, the Free State, Gauteng, Mpumalanga, the North West and the Western Cape, over 93% of schools reported that they received the required minimum number of visits.

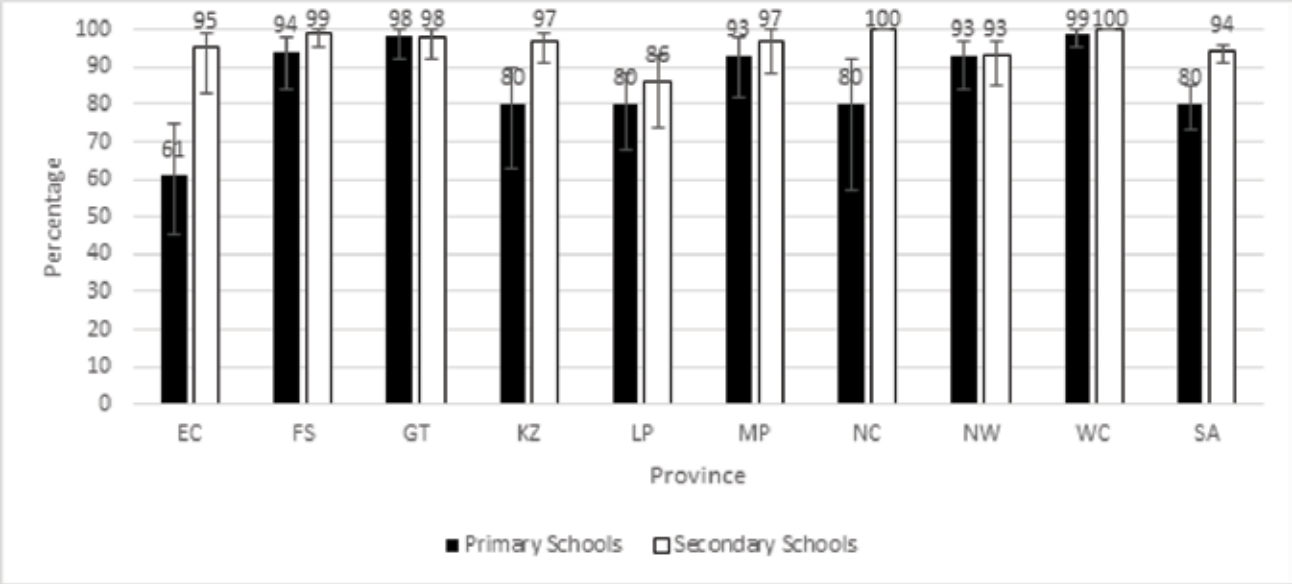
Figure 12.1: Percentages of primary and secondary schools combined having received at least two visits from district officials by province, 2017



When the findings were analysed by school level, some notable differences emerged (see Figure 12.2). Data from primary schools in the Eastern Cape showed that 39% had not received at least two monitoring and support visits from district officials, far more than the national average for primary schools. However, the difference was not statistically significant. Primary schools in the Free State, Gauteng, Mpumalanga, North West and the Western Cape reported figures above 90%, much better than the national average of 80% of primary schools reporting receiving at least two support visits. The differences were statistically significant in the cases of Gauteng and the Western Cape.[41]

41 The percentages of primary and secondary schools separately in each visit-frequency category by province and quintile can be found in Tables T-12.1 and T-12.2 in the Technical Report.

Figure 12.2: Percentage of primary and secondary schools that had received at least two visits from district officials by province, 2017



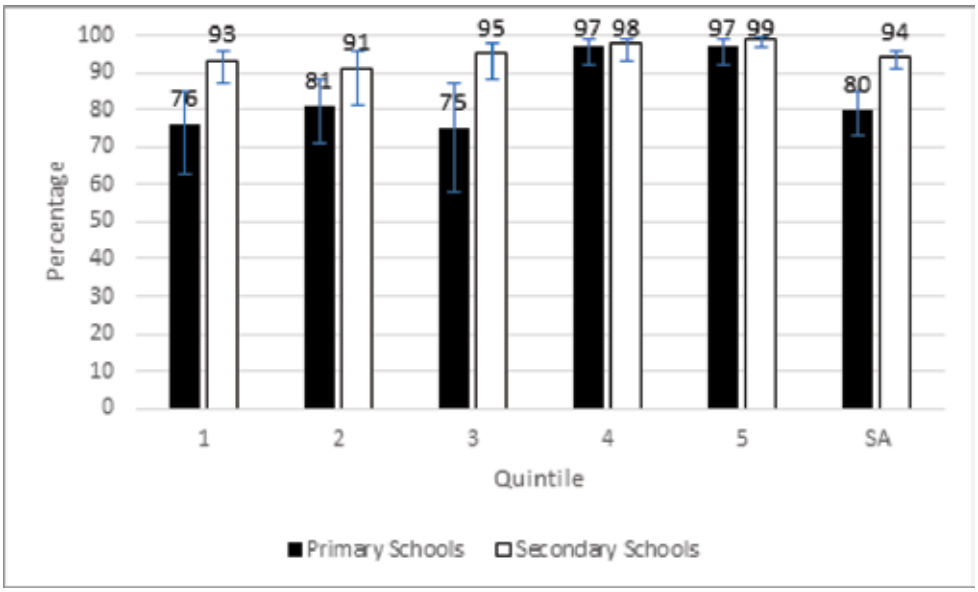
Secondary schools (also from Figure 12.2) in Limpopo reported below average monitoring and support visits by district officials, while secondary schools in the Free State, Gauteng, the Northern Cape and the Western Cape reported higher than average numbers of support visits (with only the Northern Cape and the Western Cape statistically significant compared to the national average for secondary schools).

A significantly larger percentage of secondary schools than primary schools received at least two visits from district officials in 2017 (94% compared with 80%). The differences between the percentages of primary and secondary schools having received two visits within a province were significant for schools in the Eastern Cape and KwaZulu-Natal.

As Figure 12.3 shows, compared with the national average, more Quintile 4 and 5 primary and secondary schools received two or more monitoring and support visits from district officials than lower-quintile schools. Except for the finding relating to the difference between Quintile 4 schools and the national average for secondary schools, these differences were significant. Quintile 1 to 3 primary schools generally received fewer visits than the national average number of visits, although the differences were not statistically significant. Within quintile groups, for Quintile 1 and 3 schools, as with the national average, significantly more secondary schools, compared to primary schools, received at least two visits.[42]

42 The percentages of primary and secondary schools separately having received at least two district visits by province and quintile can be found in Tables T-12.3 and T-12.4 in the Technical Report.

Figure 12.3: Percentage of primary and secondary schools that had received at least two visits from district officials by quintile, 2017



Changes between 2011 in 2017 in district monitoring and support visits

Figure 12.4 shows trends between 2011 and 2017 for provinces, and Figure 12.5 for Quintiles.[43] For primary and secondary schools combined, the national percentage of schools receiving at least two monitoring and support visits from district officials revealed no statistical differences from 2011 to 2017. For schools in all provinces, the *status quo* was therefore maintained over the period. In the Eastern Cape and KwaZulu-Natal, a small, but not statistically significant, downward trend was noted.

Figure 12.4: Percentage of primary and secondary schools combined having received at least two visits from district officials by province, 2011-2017

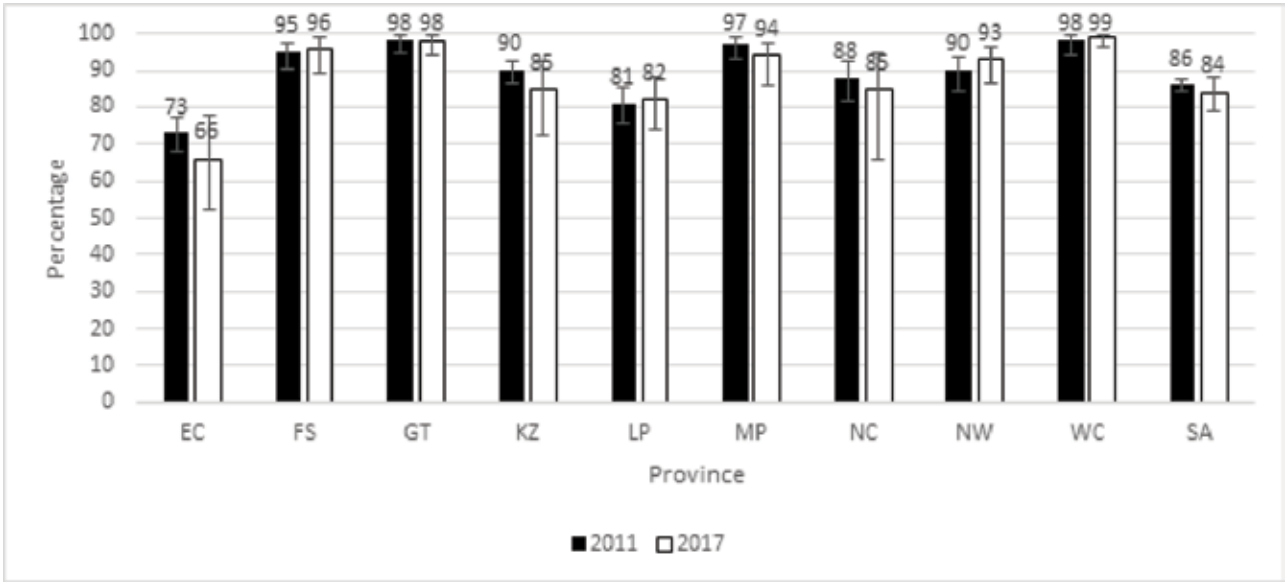
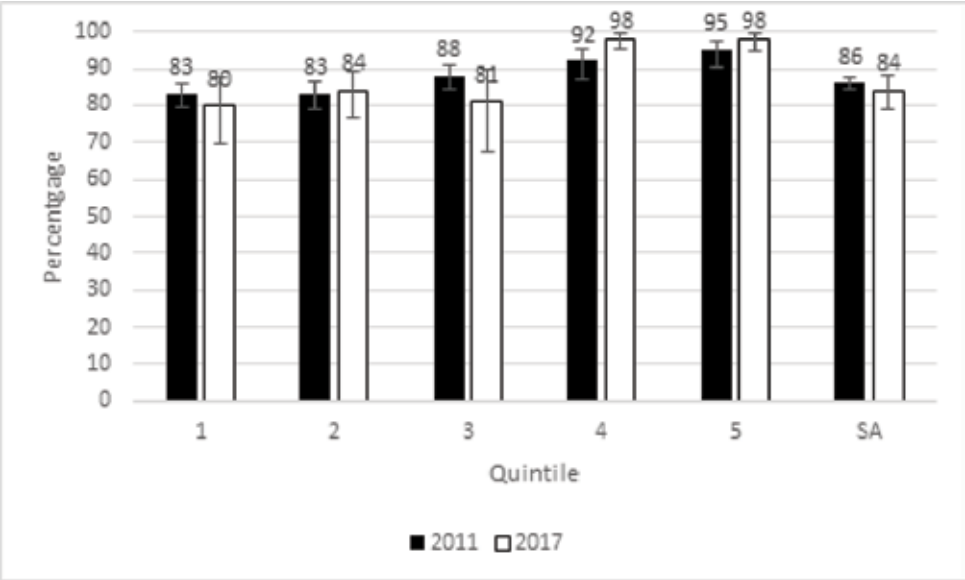


Figure 12.5 shows changes between 2011 and 2017 in relation to schools' quintile status. For Quintile 3 schools, the percentage of district monitoring and support visits seemed to have decreased; however, the decrease was not statistically significant. For Quintile 4 and 5 schools, there were increases; in the case of the former, the increase was significant.

43 The percentages of primary and secondary schools separately having received at least one and at least two district visits in 2011 and 2017 by province and quintile can be found in Tables T-12.5 and T-12.6 in the Technical Report. Standard errors and confidence intervals, with the percentage estimates for primary and secondary schools combined, by province and quintile, appear in Tables T-12.7 and T-12.8.

Figure 12.5: Percentage of primary and secondary schools combined having received at least two visits from district officials by quintile, 2011-2017



Summary

In the Eastern Cape, only two-thirds of schools received visits, significantly below the national average of 84%. In five provinces, the Free State, Gauteng, Mpumalanga, the North West and the Western Cape over 93% of schools reported that they received the required minimum number of visits.

Data from primary schools in the Eastern Cape showed that 39% had not received at least two (2) monitoring and support visits from district officials, far more than the national average for primary schools. However, the difference was not statistically significant. Primary schools in the Free State, Gauteng, Mpumalanga, the North West and the Western Cape reported figures above 90%, much better than the national average of 84% of primary schools reporting receiving at least two support visits. The differences were statistically significant in the cases of Gauteng and the Western Cape.

Secondary schools in Limpopo reported below average monitoring and support visits by district officials, while secondary schools in the Free State, Gauteng, Northern Cape and the Western Cape reported higher than average numbers of support visits (with the percentage differences for only the latter two provinces statistically significant compared to the national average for secondary schools).

A significantly larger percentage of secondary schools than primary schools received at least two (2) visits from district officials in 2017 (94% compared with 80%). The corresponding differences between secondary and primary schools were also significant for schools in the Eastern Cape and KwaZulu-Natal.

For primary and secondary schools combined, the national percentage of schools receiving at least two (2) monitoring and support visits from district officials revealed no statistical differences from 2011 to 2017. For schools in all provinces, the *status quo* was therefore maintained over the period. In the

Eastern Cape and KwaZulu-Natal, a possible downward trend was noted.

For Quintile 3 schools, the percentage of district monitoring and support visits seemed to have decreased; however, the decrease was not statistically significant. For Quintile 4 and 5 schools, there were increases; in the case of the former, the increase was significant.

Indicator 13: The percentage of school principals rating the support services of districts as satisfactory[44]

Indicator 13 Fact Sheet

The ability to measure satisfaction with the support provided by district office officials is important for understanding the relationship between schools and district offices. In the SMS 2011, principals had to rate their degree of satisfaction with district services rendered with regard to 21 areas. The DBE (2011, 2013) proposed various composites of these ratings. The DBE (2013, p.42) suggested that obtaining an overall picture of satisfaction with district support "is often best done through questions dealing with overall satisfaction". Consequently, the SMS 2017 replaced a large number of questions in the SMS 2011 with one broad question, as cited below (covering satisfaction with school visits by district officials). The principals who indicated that they had received no visits (11% of primary school and 2% of secondary school principals) were not asked the question on satisfaction and subsequently excluded from the analysis.

Indicator values: 78 % of school principals rated the support services of districts as satisfactory

Source: Principal Interview

Weight: School weight

Variables and calculations:

In the SMS 2017, principals who indicated that they received at least one visit from the district office (Question 166) were asked to indicate their degree of satisfaction with these visits using the following four options:

A 1 Not satisfied

A 2 Somewhat satisfied

A 3 Satisfied

A 4 Very satisfied

It was not possible to consider principals' levels of satisfaction if they responded "No" to Question 166. These principals were therefore excluded from the analysis of the responses to Question 175. Options A 1 and A 2 were interpreted as degrees of dissatisfaction while options A 3 and A 4 were interpreted as degrees of satisfaction. This led to two categories: Satisfied and Dissatisfied.

Verbatim formulation of questions:

- Question 166: "Has your school been visited by any district/circuit officials this year?" (With "No", "Yes" and "Don't know" response format.)
- Question 175: "How satisfied were you with the visits from the District Official?"

There was no equivalence with questions in the 2011 SMS.

Importance of satisfaction with visits by district officials

Because the broader context of Indicator 12 is similar to that of Indicator 13, the motivation and rationale section provided for Chapter 12 is not repeated in all its detail here. Chapter 12 focuses on the number and purpose of visits, culminating in an indicator comprising the percentage of schools visited at least twice in the year by district officials for monitoring and support purposes. Chapter 13 focuses on the intended school beneficiaries' satisfaction with district officials' school monitoring and support visits, culminating in an indicator comprising just that. The various motivations and background information can be consulted under Indicator 12.

The slightly different emphasis does require some comment, though. The information collected for Indicator 13 is less factual than for Indicator 12; it is more subjective in the sense of being linked to recipients' perceptions of the intended benefits and about how well the district officials succeeded in their task. There is also a greater emphasis on gaps and challenges and on possible remedies proposed by the intended beneficiaries. In consequence, much effort was put into the collection of qualitative data in the second component of the 2017 survey and more of the content relating to this

44 Note the shift in emphasis to the exact question (Q175) included in SMS 2017.

indicator, and reporting in this section, centres on the relevance to principals and teachers of the visits' purposes. For instance, were visits structured around classroom-based support by subject advisors in the form of lesson observations and demonstration lessons to increase teachers' proficiency and confidence in teaching and learning interaction? Or were they structured around something else less critical, challenging or prevalent? Once relevance has been established, answers could be sought and found about how well the purposes of visits were executed.

In short, the background provided by the Action Plan 2019 and by the ToR for this study, as introduced in the discussion of Indicator 12, apply here and can be consulted in those documents.

Indicator definition and data collection

Most of the information about data-collection instruments, participants, procedures at schools and instrument items presented under Indicator 12 remains relevant here. As noted earlier, an important shift of emphasis in Indicator 13 was the wish to obtain "subjective" information from principals and teachers about how well district officials' visits helped to increase proficiency and the ability to improve education quality at school level through school management and functioning and especially through improved teaching and learning.

In the SMS 2011, principals were asked to rate their degree of satisfaction with districts' services using 10 items related to compliance monitoring (Q44.1-10) and 14 related to support (Q45.1-14). Using the same response options (see below), satisfaction with visits was indicated under each of the topics or tasks potentially addressed during visits. The DBE's 2011 and 2013 reports proposed various composites of these ratings in search of enhanced indicator veracity. The DBE report (2013c , p.42) suggested arriving at an overall picture of satisfaction with district support, which "is often best done through questions dealing with overall satisfaction". Consequently, SMS 2017 replaced a large number of questions in the SMS 2011 with one broad question (Q175).

In the SMS 2017, principals who indicated that they received at least one visit from a district official were requested to indicate their degree of satisfaction with these visits using the following four options:

1. Not satisfied
2. Somewhat satisfied
3. Satisfied
4. Very satisfied

Eleven percent of principals of primary and 2% of secondary schools indicated that they had received no visits from district officials. As these respondents could not indicate their level of satisfaction of visits that did not take place, they were added to the "Not satisfied" category.

In reports based on 2011 survey data, (DBE, 2011, 2013), options 1 and 2 are interpreted as degrees of dissatisfaction and options 3 and 4 as degrees of satisfaction. This leads to two categories, "Satisfied" and "Dissatisfied", used in reporting on the2017 main indicator. The results for the two major response categories are given in the next sub-section. [45]

45 The results for the four response categories in SMS 2017 are given only in the Technical Report.

Status of satisfaction with visits by districts officials in 2017

Nationally, 78% of schools were satisfied with the visits from district officials for monitoring and support purposes.

Figure 13.1 shows the percentage of principals from primary and secondary schools combined who were satisfied with the district visits. Compared with the national average of 78%, a statistically significantly lower percentage of Eastern Cape principals (63%) were satisfied with the visits and significantly higher percentages of Gauteng and Western Cape principals were satisfied with them.

Figure 13.1: Percentages of principals from primary and secondary schools combined who were satisfied with the support visits by district officials by province, 2017

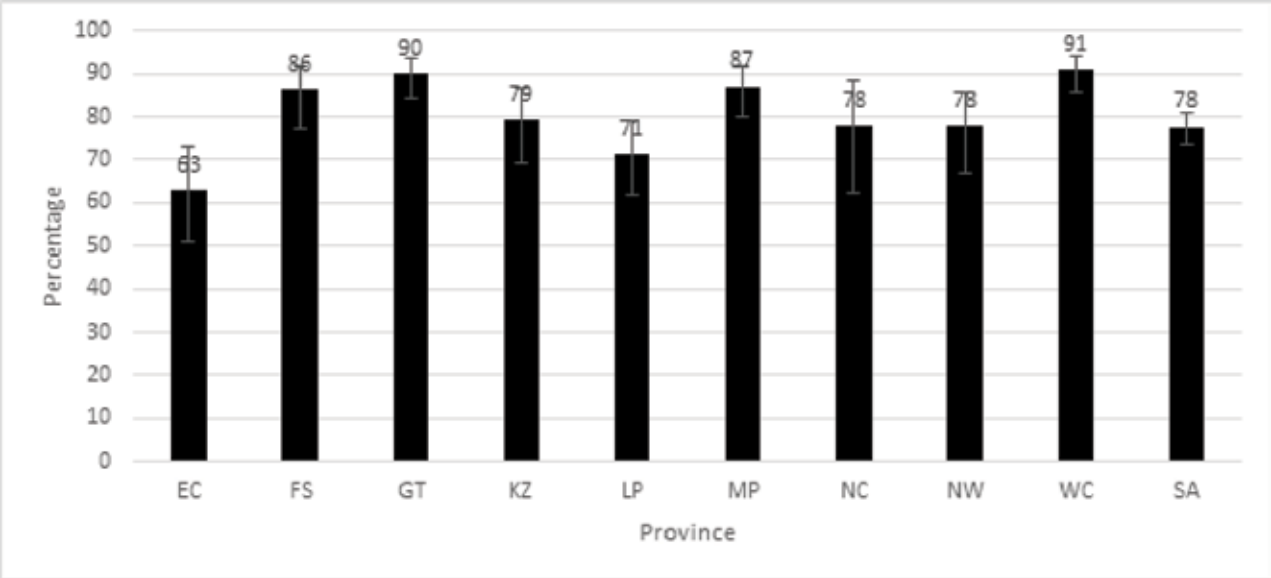
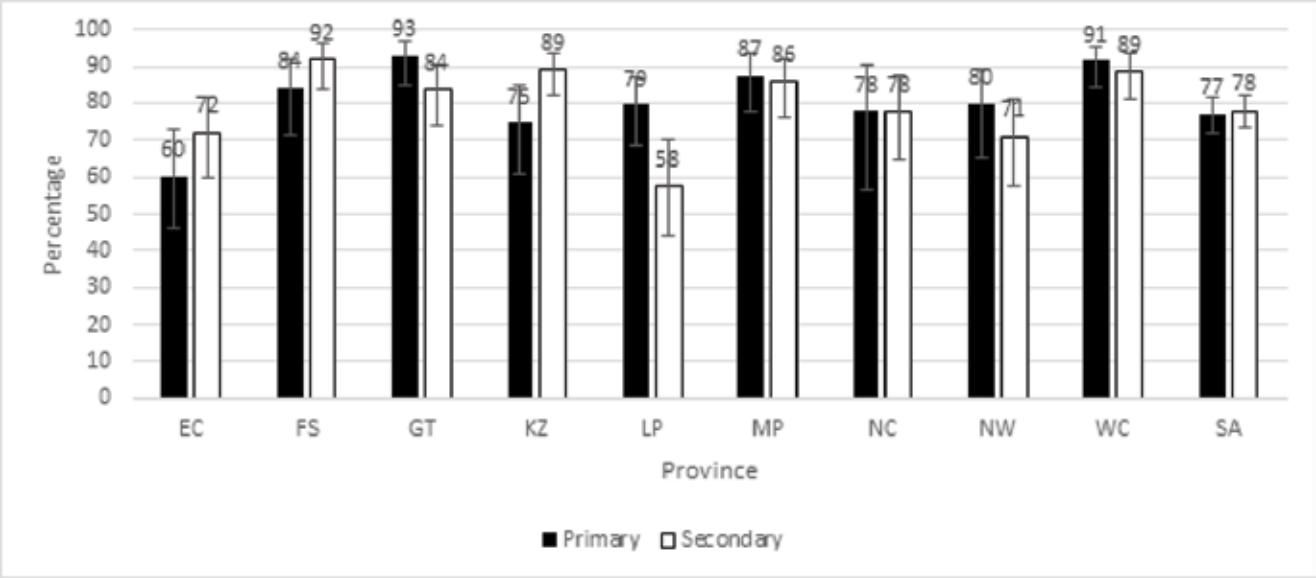


Figure 13.2 shows that the percentages of principals in primary schools in Gauteng and the Western Cape were significantly higher than the national primary school average. Free State and Mpumalanga primary schools also seem to show above-average satisfaction, albeit not statistically significantly. Not significant either, the percentage of Limpopo school principals were far below the primary school average. In relation to secondary schools, Limpopo school principals' ratings of their satisfaction with district support visits were significantly lower than the national average; those in the Free State were significantly higher. Although not significant, the KwaZulu-Natal and Western Cape secondary school percentages were relatively high as well.

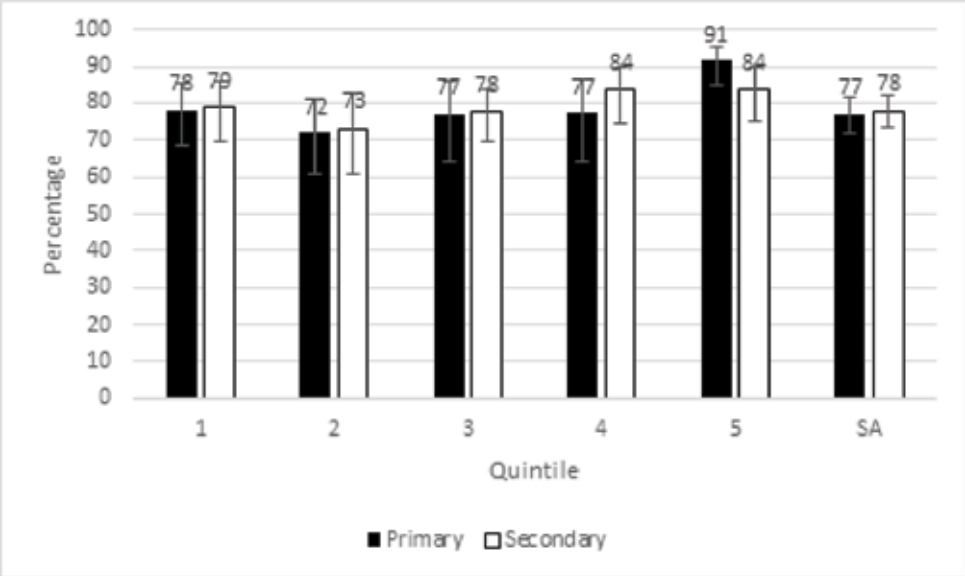
Figure 13.2: Percentages of principals from primary and secondary schools who were satisfied with the support visits of district officials by province, 2017



Although no significant differences were observed, in schools in the Eastern Cape and KwaZulu-Natal, satisfaction levels seemed higher among secondary school than primary school principals. In schools in Gauteng, Limpopo and the North West, this situation was reversed, with satisfaction seemingly higher at primary schools. The trend of either primary or secondary school principal ratings potentially being more positive was observed equally across provinces. The national average for secondary (78%) and primary schools (77%) did not differ statistically significantly, thus appearing to be equal.

Figure 13.3 shows the links between quintile status and satisfaction with district support visits.

Figure 13.3: Percentages of principals from primary and secondary schools who were satisfied with the support visits of district officials by province, 2017



To a statistically significant extent, Quintile 5 primary school principals showed greater satisfaction with district visits than the national average value for primary schools.

Changes from 2011 to 2017 in satisfaction with support visits by district officials

In the case of Indicator 13, trends over time could not be explored because of the considerable differences in instruments and the calculation of indicator values in the two surveys.

Summary

Compared with the national average (78%), a significantly lower percentage of Eastern Cape principals were satisfied with the visits while significantly higher percentages of Gauteng and Western Cape principals were satisfied with them.

The percentages of principals in primary schools in Gauteng and the Western Cape differed significantly from (being higher than) the national primary school average. Free State and Mpumalanga primary schools also seem to show above-average satisfaction, albeit not statistically significantly.

Limpopo secondary school principals' ratings of their satisfaction with district support visits were significantly lower than the national average; those in the Free State were significantly higher.

In Eastern Cape and KwaZulu-Natal, satisfaction levels seemed higher (non-significant) among secondary school than primary school principals. It was the inverse, seemingly (non-significant) favouring primary schools in Gauteng, Limpopo and the North West. The trend of either primary or secondary school principal ratings potentially being more positive was observed equally across provinces, but differences were not statistically significant. The national average for secondary (78%) and primary schools (77%) did not differ statistically significantly, thus appearing to be equal.

Only Quintile 5 primary school principals showed statistically significant greater satisfaction with district visits than the national average value for primary schools.

Findings on additional information collected

This section reports on the additional information obtained based on the following specifications in the ToR underpinning the undertaking of SMS 2017:

> *In addition to the 13 indicators, information on areas of priority for the sector will be required. This includes teacher and principal participation, perceptions, experiences, proposals and levels of professional development particularly on provincial, national and international assessments including the Annual National Assessments (ANAs); and school-level assessment practice. Topics covered should also include African languages and the schooling environment with school management data collection mechanisms including the South African School Administration and Management System (SA-SAMS), the Learner Unit Record Information and Tracking System (LURITS), and other Information and Communications Technology (ICT) systems.*

The findings reported in response to the above specifications do not respond to a pre-specified definition, as in the case of Indicators 1 to 13. However, they follow a similar format to that used for reporting on the 13 indicators and focus on:

- National and common examinations;
- Annual National Assessments;
- Grade R;
- SA-SAMS; and
- Incremental introduction of African languages.

Being additional information surveyed for the first time, no attempt could be made to establish trend figures from the previous survey in 2011 to the present one of 2017.

Given the diverse nature of the topics presented, this chapter is structured as five distinct sections. In keeping with the format applied to Indicators 1 to 13, each section comprises the following:

- a fact sheet summarising key information about sources of information relied on, weighting applied to the data, variables and calculations used, and verbatim quotation of the questions put to survey participants;
- brief notes on the importance of each topic (i.e., a kind of rationale for giving it a priority, and other relevant broad contextualisation);
- summary remarks on the definition and data collection related to the sub-topic; and
- a largely quantitative overview of the 2017 survey results concerning the sub-topic.

The quality of the teaching and learning taking place in classrooms is at the heart of the matter. In delivering the required quality, curriculum and assessment matters are key; virtually as the two sides of the same coin. Therefore, it is also clear why assessment and examinations matter, not only as barometers of the health of teaching and learning, but also in and for the existing and developing capacity of our educators with their pivotal role in the venture, along with other critical enabling conditions and systems such as: sound preparation of learners towards school readiness (through Grade R); the relationship between and proficiencies in the languages of instructions alongside learners' home languages; and the digital record-keeping software (such as SA-SAMS) supporting school management, assessment, and the like. Many of the foregoing issues are addressed at some point in the Action Plan 2019, to which selected specific references are made in the sub-sections that follow.

A. Teacher and principal views on national and common examinations

Fact sheet

In the SMS 2017, the teachers and principals interviewed were asked to answer a number of questions regarding common examinations, which was defined to the respondents as including examination papers provided nationally, by the province or by the district. The purpose of these questions was to determine the percentage of schools that were participating in these common examinations and how useful teachers found such examinations. In addition, information was also obtained on the respondent views of the usefulness of national and international assessments.

Teachers

Source: Teacher interview

Weighting: School weights

Verbatim Questions:

Q81 – "Has a class you are teaching participated in common examinations? [A 1 No; A 2 Yes"

Q85 – "How useful are common exams for learners? [A 1 Not useful; A 2 Somewhat useful; A 3 Useful; A 4 Very useful]"

Q89 – "Please indicate the extent to which you agree/disagree with the following statements regarding national examinations: [A 1 Strongly agree; A 2 Agree; A 3 Disagree; A 4 Strongly disagree]

- S 1 Introducing a national examination in Grade 9 is a good idea
- S 2 Introducing a national examination in Grade 6 is a good idea
- S 3 Introducing a national examination in Grade 3 is a good idea (two statements omitted)
- S 6 Results of national examination should be used to hold schools accountable for learner performance
- S 7 Results of national examination should be used to hold individual teachers accountable for learner performance
- S 8 National examination results should be used to compare schools
- S 9 Results from national examinations would provide parents with useful information to select schools for their children"

Q87 – "How important do you think the following programmes are for improving education in South Africa? [A 1 Very useful; A 2 Of some use; A 3 Of no use; A 4 Unknown to me; A 5 Irrelevant for my classes]

- S 1 Annual National Assessment (ANA)
- S 2 Provincial Assessments
- S 3 Trends in International Maths and Science Study (TIMSS)
- S 4 Progress in International Reading Literacy Study (PIRLS)
- S 5 SACMEQ Southern African Consortium for Monitoring Education Quality (SACMEQ) [A 1 Not useful; A 2 Somewhat useful; A 3 Useful; A 4 Very useful]"

Principals

Source: Principal interview

Weighting: School weights

Verbatim Questions:

Q201 – "How useful do you think the following programmes are for improving education in South Africa? [A 1 Very useful; A 2 Useful; A 3 Of some use; A 4 Of no use; A 5 Irrelevant for my classes; A 6 Unknown to me]

- S 1 Annual National Assessment (ANA)
- S 2 Provincial Assessments
- S 3 Trends in International Maths and Science Study (TIMSS)
- S 4 Progress in International Reading Literacy Study (PIRLS)
- S 5 Southern African Consortium for Monitoring Education Quality (SACMEQ)"

Q203 – "Please indicate the extent to which you agree/disagree with the following statements regarding national examinations: [A 1 Strongly agree; A 2 Agree; A 3 Disagree; A 4 Strongly disagree]

- S 1 Introducing a national examination in Grade 9 is a good idea
- S 2 Introducing a national examination in Grade 6 is a good idea
- S 3 Introducing a national examination in Grade 3 is a good idea (two statements omitted)
- S 6 Results of national examinations should be used to hold schools accountable for learner performance
- S 7 Results of national examinations should be used to hold individual teachers accountable for learner performance
- S 8 National examination results should be used to compare schools
- S 9 Results from national examinations would provide parents with useful information to select schools for their children"

Importance of national and common examinations

Currently, national external examinations are only compulsory for Grade 12 learners. At all other grade levels, examinations are the responsibility of schools, with teachers having to develop and administer mid-year and end-of-year examinations in all grades. Over recent years, there has been an increase in the number of provinces and districts implementing common examinations. The primary reasons for this change in practice are to provide teachers with high-quality examination papers of an appropriate standard, reduce workloads associated with setting examinations and to obtain information on learner performance across the grades, subjects and schools within which these examinations are administered. However, there is currently limited information on the extent to which common examinations are implemented across the provinces and districts, on teacher views on their usefulness and how results from these examinations are being used by provinces, districts, schools and/or teachers.

Construct definition and data collection

During the survey, teachers were asked to indicate whether a Mathematics or Language class they were teaching participated in common examinations. To ensure that all respondents had a common understanding of what was being referred to as national examinations, the question was presented as follows during the interviews:

> In the next section, we are going to discuss YOUR VIEWS about National Examinations. Note that National Examinations refers to examinations, which are similar to the Matric exams. These exams are provided by the National Department of Education and can be used by schools for promotion purposes. Note: at the moment we do not have these National Examinations for any other grade besides Matric/Grade 12

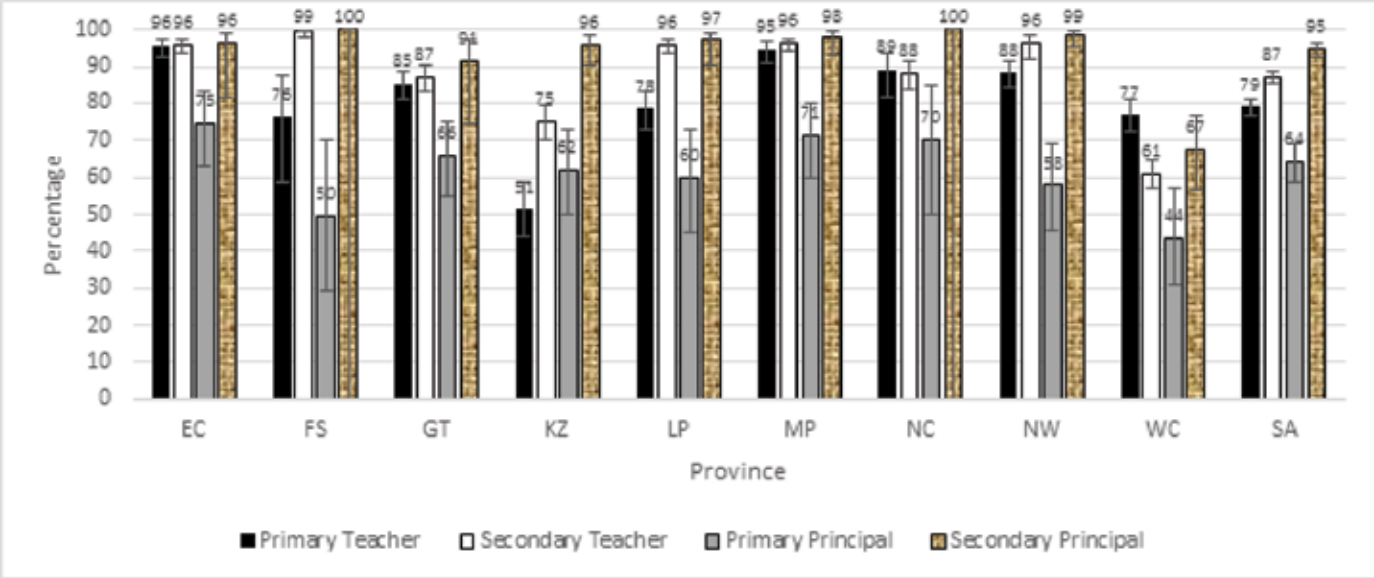
A similar question was presented with regards to common examinations.

The background information provided during interviews highlighted the similarity of the common examinations to the matric examinations, provided by the district or province, written by all learners in selected grades and subjects, and used for promotion purposes. Both teachers and principals were asked about the usefulness and value of international, national and common examinations at selected (end-of-phase) grade levels.

National and common examinations in 2017

Figure 14A.1 shows the information (percentages) revealing how often teachers and principals from primary and secondary schools reported that they had been using common assessments. The associated standard errors, including figures for primary and secondary schools combined, appear in Tables T-14A.1 and T-14A.2 in the technical report.

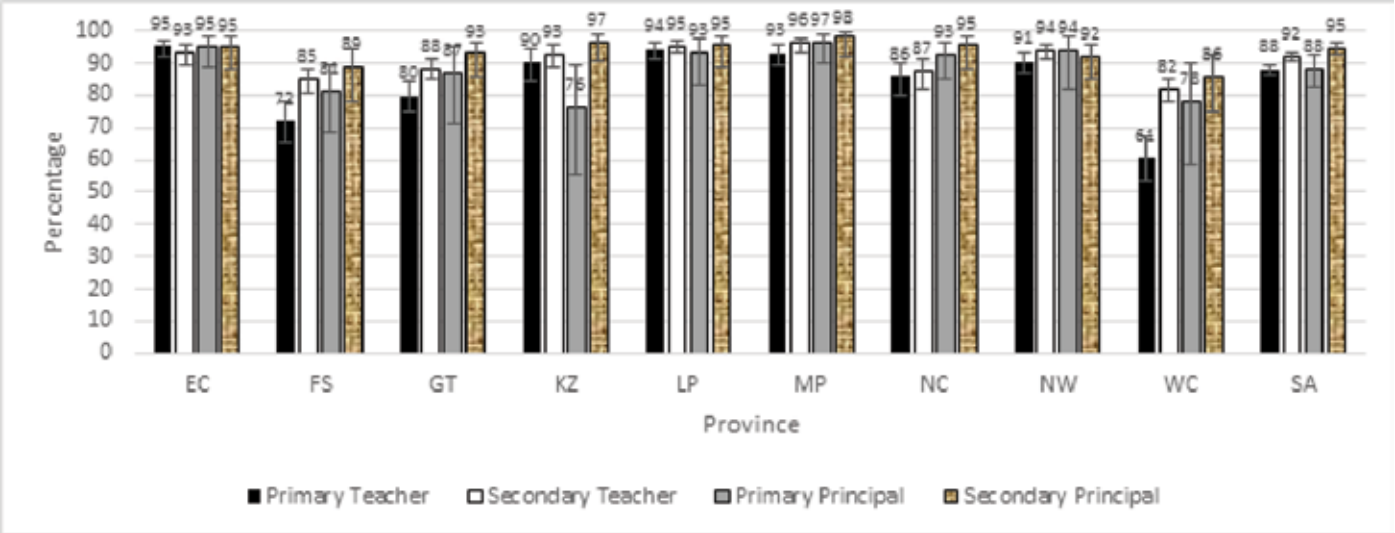
Figure 14A.1: Percentages of teachers and principals at primary and secondary schools reporting the use of common examinations, by province



In relation to teacher responses, an average of 87% of secondary school teachers had been using common assessments, with the Western Cape an outlier at 60,9%. An average of 79,0% primary school teachers stated that their learners participated in common examinations, with the percentages differing considerably between provinces: 51% in KwaZulu-Natal and 96% in the Eastern Cape. In primary schools, the percentage of principals was 64%, while in secondary schools it was much higher at 95%. Common assessments can be considered prevalent in the majority of schools. (KwaZulu-Natal, with 59%, registered the lowest percentage for primary and secondary schools combined, with the national figure for teachers standing at 82%, as reported only in the technical report. The corresponding percentages for principals stood at 72% who reported using common assessments. The lowest percentage of 50% was reported for the Western Cape.)

Figure 14A.2 shows the percentages of teachers and principals from primary and secondary schools, who found common examinations useful. The associated standard errors, including figures for primary and secondary schools combined, appear in Tables T-14A.3 to T-14A.4 in the technical report.

Figure 14A.2: Percentages of teachers and principals at primary and secondary schools using common examinations reporting finding them useful, by province



In primary schools, 88% of teachers found common assessment useful, while in secondary schools the percentage was 92%. The vast majority of teachers in all provinces except the Western Cape tended to find common assessments useful. In Western Cape primary schools, only 61% of teachers found them useful. The low percentage in Western Cape schools is statistically significantly different from other provinces. The highest percentages were observed in the Eastern Cape and Mpumalanga. The picture is similar for principals. In general, it may be said that both teachers and principals found common assessments useful. (Nationally, for primary and secondary schools combined, 89% of teachers and 91% of principals found common assessments useful. These figures only appear in the technical report.)

Table 14A.1 gives information about teachers' and principals' views on the introduction of national examinations at Grade 3, 6 and 9 level. Among both groups, the strongest support (approximately 87%), was for national examinations to be introduced at the Grade 9 level. A national examination at Grade 6 was supported by 75% of teachers and 80% of principals, while 63% of teachers and 69% of principals supported their introduction at Grade 3 level.

Table 14A.1: Teacher and principal views (%) of the grade at which national examinations should be introduced

		Strongly agree	Agree	Disagree	Strongly disagree
Introducing a national examination in Grade 9 is a good idea	Teachers	37,7	49,1	11,1	2,2
	Principals	37,4	49,5	11,1	2,1
Introducing a national examination in Grade 6 is a good idea	Teachers	29,4	46,0	20,8	3,7
	Principals	31,4	48,8	17,1	2,7
Introducing a national examination in Grade 3 is a good idea	Teachers	24,7	38,1	29,0	8,2
	Principals	26,5	42,3	24,9	6,3

Table 14A.2 provides information on some questions dealing with accountability on the part of the school. It shows that teachers' views of how national examination results should be used varied considerably. The majority (65%) stated that they should be used to hold schools accountable for learner performance; opinion was split about equally on whether they should be used to hold teachers accountable. Sixty-seven percent (67%) of teachers felt that they should be used to compare schools and 75% that the results would be useful for parents when selecting schools for their children.

Approximately 70% of principals agreed with all four statements. It is noteworthy that the majority of principals were willing to subject themselves to being accountable for the performance of their learners.

Table 14A.2: Teachers' and principal's views (%) regarding the use of national examination results

Results of national examination …		Strongly agree	Agree	Disagree	Strongly disagree
… should be used to hold schools accountable for learner performance	Teachers	17,5	47,3	27,9	7,3
	Principals	19,5	53,1	21,7	5,7
… should be used to hold individual teachers accountable for learner performance	Teachers	15,2	38,9	34,7	11,2
	Principals	18,6	51,0	24,4	6,0
… should be used to compare schools	Teachers	18,5	48,5	26,5	6,5
	Principals	18,7	51,6	24,9	4,7
… would provide parents with useful information to select schools for their children	Teacher	21,9	53,4	20,4	4,4
	Principal	21,3	54,7	20,7	3,2

Teachers and principals were also asked their views on the usefulness of provincial, national and international assessments for improving education in South Africa. Table 14A.3 shows that the utility of provincial assessments received the highest ratings: 91% of teachers and 96% of principals. Seventy-two percent (72%) of teachers and 80% of principals rated the ANA as useful. A relatively high percentage of teachers and principals (between 50% and 70%) indicated that they found the TIMSS, PIRLS and SACMEQ assessments useful. This result is surprising given the limited dissemination of results from these assessments. A slightly higher percentage of teachers (average of 33%) than principals (27%) stated that the international studies were not known to them.

Table 14A.3: Teacher and principal views (%) on the usefulness of national and international assessments for improving education in South Africa

		Very useful	Of some use	Of no use	Unknown to me	Irrelevant to my classes
Annual National Assessment (ANA)	Teachers	38,8	33,5	17,1	3,5	7,0
	Principals	62,8	16,9	16,3	,9	3,1
Provincial assessments	Teachers	62,8	28,2	4,2	3,1	1,6
	Principals	83,5	12,0	3,1	1,0	,4
Trends in International Maths and Science Study (TIMSS)	Teachers	39,0	19,5	5,3	29,7	6,4
	Principals	59,7	9,6	3,7	22,2	4,9
Progress in International Reading Literacy Study (PIRLS)	Teachers	43,1	20,3	4,4	27,5	4,7
	Principals	61,4	9,4	2,8	20,9	5,5
Southern and Eastern African Consortium for Monitoring Education Quality (SACMEQ)	Teachers	31,3	17,1	4,2	42,1	5,2
	Principals	45,0	7,9	3,0	38,0	6,1

Summary

In both primary and secondary schools across all provinces, common assessments were frequently utilised and found useful by most of the educators using them.

Educators looked most favourably on provincial assessments, while international assessments were not well known to all.

Educators looked favourably on the introduction of common examinations at the end of phases with about 87% supporting the introduction of common examinations at the end of Grade 9. Support for the introduction of national examinations at Grade 3 level was much lower at 63% of teachers and 69% of principals.

Between 20% and 40% of principals and teachers reported that international/regional assessments were unknown to them. The majority of those who knew about these tests, though, found them useful.

B. Teacher and principal views on the Annual National Assessments

Fact Sheet

The introduction of the Annual National Assessments (ANA) in 2010 comprised part of a national strategy to monitor the level and quality of basic education with a view to ensuring that every child receives basic education of a high quality, regardless of the school they attend. In 2015, the ANAs were suspended, after a number of years during which the extent to which it was conducted expanded intensively to include all six first grades and Grade 9. However, limited information was available, at the national level, on the perceptions and knowledge of school principals and teachers about the need for, preparation towards, use of and value derived from the ANA.

Source: Educator and principal interviews

Weight: School weight

Verbatim Questions:

Teachers

EQ74 – "The ANA exemplars were useful for preparing my learners for the ANA tests. [A 1 No; A 2 Yes, Some exemplars; A 3 Yes, All exemplars]"

EQ76 – "Were the ANA results of your learners moderated by the District / Province? (No/Yes)"

EQ78 – "Did you receive any written feedback from the District / Province on the moderated scripts? (No/Yes)"

EQ79 – "Was this feedback useful? [A 1 Not useful; A 2 Somewhat useful; A 3 Useful; A 4 Very useful]"

EQ72 – "I have provided a report of the ANA results to parents of all my learners. [A 1 No; A 2 Yes, for some of the previous ANAs; A 3 Yes, for ALL of the previous ANAs]"

EQ73 – "I have used the ANA results to plan for revision. [A 1 No; A 2 Yes, for some of the previous ANAs; A 3 Yes, for ALL of the previous ANAs]"

Principals

PQ187 – "Has the school provided reports of the previous ANA results to parents? [A 1 No; A 2 Yes, for some of the previous ANAs; A 3 Yes, for ALL of the previous ANAs]"

PQ188 – "The school has used the ANA results to plan for revision. [A 1 No; A 2 Yes, for some of the previous ANAs; A 3 Yes, for ALL of the previous ANAs]"

PQ189 – "The ANA exemplars were useful for preparing learners for the ANA tests. [A 1 No; A 2 Yes, for some exemplars; A 3 Yes, for ALL exemplars]"

PQ191 – "Were the ANA results of learners in your school moderated by the District / Province? [No/Yes]"

PQ193 – "Did you receive any written feedback from the District / Province regarding ANA? [No/Yes]"

PQ194 – "Was this ANA feedback useful? [A 1 Of no use; A 2 Somewhat useful; A 3 Useful; A 4 Very useful]"

Importance of (views on) annual national assessment

From 2011 to 2014, every September, the DBE conducted an annual national assessment (ANA) of all grades in the Foundation and Intermediate Phases. This was a census-type assessment where every learner was tested. The DBE provided the papers while administration and marking were done at the school. Moderation of marks was done by the district and the province. Feedback to schools was in one sense direct as the scripts were marked by the responsible teachers but feedback was also provided by moderators through district offices, and subsequent diagnostic and other reports produced by the national Department. In addition, the DBE also commissioned various external service providers to undertake an independent verification exercise, in a sample of schools, to monitor and evaluate the quality of the ANA.

To assist schools to prepare for the ANA, the DBE made exemplars available before the ANA was administered. While the ANA has been suspended since 2015, limited information across the provinces is available on how schools and teachers experienced it and in its value for improving learning and teaching. Since 2015, and especially during 2016 and 2017, the DBE engaged intensively in efforts to redesign its national assessment system continuing to work at present towards a comprehensive and integrated national assessment system. It will account not only for certification assessment but also regional and international comparative trends assessment, as well as classroom-based assessment with a view to improving teaching and learning in a dynamic and immediate way.

There was specific mention of the ANA in the Action Plan 2019 (p.16), wherein the DBE, in moving forward, envisaged a number of future milestones on the basis of its then growing experience base. The DBE planned to capitalise on the many lessons learnt and would, after "careful consideration of the advice received from external advisors and stakeholders, produce a clear policy statement on the basic logic of ANA, including its intended use by teachers, parents and others at the school and district level." More rigour was envisaged for test design, and the 'verification ANA' tests would benefit from commencing the use of anchor items, allowing for "better comparison of results over time, and across provinces. Adjustment of results using item response theory (would) will moreover be explored, beginning in 2016". The DBE also planned, after the 2015 administration, to produce "district-level ANA reports, using universal ANA data, as one important step towards the better use of ANA at the district and school levels." However, the ANA were suspended in 2015. Notwithstanding the current status of the ANA, a number of lessons can still be derived, and which can contribute to current debates on developing a more effective and enabling assessment system for supporting South African school improve learning and teaching for all.

The plan, subsequently executed, was also to consult widely with experts in the field about optimal approaches. Built into future plans were also regular evaluations of ANA as a system. The plan was to consult frequently with teachers, parents and other stakeholders at the school and district levels, by obtaining feedback from them.

Construct definition and data collection

Structured interview schedule questions were formulated for administration to teachers and principals to obtain feedback from the ANA's intended users at the school level. The feedback from these users focused on how teachers and learners were prepared for the testing through exemplars, how testing quality and results were moderated, how schools, teachers and parents received the test results and related feedback, and what use was made of the results to improve teaching and learning.

Only teachers and principals with direct experience with the ANA were required to answer these questions.

Views on annual national assessment in 2017

Teachers and principals were asked to indicate whether or not they found the ANA exemplars useful for preparing learners for the ANA tests. Table 14B.1 shows that 51% of principals and teachers found all exemplars useful and some were found useful by about 40% more principals and teachers. Thus 91% of teachers and principals found the exemplars useful, with fewer than 10% finding them to be of no use. The pattern was consistent across provinces. (The percentage estimates with their standard errors and confidence intervals for teachers appear as Table T-14B.1 in the technical report.)

Table 14B.1: Views of teachers and principals (%) regarding the usefulness of the ANA exemplars, by province

Province	Principals			Teachers		
	No	Yes, for some exemplars	Yes, for ALL exemplars	No	Yes, for some exemplars	Yes, for ALL exemplars
EC	12.5	61.1	26.3	3.8	50.8	45.4
FS	3.5	28.8	67.7	6.4	38.4	55.3
GT	12.4	20.6	67.0	9.5	38.1	52.4
KZ	8.6	38.2	53.2	7.1	38.6	54.4
LP	7.0	25.5	67.5	7.8	39.0	53.2
MP	7.1	46.5	46.4	7.3	41.6	51.1
NC	8.8	36.5	54.7	8.3	42.2	49.5
NW	5.5	47.0	47.5	6.8	39.8	53.4
WC	10.0	35.4	54.6	9.8	45.1	45.1
SA	9.1	39.9	51.0	7.1	41.5	51.4

Table 14B.2 gives principals' and teachers' responses on whether the ANA results were moderated by the district or the province. A large majority of principals (94%) and teachers (86%) stated that the ANA results were moderated by either the district or the province. The response patterns for principals (above 92%) and teachers (above 83%) were fairly consistent across provinces, the only exception being the Western Cape where the percentage was slightly lower. (The percentage estimates with their standard errors and confidence intervals for teachers appear as Table T-14B.2 in the technical report.)

Table 14B.2: Responses of principals and teachers (%) regarding district/province moderation of the ANA results by province

Province	Principals	Teachers
EC	97.3	92.6
FS	96.5	86.9
GT	95.8	87.9
KZ	92.1	84.1
LP	92.0	83.4
MP	92.7	88.1
NC	92.0	90.8
NW	94.1	85.5
WC	87.6	76.2
SA	93.6	86.0

Table 14B.3 gives information on whether principals and teachers received written feedback from the district/province on the ANA results. Sixty-six percent (66%) of principals and 52% of teachers indicated that they had received written feedback. An explanation for the larger percentage of principals than teachers receiving feedback may be because the feedback is usually sent to the school and did not reach all individual teachers. Almost the same proportion of

teachers, compared to principals, in schools in Limpopo and the Northern Cape received the feedback from the district or province, which may signal better instructional leadership in those provinces. Gauteng had the smallest percentage of teachers (45%) reporting that they received feedback; the highest percentages were recorded in the Northern Cape and the North West. These findings suggest that many districts and/or provinces did not use the ANA results in a way that maximised their value for use in improving learning and teaching for schools, teachers and their learners.

Table 14B.3: Percentages of principals and teachers who received written feedback from the district or provincial offices on ANA results, by province

Province	Principals	Teachers
EC	61.1	50.4
FS	73.6	52.2
GT	67.4	45.3
KZ	69.2	50.6
LP	54.2	52.2
MP	66.8	51.2
NC	67.9	65.1
NW	78.2	64.4
WC	73.8	54.6
SA	65.5	51.7

Table 14B.4 shows that 45% of principals and 81% of teachers rated district and provincial feedback as useful or very useful; the pattern was fairly consistent across provinces. The fact that 36% of principals found the feedback to be of no use is perturbing. Given this finding, additional information is required on challenges district and provincial offices experience regarding the effective use of examinations and assessments for the purpose of improving learning and teaching.

Table 14B.4: Principal and teacher perceptions (%) of the quality of the district or provincial feedback on ANA, by province

Province	Principals				Teachers			
	Of no use	Somewhat Useful	Useful	Very useful	Of no use	Somewhat Useful	Useful	Very useful
EC	34.0	23.5	30.0	12.4	2.3	2.9	76.1	18.6
FS	24.8	35.2	24.6	15.4	5.0	11.4	49.2	34.4
GT	35.4	15.6	33.5	15.4	5.8	20.3	54.3	19.7
KZ	36.1	19.9	35.4	8.6	3.8	18.0	49.9	28.3
LP	51.0	10.5	22.6	15.9	10.5	6.4	45.1	38.0
MP	33.2	15.3	36.6	14.8	6.6	15.8	45.0	32.6
NC	27.5	16.6	47.7	8.2	14.6	22.0	53.9	9.5
NW	20.9	17.4	40.2	21.5	4.4	13.4	53.5	28.7
WC	25.4	34.5	29.6	10.6	12.0	21.1	49.5	17.3
SA	35.6	19.8	31.6	13.0	6.1	13.0	54.1	26.8

The ANA tests were administered in September, with teachers therefore able to use their results to inform remedial action before the end-of-year examinations. Table 14B.5 shows the extent to which schools used the ANA results to plan for revision. Eighty-six percent (86%) of principals and 90% of teachers indicated that they did so; only 14% of principals and 10% of teachers stated that they did not do so, a pattern that was fairly consistent across provinces.

Table 14B.5: The extent of use (%) according to principals and teachers of ANA results to plan for revision, by province

Province	Principals			Teachers		
	No	Yes, for some previous ANAs	Yes, for ALL previous ANAs	No	Yes, for some previous ANAs	Yes, for ALL previous ANAs
EC	21.0	54.5	24.5	4.5	50.7	44.8
FS	4.0	26.9	69.1	12.9	32.7	54.4
GT	17.3	23.3	59.4	12.3	39.5	48.2
KZ	10.3	42.9	46.8	7.0	43.3	49.7
LP	15.8	24.3	59.9	15.1	41.1	43.8
MP	11.5	44.6	43.9	9.3	41.1	49.6
NC	15.8	33.1	51.1	10.8	41.5	47.7
NW	6.3	42.4	51.4	10.8	35.9	53.2
WC	17.6	31.7	50.8	16.1	37.9	46.0
SA	14.4	38.9	46.8	10.1	42.2	47.7

Table 14B.6 shows the extent to which schools provided ANA results to parents. Nationally, 57% of principals and 47% of teachers stated that this occurred for all the ANAs; 32% of principals reported that this was true of at least some ANAs. Eleven percent (11%) of principals stated that no feedback had been provided while 22% of teachers stated that this was the case. The difference between these percentages is notable.

Table 14B.6: Percentage of schools where ANA results were reported to parents, by province

Province	Principals			Teachers		
	No	Yes, for some previous ANA's	Yes, for ALL previous ANA's	No	Yes, for some previous ANA's	Yes, for ALL previous ANA's
EC	15.1	53.0	31.9	19.8	44.2	36.1
FS	21.1	21.0	57.8	35.5	22.4	42.1
GT	6.1	18.3	75.6	21.3	25.3	53.4
KZ	5.9	27.0	67.1	19.4	30.5	50.1
LP	16.0	23.4	60.6	27.1	27.9	45.0
MP	11.6	34.7	53.6	23.0	29.7	47.3
NC	5.4	19.0	75.6	20.8	33.1	46.1
NW	6.6	40.5	53.0	18.5	28.5	53.0
WC	7.2	21.7	71.1	21.2	24.7	54.1
SA	10.9	31.9	57.2	22.3	30.8	47.0

Summary

According to both teachers and principals, the Annual National Assessments conducted by the DBE did serve a useful purpose. These tests underpinned the provision of relevant feedback, particularly to teachers, as teachers marked the scripts of their learners themselves. The majority also found that the ANA results assisted them in planning revision with their learners before final examinations. There appears to be room for improvement in relation to the extent to which district and/or provincial offices can provide principals and teachers written feedback about ANA results, and the usefulness of such feedback. Similar notions may be applicable in cases to the extent to which principals forward feedback to teachers. Parents were reportedly provided with feedback to a reasonable extent.

C. Grade R learners in DBE primary schools

Fact Sheet

Given the importance of Grade R in ensuring the school readiness of new learners and of providing them with the requisite pre-schooling proficiencies to enhance their meaningful participation in the teaching and learning process on commencing with the Foundation Phase from Grade 1 in the subsequent year, key information about the human and financial resources devoted to Grade R was surveyed as part of SMS 2017.

Source: Principal interviews

Weight: School weight

Verbatim Questions:

PQ151: "Does the school offer Grade R? [Yes/No]"

PQ152: "How many Grade R classes are offered at your school?"

PQ153: "How many Grade R learners are there in your school this year?"

PQ 154: "How many Grade R educators occupy posts on the main Provincial Post establishment?"

PQ155: "How many Grade R practitioners does the school have?"

PQ156: "What is the total PER LEARNER annual fee/donation charged for Grade R learners in 2017?"

PQ157: "Does the school receive separate funding from the Provincial Education Department for Grade R? [Yes/No]"

PQ159: "Does the principal know what the stated PER LEARNER allocation for Grade R was for 2017? [Yes / No]"

PQ160: "What amount was allocated PER LEARNER for Grade R in 2017?"

PQ161: "With respect to the actual transfer of the subsidy for Grade R to the school, choose one of the options provided:

- A 1 Less money than expected was transferred
- A 2 The expected amount of money was transferred
- A 3 More money than expected was transferred
- A 4 Not applicable"

The importance of Grade R

Improving access to pre-primary education for all children is a global focus, as there is clear evidence that it has a positive impact on learner performance. South Africa is no exception to this trend. Acknowledging the DBE's success in introducing Grade R into the schooling system, the Action Plan 2019 nevertheless noted that "whilst improvements in the numbers are clearly a move in the right direction, in the NDP and elsewhere concerns have been raised about how to monitor and improve the quality of ECD so that it truly strengthens schooling in the later grades" (p. 54). The Action Plan 2019, in addition, provided further guidance (p.8) on where an enhanced focus should be devoted in the system by elevating five of its 27 goals to priority goals. One of them deals with Grade R. It is in this context that additional information on Grade R was obtained in the 2017 SMS. In the next section, school weights were applied to the data. In the final section dealing with school funding, no weights were applied as data realisation had been very poor; in two provinces no useful information could be obtained.

Construct definition and data collection

Structured interview schedule questions were formulated for administration to principals at schools. These questions were direct and structured to produce straightforward yes/no responses, exact numbers and monetary amounts. The information centred on the number of Grade R classes, learners, qualified educators and other facilitators at the school, and if the principal could provide the per-learner allocation amount and relate it to what the expected transfer should have been.

Grade R in 2017

The information obtained from the responses provided to field workers to the interview questions about Grade R put by them to primary school principals are reported next.

The presence of Grade R classes in primary schools

Table 14C.1 shows that 91% of schools had at least one Grade R class. Nationally, the average number of classes was 1,6, with an average of 50 learners and 1,5 teachers per school. Schools in Gauteng on average had the most learners at Grade R level, being 74. The average number of learners per Grade R teacher was close to 30 for most provinces. The exceptions were Limpopo with a very high learner:teacher ratio at 75 and the North West with a learner:teacher ratio of 45.

Table 14C.1: Percentage of primary schools with Grade R classes and the average number of learners and teachers, by province

Province	% of primary schools with Gr R	Average number of Gr R classes per school	Average number of Gr R learners per school	Average number of Gr R teachers per school	Average number of learners per teacher
EC	97,9	1,3	32,6	1,1	28,9
FS	76,2	2,0	64,6	1,9	33,4
GT	93,3	2,5	73,7	2,7	27,5
KZ	90,7	1,5	47,4	1,4	34,0
LP	82,0	1,3	54,0	0,7	74,5
MP	91,2	2,0	63,4	1,9	32,7
NC	78,1	1,8	50,5	1,8	28,3
NW	93,7	1,5	57,4	1,3	44,7
WC	93,3	2,2	63,0	2,2	28,2
SA	90,9	1,6	50,0	1,5	34,2

Table 14C.2 shows that about 90% of schools with Quintile 1 to 4 status have Grade R classes, while the percentage is slightly lower at 85% for Quintile 5 schools. Class sizes are larger in schools with Quintile 2 and 3 status than those with Quintile 1, 4 and 5 status.

Table 14C.2: Percentage of primary schools with Grade R classes and the average number of learners and teachers, by quintile

Quintile	Percentage of primary schools with Gr R	Average no. of Gr R classes per school	Average no. of Gr R learners per school	Average no. of Gr R educators per school	Average no. of learners per educator
1	89,7	1,3	39,2	1,3	31,0
2	96,0	1,4	46,6	1,2	38,9
3	88,7	1,9	61,2	1,6	37,7
4	91,1	2,3	73,7	2,2	33,0
5	85,1	2,4	69,0	2,5	28,0
SA	90,9	1,6	50,0	1,5	34,2

Table 14C.3 gives information by province on the uptake of Grade R in schools that offer this grade by comparing data for Grade R and Grade 1. Table 14C.4 shows this information by quintile.

For all primary schools, Grade R learners made up 68% of Grade 1 learners. The percentage was higher (71%) if only those schools with Grade R learners were taken into account. In Gauteng, the percentage of learners in Grade R classes was only 55%, while for Limpopo it was as high as 87%. The reason for this observed difference is not clear from the data. A possible explanation that may be investigated may be the availability of private schools accommodating Grade R learners in Gauteng and the absence of such schools in Limpopo.

Table 14C.3: Number of learners in Grade R and Grade 1, by province

Province	Estimate of Gr 1 learners in all schools	Estimate of Gr 1 learners in schools with Gr R	Estimate of total number of Gr R learners	Gr R learners as a % of Gr 1 learners in all schools in the sample	Gr R learners as a % of Gr 1 learners in schools with Gr R
EC	193 918	190 870	135 442	69.8	71.0
FS	66 648	60 009	41 521	62.3	69.2
GT	170 837	156 342	94 173	55.1	60.2
KZ	242 797	238 724	169 184	69.7	70.9
LP	121 442	116 820	105 231	86.7	90.1
MP	100 672	92 599	66 691	66.2	72.0
NC	24 109	22 775	15 851	65.7	69.6
NW	82 377	77 022	55 301	67.1	71.8
WC	97 703	92 490	63 626	65.1	68.8
Total	1 100 504	1 047 650	747 020	67.9	71.3

Table 14C.4: Number of learners in Grade R and Grade 1 by school quintile

Quintile	Estimate of Gr 1 learners in all schools	Estimate of Gr 1 learners in schools with Gr R	Estimate of total number of Gr R learners	Gr R learners as a % of Gr 1 learners in all schools in the sample	Gr R learners as a % of Gr 1 learners in schools with Gr R
1	313 855	299 971	224 272	71.5	74.8
2	274 715	269 155	192 388	70.0	71.5
3	282 056	275 599	192 809	68.4	70.0
4	111 307	101 880	64 910	58.3	63.7
5	118 572	101 045	72 641	61.3	71.9
Total	1 100 504	1 047 650	747 020	67.9	71.3

Funding for Grade R

No weighting of data reported on in this section was done as only a limited number of principals responded. Principals were asked to provide the annual amount charged for each Grade R. Only 473 of the 892 principals (53%) in schools with Grade R responded to this question. When asked whether they received separate funding for Grade R from the Provincial Education Department, 560 of the 892 principals (63%) indicated that they received such funding. Principals were then asked what the per learner allocation was for 2017. Only 417 of the 892 principals (47%) responded to this question. Table 14C.5 shows the means, minimums and maximums provided by principals regarding these two questions.

In Limpopo and Mpumalanga, no principal responded to the question about the allocation of funds for Grade R by the DBE in 2017. Regarding annual fees charged, only 25 Eastern Cape and 14 Limpopo principals responded. In Gauteng, 87 principals responded. According to the information provided by principals, the amounts charged varied widely from R8 to R40 000 per year; the amounts reported as allocated ranged from R18 to R32 913. There were many of these rather unrealistic amounts, leading one to infer that answers given to these questions may not correspond well with the situation on the ground. The data indicate that the average annual per learner fee charged by schools was R1 960 and the average amount received from the DBE per learner was R 1 440. Because of the low response rate in most provinces, it is not viable to make provincial comparisons. Principals' knowledge of the amounts involved seems to be limited, possibly due to the nature and type of funding information for Grade R that the provinces provide.

Table 14C.5: Annual fees charged by schools and money allocated per Grade R learner by the province

Prov	The total PER LEARNER annual fee charged for Grade R learners in 2017					The total PER LEARNER annual amount allocated for Grade R learners in 2017				
	N	Mean (in Rand)	SD	Min	Max	N	Mean (in Rand)	SD	Min	Max
EC	25	1 280	2 499	20	12 925	20	896	310	87	1 177
FS	63	1 197	3 315	30	17 600	45	707	1 501	55	10 492
GT	87	2 586	3 597	50	19 415	71	2 149	1 814	123	14 446
KZ	55	1 676	4 134	8	26 587	51	755	3 259	33	23 226
LP	14	2 003	4 162	40	14 400					
MP	49	1 339	3 058	20	13 541					
NC	60	1 888	4 065	10	18 182	73	1 099	2 398	108	18 182
NW	58	857	853	20	4 560	75	1 596	3 670	215	32 913
WC	62	3 963	7 487	17	40 000	82	1 950	2 884	18	16 300
Total	473	R1 960	R4 219	R8	R40 000	417	R1 440	R2 716	R18	R32 913

The principals who stated that they knew the amount that was due from the Provincial Education Department (47%) were asked whether they received the amount allocated. Table 14C.6 shows that in about 69% of schools (in the North West and the Northern Cape this was around 90%), the expected amount of money was transferred; in 19% of schools, less than expected was transferred. Only one principal in Limpopo and two in the North West responded to this question.

Table 14C.6: Percentage of funds received by the school for Grade R by province (unweighted)

Province		Less money than expected	The expected amount	More money than expected	Not applicable	Total
EC	N	36	23	0	13	72
	%	50,0	31,9	0,0	18,1	100,0
FS	N	13	33	1	13	60
	%	21,7	55,0	1,7	21,7	100,0
GT	N	9	73	0	3	85
	%	10,6	85,9	0,0	3,5	100,0
KZ	N	30	42	2	20	94
	%	31,9	44,7	2,1	21,3	100,0
LP	N	1	0	0	1	2
	%	50,0	0,0	0,0	50,0	100,0
MP	N	0	1	0	2	3
	%	0,0	33,3	0,0	66,7	100,0
NC	N	3	72	2	2	79
	%	3,8	91,1	2,5	2,5	100,0
NW	N	5	68	3	0	76
	%	6,6	89,5	3,9	0,0	100,0
WC	N	10	75	2	2	89
	%	11,2	84,3	2,2	2,2	100,0
Total	N	107	387	10	56	560
	%	19,1	69,1	1,8	10,0	100,0

In most provinces where the majority of principals responded, they indicated that the expected amount had been received from the provincial department. In the case of Limpopo and Mpumalanga, principals were not able to respond to this question.

Summary

Grade R was found to be well-established in most schools as 91% of primary schools were providing for Grade R learners. Nationally, the average number of classes per school was 1,6. An average of 50 learners and of 1,5 teachers applied per school. The average number of learners per Grade R teacher was close to 30 for most provinces.

D. Use of SA-SAMS

Fact sheet

In our present digital and information technology era, coupled with the need to ensure that administration and management systems enhance the provision of quality teaching and learning in the schooling system, information was collected on various aspects related to the foregoing context as part of the SMS 2017 as it pertains to the use of SA-SAMS. The fact and extent to (purposes for) which schools used SA-SAMS were established, followed by information about the availability and use of software, computers and capacity at schools for this, as well as principals' perceptions of its usefulness in supporting school management and the collection, storing and use of various types of records.

Source: Principal interviews

Weight: School weight

Verbatim Questions:

Q178: "Does the school use the SA-SAMS system? [No/Yes]"[4]

Q179: "Does the school use the SA-SAMS system for the following purposes? [A 1 Yes; A 2 No; A 3 Don't know]

- S 1 Learner registration and records
- S 2 Recording and reporting assessment
- S 3 Financial management
- S 4 Human resources management"

Q180: "Does the school use management software other than the SA-SAMS? [No/Yes]"

Q181: "Is SA-SAMS run off a computer at the school? (Say yes even if a personal computer belonging to a staff member is used for this purpose.) [No/Yes]"

Q182: "Is SA-SAMS used to collect data that must be submitted to the Department/District? [No/Yes]"

Q183: "To what extent would you agree with the following statements? [A 1 Strongly Agree; A 2 Agree; A 3 Disagree; A 4 Strongly Disagree]

- SA-SAMS is a system that is well designed to assist in the management of the school
- There is capacity in the school to use SA-SAMS."

The importance of SA-SAMS

The South African School Administration and Management System (SA-SAMS) was developed to help schools to develop efficient administration systems and enhance the overall management of the school. It provides an integrated management system that includes timetabling and the recording and reporting of relevant school information, for example, learner examinations results. Implementation and development of SA-SAMS is a continuous joint partnership between the State Information Technology Agency (SITA), the DBE, Provincial Education Departments, school districts and staff members at the school level. Limited information has been available on the extent to which SA-SAMS is being used in schools and for what purposes.

The Action Plan 2019 declared that the education system would pursue the enhanced "adoption of new technologies to improve the administration of the schooling system and the teaching and learning process. (p.14)" The issue was at the time considered a challenging one because of the lack of evidence about the kind of information and communications technology (ICT) investments that would be best for improving learning and teaching, without compromising sound education principles, amidst "vigorous marketing by suppliers". Digital expansion for improved education administration was considered less problematic.

Construct definition and data collection

Structured interview schedule questions were formulated for administration with principals at schools. These questions were direct and mostly structured to produce straightforward yes/no responses. The information focused on the use that schools made of SA-SAMS, including learning more about specific purposes pertaining to its usage. Additional questions covered the use of computers in this regard, as well as software other than that of SA-SAMS. A couple of brief items covered principals' perceptions about the usefulness of the system for school management purposes and the sufficiency of capacity at the school for using it optimally.

SA-SAMS in 2017

Principals were requested to provide information on whether SA-SAMS was being used at their schools. Table 14D.1 shows that 92% of schools used the system. In the Western Cape, 68% of principals reported that they did not use SA-SAMS, as did 14% of principals in Gauteng. Given that the Western Cape has its own school information management system, it is doubtful that the reported figures are correct, as principals may have conflated the two systems. Schools in other provinces have been allowed to make use of third-party service providers and those that indicated that they do not use SA-SAMS were probably using third-party software for management purposes.

Table 14D.1: Percentage use of SA-SAMS at schools by province

Province	Does the school use the SA-SAMS system?	
	No	Yes
EC	2,3	97,7
FS	1,3	98,7
GT	14,1	85,9
KZ	5,8	94,2
LP	2,3	97,7
MP	1,7	98,3
NC	2,1	97,9
NW	,5	99,5
WC	68,2	31,8
SA	8,2	91,8

Principals who indicated that they did not use SA-SAMS were not asked to respond to the other questions about the use of electronic media for administration purposes. All Western Cape schools used the provincial electronic system for administration purposes. The few schools in other provinces using third-party software would not be using the SA-SAMS software for administration purposes. The rest of this section must be read against this backdrop and the Western Cape will necessarily be excluded. In the other eight provinces, as reported here, there was valid data for 96% of schools.

Principals were asked a number of questions about the use of SA-SAMS. The percentages using the software for the purposes stated are shown in Table 14D.2. In all provinces, SA-SAMS was widely used for the key management functions listed, except for financial purposes, for which it was used by only 58% of schools.

Table 14D.2: Principals' responses (%) about the purposes for which SA-SAMS was used, by province

Province	Learner registration and records	Report on assessment	Financial management	Used to collect data for submission to the department
EC	100,0	100,0	93,5	98,8
FS	100,0	99,8	62,5	98,1
GT	97,9	97,6	37,1	99,5
KZ	98,9	98,8	43,7	98,6
LP	100,0	100,0	32,8	97,8
MP	99,8	99,0	59,3	99,2
NC	100,0	100,0	71,4	100,0
NW	99,4	99,9	63,8	99,9
SA	99,5	99,4	57,8	98,8

Principals were asked if they felt that SA-SAMS was well-designed for assisting with school management. Table 14D.3 shows that 97% of them agreed or strongly agreed that it was well-designed; this pattern was the same across provinces.

Table 14D.3: Principal responses (%) regarding the degree to which the SA-SAMS was a well-designed system to assist in the management of the school

Province	Strongly agree	Agree	Disagree	Strongly disagree	Total
EC	68,4	31,2	0,2	0,2	100
FS	61,2	36,5	2,3	0,1	100
GT	42,0	54,7	2,7	0,6	100
KZ	39,0	55,7	4,5	0,8	100
LP	56,1	41,5	1,8	0,6	100
MP	62,0	36,1	1,0	0,9	100
NC	34,0	62,8	3,1	0,2	100
NW	39,5	57,4	2,7	0,4	100
SA	52,6	44,7	2,3	0,5	100

Table 14D.4 shows that 82% strongly agreed or agreed that the school had adequate capacity to use SA-SAMS. This pattern was true across all provinces.

Table 14D.4: Principal responses (%) regarding capacity available in the schools to use SA-SAMS

Province	Strongly agree	Agree	Disagree	Strongly disagree	Total
EC	27,1	57,8	15,0	,1	100
FS	48,1	46,3	3,4	2,1	100
GT	28,2	63,0	8,4	,4	100
KZ	25,1	52,9	22,0	,1	100
LP	34,8	30,9	25,1	9,1	100
MP	36,7	52,5	9,5	1,3	100
NC	22,5	72,7	4,8		100
NW	29,1	65,9	3,6	1,5	100
SA	30,0	52,0	16,0	2,0	100

Summary

The results indicate that SA-SAMS was widely used for administrative purposes and that schools had adequate capacity to use the system for the purposes it was designed for. SA-SAMS was also widely considered fit for purpose, and used extensively for key administration, management and record-keeping tasks, perhaps with the exception of financial management, revealing less general usage. Other aspects of ICT systems that schools require were not investigated in the SMS 2017.

E. Incremental introduction of African languages

Fact sheet

A key objective of the Incremental Introduction of African Languages policy is to promote the use of African languages by all learners as well as to promote social cohesion by expanding opportunities for the development and use of African languages in the country (DBE, 2013d). Similarly, the Language in Education Policy (LiEP) requires that mother-tongue based (additive) bilingual teaching and learning takes place during the Foundation Phase. This policy is intended to ensure that learners are equipped with the requisite language proficiency to handle their later schooling from Grade 4 onwards, where School Governing Bodies determine language policy, but which for all practical purposes would mean that the language of learning and teaching is English in a majority of schools, and Afrikaans in a minority of them. In recent times learners in Grade 1 to 3 take two language subjects, being their home language and a first additional language. The possibility is always real that language practice at schools can become a vexed issue, which justified taking stock through the SMS 2017 of critical components of current language usage in the Foundation Phase.

Principals

Source: Principal interviews

Weight: School weight

Verbatim Questions:

PQ9: "How are the following Languages taught in your school? [A 1 Taught as home language; A 2 Taught as first additional language; A 3 Taught as second additional language; A 4 Not taught]

- S 1 Afrikaans
- S 2 English
- S 3 isiXhosa
- S 4 isiZulu
- S 5 Ndebele
- S 6 Sepedi
- S 7 Sesotho
- S 8 Setswana
- S 9 siSwati
- S 10 Tshivenda
- S 11 Xitsonga"

PQ10: "Are you aware of the policy on Incremental Introduction of African Languages (IIALS)? [Yes/No]"

PQ11: "How feasible would it be for your school to introduce an additional African language? [A 1 Very feasible; A 2 Somewhat feasible; A 3 Not feasible; A 4 Don't know]"

Teachers

Source: Foundation Phase (Grade 3) Educator

Weight: School Weight

Verbatim Questions:

Q16: "Which of following languages (as the language of learning and teaching) do you teach in your class? And how confident are you in teaching this language? [A 1 Do not teach; A 2 Not confident; A 3 Somewhat confident; A 4 Confident; A 5 Very confident]

- S 1 Afrikaans
- S 2 English
- S 3 isiXhosa
- S 4 isiZulu
- S 5 Ndebele
- S 6 Sepedi
- S 7 Sesotho
- S 8 Setswana
- S 9 siSwati
- S 10 Tshivenda
- S 11 Xitsonga"

Importance of the introduction of African languages

The legislative framework for the Incremental Introduction of African Languages (IIAL) is found in the Constitution, the South African Schools Act, the National Education Policy Act of 1996 and the Language and Education Policy of 1997. These all argue for enhancing multilingualism in the country and for promoting home languages. The primary objectives of the IIAL are to improve proficiency in previously marginalised African languages, raise parents' confidence in choosing languages for their children and increase access to languages beyond English and Afrikaans.

In 2013, DBE announced through the IIAL the plan that African languages would be offered in all schools not currently offering a previously marginalised official African language. As noted in the draft policy (DBE, 2013d), the Incremental Introduction of African Languages (IIAL) policy aims to:

1. "promote and strengthen the use of African languages by all learners in the school system by introducing learners incrementally to learning an African language from Grade 1 to 12 to ensure that all non-African home language speakers speak an African Language;
2. strengthen the use of African languages at Home Language level;
3. improve proficiency in and utility of the previously marginalized African languages (at First Additional Language level);
4. raise the confidence of parents to choose their own languages;
5. increase access to languages by all learners beyond English and Afrikaans; and
6. promote social cohesion by expanding opportunities for the development of Africa languages as a significant way of preserving heritage and cultures" (p. 5).

At a recent Education Portfolio Committee briefing (PMG, 2018), the DBE Director-General (DG) reported that, in 2017, 27% of public schools nationally were implementing the IIAL in Grades 1 and 2. The DG noted that the Council of Education Ministers approved a recommendation that, instead of an implementation period running to 2020, all schools which had not yet implemented IIAL should do so for Grade 1 by 2019. The DG also highlighted the following two challenges facing schools in doing this: the availability of willing and competent teachers to teach African languages; and attitudes and the misconception that African languages have little global value. It is against this background that additional information on the IIALS was obtained within the SMS 2017.

Construct definition and data collection

Structured interview schedule questions were formulated for administration with principals and Grade 3 teachers at schools. Teachers were directly asked about the languages they teach, for each of the 11 official languages, and their confidence in teaching those that they do teach. Principals were directly asked for information about the levels at which each of the 11 official languages are taught at the school, as well as their knowledge of the policy on Incremental Introduction of African Languages (IIALS), and how feasible they consider it for their schools to introduce an additional African language.

The teaching and introduction of African languages in 2017

Tables 14E.1 and 14E.2 give information about how often the 11 South African languages are taught at various levels in primary schools and secondary schools considered separately.

Across all primary schools, Afrikaans, English, isiXhosa, isiZulu, Sepedi, Sesotho and Setswana are taught as home language (HL) in between 7% and 29% of schools, with Ndebele, siSwati, Tshivenda and Xitsonga respectively taught in fewer than 5% of schools. In relation to being taught as First Additional Language (FAL), 83% of schools indicated teaching English, 6% indicated Afrikaans, and 3% isiZulu, with the rest of the languages all below 1%. As Second Additional Language (SAL), 5% of schools indicated English, with the rest of the languages falling below 2%.

Except for Afrikaans, indicated by approximately 10% of the schools as the FAL, there were similar response patterns for all languages at secondary schools.

Table 14E.1: Percentages of primary school principals indicating which official languages were taught at their schools, and the level at which they were taught

Primary	As HL	As FAL	As SAL	Not Taught
Afrikaans	9,2	6,4	0,4	84,0
English	11,3	83,2	5,2	0,3
isiXhosa	28,5	0,6	0,3	70,6
isiZulu	25,5	2,7	1,5	70,4
Ndebele	2,1	0,1	0,0	97,8
Sepedi	11,7	,6	,6	87,1
Sesotho	7,3	,4	,7	91,5
Setswana	8,9	,3	,5	90,3
siSwati	2,9	,1	,1	96,9
Tshivenda	4,8	,0	,1	95,0
Xitsonga	3,9	,2	,1	95,8

Table 14E.2: Percentages of secondary school principals indicating which official languages were taught at their schools, and the level at which they were taught

Secondary	As HL	As FAL	As SAL	Not Taught
Afrikaans	10,7	10,3	5,6	73,3
English	16,4	80,3	3,1	,2
isiXhosa	17,3	1,7	,5	80,5
isiZulu	30,6	4,3	,2	64,9
Ndebele	2,6		,4	97,0
Sepedi	21,4	,4	,4	77,7
Sesotho	9,4	,2	1,0	89,4
Setswana	9,8	,3	,4	89,5
siSwati	3,7		,4	95,9
Tshivenda	4,4		,4	95,2
Xitsonga	6,2	,0	,4	93,4

Grade 3 teachers were asked to indicate which of the 11 languages they taught and how confident they were in teaching these languages. Table 14E.3 indicates that 91% of teachers declared themselves confident to teach English. For some African languages, the percentage of teachers confident to teach the language was as low as 3%.

Table 14E.3: Percentages of Grade 3 teachers' confidence levels in teaching the 11 official languages

	Do not teach	Not confident	Somewhat confident	Confident	Very confident	Total
Afrikaans	80,6	,6	1,8	4,4	12,7	100,0
English	4,7	,4	4,1	41,0	49,8	100,0
isiXhosa	76,6	,5	,4	3,7	18,8	100,0
isiZulu	72,5	,4	,7	3,9	22,4	100,0
Ndebele	98,0	,4	0	,3	1,3	100,0
Sepedi	88,5	,5	,5	2,3	8,3	100,0
Sesotho	92,7	,6	,4	1,3	5,1	100,0
Setswana	90,2	,6	,1	2,1	7,0	100,0
siSwati	96,4	,3	,1	,6	2,6	100,0
Tshivenda	96,9	,3	0	,3	2,4	100,0
Xitsonga	96,2	,3	,2	,3	3,1	100,0

Principals were asked if they were aware of the IIAL policy. Table 14E.4 gives the findings by province and Table 14E.5 by quintile.

In primary schools, 73% of principals were aware of the IIAL policy; in secondary schools, the percentage was 70%. Awareness was around 90% among primary school principals in the Northern Cape, the Western Cape and Gauteng. Among both primary and secondary schools, awareness was highest in Quintile 4 and 5 schools and lowest in Quintile 1 schools.

Table 14E.4: Percentage of primary and second school principals stating that they were aware of the IIAL policy, by province

Province	Primary	Secondary	All schools combined
EC	72,2	65,0	71,0
FS	85,7	72,2	82,1
GT	93,5	76,5	88,3
KZ	67,4	66,1	67,0
LP	60,4	72,7	64,9
MP	67,0	66,0	66,7
NC	88,8	83,1	87,4
NW	68,6	66,2	68,0
WC	91,4	85,8	90,0
SA	72,9	70,3	72,2

Table 14E.5: Percentage of primary and secondary principals stating that they were aware of the IIAL policy, by quintile

Quintile	Primary	Secondary	All schools combined
1	65,6	62,6	65,0
2	72,1	66,5	70,6
3	75,0	71,8	74,0
4	86,7	85,3	86,2
5	96,4	83,4	91,9
SA	72,9	70,3	72,2

Principals were asked their views about the feasibility of introducing the IIAL policy in their schools. Table 14E.6 gives the findings by province for primary schools and Table 14E.7 by province for secondary schools.

Nationally, approximately 50% of primary school principals said that it would be somewhat or very feasible to introduce an additional African language in their schools, as did 48% of secondary school principals. However, 40% of primary school principals stated that it would not be feasible; the highest percentages were in the Eastern Cape (47%), Limpopo (52%) and Mpumalanga (48%). Among secondary school principals, 45% indicated that it would not be feasible for their schools; the percentage for Limpopo was approximately 60%. It is possible that the seemingly high percentages reflecting concerns about the introduction of another African language is associated with the large proportion of schools where at least one other African language was already taught.

Table 14E.6: Percentage of primary school principals indicating the feasibility of introducing the IIALS policy in their school, by province

Province	Very Feasible	Somewhat Feasible	Not Feasible	Don't know	Total
EC	8,6	31,3	46,6	13,5	100,0
FS	28,0	25,5	42,7	3,9	100,0
GT	61,3	24,2	13,7	,8	100,0
KZ	22,4	25,0	41,1	11,5	100,0
LP	15,5	24,7	52,1	7,8	100,0
MP	30,7	21,0	47,9	,4	100,0
NC	19,9	33,5	33,7	12,9	100,0
NW	24,0	35,4	27,2	13,4	100,0
WC	39,5	22,2	28,7	9,6	100,0
SA	23,1	26,9	40,5	9,5	100,0

Table 14E.7: Percentage of secondary school principals indicating the feasibility of introducing the IIALS policy in their school, by province

Province	Very Feasible	Somewhat Feasible	Not Feasible	Don't know	Total
EC	15,8	23,2	47,9	13,1	100,0
FS	17,2	28,7	49,2	5,0	100,0
GT	34,6	18,4	41,4	5,6	100,0
KZ	19,2	34,0	38,4	8,3	100,0
LP	13,9	24,3	59,7	2,1	100,0
MP	31,2	27,9	39,3	1,6	100,0
NC	24,6	31,5	40,0	3,8	100,0
NW	28,7	26,7	33,9	10,6	100,0
WC	20,8	27,9	42,6	8,7	100,0
SA	20,7	27,2	45,4	6,7	100,0

Across quintiles, a higher percentage of Quintile 4 and 5 primary and secondary schools indicated that it would be feasible to implement the IIAL policy in their schools, as is clear from Tables 14E.8 and 14E.9.

Table 14E.8: Percentage of primary school principals indicating the feasibility of introducing the IIALS policy in their school, by quintile

Quintile	Very Feasible	Somewhat Feasible	Not Feasible	Don't know	Total
1	19,3	27,5	43,0	10,2	100,0
2	21,6	27,2	40,2	11,0	100,0
3	19,6	21,3	48,1	10,9	100,0
4	36,2	44,7	18,4	,7	100,0
5	47,9	24,8	24,2	3,1	100,0
SA	23,1	26,9	40,5	9,5	100,0

Table 14E.9: Percentage of secondary school principals indicating the feasibility of introducing the IIALS policy in their school, by quintile

Quintile	Very Feasible	Somewhat Feasible	Not Feasible	Don't know	Total
1	13,9	29,1	49,9	7,1	100,0
2	19,9	20,0	53,2	6,8	100,0
3	24,3	29,9	40,1	5,7	100,0
4	25,5	29,3	37,2	8,0	100,0
5	28,3	32,6	32,5	6,6	100,0
SA	20,7	27,2	45,4	6,7	100,0

Summary

English is taught as a Home Language, First Additional Language or Second Additional Language in practically all schools. No other language could be considered a competitor. Only 5% of teachers do not use English as a medium of instruction while 91% of teachers feel confident in their ability to use English as a medium of teaching. African languages are dwarfed by the presence of English. More than 40% of schools did not find the introduction of an additional African language feasible.

Quintile 1, 2 and 3 schools found the introduction of an additional African language less feasible than Quintile 4 and 5 schools. At primary schools, 73% of principals at Quintile 5 schools and 47% at Quintile 1 schools indicated that it would be feasible to introduce the IIALS policy in their schools. The corresponding figure at secondary schools was 61% and 43%.

Conclusion

The primary purpose for conducting the SMS is to obtain information to monitor progress towards the achievement of 13 key indicators set out in the Department of Basic Education's (DBE) Medium-Term Strategic Frameworks and Action Plans. First implemented in 2011, SMS 2011/12 focussed on monitoring progress towards the achievement of key indicators in the Action Plan 2014 and the Minister's Delivery Agreement Outcome 1: Improved Quality of Basic Education.

In 2017, the DBE commissioned a national survey to measure public ordinary schools' progress towards achieving the key indicators of the Action Plan 2019 and of the Medium-Term Strategic Framework 2014-2019. In its assessments of how far these goals and indicators were being met, the SMS 2017/18 was required to be comparable to the SMS 2011/12, which served as a baseline.

An essential objective for the SMS 2017/18 was to address the ambiguous questions as well as to reduce the missing data found in the SMS 2011/12 survey. To this end, a number of questions were revised, some significantly so such that comparisons were no longer possible, while tablets were used to collect data through interviews conducted with teachers and principals, review of documents and observations of resources and facilities. Furthermore, to allow adequate time for obtaining quality and accurate data, and to ensure comprehensive coverage of data required, two fieldworkers were assigned for two (2) days in each of the sampled schools.

Focussing on 13 key indicators (see Table A), the SMS 2017/18 sought to determine the extent to which these indicators were met and to compare changes in the indicator values since the SMS 2011/12. In expanding the focus of the survey, and the nature of the data obtained, two crucial amendments were instituted in SMS 2017/18. First, data was gathered about the following priority areas:

- Teacher and principal views on common examinations, national and international assessments;
- Teacher and principal views on the Annual National Assessments (ANA);
- Prevalence of, and provisioning for, Grade R learners in schools;
- The value and use of the South African School Administration and Management System (SA-SAMS); and
- The feasibility of implementing the policy on Incremental Introduction of African Languages (IIALS).

Second, a qualitative study was conducted as part of the SMS 2017/18 survey, on a sub-sample of schools focussing on Indicators 2, 6, 7, 12 and 13; and on Assessment practices in schools.

Key findings: 13 Indicators

Table A provides a summary of the findings emerging from the SMS 2017/2018. Improvements in indicator value from 2011 to 2017 were noted for three indicators (1, 5 and 7), no substantial changes were found for three indicators (2, 10 and 12), declines were found for four indicators (3, 6, 8 and 9), while no comparisons were possible for the rest (4, 11 and 13).

Table A: Key findings for Indicators 1 to 13

No	Definition	Indicator value from 2011 to 2017	Key finding
1	The percentage of schools where allocated teaching posts are all filled.	Improved (consider with caution)	A substantial increase from 69% to 78%
5	The percentage of learners in schools with a library or media centre meeting certain minimum standards.	Improved	A substantial increase from 45% to 62%
7	The percentage of schools where the School Governing Body (SGB) meets the minimum criteria of effectiveness.	Improved	A substantial increase from 54% to 62%
2	The average number of hours per year that teachers spend on professional development activities.	Remained the same	No substantial change, from 36 to 40 hours
10	The percentage of schools which comply with nationally determined minimum physical infrastructure standards.	Remained the same	No substantial change, from 40% to 38%
12	The percentage of schools visited at least twice a year by district officials for monitoring and support purposes	Remained the same	No substantial change, from 86% to 84%
3	The percentage of teachers absent from school on an average day.	Declined	A substantial decline from 8% to 10%
6	The percentage of schools with the minimum set of management documents at the required standard.	Declined	A substantial decline from 44% to 31%
9	The percentage of schools which have acquired the full set of financial management responsibilities on the basis of an assessment of their financial management capacity.	Declined	A substantial decline from 74% to 57%
4	The percentage of learners, per grade and subject, with access to the required textbooks and workbooks for the entire school year.	Not comparable	In 2011, data obtained from observations for Grade 6; no Grade 3 data was collected. In 2017, Grade 6 data was obtained from teachers while Grade 3 data was obtained from learners.
8	The percentage of learners in schools that are funded at the minimum level.	Not comparable	Given that the 2017 and 2011 surveys were conducted before the end of the school year, it was possible that some schools were still to receive their allocated amounts, and thus the 2017 data obtained was regarded as incomplete. Recommend using 2010 and 2016 figures.
11	The percentage of schools with at least one educator who has received specialised training in identifying and supporting learners with special educational needs.	Not comparable	In 2011, data obtained from 10 randomly selected teachers. In 2017, only one teacher identified by the principal to be best equipped to do so responded.
13	The percentage of school principals rating the support services of districts as being satisfactory	Not comparable	Several questions were used in 2011 while in 2017, only one broad question was used.

Key findings: Additional priority areas

The key findings emanating from the data obtained on the additional priority areas are noted in Table B. Given that no baseline exists for this data, the findings refer specifically to 2017.

Table B: Key findings for additional priority areas

No	Priority area	Key finding
A1	Teacher and principal views on common and national examinations	A large majority of teachers (90%) found common examinations useful. Eighty-seven percent (87%) of teachers and principals supported a national examination at Grade 9, while only 66% supported such an examination at Grade 3.
A2	Teacher and principal views on national and international assessment, including the Annual National Assessments (ANA).	The ANA and international assessments were rated as useful by about 60% to 70% of teachers and principals, while 20% and 40% of principals and teachers respectively reported that these assessments were unknown to them
A3	Prevalence of, and provisioning for, Grade R learners in schools.	Ninety-one percent (91%) of primary schools had Grade R classes, with an average of 50 Grade R learners per school. About 68% of Grade 1 learners had completed Grade R in government schools.
A4	The value and use of the South African School Administration and Management System (SA-SAMS).	Excluding the Western Cape, which uses a different system, the SA-SAMS is used in approximately 92% of schools. Ninety-nine percent (99%) of these schools use SA-SAMS for learner registration, reporting on assessments and submitting data to the Department. For financial management, SA-SAMS is used by 58% of schools.
A5	The feasibility of implementing the policy on Incremental Introduction of African Languages (IIALS)	Seventy-three percent (73%) of principals in primary schools and 70% in secondary schools reported that they were aware of the IIAL policy. Quintile 1, 2 and 3 schools found the introduction of an additional African language less feasible than Quintile 4 and 5 schools.

The SMS 2017/18 and SMS 2011/12 provided a comprehensive overview regarding the 13 key indicators identified by the Department of Basic Education. In addition, SMS 2017/18 also reports on five additional priority areas. Notwithstanding the amendments made to the 2017 instruments and methodology, the challenge of obtaining valid and reliable data to ensure reporting of trends for all indicators still remains. Addressing this challenge, and improving on the current survey, remains a key task for the next SMS.

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Annexure A: Detailed Terms of Reference

TERMS OF REFERENCE

SCHOOL MONITORING SURVEY 2017/18

Version 4 May 2017

PURPOSE/ AIM OF THE PROJECT

1 In the 2011/12 financial year, the Department of Basic Education (DBE) obtained the services of an external provider to monitor progress towards the achievement of some of the goals and indicators set out in the sector plan, *Action Plan to 2014: Towards the Realisation of Schooling 2025 (Action Plan 2014)* and the *Delivery Agreement for Outcome 1: Improved quality of basic education*. This was done through the School Monitoring Survey 2011/12 (SMS 2011/12) which used a range of indicators aligned with the sector plan to measure system performance nationally. The School Monitoring Survey focussed specifically on gathering information which is not available in other systems, such as the Education Management Information System (EMIS).

2 In 2015, the Minister of Basic Education approved the release of an updated sector plan, the *Action Plan to 2019: Towards the Realisation of Schooling 2030* (Action Plan 2019). The *Action Plan 2019* takes stock of key developments in the basic education sector since the release in 2011 of the last sector plan, *Action Plan 2014*. It reiterates many of the priorities outlined in the earlier plan and to a large extent, priorities have remained the same in recent years. However, there are also shifts of emphasis in the wake of lessons learnt and, very importantly, priorities put forward by the *National Development Plan: Vision 2030 (NDP)* released by the President in 2012. In line with the NDP, the planning horizon in the current plan is 2030, and no longer 2025. The medium term horizon is set at 2019, which is the end of the 2014 to 2019 electoral cycle.

3 This document serves to set out specifications for professional and technical expertise for a suitably qualified service provider to design and conduct a national survey in public ordinary schools as a mechanism to monitor progress towards the achievement of key goals and indicators in the *Action Plan* 2019 as well as the *Medium Term Strategic Framework 2014-2019 (MTSF 2014-2019)*.

4 The School Monitoring Survey (SMS2017/18) would have to be comparable to the SMS 2011/12 regarding key goals and indicators based on the *Action Plan 2014* and Delivery Agreement with the SMS 2011/12 serving as a baseline.

A. BACKGROUND

5 The *Action Plan 2019*, as with the *Action Plan 2014,* is directed at a broad range of stakeholders involved in the momentous task of transforming South Africa's schools. These stakeholders include parents; teachers; school principals; officials at the district, provincial and national levels; members of Parliament; leaders in civil society organisations including teacher unions; private sector partners; researchers; and international partner agencies such as the United Nations Children's Fund (UNICEF) and the World Bank.

6 The Action Plan 2019 provides continuity insofar as it follows the basic structure of the previous sector plan. The original 27 goals covering a broad range of issues and interventions remain. Of these 27 goals, 13 deal with performance and participation outcomes we strive for and 14 deal with the 'how' of realising these improvements. To promote focus within the system, however, five of the 27 goals remain priority goals. These deal with grade R, teacher development, learning materials, school management and support by district offices. The 36 indicators, which are attached to individual goals, also remain.

7 The public discourse on the schooling sector in South Africa sometimes creates the impression that nothing is changing, and that challenges are remaining unchanged in their size and nature. This is an impression that is not supported by the facts. The system is dynamic. Schools in 2014 were not the same as schools in 2009. Changes have occurred, some very obvious, others more subtle. By far most of the changes have been in the right direction. It is therefore critical to monitor the progress on key indicators to help inform planning and to highlight areas that require improvement through the SMS 2017/18.

B. SCOPE OF WORK

8 Below, the outputs of the SMS 2017/18 as currently envisaged by the DBE are discussed. For each, the general conceptual framework, and desired effect are explained. The service provider, in its proposal, should show familiarity with the SMS 2011/12 and ensure comparability as far as possible (the questionnaires from the SMS 2011/12 will be made available after the appointment of the service provider). The service provider should feel free to be innovative in their approach, provided the project outcomes are achieved.

9 The SMS 2017/18 will focus only on 13 of the 15 Action Plan indicators in the SMS 2011/12. In addition to the 13 indicators, information on areas of priority for the sector will be required. This includes teacher and principal participation, perceptions, experiences, proposals and levels of professional development particularly on; provincial, national and international assessments including the Annual National Assessments (ANAs); and school level assessment practice. Topics covered should also include African languages and the schooling environment with school management data collection mechanisms including the South African School Administration and Management System (SA-SAMS), the Learner Unit Record Information and Tracking System (LURITS), and other Information and Communications Technology (ICT) systems.

10 The following 13 indicators and qualitative research questions form the basis of the survey though improvements/ refinements are required particularly in data collection and monitoring. Further details on the rationale and methodology for the indicators are provided in the full version of the previous Sector Plan, Action Plan 2014. This should be read in addition to the Action Plan 2019 and all other strategic documents detailed in the Terms of Reference. Further details on reference documents are specified within each indicator. These documents are available on the DBE website. Hard copies of these documents are also available at the DBE Resource Centre. Should any difficulties be experienced with accessing these documents, the responsible managers indicated in the TORs will assist. All enquiries should be sent by email.

10.1 QUANTITATIVE RESEARCH: ACTION PLAN INDICATORS

	INDICATORS	MEASUREMENT ISSUES
1	The percentage of schools where allocated teaching posts are all filled	It is critical to know and understand where there are vacancies. The following two issues should be part of the key questions, amongst other considerations: -(teaching) posts that are filled by temporary educators -(teaching) posts that are filled by permanent educators Very importantly, a problem in the 2011/12 SMS questionnaires resulted in it not being possible to gauge when empty posts were publicly paid and when they were privately paid (or paid by the school governing body). It is essential that this distinction be clear. Moreover, the key interest is grades 1 to 12 teachers. The matter of grade R teachers should be reported separately. The key source for this indicator is the School Monitoring Survey 2011/12. Details on the calculation of baseline values can be found in the report Second detailed indicator report for basic education sector, completed in 2014.
2	The average hours per year spent by teachers on professional development activities	According to the Education Labour Relations Council Resolution no. 7 of 1998 on the Workload of Educators, all educators, as part of their conditions of service, should spend 80 hours per year on professional development activities. This should be taken into account when measuring this indicator. Details should include the types of professional development (self, school and externally-initiated) activities undertaken, amongst other considerations. Details on the calculation of baseline values can be found in the report Second detailed indicator report for basic education sector, completed in 2014.
3	The percentage of teachers absent from school on an average day	It is critical to define “absenteeism” in this context, taking into account “absence from school due to leave”. The current attendance measures linked to PERSAL should be considered for comparability to other attendance measures in the system. Details on the calculation of baseline values can be found in the report Second detailed indicator report for basic education sector, completed in 2014.
4	The percentage of learners having access to the required textbooks and workbooks for the entire school year	The DBE provides selected learner resources including workbooks and supplementary textbooks. It is critical to define what is meant by “access” in this context; and to be familiar with which workbooks and textbooks are provided in which grades; and to differentiate between DBE-provided textbooks and other textbooks. The methodology for counting learners with and without books in the class, and the reasons for not having books; how national workbooks and textbooks are used to complement each other; and how the sharing of books is organised where there is not a one-to-one ratio of books to learners, must be indicated. Information on this indicator must be clearly collected, measured and articulated.
5	The percentage of learners in schools with a library or media centre fulfilling certain minimum standards	Measuring this indicator should be informed by the National Guidelines for School Library and Information Services and measured according to the different types of library and media resources indicated.
6	The percentage of schools producing the minimum set of management documents at the required standard.	The management documents referred to in this indicator include, amongst others, a school improvement plan, a school budget, an annual report, attendance registers and learner mark schedules. This information should be collected in consultation with district offices that oversee school management documentation with a verification sample collected from schools as well as other relevant sources identified.

	INDICATORS	MEASUREMENT ISSUES
7	The percentage of schools where the School Governing Body (SGB) meets the minimum criteria in terms of effectiveness	It is critical to determine to what extent SGBs are fulfilling their basic administrative duties, and whether the required documentation and procedures are in place. This should include oversight on the school improvement plan, school vacancies and the use of ANA results. Credible evidence supporting findings on this indicator should be provided in addition to the completion of questionnaires, this could include a sample of SGB meeting registers, minutes and key documentation as well as other relevant documents.
8	The percentage of learners in schools that are funded at the minimum level	Measuring this indicator should be informed by the Norms and Standards for School Funding, which sets out the minimum monetary target for the school allocation in terms of the Quintile ranking of the school. Thus the minimum standard for this Indicator is whether schools receive funding per learner which is in line with the national allocation.
9	The percentage of schools which have acquired the full set of financial management responsibilities on the basis of an assessment of their financial management capacity	Measuring this indicator should be informed by Section 21 of the South African Schools Act (SASA) as amended. This question focuses on only Section 21a, c and d. In terms of Section 21 of the SASA, financial management responsibilities that schools can apply for are: (a) maintain and improve the school's property, buildings, grounds, and hostel; (c) purchase textbooks, educational materials or equipment for the school; and (d) pay for services to the school (e.g. telephone, electricity).
10	The percentage of schools which comply with nationally determined minimum physical infrastructure standards	Measuring this indicator should be informed by Regulation 920 of 2013. Reference should also be made to the National Education Infrastructure Management System (NEIMS) definitions of fencing, water and sanitation amongst other sources. This includes required standards such as running water; working electricity; school premises that are fenced; and separate toilets for boy learners, girl learners and teachers respectively (flush toilet, VIP or Enviro-loo only – bucket, chemical or mobile toilets are not included).
11	The percentage of schools with at least one educator who has received specialized training in the identification and support of special needs	Measuring this indicator should be informed by the Education White Paper 6 on Special Needs Education: Building an Inclusive Education and Training System, and, Conceptual and Operational Guidelines for the Implementation of Inclusive Education. This should include the rating of teacher confidence in identifying and supporting special needs education.
12	The percentage of schools visited at least twice a year by district officials for monitoring and support purposes.	Measuring this indicator should be informed by the Guidelines on the organisation, roles and responsibilities of education districts, amongst other credible standards.
13	The percentage of school principals rating the support services of districts as being satisfactory	Measuring this indicator should be informed by the Guidelines on the organisation, roles and responsibilities of education districts, amongst other credible standards. The measure should include the following: - type of support provided - who provides support to schools, SMT, teachers, etc. - perceptions of principals about support provided - perceptions of teachers about support provided - planning - oversight and accountability mechanisms undertaken

10.2 **QUALITATIVE RESEARCH**

10.2.1 In order to enhance our understanding of the information collected through the survey on the Action Plan indicators as well as emerging research areas, qualitative work should be done in a sub-sample of schools. The questions should not be limited to compliance but should enable the completion of in-depth analysis in order to identify correlations and causal relationships for specific educational outcomes where possible.

10.2.2 The service provider should select 5 key indicators from the Action Plan indicators above and propose in-depth qualitative questions to enhance these. A rationale for the selection should also be provided.

10.2.3 The service provider should also develop questions to respond to the areas specified in the Scope of Work. This should include lesson observation, review of curriculum planning documents, review of learner workbooks and exercise books amongst other activities.

10.2.4 The specifications of the sub-sample are provided in the methodology section below.

C. METHODOLOGY

11 The main component of the SMS 2017/18 is a nationally representative sample survey of schools. Therefore, the main methodologies used will be quantitative analysis of data produced from the survey. Data should thus be collected in such a way that it lends itself to quantitative analysis. It is envisaged that the survey will mainly be based on the oral, face-to-face administration of questionnaires by fieldworkers to teachers, school managers, and SGBs as well as classroom and school observations.

12 Efforts by the service provider should include verification of information collected at the different levels surveyed as part of the methodology.

13 For the purposes of the survey, the service provider will be provided with a national sampling framework in order to draw a nationally representative sample of schools offering grade 6 and a nationally represent sample of schools offering grade 12, keeping in mind that these two populations overlap to some extent. Effectively, there must be two samples: a sample of 1000 schools offering grade 6 and a sample of 1000 schools offering grade 12. Only schools categorised as public ordinary schools will form part of the sample; 'Special Needs Education Schools', Specialisation Schools and private schools will be excluded

14 The samples should be stratified by province to ensure that the sample for each province is roughly the same size. Within each province the sample should be stratified by quintile to ensure that the provincial sample is representative of the quintile ratios within the province. The sample should allow for the disaggregation of findings by province and quintile with an acceptable degree of precision. The proposal should provide power calculations, that is to say, estimates of the precision with which findings can be made at the national and provincial level. The sample should include small schools drawn with probability proportional to school size; as defined by enrolment.

15 At a minimum, the information collected for the SMS 2017/18 should be collected at grades 3, 6, 9, and 12, and should focus on Literacy/Language and Numeracy/Mathematics.

16 For the sample of schools offering grade 3 and 6 the specific focus should be Home Language Literacy which will be the Language of Learning and Teaching (LOLT), English First Additional Language (EFAL) and Mathematics.

17 For the sample of schools offering grade 9 the specific focus should be English and Mathematics, and for schools offering grade 12 the specific focus should be English, Mathematics and Mathematical Literacy.

18 A minimum of two fieldworkers should visit one school per day for the purposes of data collection.

19 In order to enhance the survey and respond to emerging priority areas there will also be a qualitative aspect to the SMS 2017/18. Methodologies used for this aspect should include individual interviews and focus-group discussions amongst other methods. In their proposal, the service provider should provide a detailed description of the methodologies to be used in the qualitative component including specific themes informing the questions

that will be developed.

20 The sub-sample for the qualitative work should be from the main survey sample. This component will be limited to three provinces in South Africa; Limpopo, Western Cape and Free State. The qualitative work should be completed in a total of 18 schools consisting of 6 schools in each province; 3 schools offering grade 6, and 3 schools offering grade 12.

21 The qualitative component should involve at least two full days of school observation at each school.

D. DELIVERABLES

22 The SMS 2017/18 is expected to be completed within fourteen (14) months of the appointment of the service provider. The data collection should take place between September and November 2017 in order to be comparable to the SMS 2011/12. The deliverables discussed below will be expected at various points during the SMS 2017/18 however, the service providers' proposals should reflect some engagement and consideration of the deliverables where relevant. Finalisation of all the deliverables will be approved by the DBE Steering Committee.

23 **Inception report. The** Inception report is a core part of the initial appointment process. The objective of the inception phase is to agree and capture revisions to the proposal that may be required by the DBE so as to ensure that the requirements of the assignment can be addressed. The Inception report allows the possibility of using the learning from initial consultations to update the approach and methodology for assignments, once direct interaction with stakeholders and the appointed service provider is done.

24 The minimum activity involved will be a briefing session between the appointed service provider and the DBE project management team. This engagement is expected to inform the following, which form the main content of the Inception Report:

24.1 **A comprehensive understanding of the Terms of Reference reflected in revising the proposal;**

24.2 **Improvements in the approach, design and methodology for the evaluation;**

24.3 **Addressing any gaps in the risk management approach; and**

24.4 **Revisions to the activity-based SMS 2017/18 plan.**

25 **Sample and sampling report.** DBE will provide the sampling frame including all available data on eligible schools. The service provider will be expected to draw the final sample as well as compile a report detailing the statistical calculations and parameters used to select the sample. The DBE will approve the final sample.

26 **Data collection instruments**. There is a requirement to reproduce key questions in the SMS 2017/18 survey exactly as they were in the SMS 2011/12 in order to provide a basis for comparison. Therefore, to a large extent the data collection instruments will be refined versions of the tools that were used during the SMS 2011/12 for the quantitative survey. The service provider will be required to make informed recommendations for the inclusion and exclusion of specific tools and questions based on the TORs and their expertise. This must be supported by documented studies, analysis of other studies and the rationale for recommendations. Where relevant the service provider will be expected to incorporate questions from other national and international surveys that South Africa has participated in. This includes surveys such as the Trends in International Mathematics and Science Study (TIMSS), Progress in International Reading Literacy Study (PIRLS) and Southern and Eastern African Consortium for Monitoring Educational Quality (SACMEQ).

27 It must be noted that too many instruments were administered in the SMS 2011/12 leading to excessive amounts of missing data where fieldworkers only administered some of the instruments in each school. The result was a very complex and intractable system of weights to adjust for non-response making analysis of data very difficult. As part of the data collection exercise, the service provider will be requested to make proposals and implement these where appropriate in order to reduce non-response. The final data collection instruments will be approved by the Steering Committee.

28 The service provider will be expected to develop data collection instruments for the qualitative component of the study based on the TORs as well an understanding of the sector. These will be subject to approval by the Steering Committee.

29 **Fieldworker list**. The service provider must submit a detailed list of all the personnel involved in the fieldwork including the names and contact details of all the data collectors, fieldwork organisers and fieldwork supervisors to be used in the survey. The information provided must include educational qualifications, experience in fieldwork and language proficiency. The list may be verified by the DBE.

30 The fieldworkers that will conduct the qualitative component should be education academics, with at least one person per school team who is fluent in the language of instruction in the Foundation Phase in that school in the case of schools offering grades 3 and 6. A small team of academics must be identified to complete the qualitative work with a minimum of 4 academics responsible for the fieldwork

31 **Piloting and pilot study reports**. The service provider is expected to pilot the data collection tools, and develop a report of the pilot study. The pilot should include administering the draft tools at the appropriate grades in terms of school level instruments, as well as with the relevant officials and school personnel in terms of the remaining instruments. The piloting should focus on refining the questions and surveys as well as testing the entire fieldwork data collection and administration processes.

32 The piloting should take place in at least 5 schools that are not part of the survey and may be conducted in any 2 provinces. Findings from the piloting should inform instrument revision and the refining of the survey administration processes.

33 **Training manuals.** The service provider must develop training manuals for the fieldworkers that will collect data. The manuals should be detailed and specific and include protocols for administration and data collection, in addition to specific information about each instrument.

34 **Conduct Fieldworker Training.** The service provider is required to conduct clustered centralised training of the fieldworkers over a minimum of 3 days per cluster. These 3 days should include a simulation training day for all the data personnel to ensure the appropriate levels of competency amongst all fieldworkers. The service provider should assess the competency of the fieldworkers at the conclusion of the training. Fieldworkers that do not meet the required standards should not be retained as fieldworkers.

35 **Fieldwork schedule.** The planned fieldwork schedules for the schools in the SMS 2017/18 must be provided in writing prior to the fieldwork.

36 **Fieldwork.** The fieldwork should be completed by the service provider between 1 September and 15 November 2017. The service provider should note the dates for the September school holidays and plan accordingly. The DBE will monitor the fieldwork.

37 **Fieldwork report.** The fieldwork report should at the minimum contain the following details: list of school sites visited per province, time of arrival, and specific problems encountered during the survey. The report should also provide some preliminary statistics on the completion rates of the various tools.

38 **Extensive desktop analysis**. This should focus on producing a report on the identified indicators. This report is the deliverable referred to in no. 41. Lessons learnt from the 2011/12 survey suggest that during the course of the analysis much attention should go towards the reliability of the data, coherence between the values of different variables, the distribution of values and what the contextual data says about how the headline indicator values should be interpreted.

39 In short, the analysis needs to be more investigative and less mechanical than was the case with the 2011 data. It

is not expected that the desktop analysis by the service provider should deal exhaustively with all the variables in the dataset. It is understood that the survey is partly aimed at producing a dataset that can be useful beyond the duration of the project. What is expected is that comparison between the SMS 2011/12 and SMS 2017/18 data should occur; this is expected for all 13 indicators.

40 There is an expectation that the SMS 2011/12 dataset would be re-analysed to a limited degree, to assist the service provider in interpreting the newly collected data. The DBE will provide the service provider with both the final analytical report of the 2011 service provider, as well as additional analysis that has been produced using the dataset.

41 **Survey reports.** These should be in three formats;

41.1 A summary report providing a detailed summary of all the 13 indicators;

41.2 A comprehensive report on the survey indicators as well as a contextual narrative on matters relating to each indicator as collected through the qualitative data collection process. The report should be based on a comparison of the newly collected data and 2011/12 data. The report should contain summary tables of the data per indicator; and

41.3 A technical report providing details on the sampling frame, final approved sample, power calculations and confidence intervals, definitions, standards of measurement, reliability of data, etc. for all information collected.

42 **Metadata Documentation.** The service provider must provide documentation detailing the processes and policies around collecting data, reporting and recording fieldwork, selection of fieldworkers and all other technical documentation used in the study.

43 **Provision of all datasets** The Service Provider is expected to hand over all the datasets collected for the SMS 2017/18 to the Strategic Planning, Monitoring and Evaluation Chief Directorate in the Department of Basic Education. The data is required in Stata format and can in addition be provided in other formats.

44 **Presentations**. The Service Provider will be expected to make presentations of the inception report, draft tools, training and pilot study reports, and survey reports (and other critical outputs) to the Steering Committee and other relevant forums in the Department as deemed necessary.

45 The table below provides a summary of deliverables and timeframes. All deliverables submitted will be subject to scrutiny by the DBE and approval will only be granted if the deliverables are of the required quality. Thus finalisation of deliverables may entail several revisions based on feedback provided. Feedback on the submitted deliverables will be completed within 10 days after the receipt of deliverables, with the exception of the final reports. The feedback may be the approval of deliverables or a request for revision.

No.	DELIVERABLES	DELIVERABLE TIMEFRAME
Phase 1: Preparation for data collection		
1.	Inception report	10 working days after the appointment of the service provider.
2.	Sample and sampling report	15 working days after the appointment of the service provider
3.	Draft data collection instruments	The draft instruments and supporting document should be submitted 25 working days after the appointment of the service provider
4.	Fieldworker list	25 working days after the appointment of the service provider
Phase 2 : Piloting		
5.	Conduct pilot study of instrument	Within 30-35 working days after the appointment of the service provider
6.	Pilot study report	10 working days after the pilot study
Phase 3: Finalisation of data collection processes		
7.	Final data collection instruments	The final revised instruments and supporting document should be submitted 20 working days after the pilot
8.	Training manuals	20 working days after the pilot
Phase 4 : Fieldworker training		
9.	Conduct fieldworker training & submit report	30 working days after the pilot
10.	Fieldwork schedule	15 working days before the fieldwork
Phase 5 : Administration and collection of data from sampled schools		
11.	Conduct fieldwork	1 September 2017 to 15 November 2017
12.	Preliminary fieldwork report	10 days after the fieldwork
Phase 6: Quality assurance of administration and collection of data from sampled schools		
13.	Fieldwork report	20 working days after the fieldwork is completed
Phase 7: Data analysis and reporting		
14.	Draft Survey reports	120 working days after the fieldwork
15.	Full Datasets	120 working days after the fieldwork
16.	Metadata, process and technical documents related to the survey.	120 working days after the fieldwork
Phase 8: Finalisation of reporting and project conclusion		
17.	Final reports	60 working days after the draft report
18.	Presentations	Delivered throughout the survey but the final versions must be submitted at the conclusion of the study.

E. CONDITIONS

46 It is envisaged that this work will be completed within fourteen (14) months after appointment.

47 The service provider will be expected to complete all phases of the project and adhere strictly to the deadlines specified.

48 The service provider is expected to demonstrate credibility and perform the services as described in this document.

49 Material compiled by the DBE may not be used in any form or for any purpose other than the purpose stipulated in this agreement. If the service provider wishes to use such material in any other form or for any other purpose, including, but not limited to, workshops, media releases and the like, it must submit to the DBE a written motivation for such use. The DBE will request approval from the designated officer in who copyright vests. Only once the designated officer has granted written approval will the DBE convey such written approval to the service provider and will the service provider have permission for such usage.

50 In the case of any material compiled, developed, researched, commented on, or evaluated on behalf of the DBE as a result of a contractual agreement with the service provider, or any other form of material, irrespective of whether in a completed form or otherwise, all intellectual property rights relating to such material will vest in the state. The service provider may not use any such material without first having obtained written approval as envisaged in clause 49.

51 The service provider shall submit all datasets to the DBE. All datasets, which shall be the sole property of the DBE, must be prepared in a programme compatible to that of the DBE. The data is required in Stata format and can in addition be provided in other formats.

52 The appointed service provider shall undertake to avoid any activity of whatsoever nature that may be detrimental to the Department's interest, goodwill and reputation.

53 DBE reserves the right to change the Terms of Reference prior to approval of bid.

54 The Service Provider will be expected to adhere to the specifications signed by both parties. All documents (reports, tools etc.) should be in the layout and design according to the Department's corporate standards.

55 The Service Provider will be expected to ensure effective capacity building to DBE officials over the duration of the study. This will include DBE officials participation during instrument development sessions, fieldwork-training and conducting surveys and interviews during the focus group, pilot and survey; data capturing of the survey instruments; and data analysis. All travel and accommodation costs for DBE officials will be covered by the DBE.

56 The DBE reserves the right to conduct unannounced monitoring visits for any project activities.

57 The Service Provider must sign a confidentiality agreement. All documents and other products should be treated as confidential and should not be passed on to a third party.

58 The service provider must seek the Department's approval for any changes to members of the service provider's project team.

59 **Termination for default:** The Department, without prejudice to any other remedy for breach of contract, by written notice of default sent to the supplier reserves the right to terminate this contract with the appointed service provider, in accordance with clause 23 of the General Conditions of Contract, should challenges be experienced with the service delivery and customer service to the Department.

F. REQUIREMENTS

60 The bidder must submit (together with their proposal) the following with documentary proof that it has expertise, experience and capacity to undertake the SMS 2017/18 in the areas indicated below at a minimum. The documentary evidence must be submitted in hard copy. No soft copies will be accepted. Each component of the documentary evidence must be clearly marked.

60.1 Sampling. Documentary evidence such as a sampling report or extract, demonstrating knowledge and involvement in the use of statistical and economic measures.

60.2 Questionnaire design. A sample of a quantitative questionnaire from a previous relevant study.

60.3 Data collection and capturing. Documentary evidence on the management of large scale quantitative data collection such as a data collection and management report. Documentary evidence of previously used quantitative fieldworkers. Details provided must include educational qualifications, experience in fieldwork and language proficiency as well as a brief summary of a relevant fieldwork project.

60.4 Data analysis and reporting. Documentary evidence of quantitative research in the education sector such as a research report.

60.5 Questionnaire design. A sample of a qualitative questionnaire from a previous relevant study and documentary evidence of conducting qualitative research in the education sector such as a research report. A sample of a quantitative questionnaire from a previously relevant study should also be included.

60.6 Documentation on the proposed qualitative fieldworkers for the SMS 2017/18.

60.7 A project plan. The project plan must detail how all activities, timeframes and deliverables will be completed. In addition a recruitment strategy for quantitative fieldworkers must be demonstrated.

60.8 Curriculum Vitae's of the lead project personnel. At the minimum this should include project managers, fieldwork managers, statistical expertise, qualitative research managers, report writers. The CVs must specifying qualifications and experience. The CVs should include the names of at least two contactable referees (name of contact person, telephone/ email address of a contact person) for whom the tenderer has provided similar services.

60.9 A risk management plan. The risk management plan must indicate that the service provider has considered possible risks in the work required and meeting project timelines with an indication of how they plan to overcome these.

60.10 A quality control plan.

61 Bidders must provide a **full break down of costs** for the supply of services per phase including the **ceiling price**. A ceiling price is the price paid for the total estimated time of completion of all phases, including all expenses inclusive of VAT for the project, and should be fixed for the full duration of the project.

62 Return all the fully completed and signed attached SBD forms (SBD1, SBD3.3, SBD4, SBD6.1, SBD8 & SBD9). All bids must be submitted on the official forms (not to be re-typed). **Any alteration to the bidding (SBD) forms will lead to immediate disqualification.**

63 If bidding as a Consortium or Joint Venture the following documents must be attached/addressed:

63.1 The agreement signed by nominated members of both/ all consortium or joint venture partners;

63.2 State the leading company;

63.3 A member of the leading company must have attended a compulsory briefing session;

63.4 Completion, signing and submission of all bidding (SBD) forms separately (per company within the consortium/ joint venture;

64 If bidding with an intention of subcontracting entail the following requirement:

1.1 The name/s of the subcontract company/s and percentage to be subcontracted.

65 ***Bidders who do not comply with all the requirements listed in paragraph 61-64 above will be disqualified.***

G. COMPULSORY BRIEFING SESSION

66 The Department will hold a compulsory briefing session on a date and time as published in the Government Tender Bulletin and eTender Publication Portal. **Failure to attend the briefing session will result in disqualification of the submitted bid**

H. PAYMENT

67 The Department will make payments within 30 days of receipt of the invoices based on approved deliverables. The table below provides a summary of the phases and payments.

No.	DELIVERABLES	PAYMENT %
1.	Phase 1: Preparation for data collection	5%
2.	Phase 2 : Piloting	5%
3.	Phase 3: Finalisation of data collection processes	20%
4.	Phase 4 : Fieldworker training	20%
5.	Phase 5 : Administration and collection of data from sampled schools	10%
6.	Phase 6: Quality assurance of administration and collection of data from sampled schools	10%
7.	Phase 7: Data analysis and reporting	20%
8.	Phase 8: Finalisation of reporting and project conclusion	10%

I. EVALUATION CRITERIA

68 The bids will be evaluated according to various attributes, namely, skills, knowledge, competence, capacity, credibility and relevant experience. The suitability of proposals will be evaluated against the following criteria.

69 In applying the evaluation criteria as indicated in the table below, the lack of submission of the required documentary evidence will result in a score of zero.

CRITERIA	POINTS
Quantitative competencies Sampling 1. Documentary evidence of knowledge and involvement in the use of statistical and economic measures such as a sampling report or extract. (10) Questionnaire design 2. Sample of a quantitative questionnaire from a previous relevant study (5) Data collection and capturing 3. Documentary evidence of the management of large scale quantitative data collection such as a data collection and management report(20) 4. Documentary evidence of previously used quantitative fieldworkers (5) Data analysis and reporting 5. Documentary evidence of quantitative research in the education sector such as a research report (10) Qualitative competencies Questionnaire design 6. Sample of a qualitative questionnaire from a previous relevant study and documentary evidence of conducting qualitative research in the education sector such as a research report (5) 7. Documentary evidence of proposed qualitative fieldworkers for the SMS 2017/18 (5)	60
8. The project plan must detail how all activities, timeframes and deliverables will be completed. In addition a recruitment strategy for quantitative fieldworkers must be demonstrated (15) 9. Curriculum Vitae's of the lead project personnel. At the minimum this should include project managers, fieldwork managers, statistical expertise, qualitative research managers, report writers. The CVs must specifying qualifications and experience (15)	30
10. A risk management plan (5) 11. Quality control plan (5)	10
TOTAL	100

70 **Bidders who score less than 65 out of 100 points on functionality will not be considered for this tender**.

71 Thereafter only the qualifying bids will be evaluated in terms of the 80/20 preference points system where 80 points will be used for price only and 20 points are used for B-BBEE (refer to attached SBD 6.1 form which is part of the bid document).

72 **The following formula will be used for the calculation of points for price:**

$$Ps = 80\left(1 - \frac{Pt - P\min}{P\min}\right)$$

Ps = Points scored for price of bid under consideration

Pt = Rand value of acceptable bid under consideration

Pmin = Rand value of lowest acceptable bid

J. PROJECT MANAGEMENT

73 A Steering Committee comprising of DBE officials will be responsible for the management of this project which will be convened by the Research Coordination, Monitoring and Evaluation Directorate in the Department.

K. ENQUIRIES CAN BE DIRECTED TO:

Dr Stephen Taylor

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Department of Basic Education

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Ms Carol Nuga Deliwe

Chief Director: Strategic Planning, Research and Coordination

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012 357 3339

(Footnotes)

74 Grade 3 textbook access was not covered in any detail as over 96% of schools used the workbooks provided by DBE.

75 The source of a school's knowledge of the expected amount was not explored or recorded. It could be a letter from the province, a communication from the district, the amount published in the Government Gazette, or that a principal simply trusted the DBE to provide the school with the appropriate amount.

76 In this case reflecting only infrastructure components included in targets for November 2016.

77 In retrospect this question should have specified whether SA-SAMS is used for reporting to the Provincial Education Department.

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