

Lead & manage organisational systems, physical & financial resources

Advanced Certificate: Education
(SCHOOL MANAGEMENT AND LEADERSHIP)



education

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Lead and manage organisational systems, physical and financial resources
A module of the Advanced Certificate: Education (School Management and Leadership)

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Lead and manage organisational systems, physical and financial resources

Advanced Certificate: Education
(School Management and Leadership)

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Foreword

Acronyms and abbreviations used in the programme

AC	Assessment Criteria
ACE	Advanced Certificate: Education
AGM	Annual General Meeting
CCFO	Critical cross-field outcome
CHE	Council on Higher Education
DoE	Department of Education
DSG	Development Support Group
EMD	Education Management Development
ETQA	Education and Training Quality Assurance body
HEQC	Higher Education Quality Committee
INSET	In-service Education and Training
IQMS	Integrated Quality Management System
NCS	National Curriculum Statement
NLRD	National Learners' Records Database
NQF	National Qualifications Framework
OBA	Outcomes-Based Assessment
OBE	Outcomes-Based Education
PGP	Personal Growth Plan
PoE	Portfolio of Evidence
RPL	Recognition of Prior Learning
SACE	South African Council of Educators
SAQA	South African Qualifications Authority
SAUVCA	South African University Vice-Chancellors' Association
SDT	Staff Development Team
SGB	School Governing Body
SGB	Standards Generating Body
SMT	School Management Team
SO	Specific Outcome
US	Unit Standard

Overview

Introduction to the module

This module examines the structures, systems and processes that should be established in order for a school to be effective. The expectation of all stakeholders in the school environment is that an effective school will be able to provide an education of progressively higher quality for all learners.

The premise of this module is that effective education is built upon, and grounded in, policies, principles and values. The acts, regulations and policies of national and provincial governments have created the framework and values within which the school's organisational systems, and physical and financial resources should be managed.

The foundation of an effectively managed school

If a school is to be managed effectively, it must be well organised, and this applies to every part of the school system. Furthermore, the interrelationships between the different systems must also be managed effectively, since they depend on one another for effective functioning. Let us illustrate this through the following example: Your school must have policies and procedures in place for collecting school fees from parents (unless it has been declared a no fees school), and it must have administrative and financial systems for the recording and safe-keeping of funds. These funds must be appropriately managed, allocated and spent to cover the different costs incurred by the school. Classrooms must be provided for and maintained; teachers' salaries must be paid; and schoolbooks must be purchased. In addition, the school grounds must be secured and maintained; classrooms must be cleaned; gardens must be tended and watered; and toilets must be provided for, maintained so as to keep them in working order, and cleaned regularly to ensure hygienic conditions.

This example illustrates the importance of this module, because without the necessary systems and physical and financial resources, your school will not be able to perform its primary role, which is providing quality education to your learners. So we can say that the foundation of an effectively managed school is the optimum organisation and utilisation of the resources it has available.

The school leader: manager of interrelated systems

A school is an organisation that consists of many different parts. The principal is not only an educational manager; he/she is also the leader of the school, and a vital part of his/her role is to manage the school's organisational systems and physical and financial resources. As noted in the core module *Understanding school leadership and management in the South African context*, as leader you ensure you are doing the right things and as manager you ensure you are doing things in the right way. All principals and other school leaders should have some knowledge of organisational design to enable them to set up, implement, maintain and evaluate systems and structures that will contribute to the overall effectiveness of the running of the school.

This module further holds that there are certain core areas of performance that are essential for schools to be successful and fulfil their mandates. These core performance areas are the elements from the model for 'whole-school development', which will be dealt with in more detail later in the module. The core performance areas are interrelated and are supportive of one another. Similarly, any one policy or principle of the legislative framework governs a number of these core areas of performance. Examples of core areas of performance are effective leadership and management, information management and communication systems.

Module outcomes

This module is designed to enable you to achieve competence in one of the core unit standards of the ACE qualification, i.e. 'Manage organizational systems and physical and financial resources' (SAQA ID number 115434, NQF level 6, 20 credits).

By the end of the module, you should be able to demonstrate achievement of the following outcomes that are specified in the unit standard:

- Demonstrate the personal qualities necessary for effective management (specific outcome 1 of the unit standard)
- Set up, implement, maintain and evaluate organisational systems for the school (specific outcome 2)
- Manage the financial resources of the school in a transparent and accountable way (specific outcome 3)
- Understand and be able to apply relevant content knowledge and skills in your own school in the management of organisational systems and physical and financial resources (specific outcome 4).

In addition to the broad outcomes described in the unit standard, this module will also build your competence to demonstrate the following outcomes:

- Understand the importance of structures and systems and how they contribute towards the overall effectiveness of the running of the school
- Identify and apply the Acts, regulations and policies that are applicable to managing organisational systems and physical and financial resources
- Gather information through consultation and reach consensus and solutions by applying various means of problem-solving and creative-thinking techniques
- Set up, implement, maintain and evaluate the following systems in your school:
 - ▶ Administrative systems and structures for admissions, the collection of school fees, and school safety and security
 - ▶ System for managing the physical resources of your school to ensure a safe and healthy environment with regard to aspects such as school buildings and grounds, equipment, school transport, textbooks and learner support materials
 - ▶ System for managing the financial resources of your school in accordance with all applicable acts and financial accounting principles
 - ▶ Communication with key stakeholders in your school
 - ▶ A Management Information System (MIS)

- Demonstrate personal qualities of integrity and fairness, a systematic and flexible approach, as well as creativity when anticipating and solving problems with regard to the establishment and management of administrative systems and structures.

The structure of the module

This module consists of 3 units, each with its own outcomes, assessment tasks and assessment criteria. Each of the units focuses on a specific aspect, building on from the previous unit and building forward to the next. Each unit starts with a brief introduction and includes explanatory notes on the aspect being discussed, activities related to the assessment, suggestions about further reading, and mini-research and practice-based assignments.

What is covered in the three units of this module?

Unit 1: Introduction to managing organisational systems

We begin Unit 1 by looking at the regulatory framework for managing organisational systems and physical and financial resources, as well as the principles governing the use of these resources. Our focus will be on how these relate to the administration of learner admissions, school fees, and safety and security. We will also look at these requirements in terms of the management of physical resources in order to ensure a safe and healthy environment that is conducive to teaching and learning.

In the second main section of this unit we will explore the personal qualities of an effective school leader, and ways in which school leaders would demonstrate such behaviour. The focus here is on three areas: formal and informal communication, critical and creative thinking, and problem-solving.

People tend to think that personal qualities are most relevant when dealing with people. However, this unit deliberately begins with a focus on how important personal qualities are in managing systems and physical and financial resources.

The effective functioning of a formal organisation, such as a school, requires organised systems and structures to ensure that administrative tasks are performed promptly, effectively and efficiently (i.e. without wasting time, money or energy). We therefore begin this unit by looking at the importance of orderly administrative systems in contributing to effective learning and teaching processes. We will again look at the regulatory framework so we can identify requirements relating specifically to administrative issues.

The unit further deals with the set-up, implementation, maintenance and evaluation of organisational systems for schools. We focus on admissions, the collection of school fees, and school safety and security. We will also look at solving problems that occur in your school's administrative systems and structures.

Unit 2: Manage financial resources

This is a crucial unit in view of the fact that the financial management in many of our schools is weak. This unit will assist you to manage the financial resources of

your school in a transparent and accountable way within a financially sound and effective accounting system.

Managing the financial resources of a school is not simply about finances and accounting; it is a component of management that touches on every other activity within the school as an organisational system. It is therefore necessary for you as a school leader to understand the requirements for financial systems and policies, as well as the legal framework that defines the relevant requirements.

The following are the main areas covered in this unit:

- The national and departmental legal and regulatory requirements for managing school finances
- Managing the finances of Section 21 and Non-Section 21 schools
- Compiling a school budget, including the budget policy and the budgeting process
- Financial monitoring and control, including cash management, the ordering and procurement of goods and services, payment for these goods and services, auditing and reporting, and asset management
- Guidelines on marketing your school.

Many forms, templates and examples are provided in this module to assist you in setting up the required financial management systems, or improving your existing systems.

Unit 3: Manage physical resources

The success of teaching and learning is largely dependent on the extent to which physical resources are effectively and properly acquired, maintained and managed. This unit focuses on the school leaders' responsibility in the management of physical resources. It covers the legal requirements, systems, policies and procedures that must be in place to ensure that physical resources are effectively managed.

Four main areas are covered in this unit:

- The maintenance and improvement of the school buildings, property and grounds, including day-to-day, scheduled and preventative maintenance, as well as community involvement in school maintenance
- The purchase of textbooks, educational material and equipment for the school, including stock control, storage, as well as depreciation and disposal of stock
- Safety and security of school buildings and grounds
- School transport, including the requirements for managing vehicles owned by the school that are used to transport learners to and from school and/or other activities, as well as the use of private vehicles of parents and teachers for transporting learners to extra-curricular activities and other events.

Details of administrative procedures, such as the names and contact details of lecturers, dates of contact sessions, handing in of assignments, tutorial support and library services are provided in the tutorial letters of the higher education institution at which you have enrolled. Please study these letters carefully as they also provide you with the names and contact details of the lecturer/s responsible for this module.

Learning time

This module carries 20 credits. It should, therefore, take the average student approximately 200 hours to successfully complete the module. The 200 hours includes contact time, reading time, research time, time required to discuss insights with colleagues and fellow students, time to plan and conduct assessments and time to write assignments. A more specific indication of time to be spent on each of these activities will be provided in each of the units that make up this module.

Integrated assessment

At the end of the module you will be required to complete a summative assessment activity that you should file in your portfolio. It is designed to assess the knowledge, understanding, insight and skills you developed during this module in one integrated assessment.

We call this activity the 'Systems and Resources Management Health Check' of your school. It assists you to evaluate the current status of your school in relation to the areas covered in this module. Like a personal health check that you go to see a doctor for, this help check is designed to help you assess whether everything is in order or whether anything needs attention.

The 'Health Check' will assist you in a number of ways:

- It gives an overview of the key issues that are covered in the module.
- It is a valuable learning tool, as it indicates the most important areas that need to be managed to ensure the effective running of your school.
- You will be able to use it to reflect on your learning during this module, and also on the way in which you will apply the learning in your own school.
- It will serve as a diagnostic tool that you can use to identify what is already in place in your school.
- You will be able to use the results of the 'Health Check' to identify key areas for improvement.
- You will also be able to use the results as a basis for engaging with members of the School Management Team (SMT) and others on ways of improving the management of your school.
- Finally, it will serve as a valuable resource in compiling a plan for improving the management of your school and writing your Personal Development Plan. These two documents will be key documents in your portfolio. Together with other documents in your portfolio, they will be used to assess your overall competence in the ACE programme.

Even though you should only complete this assessment activity at the end of the module, we have mentioned it here to enable you to gather relevant information as you work through all the units of this module.

The template for the 'Systems and Resources Management Health Check' is included at the end of this module.

Introduction to managing organisational systems and physical and financial resources

unit

1

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structures

1.11

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Final remarks on Unit 1

1.12

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Introduction to managing organisational systems and physical and financial resources

1.1 Introduction

In this Unit we will discuss the regulatory framework for managing organisational systems and physical and financial resources, as well as the principles governing the use of these resources. Our focus will be on how these relate to the administration of learner admissions, school fees, and safety and security. We will also look at these requirements in terms of the management of physical resources to ensure a safe and healthy environment that is conducive to teaching and learning.

In the second main section of this unit we will explore the personal qualities of an effective school leader, and ways in which school leaders would demonstrate such behaviour. The focus here is on three areas: formal and informal communication, critical and creative thinking, and problem-solving.

People tend to think that personal qualities are most relevant when dealing with people. However, this unit deliberately begins with a focus on how important personal qualities are in managing systems and physical and financial resources.

One of the most useful concepts in understanding the school is the principle that the school is a system. A system is a whole that consists of a set of two or more parts. Each part is affected by the behaviour of the whole, depending on that part's interaction with other parts in the system. In addition the essential properties that define the system are properties of the whole – if you take the system apart it loses all its essential properties, therefore you cannot develop a financial system for the school as an entity in itself, it will only maintain the properties as a system for managing school finances as long it is part of the whole school system.

1.2 The school as an open system

Schools are dynamic entities that are continuously engaging with their environments and exposed to natural growth and development stages to greater levels of complexity and sophistication. This requires a fine balance between focusing on external demands and internal developmental challenges, and requires an equally careful and considered organisational focus, which will determine how and where organisational resources will be channelled.

The basic systems theory represents the school as consisting of five parts, namely inputs, transformation, outputs, feedback and the environment. Inputs consist of the human, material, financial and societal components which are necessary to render a service (teaching and learning). Transformation takes place within the context of the work of the school, namely: managing the educative process in order to bring a learner to educated citizenship. Feedback relates to the information concerning the outputs as a result of the services rendered and the transformation process- such information may lead to changes in both the processes and the inputs.

The following characteristics of open systems are of importance to the school:

- All open systems are input-throughput-output mechanisms.
- Open systems have purposes and goals – the reason for their existence.
- Information is important to systems and their ability to survive. In this regard systems seem to require two types of feedback, negative and positive. Negative feedback measures whether the transformation process and expected output will be realised. If your goal is to raise R20 000.00 for school funds by means of a raffle and you only raised R10 000.00, then the feedback will inform you that you have not met your goal yet. You can then decide on corrective action and either adjust the time frame to reach the target or if the environment signals indicate that you are unlikely to raise that amount, you can address the expected output by adjusting the target amount to R12 000.00.
- Every system has a boundary that separates it from the environment – the boundary delineates the system (what is inside the boundary is the school, what is outside is the environment), yet the boundary of the school is also permeable and permits the exchange of information, for example: the socio-economic status of the community will inform decisions on school fees and the possible percentage of exemptions that can be expected. School boundaries are open or penetrable and have a dynamic interactive relationship with the external environment. The environment surrounding the school includes societal institutions and societal forces such as demographic factors, religion, science and technology and the socio-economic reality that impacts on the input, transformation, output process of the school as a whole and as such influences the properties of all the other systems in the school.



Consider the inputs (including societal factors) that can influence the transformation process (teaching and learning, school culture, financial and physical resourcing) of your school.

Systems dynamics

It is clear that a system is substantially more than simply the sum of the various sub-systems (or parts) as there is constant inter-action between the parts, which exerts a reciprocal influence on one another.

Systems planning entails scanning the environment to determine the demands and expectations of stakeholders, developing 'scenarios of the possible' for the school as organisation, both realistic and ideal, and then developing action plans to ensure the desirable future outcomes. The school as a learning organisation needs to meet rapidly changing environmental and political demands. This can only happen if

- The school does not view issues, events, forces and incidents as isolated phenomena, but rather sees them in relation to other issues, events and forces.
- An analysis of events is done in terms of multi-causality rather than single causation and the principles of creative problem solving are applied – this is discussed in greater detail later.
- There is an understanding that one cannot change one part of the system (e.g. financial management) without influencing other parts in some ways.
- There is an understanding that systems tend to become more elaborate, differentiated and specialised over time. This leads to the elaboration and redefining of roles and responsibilities – even greater specialisation of function. A good example is the implementation of ICT and IMS in the school.

As indicated earlier these aspects will have a direct bearing on the goals and objectives (outputs) of the school. The transformation process includes the management processes used and the context within which one has to manage. The effectiveness of financial and resource management can influence the effectiveness of teaching and learning in the school.

School systems as cybernetic systems

Because of the regulatory and legislative framework underpinning the development and functioning of systems in the school, we find that the sub-systems in the school are more often than not cybernetic or cyclic systems, which means that they are mostly self-regulated but also adaptive systems. It also means that performance can be measured in accordance with a set purpose and we can introduce corrective action on the basis of output, outcomes and feedback.

Characteristics of cybernetic systems in the school are:

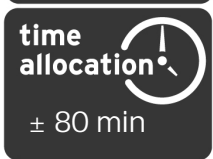
- The process of management: planning, organising, leading and controlling

- The process of strategic management and the process of change management, which include strategy analysis and review
- A continuous quality improvement cycle, which consists of standards, monitoring and evaluation of actual performance, followed by corrective action.

Why are systems important?

Order originates from the interaction of the different parts of the whole system. The development of sound and stable systems avoids disorder, loss of control and crisis. A system creates its own order and natural growth by integrating transformations into its identity. Schools are forced to reorganise themselves in order to adapt to environmental factors and continuous change. Schools function as complex networks and need to coordinate their activities in such a way that they adheres to their vision and mission statement in accordance with legislative mandates.

When the interaction of the independent system components or parts is aligned and optimal integration occurs, the progression towards order and stability will be very visible in the school.



This is the first of the activities, and is designed to assist you to reflect on the strengths and weaknesses of systems in your own school. Also read *1.5 Setting up and implementing systems and structures for effective administration*.

View the video *Out of the dust: school communities making things happen – a whole-school development initiative*, which is included in your resource pack for the ACE programme.

It is important to remember that this particular module does not stand in isolation from the other core components of the ACE qualification. The video will give you an overview of what constitutes an effective school.

It is important to understand how the issues covered in this module relate to and impact on the areas of school functionality that have been identified by the DoE in its *Whole School evaluation: Evaluation guidelines and criteria* (2000).

After viewing the video, write down the key areas for improvement in the management of systems in your school. Pay particular attention to the aspects relating to the management of organisational systems and physical and financial resources. Keep record of these notes, and refer to them throughout this module as you relate the learning content to your own school. You are not required to include these notes in the portfolio that will be submitted for final assessment but they could inform the baseline analysis that has been suggested in the portfolio development and context modules.

1.3 The regulatory framework for managing organisational systems and physical and financial resources

Let us start by considering the laws, regulations and other policies relevant to the areas covered in this module.

1.3.1 National and provincial requirements



You are probably quite familiar with the acts and regulations listed in the table below. We suggest that you write down notes on how these documents impact on the management of organisational systems and physical and financial resources in your school. You do not have to go into a lot of detail or write down each specific requirement. We will be covering this detail in this module. However, you do need to begin thinking about what evidence will demonstrate appropriate practices in your school. Useful references here are Text 6 of the Portfolio module and the SACE *Guidelines to compiling professional development portfolios – a resource for school-based educators*. These documents give typical examples of sources of evidence from the school environment.

TABLE 1: REQUIREMENTS IN ACTS AND REGULATIONS RELATING TO SYSTEMS AND RESOURCES

ACTS AND REGULATIONS	EVIDENCE REQUIREMENTS
Constitution of the Republic of South Africa (No. 108 of 1996)	
National Education Policy Act (No. 27 of 1996)	
South African Schools Act (No. 84 of 1996)	
Employment of Educators Act (No. 76 of 1998)	
Public Finance Management Act (No. 1 of 1999)	
National Norms and Standards for School Funding (Amended, Notice 869, Government Gazette 29179, 31 August 2006)	
Exemption of Parents from Payment of School Fees in Public Schools (Government Gazette 29311, Regulation Gazette 8566, 18 October 2006)	
Transfer of Funds and other Movable Assets of the State to Public Schools (General Notice 1423, Government Gazette 20669, 26 November 1999)	

ACTS AND REGULATIONS	EVIDENCE REQUIREMENTS
South African Qualifications Authority Act (No. 58 of 1995)	
Employment Equity Act (No. 55 of 1998)	
Skills Development Act (No. 97 of 1998)	
Occupational Health and Safety Act (No. 85 of 1993)	
Road Traffic Act (No. 29 of 1989)	
Relevant provincial legislation	



Below is a description of the ways in which we think certain Acts and regulations impact on the management of systems and resources. Compare our ideas with yours and use the space provided to make a note of any additional implications or challenges.

Constitution of the Republic of South Africa (No. 108 of 1996)

Chapter 2 of the Constitution, the Bill of Rights, is of cardinal importance to schools. This chapter emphasises the importance of democracy, and its contents should at all times be taken into account when formulating and implementing school policies, systems and structures. The rights of the individual are particularly important, since these rights also apply to learners. It is also important for the school leadership to have a good understanding of constitutional values such as democracy, equality, efficiency, accountability, transparency, fairness, integrity and respect for the rule of law.

Additional issues:

National Education Policy Act (No. 27 of 1996)

This Act allows the National Minister of Education to promulgate policy pertaining to educational issues such as facilities, finance and development plans. It also establishes the minimum hours per day, and the minimum days per year, during which education must be provided at schools. The Act covers the management and governance of schools, as well as the Norms and Standards for School Funding.

Additional issues:

South African Schools Act (No. 84 of 1996)

This Act prescribes the basic principles and rules for the governance, organisation and management of a school.

It covers the roles, functions, responsibilities and administrative procedures to be adhered to. Of specific importance for this module are the prescriptions on school funds, school assets and financial control.

Additional issues:

Employment of Educators Act (No. 76 of 1998)

This Act deals with the conditions of service for all educators. Of specific interest for this module are the qualifications, appointment and promotion of educators, job descriptions and labour relations procedures.

Additional issues:

Public Finance Management Act (No. 1 of 1999)

This Act – commonly known as PFMA – regulates the financial management of public institutions (excluding schools), with a special emphasis on the accountability of the accounting authority. It sets out the duties and responsibilities relating to budgets and budgetary control, reports and reporting, and assets and liabilities. Although schools are exempted, it is advisable for schools to use and work within the PFMA.

Additional issues:

National Norms and Standards for School Funding (Amended - General Notice 869, Government Gazette 29179, 31 August 2006)

This document is generally referred to as the Norms and Standards for School Funding and it sets out the national norms and minimum standards for school funding. It also deals with the procedures to be adopted by Provincial Education Departments (PEDs) in determining resource allocation to their schools. Apart from the funding of public schools, the act also deals with the exemption of parents who are unable to pay school fees. Although this policy document focuses on recurrent non-personnel expenditure – such as the Learner Management System (LMS) and its maintenance – it also refers to the need for PEDs to distribute other educational resources consistent with the equity and efficiency principles underpinning the Norms and Standards for School Funding.

Additional issues:

Exemption of Parents from Payment of School Fees in Public Schools (Government Gazette 29311, Regulation Gazette 8566, 18 October 2006)

These regulations lay down the exemption process and identify the responsibilities of the various role players involved. The regulations also prescribe conditions in terms of income versus school fees, which must be applied for partial or full exemption. The latest amendments allow for the identification of 'no fee' schools.

Additional issues:

Transfer of Funds and other Movable Assets of the State to Public Schools (General Notice 1423, Government Gazette 20669, 26 November 1999)

This notice lays down the framework according to which the State and the school agree to which assets are transferred to the school when a school assumes Section 21 status. Once a school assumes Section 21 status, accountability for all the movable assets, even those purchased with state funds, rests with the school.

Additional issues:

South African Qualifications Authority Act (No. 58 of 1995)

This Act serves to promote, enable and manage a common system for assuring quality, as well as a common framework of qualifications, in all educational and training programmes in South Africa

Additional issues:

Employment Equity Act (No. 55 of 1998)

This Act is of particular importance with regard to the appointment of staff. It promotes equality, eliminates unfair discrimination and promotes principles of affirmative action aimed at achieving employment equity. It also provides for the setting of targets for achieving employment equity.

Additional issues:

Skills Development Act (No. 97 of 1998)

Amongst other purposes, this Act encourages employers to participate actively in skills development; to use the workplace as an active learning environment; to provide employees with opportunities to acquire new skills; and to provide opportunities for new entrants into the labour market so that they may gain work experience.

Additional issues:

Occupational Health and Safety Act (No. 85 of 1993)

This Act is especially relevant to schools that are equipped with workshops. The Act requires these schools to appoint a safety representative and a safety committee that meet on a regular basis in order to ensure continuous safety in the workshop.

Additional issues:

Road Traffic Act (No. 29 of 1989)

This Act, and the consolidated Road Traffic Regulations promulgated in terms thereof, is relevant to learners' road safety. Matters such as the licensing and roadworthiness of school buses, and measures concerning learner patrols and pedestrian crossings, are covered in this Act.

Additional issues:



All national legislation is made applicable to provincial contexts by means of provincial legislation. Make a list of all the provincial Acts and regulations that are relevant to managing systems and resources. You could add these to Table 1 above, with a description of the requirements relating to each.

1.3.2 Requirements relating to administrative systems and structures

Within the legislative framework outlined in 1.3.1, there are certain general legal principles that apply to all those persons or bodies in the education system that make administrative decisions – that is, decisions made in exercising one's power or authority. These principles also apply to the SGB. There are specific legal requirements that must be adhered to with regard to the set-up and implementation of admissions, school fees, and safety and security procedures.

Admissions

The legal requirements that govern the admission of learners into a school are laid down by the South African Schools Act (SASA). These requirements must be adhered to, and the process of admitting a learner into a school must also follow a legally defensible process.

The Constitution guarantees the fundamental right to education, and a public school is obliged to admit learners and meet their educational requirements. Obviously, there must be no unfair discrimination in this regard. However, a public school is not obliged to admit all learners who want to attend it. The admission policy will be subject to the following:

- The Bill of Rights, which recognises the fundamental right to basic education; the right to receive education in one of the official languages or in a language of one's choice; as well as the right to not be discriminated against unfairly
- The SASA, which places a duty on the school to admit learners and which states that certain criteria may be used when deciding on the admission of learners
- The policy of the Minister of Education regarding admission to public schools
- The age requirements for admission to an ordinary public school, as published by the Minister of Education

- The provisions of any provincial education law or regulation dealing with the admissions of learners.

Subject to the above, a school's admission policy may deal with issues that the SGB has reasonably decided may be taken into account when dealing with the admissions of learners.

The SGB drafts the admission policy of the school. In terms of Section 5 of the SASA. The following requirements must be adhered to:

- No admission test may be conducted for admission (or refusal) of any learner to the school
- The admission policy must be drafted in such a way that no unfair discrimination against a learner occurs
- No learner may be refused admission on the basis that his or her parents:
 - ▶ are not able to pay school fees as determined by the SGB
 - ▶ do not support the mission of the school as determined by the SGB
 - ▶ are not prepared to sign an indemnity agreement drafted by the school which indemnifies the school against any damage to the learner.

In deciding where to place a learner with special education needs, the Head of Department (HOD) and school leadership must always consider the rights and wishes of the learner's parents.

School fees

The landscape with regard to the paying of school fees changed at the beginning of 2007. This is a result of amendments to the SASA; the introduction of the new Norms and Standards for School Funding; the promulgation of the regulations governing the exemption of parents from paying school fees; and the identification of 'no fee schools'.

Whilst some schools will therefore not be permitted to charge school fees, most schools will be entitled to charge fees. Those schools that are entitled to charge fees are therefore in a position where they will need to confront the issues pertaining to exemptions and partial exemptions. These issues are covered in more detail in Unit 2 of this module.

Safety and security

When parents send their children to school, they have a reasonable expectation that their children will be physically and psychologically safe. The Constitution also guarantees educators and other employees the right to work in a safe and healthy environment. Learners and staff in a school are also entitled to a reasonable measure of security with regard to their belongings. Unfortunately, schools are just as vulnerable to threats and danger as any other public space. It is therefore vital that safety and security always enjoy a high priority in the school.

The safety and security of learners at schools, as well as the safety and security of school property, are largely the responsibility of staff members – including teaching, administrative and ground staff. The law requires that school leaders take reasonable precautions to ensure that all people are safe and secure under their care. It is the school leader's responsibility to put a system in place that

specifically addresses the safety and security of learners and staff in accordance with the requirements of the relevant legislation, such as the Occupational Health and Safety Act (No. 85 of 1993) and the Draft General Health and Safety Regulations (20 January 1995).

There are also certain general requirements for the effective functioning of a formal organisation – such as a school. In an organisational system, a variety of administrative tasks are carried out, and the effective functioning of a school as an organisational system requires that these tasks should be managed effectively.

We will therefore highlight the main purpose of administrative systems and structures in a school. We will explore the set-up, implementation, maintenance and evaluation of organisational systems for a school, with a specific focus on admissions, the collection of school fees, and school safety and security. The unit assumes that you are familiar with the Department of Education's *School Records Manual*. You should already have a copy of this at your school, but if not it can be ordered via your district office or downloaded from the Department's website www.education.gov.za.

1.3.3 The importance of orderly administration of the school

The Shorter Oxford English Dictionary (1983:25/6) defines 'administration' as all the activities that are involved in managing and organising the affairs of a company, institution, the State etc. Within the school context, administration covers a wide range of issues, for example:

- **Formal structures**, such as which staff members are responsible for which activities, and the composition and functioning of the SGB
- **Processes**, such as the way in which examinations are managed in the South African school system
- **Procedures**, such as the way in which staff request stationery and how staff members' salaries are paid into their accounts
- **Rules**, such as how learners must behave on the school grounds
- **The paperwork required for all the above**, such as the forms that have to be completed and the way in which these documents are handled in the school. The Department of Education's *School Records Manual* sets out the expectations in this regard.

The effective management of administrative systems and structures at a school is essential if a school is to function effectively and reach the required levels of performance. A school cannot operate in a state of disarray where learners, staff and parents have little or no understanding of expectations, daily procedures and routines.

It would be incorrect to assume that a school that has tight administrative procedures in place is autocratic and uncreative. The establishment of structures, the implementation of procedures, and the constant improvement of systems and structures should be a democratic process. Staff, members of the SGB, learners and parents should be invited to assist in the establishment of necessary administrative processes. Such involvement creates a sense of ownership and is more likely to be adhered to than a system that is simply imposed without explanation or consultation.

Although it is the role of the school leader to ensure that procedures, systems and administrative functions are in place and adhered to, it is also important for the school leader to ensure that all members of the school community abide by the systems and structures that are in place. This can only be done through dynamic leadership and effective management skills. The success of your school will depend largely on the effectiveness of your administration.

A sound administrative system in a school should facilitate the following:

- Easy access to information, forms and references
- Uniformity in the application of procedures
- Co-ordination among all staff members
- Continuation of administrative functions when the school leader or any other member of staff is absent.



Take a few minutes to think about the typical consequences of not having an effective administration system in your school. Also, consider areas in your own school where processes are not running smoothly. Can you think of systems and structures that you could establish to address the kinds of problems you are experiencing?

1.4 Principles governing the use of resources

Ten principles can be identified that govern the use of school resources. These principles are applicable to all resources, whether they are physical resources (either movable or immovable), human resources, financial resources or information resources. These principles involve different role players and stakeholders, depending on the relevant stage and the specific resources involved.



Reflect on the 10 principles in Table 2 below. Think about how they should be applied in relation to the management of physical and financial resources in your school. Make a note of any resource constraints impacting on your application.

TABLE 2: PRINCIPLES GOVERNING THE USE OF RESOURCES

NO.	PRINCIPLE	DESCRIPTION	APPLICATION OF THIS PRINCIPLE IN YOUR SCHOOL
1.	Know the need	You need to assess the conditions and determine whether the resource is required. You need to assess whether it is a priority need and whether you will have a positive return on your investment	
2.	Know the source	You need to be aware of the point from which the resource can be accessed. Ensure that you get the best quality and value for your money	
3.	Have a plan to obtain and use the resource	You must know the uses of the resource, as well as the expenses and other expenditures you will incur. You must draw up a schedule for securing the resource	
4.	Know the requirements and processes	You need to know what the requirements are for securing the resource, and what processes need to be followed in order to secure it Prepare for meeting all the necessary requirements	

NO.	PRINCIPLE	DESCRIPTION	APPLICATION OF THIS PRINCIPLE IN YOUR SCHOOL
5.	Ensure the safety and security of the resource	Implement the means to keep the resource safe, sound and secure	
6.	Allocate the resource fairly	Implement the means to allocate the resource to serve the purpose for which it was intended and according to the needs of the school	
7.	Ensure effective use of the resource	Implement the means for getting the most from the resource. Ensure that the resource is optimally utilised according to the needs of the school	
8.	Ensure accountability	Ensure that an accountable person controls and reports on the usage of the resource. Ensure that those individuals using the resource are held accountable and report on their usage of the resource	
9.	Minimise wastage	Ensure that excess resources do not go to waste and that resources are not abused	
10.	Evaluate and assess	Ensure that the relevant needs and objectives of the school have been met through the use of the resource.	

Source: Adapted from Eastern Cape Department of Education 2004b.

1.5 Setting up and implementing systems and structures for effective administration

Schools must build the capacity to organise themselves appropriately and to design and set in place effective patterns of work, administrative processes and procedures at all levels and within all sub-systems,

In order to understand an organisational structure, one also needs to understand the meaning of authority, delegation, responsibility and accountability. (These aspects are briefly discussed here and in more detail in Unit 2.)

Authority, is the right to act in a specific manner, allocated or delegated to a specific person by virtue of his/her qualities and capabilities. The school principal has legal authority by virtue of his or her position.

Responsibility is the duty that rests upon a person to carry out his/her appointed task, while

Accountability is reporting on the control and use of resources, by those to whom the responsibility has been delegated. Accountability involves the responsibility to undertake certain actions and to provide an account of those actions. For example: the principal of a school has a responsibility to manage resources (financial and non-financial) entrusted to him/her by the department and/or community, as well as a responsibility to provide an account of the management. An annual report and the financial statements are mechanisms for discharging accountability.

Delegation is closely associated with effective administration. It occurs when management grants certain management responsibilities and authority to a person at a lower level. Set rules and procedures need to be laid down for them to report to management.

Administrative systems

A functional and effective administrative system in a school is usually characterised by the following:

- **Effective organisation and human resource allocation.** This will include all the aspects related to task definition, job descriptions, line functions and reporting structures. This is covered in more detail in the core module *Lead and manage people*.
- **Effective document and records management**, including financial control and stock management; departmental circulars; relevant policy documents; learner records, including learner profiles and biographical data; and correspondence, as well as the filing of all the above. This is explored further in this module, and the core modules *Manage policy, planning, school development and governance* and *Managing teaching and learning*.
- **Effective information management.** This will include all information related to general school affairs. We explore this at the end of the current unit.

- **Effective learner management**, including aspects such as admission, school fees, behaviour profiles, academic records and tracking, etc. This is partly discussed in this module but also covered in some detail in the core module *Managing teaching and learning*.



What would indicate effective practice in each of the above areas?
How could you be sure that your expectations of effective practice would be met?



One needs to note that all management tasks – such as planning, organising, communication and control – are extremely important for successful school administration. The establishment of proper systems, sub-systems and structures is important in order to support these tasks.

1.5.1 Why is setting up systems and structures important?

Why must you set up and implement systems and structures in your school? As indicated above, systems and structures influence school effectiveness. High-performance organisations continuously pay attention to all levels of systems, and also to the way in which the systems interact with one another. School leaders, middle managers and staff need to have clarity on these same issues.

Systems function on the basis of an input-processes-output method, as illustrated by the model below:

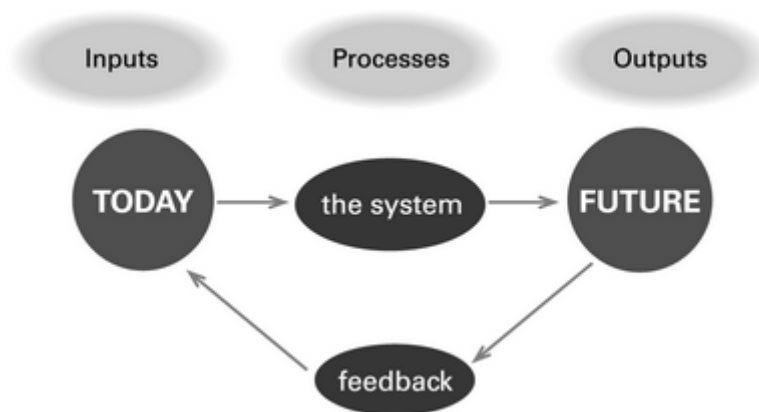


Figure 1: The components of a systems model

The Shorter Oxford English Dictionary (1983:2227) defines a system as “A set or assemblage of things connected, associated or interdependent, so as to form a complex unity”. So when we are thinking about school systems, we are trying to get a picture of how all the different parts of the school are connected and influence one another. For example, inadequate inputs (e.g. overcrowded classrooms; insufficient learning resources), inappropriate processes (e.g. poor use of time on task in the classroom) will lead to poor outputs (e.g. poor pass rates).

Systems thinking is concerned with how we get from where we are to where we need to be and all the steps and interconnections that will affect this journey. Just as continuous assessment in the classroom provides feedback to learners and educators about learning progress, so continuous feedback on systems and system elements helps us to improve.



In order to determine whether your school's administrative system will serve the purpose for which it was created, you should ask yourself the following questions:

- What do I expect this system to deliver?
 - How can we continuously monitor the effectiveness of the system?
 - Where are we now in terms of our implementation of the system?
 - How can we streamline our processes in order to be more effective?
 - What are the interdependencies between the components of the system?
 - What can we change in order to increase the effectiveness of the system?
-

1.5.2 What systems and structures must then be established?

The diagram in Figure 2 below gives an indication of the sub-systems you could institute in order to answer the questions above and ensure the effectiveness of administration in your school. Remember that you must begin with an overview of the entire system and the interdependence of its parts, since this web of relationships is important to the functioning of the system.

You will note that the diagram suggests the need for four major sub-systems and in the outer layer provides some ideas of the kinds of activities and information that these sub-systems will need to deal with. It is likely that the school will need designated persons or, preferably, teams to manage each of these sub-systems effectively. Thus the systems needed begin to determine the kinds of structures that we need to put in place.

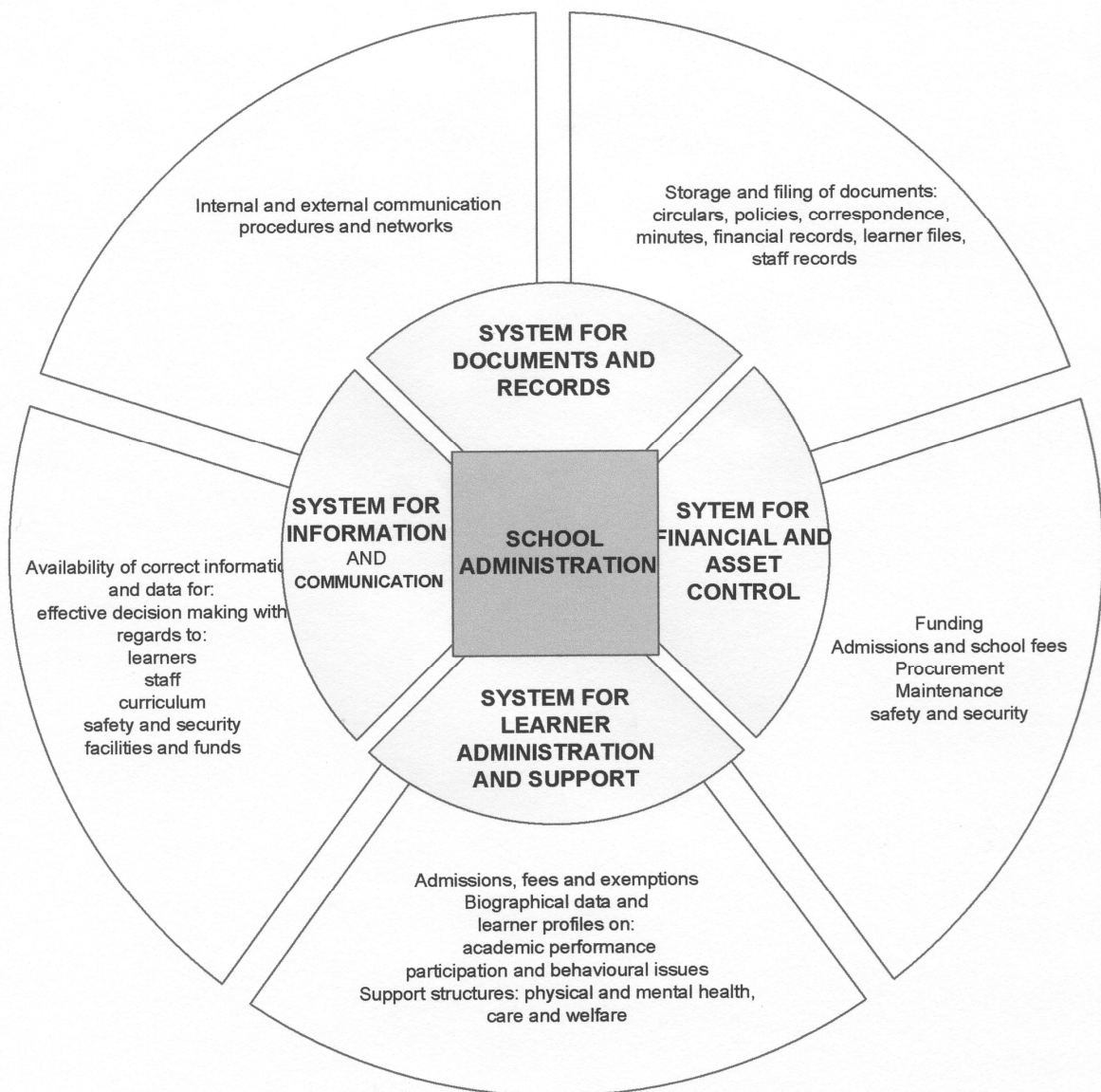


Figure 2: Sub-systems for effective school administration

1.6 Administrative systems and structures for admissions and the collection of school fees

The first system that we will be looking at administers the admission process and the collection of school fees. All schools have to have processes for admissions but obviously fee collection only applies to schools that have not been declared no-fee schools. Currently about 75% of learners do however pay school fees and so this needs to be managed effectively.

Figure 3 below indicates that ensuring the school has an appropriate Admissions Policy is the responsibility of the SGB. The second line then indicates the major steps in the process. The third part of the diagram then shows how the admissions system links to other sub-systems e.g. once a learner has been admitted, his/her information needs to be captured in the learner management sub-system.

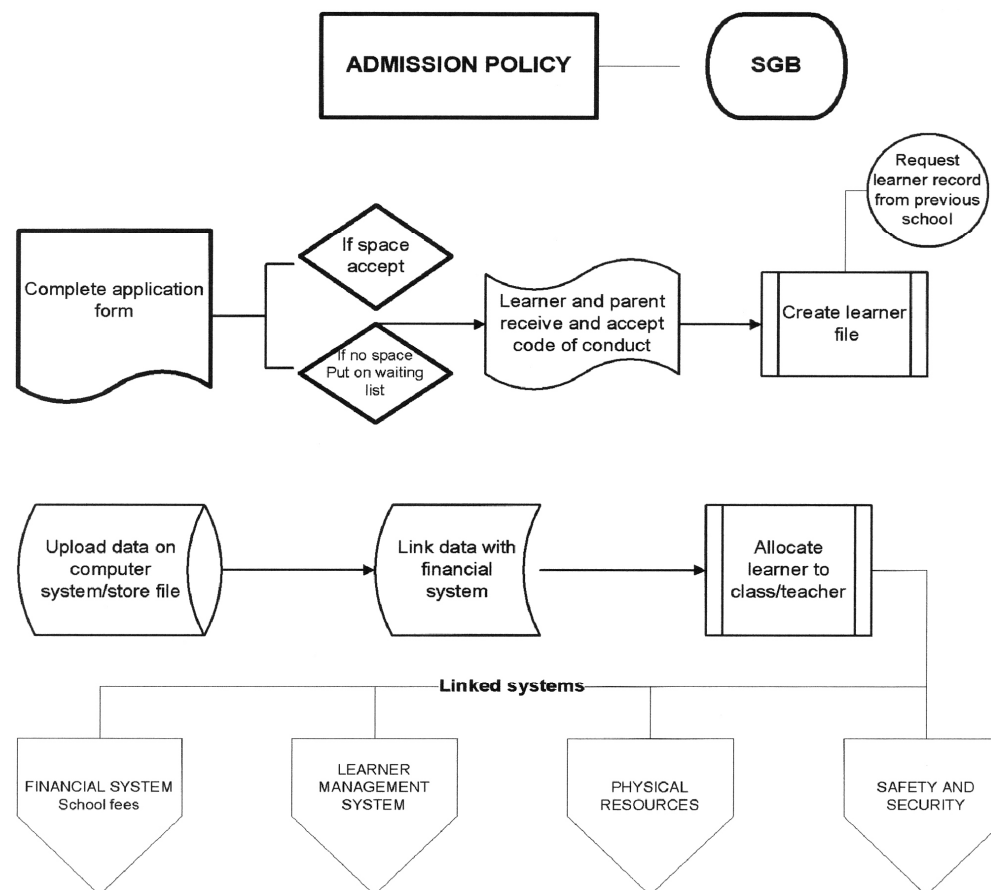


Figure 3: The sub-system for managing the admission of learners

1.6.1 Setting up an administrative system for admissions

One of the most important administrative processes in a school is the system that governs the admission of learners. This is particularly important in instances where a community (and communities beyond) considers a particular school to be its first or only choice. In these instances the admissions policy and procedures need to be clear and flawlessly administered. If there are learners who are turned away because the school is 'full', or if some learners have not been accepted because of other criteria, the school must be able to defend its decision in a legally comprehensive manner.

The administrative system and policy that govern learners' admission to a school need to be carefully developed and constructed. The legal requirements that govern the admission of learners into a school, as laid down by the SASA, must be adhered to and the admission of a learner into a school must follow a legally defensible process.

Parents who are considering enrolling their children in your school have a right to receive a copy of the school's admissions policy. They also have the right to question the validity and fairness of this policy. If a learner is not accepted into a school, the reasons for this must be communicated to the parents and must be in line with the requirements of the SASA.



Experience has taught that the parents of a child who has not been accepted into a school may go to extreme lengths to have the school's decision overturned. It is therefore imperative that the process, procedures, policy and systems that govern admissions to a school are legal, transparent, democratically composed and, above all, practical.

STEP 1: ESTABLISH AN ADMISSIONS COMMITTEE

The first step in establishing an administrative system for admissions is to create an Admissions Committee.



Consider who you think should be part of this committee. Do not forget to include the SGB. According to the SASA, the SGB has the right to determine the school's admissions policy, provided that this policy does not contravene the requirements of the SASA and the 'Admission Policy for Ordinary Public Schools' (Government Gazette No. 19377, 1998) and as amended subsequently.

The first function of the Admissions Committee should be to establish an admissions policy. This policy must comply with the legal requirements governing the admission of learners, as defined in the SASA.

The policy should contain the following information:

- The age requirements for admission to an ordinary public school (the SASA 2B 63)
- The statistical age norm per grade, which is determined by the grade number plus 5. For example:

- ▶ Grade 1 + 5 = 6
- ▶ Grade 10 + 5 = 15
- ▶ If a learner is three years older, or more, than the grade norm, acceptance is not automatic. The Provincial HOD may need to intervene. [Refer to the SASA (2A 7 and 2B 64) on the conditions under which the Provincial HOD may overrule these age norms.]
- Reasons for preferential acceptance are as follows:
 - ▶ Learners whose parents live in the feeder zone (if the DoE has demarcated the feeder zone), or if the school is the closest school to where they live
 - ▶ Learners whose parents work in the area closest to the school
 - ▶ Learners whose siblings are currently at the school
 - ▶ All other learners should be accepted on a first-come-first-served basis.

Refer to the Admissions Policy and Application Form, included as **Text 3** in your **Reader**, as an example. You can use this example as a basis for developing your admissions policy if you do not already have one. If you have an admissions policy we suggest that you use the example provided to evaluate your current policy and to identify areas in which you can improve.

Once the Admissions Committee has developed the school's admissions policy, it must develop an admissions application form. This form should clearly indicate the documentation and information that is required in order for the application to be processed.

The following information and documentation must be provided with the admissions application form:

- The school's code of conduct
- The school's admissions policy
- Information, and the relevant subsidy tables, related to subsidised school fees. (Parents must be informed of their right to apply for a subsidised school fee at fee-paying schools.)

The following information and documentation must be provided by the applicant, and must be submitted with the completed admissions application form:

- The official birth certificate of the applicant (or an affidavit to indicate the learner is who s/he says s/he is)
- The grade being applied for
- Proof of immunisation against Polio, Measles, Tuberculosis, Diphtheria, Tetanus and Hepatitis B
- Proof that the learner satisfies the requirements related to being placed in the grade being applied for. This proof can be in the form of one of the following:
 - ▶ A transfer card from the learner's previous school
 - ▶ The last report card received from the learner's previous school (or other equivalent documentation), or
 - ▶ A sworn affidavit from the parents stating why there is no transfer card and that the learner satisfies the requirements to be placed in the grade being applied for
- If the application is from a person who is not a South African citizen, the applicant must be in possession of a study permit, which must be presented to the school

- If the application is from a person who is classified as an 'illegal alien', evidence that application has been made to legalise his or her stay in the country must be provided.

STEP 2: IMPLEMENTING THE ADMINISTRATIVE SYSTEM FOR ADMISSIONS

There are a variety of methods used by schools to administer the admissions applications they receive.

Many schools advertise opening and closing dates for the submission of admissions. This does not mean that late applications will not be processed, but it does ensure that the majority of applications are received timeously.

Registrations for the next year should be completed during the 3rd and 4th term of the previous school year.

The role of the Admissions Committee is crucial in this regard. The committee needs to study the applications received and ensure that the school's admissions policy is applied to each application in a fair and uniform manner. If there are more applications than there are vacancies, the committee needs to apply the regulations as laid down in the school's admissions policy and the National Education Policy Act.

The principal is required by law to keep a register of all applications for admission to the school. All admissions must be recorded in the register of admissions. The register must contain the following information with regard to the applicant:

- Name
- Date of birth
- Age
- Identity number
- Address of the learner
- Names of parents or guardians, their addresses and contact numbers.

There are a number of computerised school administration packages available that enable you to enter and access this information in a variety of ways.

All learners who have not been accepted must be notified in writing, and reasons must be given as to why their application was unsuccessful. This should be done before the end of the year prior to enrolment to ensure the learner can find an alternative school place. It is extremely unfair to keep the learners unclear of whether or not they have a place over the Christmas holiday.



List some of the problems you have encountered when applications for admission have been turned down by your school. Think about how you/they dealt with these.

If you accept all applications, consider other schools you are aware of which are selective.

Share some of the lessons you learned during this process with your colleagues and/or fellow students on the ACE programme.

List the reasons why an application may be unsuccessful. Does your school have a *pro forma* letter that is sent to parents of unsuccessful applicants? If so, read through this letter and consider whether it should be revised.



Remember that learners may not be denied access to a school for any of the following reasons:

- If a child speaks a language, other than the language of instruction (it is the school's responsibility to have the child placed)
- If school fees have not been paid
- If a learner has not progressed to the next grade
- If the learner is HIV-positive
- If the parents cannot afford the school fees
- If the parents cannot afford the school uniform
- If the parents do not support the school's code of conduct.

Any learner who has been refused admission to a public school may appeal against the decision to a Member of the Executive Council (MEC) in terms of section 5(9) of the SASA.

The rules governing admissions must be updated in accordance with amendments to the SASA.

1.6.2 Setting up administrative systems for the collection of school fees

The landscape relating to the payment of school fees changed at the beginning of 2007. This is a result of amendments to the SASA; the introduction of the new Norms and Standards for School Funding; the promulgation of the tightened regulations governing the exemption of parents from paying school fees; and the identification of 'no fee' schools.

'No fee' schools must not charge school fees. Fee-paying schools (i.e. those in richer quintiles) are therefore in a position where they will need to confront the issues pertaining to exemptions and partial exemptions. [Financial aspects of school fees and exemptions are dealt with in detail in Unit 2 of this module. In this section we will focus on the administrative systems and structures necessary for managing school fees.]

The administration of school fees – including establishing the fee to be charged, creating subsidy scales, collecting money, identifying bad debts, and the legal rights of the school regarding the collection of school fees – needs to be carefully monitored.

Parents/guardians are automatically exempt from paying school fees if they meet the following criteria:

- He/She assumes parental/guardianship responsibility for a child who has been placed in one of the following situations:
 - ▶ A foster home
 - ▶ A youth care centre

- ▶ A place of safety
- ▶ An orphanage
- A person who is a kinship caregiver of an orphan or of a child who:
 - ▶ Has been abandoned by his/her parents
 - ▶ Is without any visible means of support
- A person who receives a social grant on behalf of a child
- A child who heads a household.

The SASA makes it clear that when parents/guardians send a child from a rural area to a relative in an urban area, it is the receiving relative who accepts responsibility for that child – including the payment of school fees.

Parents/Guardians qualify for total or partial exemption on the basis of the calculation in terms of the formula in the regulations and the number of children that the parent/guardian has in state schools. If exemption, or partial exemption, is granted, it is granted conditionally and is therefore only applicable while the parents' /guardians' circumstances justify it. The exemption will end when their circumstances change.

The parent/guardian must apply for exemption and the SGB must make a decision within 30 days after the receipt of the application. Orphans and children heading households do not need to make a formal application.

The formula for calculating exemption is as follows:

$$E = 100 \times \frac{(F+A)}{C}$$

Where:

E = School fees as a proportion of income

F = Annual school fees for one child

(use the highest fee paid by the parents for that school)

A = Additional monetary contributions to be paid by the parent/guardian

C = Annual gross income of parents, combined

(includes salary, investment income, business profit, etc.)

The result (E) of the above calculation will be a percentage (DoE 2006a:7-26).

There are a number of interpretations of the SASA regarding whether schools may collect money other than school fees from parents. There have been those who assume that any activity at school that incurs cost must be paid for out of the school fee. This is incorrect. 'A' in the formula above refers to additional payments. The reason for the provision in the SASA is to prevent schools from charging low fees but adding additional payments for some subjects or sports, or other curriculum-based levies.

There is a difference between school fees charged and money that is collected on an *ad hoc* basis. It is acceptable to charge for tickets to a play, a sports tour or any other voluntary activity. If the activity is not voluntary, those children who cannot afford to pay may not be marginalised and must be included in the activity or event. A contingency fund should be available for these occasions.

The document that your school provides to parents with regard to school fees and exemptions should include a checklist for the parents to complete. Here is an example of a checklist that you could use:

TABLE 3: CHECKLIST FOR PARENTS ON SCHOOL FEES AND EXEMPTIONS

Questions on school fees and exemptions		
Have you been informed about the school-fee amount?	Yes	No
Has it been explained that the payment of school fees is compulsory, unless you are totally exempt from paying?	Yes	No
Do you understand that you have the right to apply for exemption from paying school fees?	Yes	No
Do you intend to apply for exemption?	Yes	No
Do you need assistance in making such an application?	Yes	No
<p>If you answer yes to the final question, an application form will be sent to you or you can collect it from the school.</p> <p>Signature of parent..... Name of parent.....</p> <p>Date.....</p>		

Using all the information at your disposal, develop a document that you will send to parents regarding the payment of school fees. This document should be sent to all parents after the AGM (with all parents) at which the decisions regarding school fees for the following year were made. Use the checklist in the table above to guide you on areas you need to cover in the letter. Consider including notes on the problems caused by parents' non-payment or the late payment of school fees. Describe mechanisms that you have put in place to promote the smooth operation of the school-fee collection system.

STEP 3: ACCOUNTING SYSTEM FOR THE COLLECTION OF SCHOOL FEES

It is imperative for your school to have an accounting system in place before school fees or any other monies are collected. Accurate records should also be kept of allocated subsidies and exemptions. Accounts need to be sent to parents/guardians in order to track and document payments, overdue payments, special concessions or other arrangements that have been made.

Parents/ Guardians need to know when fees are due and how payments can be made. Many schools offer a variety of options in terms of payment. Parents/ Guardians who pay the full amount up-front are often offered a discount as an incentive. Other options include weekly, monthly, quarterly or bi-annual payments. Whatever the arrangements are, the accounting system needs to record these and ensure that accurate records are kept that reflect both timeous payments and overdue accounts.

The ideal is to have a computerised method of tracking payments and generating accounts, but this may not be possible at all schools. Nevertheless, all monies received must be documented and receipts must be issued at all times.

If parents/guardians wish to apply for a subsidy, they need to be furnished with the school's subsidy application form. Every parent/guardian has a right to access this form.



The receipt of school fees will have a direct impact on the effective running of the school, as determined by the school's budget for that year. It is therefore imperative that the amount of bad debt is kept to a minimum. When bad debt does occur, there needs to be an effective mechanism in place that enables outstanding fees to be collected.

The SGB has the right to enforce the payment of school fees, and it may institute legal proceedings against parents who are in arrears. However, Section 41(4)(c) of the SASA prescribes that the Exemption of Parents from the Payment of School Fees Regulations must have been followed.

No learner may be deprived or victimised in any manner, even if his or her parents/guardians have not paid the school fees. This includes, inter alia, suspension from classes, verbal or non-verbal abuse, denial of access to school activities or the nutrition programme, and denial of the school report or transfer certificate. The matter of non-payment is between the parents/guardians and the school, and must not affect the learner.

If the SGB wishes to initiate legal proceedings against the parents/guardians, the following steps need to be followed:

- Parents/guardians who are in arrears need to be identified. If the parents/guardians have lodged an appeal with the Provincial HOD against the SGB's refusal to grant exemption, no court action may be taken until the Provincial HOD has informed the SGB of the outcome of the appeal. This must be done within 14 days.
- Ascertain whether the parents/guardians have signed the checklist reproduced in Table 3. If the form has been made available but the parents/guardians have not complied, it is still possible to proceed with legal action.
- Letters of request or warning should be sent. Also, the school should enquire whether circumstances are preventing timeous payment. A deadline for a reply and/or payment should be included in the letters.
- If no reply is received, no money is received or an invalid reason for non-payment is provided, the parents/guardians must be informed in a letter – a letter that is delivered in writing and by hand or registered post – that legal action is being taken against them.
- The legal process then takes its course.
- Some schools prefer to use the services of debt collectors, while others make use of an attorney.

1.7 Setting up administrative systems for school safety and security

Now that we have looked at the system for admission and the collection of school fees, let us now move on to look at the systems governing school safety and security.

1.7.1 The issue of discipline, safety and security in South African schools

South African society has undergone major social, economic and political changes over the past decade. Among the changes in the education sector has been the decentralisation of school governance. Decentralisation means that all public schools have been granted legal personality to act as “juristic persons” and govern their schools autonomously. The concept of “juristic person” means that schools have legal rights and duties; schools can sue and can also be sued (Bray, 2005:133 and RSA, 1996:9).

Governance is an issue not only at the national level but at every level of the system including the level of the school. It involves the nature and extent of authority as well as the control and incentives applied to deploy human and economic resource for the well-being of an organisation.

School governance refers to an act of determining policy and rules by which a school is to be organised and controlled. It includes ensuring that such rules and policies are carried out effectively in terms of the law and the budget of the school. Stakeholders should be involved when policy matters are decided.

The South African Schools’ Act legislates the establishment of school governing bodies (SGB) in public schools. The SGB is regarded as the legitimate “government” of the school. The composition of the SGB allows the involvement of stakeholders. The governance of public schools and Discipline, Safety and Security (hereafter, DSS) in schools require the active participation of parents, educators and learners (RSA, 1996:9).

A school will not function optimally in situations of insecurity, indiscipline and in the absence of safety. (KZNDEC, 2003:5) As management of schools engage in their task of creating a positive teaching and learning environment, discipline, safety and security issues become crucial. The art of creating a safe school environment poses great challenges to school management. It is stipulated in the Constitution and the Bill of Rights in Chapter Two (sec 24) that every child has the right: to an environment that is not detrimental to his health. This right also applies to learners and educators and protects them from being exposed to harmful environments, including the school. The school’s physical facilities, including buildings and grounds can pose safety problems. Educators are required to provide educational, physical and mental safety to learners

Discipline

The term 'discipline' is rooted in the Latin word "disciplinare" meaning to teach or instruct. It is controlled behaviour resulting from training that is expected to produce a particular character or pattern of behaviour.

School discipline relates to the functioning of the school community through a system of relationships, rules, rewards and sanctions designed to progressively develop self-discipline within learners. To avoid confusion and conflict Cowin, et al., state that the school community should have a common understanding of what discipline means. Blandford (1998:7) postulates that schools need to develop an identity, one that reflects the values and beliefs of its members. A school should be central to its local community. The school is actually a "community within a community".

Discipline can be defined as the business of enforcing simple classroom rules that facilitate learning and minimise disruption. Jones further defines discipline as the slow, bit-by-bit, time-consuming task of helping children to see the sense of acting in a certain way. Blandford (1998:1) asserts that discipline and management are central to effective schools. Management of discipline is about managing the environment in such a way that discipline problems are prevented. Most researchers seem to agree that nowhere is it more true that "an ounce of prevention is worth a pound of cure" than in disciplining learners.

The main causes of the lack of discipline in communities and schools often originate from a deeper moral level, namely the absence of integrated core values such as respect, responsibility, honesty, diligence and self-discipline. A democratic society cannot function without these values. Values are the precious reminders that individuals obey to bring order and meaning into their personal and social lives. Ironically the ten values on the Manifesto on Values, Education and Democracy (DoE, 2001) which are of paramount importance in South African schools, place greater emphasis on nation building than on character building, whilst the former is dependent on the latter.

Safety

Safety means freedom from or prevention of danger, risk or injury. It is affording protection against harm.

A safe school is the one that is free of danger and where there is an absence of possible harm, a place where educators and learners may work, teach and learn without fear of harassment, humiliation, intimidation or violence. A healthy school is one that is psychologically and physically safe for learners and staff. Indicators of safe schools include the presence of certain physical features such as secure walls, fencing and gates, buildings that are in a good state of repair and well-maintained school grounds. Safe schools are further characterised by good discipline, a culture conducive to teaching and learning, professional educator conduct, good governance and management practices and an absence of crime and violence (Prinsloo, 2005:4; Squelch, 2001:138).

The Discipline, Safety and Security (DSS) unit of the KZN Department of Education, define a safe school as one that is free from the following:

- Burglary and theft;
- Physical and sexual abuse;
- Gangsterism;
- Guns and other dangerous weapons;
- Drugs and Alcohol;
- Bullying;
- Racism;
- Dangerous physical structures; and
- Other threats.

DSS issues pose a threat to the safety of both educators and learners. Schools are required to take precautionary measures to ensure safety for all. The SMT should be aware of factors in the school environment that might pose a threat to safety. Precautionary safety measures such as evacuation plans and safety policies should be put in place. The physical structures within the school premises, if not in good repair, are a danger to educators and learners. When the safety of educators and learners is threatened, security becomes a necessity.

Security

Security is an assured or a certain state of being untroubled by danger or fear. A secure school is where learners and educators have a very low risk of physical, emotional and psychological injury. For the purpose of this module this would mean a feeling by the stakeholders in education that public schools are accident free. Security includes precautionary measures such as erection of fences, installation of security gadgets, or the hiring of security guards.

School governing bodies are bound by the Bill of Rights. One of the functions of the Bill is the protection of people. In this context one of the most important rights of learners and educators is the right to freedom and safety and security of a person. The school governing body should determine principles to safeguard the property and school environment. In a society where escalating crime and violence (even on the school grounds) is a stark reality, the SGB will have to fund projects and even physical infrastructure such as electronic access, name tags, closed circuit cameras, alarm monitoring and security guards on site in order to protect educators and learners during school hours (DoE, 1999:14). These devices have huge financial implications for the school which could mean that some measures could be affordable to a few schools only.

1.7.2 Roles and responsibilities

Sound DSS depends on good management, both within the school as a whole and within the classroom context. Planning for good discipline begins with a broad school policy empowering principals and educators to deal with a number of possible behaviour problems. Planning for positive discipline and a safe environment should begin with principals, since they are the ones responsible for establishing a safe and orderly environment. Educators also have the responsibility of maintaining order and discipline in their classes.

The South African Schools Act, Act 84 of 1996 has mandated school governing bodies to decide on matters of school policy and discipline (RSA, 1996). The

principal as mandated by Section 16 (3) is responsible for the day to day running of and deals with professional matters of the school.

Included in the specific functions of the school governing bodies, as set out in Section 20 (d) of the Act, is the duty to adopt a Code of Conduct for learners at the school after consultation with the learners, parents and educators. Furthermore, the governing bodies must “promote the best interests of the school and strive to ensure their development through the provision of quality education at the school” (RSA, 1996).

A school is a complex organisational system with different people and personalities assembled to achieve a common purpose, namely, teaching and learning. In order to establish relationships and protect the rights of individuals, there has to be agreement on conduct. The legislation emphasises that the SGB is the authority responsible for the formulation of the Code of Conduct (RSA, 1996:8 (i)). The Code of Conduct should clearly distinguish between what is acceptable and unacceptable behaviour. Therefore, the rights and responsibilities of all role players and penalties should be defined. The Code of Conduct is binding to every learner at the school. The key words are ‘participation’ and ‘consensus’. Widespread consultation during the compilation of the code of conduct and genuine incorporation of reasonable suggestions should complete the process of adoption (KZNDEC, 1999:10).

Not only schools but also social structures such as the family, the church and the state determine the kind of behaviour that is acceptable and what is not. These behavioural rules may rest on moral or judicial grounds. The list of unacceptable behaviour is comprehensive. According to Bortner (1988:6) some types of behaviour are prohibited because they are unhealthy, others because they are immoral, in poor taste or illegal. To be regarded as a crime the act must be prohibited by law (Allen, 1997:1).

Effective partnerships in education management and governance are built on good co-operation, mutual trust, reciprocal rights and obligations and sharing of resources and expertise to promote and serve the best interests of all learners (White Paper, 1995:21). With the above role-players clearly understanding and responsibly playing their roles, schools should be well disciplined.

The figure below indicates how a system for the management of discipline safety and security can be set up. Note that the policy should be developed in accordance with the legislative mandate for School Governing Bodies. The structure identifies the most important areas for discipline, safety and security, including the Physical environment, which will be dealt with in more detail in Unit 3:

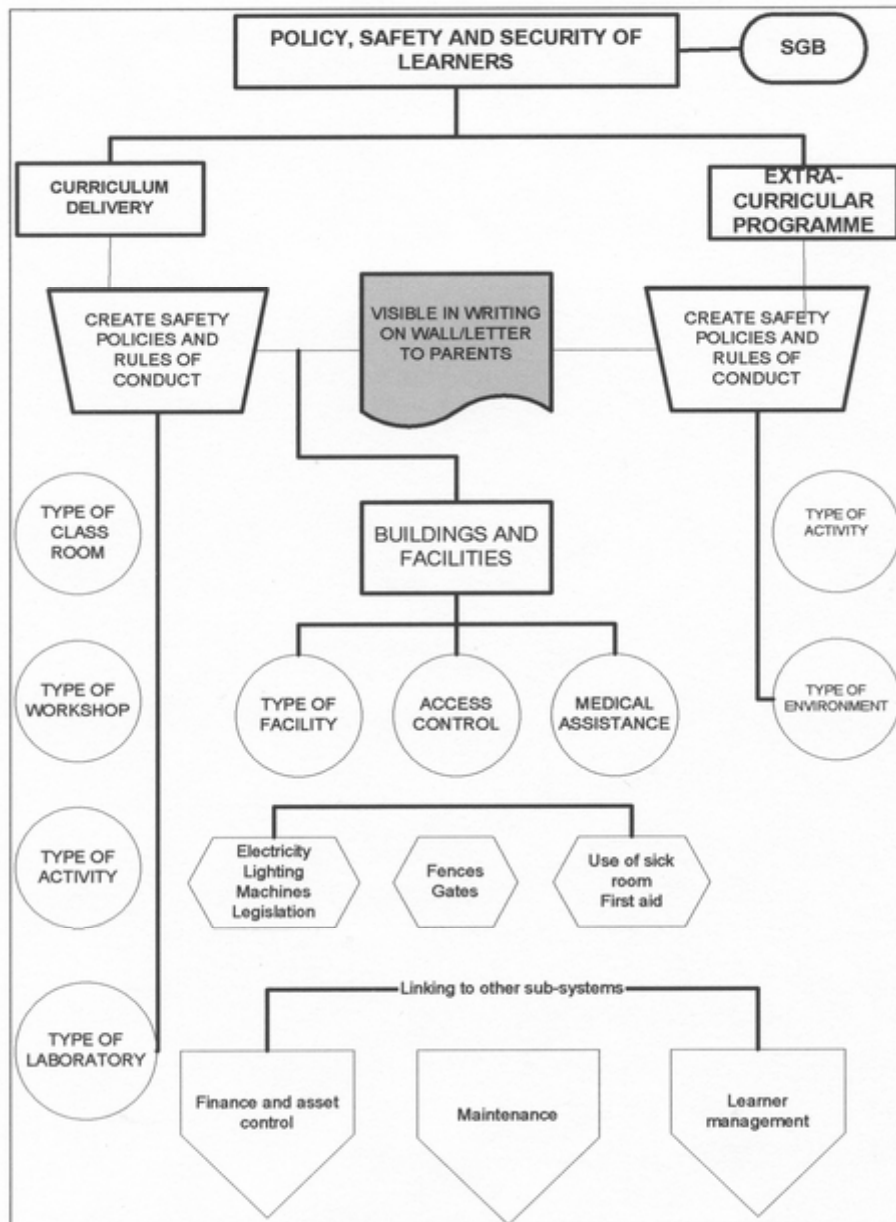


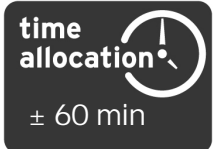
Figure 4: The sub-system for managing safety and security in the school

Figure 4 above provides a diagrammatic overview of the sub-system for managing safety and security in the school. Note that the diagram shows that we need to be aware of safety and security issues during both normal, usually-classroom-based curriculum delivery as well as during extra-curricular activities. The middle part of the diagram identifies the kinds of issues that need to be addressed in both cases. At the bottom of the diagram we are reminded about the link with other sub-systems e.g. employment of a security guard at the school gate will have implications for the budget and hence the financial sub-system. The safety and security of learners at schools, and the safety and security of school property, are the responsibility of every member of staff – including teaching, administrative and ground staff. The law requires that school leaders take reasonable precautions to ensure that all people under their care are safe and secure.

The administration of safety and security measures for the school is therefore a task that should not be underestimated. In fact, this task should be a daily priority that guides activities at the school.

It is essential that a school safety policy is in place before any staff allocations and duties can be performed, since the school safety policy will determine how safety is to be maintained and addressed at the school.

A school safety committee is to be established and the school safety policy drawn up. Once you have established the school safety committee, the roles and responsibilities of the committee members, and of every other member of staff, need to be made clear.



We have provided an example of a safety and security policy as **Text 4** in your **Reader**. Read through the Safety and Preventative Measures Policy of Forbes High School and consider the questions that we have included in the Text. All the questions have been indicated by the 'Stop and think' icon.

These questions are designed to encourage you to relate this section of the module to your own school. We trust that you will find the example and the questions useful in establishing a policy for your school. If you already have a policy in place, we suggest that you use this activity to revise and improve upon it where necessary.



It is imperative that all staff become familiar with the Occupational Health and Safety Act, as well as the Draft General Health and Safety Regulations (20 January 1995). It is expected that each staff member read these documents in conjunction with the school's safety and security policy.

It is also imperative that all members of staff have a copy of the school's safety and security policy, and that they sign a form which states that they have read the document and understand its contents. This should be done whenever an amendment or addition to the document is made.

As with all administrative systems, there is a constant need to upgrade, improve and address the system being used to ensure that the mechanisms in place remain up to date and relevant. The onus is on the principal to ensure that the administration of the school is of such a nature that the school's effectiveness is maximised, and that optimum levels of performance are maintained.

1.8 Using information and communication technology (ICT)

All provinces are moving towards computerising administration systems including at school level. This is due to the fact that we need correct information and data faster in order to inform our decisions. Decision-making and judgement are dependent on speedy access to accurate information that is easily accessible and interpretable.

However, we realise that not all schools are yet computerised, and for these schools the Schools Record Manual provides guidance. The discussion that follows in the next few pages provides some arguments that you can use to motivate the computerisation of your school if you are not yet computerised and for the optimal usage of the facilities if you do already have them.

1.8.1 The development of information and communication technology (ICT)

According to Rue & Byars (2000:24), the advent of the 'computer age' has greatly affected the manner in which information is acquired and presented. School leaders and managers need to be able to 'work with' information technology. Therefore, they must understand the way in which information is accessed, gathered, analysed and communicated. In this day and age, it is crucial that speedy and sound decisions be taken, since this will encourage administrative and management excellence.

The phenomenal improvements in computer hardware have been accompanied by improvements in software and user compatibility, with the result that modern computers are much more user-friendly than those of the past. Highly-customised software became readily available and make for an excellent and sophisticated resource-management tools.

The Internet

For the school leader, the Internet can be a tool for finding many types of information.

If correctly managed, it can be an excellent source of relevant information that can enhance the school curriculum and assist the school to keep up with developments in any field. The school can become a 'global village' where access to knowledge is universal and possibilities are boundless.

Today, many school leaders are using the Internet to conduct research, access electronic databases, send e-mail, conduct recruitment and training, and network with colleagues and other institutions. These activities help the school leader to find and share information on issues as diverse as training and development, financial and legal information, and information on various scientific and other academic fields.

The real value of the Internet to school leaders is the information that it makes available to support decision-making and managerial activities.

Intranets

Intranets work in a similar way to the Internet. However, rather than connecting computers around the world, an Intranet connects computers within an organisation. Therefore, an Intranet connects people to people, and people to information, within an organisation.

Currently, all educational offices are connected to one another through an Intranet. All government institutions are also connected to one another through such a networking system. The e-mail address of people linked to this Intranet usually ends in 'gov.za'.

As you can see, Intranets are creating new ways for role players in the school system to communicate and get things done.

Possible uses of Intranets in school administration

- Create a learner database
- Automate learner tracking, such as admission, payment of school fees, academic progress, and recording behavioural problems
- Offer more enticing options with regard to the design and distribution of documents and newsletters
- Share relevant managerial information documentations and status reports.

The real benefit of the Intranet is that it allows role players to request and receive only the specific information or document they need. Once a person receives the relevant information or document, he or she is free to process or manipulate it on their own computer. This speeds up administrative systems.



*Although school leaders need speedy and correct information in order to make the right decisions, it is important to have a balanced perspective when working with information and communication technology. Even if you have access to e-mail, Intranets, and even electronic conferencing, it is important to remember that face-to-face contact is still extremely valuable and cannot always be replaced by electronic communication. Note that the following publication – *Managing ICTs in South African Schools: A Guide for School Principals* – can be downloaded for free from www.saide.org.za/publications. Every principal should read this important document which was developed with the Department of Education.*



Use the template below to evaluate your school's computerised systems. Provide comments in the right-hand column if you are experiencing specific problems in that area.

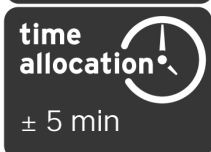


TABLE 4: FEATURES OF A SCHOOL'S COMPUTERISED SYSTEM

FEATURE	COMMENT
Compare the time spent on data input to the value of the reports that are generated by this activity. Is the time well spent?	
Does the system have real-time, online and immediate update capability? If not, your system is antiquated by today's standards.	
Does the system have the capability to produce reports (such as financial reports) that provide answers to specific questions?	
Does the system generate the proper kind of information?	

1.8.2 The importance of an MIS in your school (ICT)

As is evident from the section above, advances in information and communication technology have added to the potential effectiveness of school leaders. However, this technology also creates new challenges.

There are also more and more reasons to justify the need for and feasibility of an electronic Management Information System in your school. These reasons include relevant legislation, and governmental and departmental regulations; increased personnel requirements; an increasingly complex and integrated curriculum; the need for a Learner Management System; as well as complex financial requirements.

An MIS has the potential to produce timely and accurate information – which is necessary for operating, controlling and planning purposes – far more efficiently than the traditional paper-based information systems. One of the obvious benefits of electronic systems is that there is no longer a need for rows upon rows of filing cabinets.

There are numerous software packages for school administration that can be purchased on the market. Recently, the DoE embarked on a project to install computerised school administration systems in all schools. This project is aptly called the “South African Schools Administration System”, or (SA-SAMS).

When evaluating a software package for implementation in the school, the school leaders should ask themselves the following question: What sub-systems and structures should the software package cater for in order to assist the various levels of management?

The following are some potential applications for a computerised MIS in the school. However, each school is unique, and it is important for school leaders to

establish exactly what they need and expect from a school MIS before purchasing any hardware or software.

Clerical applications and communication

- Automating certain routine clerical tasks, such as filing, record tracking, generating routine letters, correspondence
- Saving on postage and other costs by communicating through the e-mail
- Keeping an electronic record of all communications
- Creating an electronic reporting system
- Communicating faster – both internally and externally – through the Internet and Intranets.

Learner management

- Creating a learner database for learner profiles, including:
 - ▶ biographical data
 - ▶ behavioural patterns
 - ▶ performance tracking
 - ▶ health and wellness
 - ▶ socio-economic status of the learner.

Learner performance management

- Uploading all relevant assessment outcomes
- Calculating results
- Printing performance records or report cards
- Creating electronic question banks, which will increase the effectiveness and standardisation of continuous assessment activities. (This is an application that can be investigated for the future.)

School statistics and strategic planning

- Generating statistical reports for the Provincial Education Departments
- Linking to the DoE's MIS for the purposes of school enrolment and other statistics
- Generating statistics on learner and staff turnover to assist management in strategic planning.

Financial reporting and asset control

- Tracking income and expenditure electronically
- Banking electronically
- Recording assets and resource control systems
- Generating monthly and quarterly reports for the SGB.

Personnel records and performance appraisal

- Updating and maintaining biographical data
- Documenting job description, roles and responsibilities
- Safe-keeping of curriculum vitae, personal growth plans (in accordance with the outcomes of the IQMS), health records and other information.

1.8.3 Evaluating your school's MIS (ICT)

If the information provided by an MIS is to be valued by the users, it must meet five critical standards, namely:

- Accuracy
- Significance and relevance
- Comprehensiveness
- Readability and visual impact
- Consistency of format. (Byars & Rue, 2002:35)

key points



In essence it means that managers at various levels should be able to extract the information they need. Readability and visual impact are also important – in other words, the information must be presented in a user-friendly way, and the reader must be able to interpret the information easily and correctly (for example financial reports, graphs and tables).

Another important factor is data security. In a school environment, data security mainly refers to information released in the form of e-mail and intranet messages.

It is very important that management develops a code of conduct relating to what people are allowed to do on their computers. Computer games and undesirable e-mail messages can be very embarrassing.

Where people (such as the Finance Officer) work with sensitive data, a non-disclosure agreement might be necessary.

our comments



Producing information that is of high quality obviously requires proper input, which means investment in time, training and effort. However, in the long-term this will save time and effort.

1.8.4 Developing an MIS for your school (ICT)

Situation analysis and concept design

Within the school organisational system there are many sub-systems. Resources must be allocated to these sub-systems, and activities, rules and procedures are needed in order to define the way that tasks are conducted and the way that resources are distributed.

In order to manage the different sub-systems of the school effectively, there is a need for planning, scheduling and continuous monitoring. An MIS is an important tool for effectively co-ordinating the diverse activities in your school, and it also provides for adaptability and flexibility in responding to changing circumstances.

However, it is important that the design of organisational systems and structures (including the MIS) should suit the needs of your school.

Determine the needs for information

An MIS for the school should first and foremost be regarded as a decision-support system. When setting up an MIS for the school, arrangements must be made for the collection and processing of relevant information. This information must facilitate the decision-making of role players at all levels, in all structures and in all systems in the school.

The following diagram indicates the most common information that is needed by the school management in order to support decision-making.

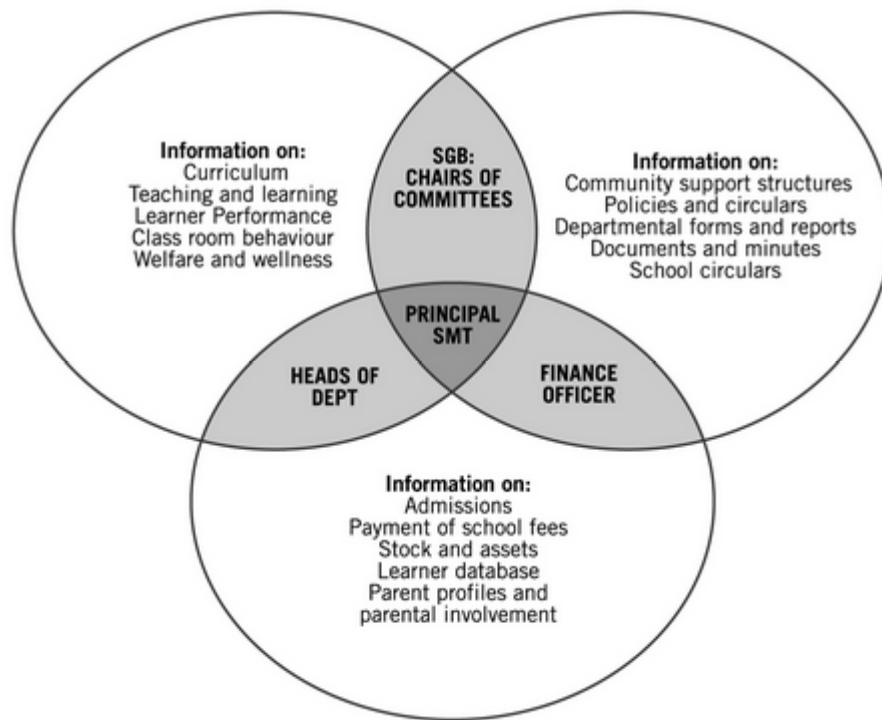


Figure 5: Information needed by the school management

activity
1d

time allocation
± 5 min

In the table below, list any additional types of information that the school management might need with regard to your school. Also ask yourself whether there are additional role players in your school who need information, and what type of information they would need.

TABLE 5: INFORMATION NEEDED BY ROLE PLAYERS IN THE SCHOOL

ROLE PLAYER	INFORMATION NEEDED
School leaders	

ROLE PLAYER	INFORMATION NEEDED
SBG/Chairs of committees	
HODs	
Finance officer	
<i>Add rows as needed</i>	

1.8.5 Designing and implementing an MIS (ICT) in your school

In order to arrange for the effective flow of the types of information indicated above, the main aspects of the MIS will be as follows:

- The allocation of tasks and responsibilities
- The designation of formal reporting relationships
- The grouping of individuals into teams, sections and departments
- The delegation of authority, with associated procedures for performance monitoring and evaluation
- The design of communication and co-ordinating systems to provide for participation in decision-making
- The establishment of decision-support systems such as regular meetings and feedback, and the creation of *ad-hoc* committees and project teams.

From the discussion above it should be clear that an effective MIS is invaluable for the efficient co-ordination of activities in the school, since it enables every member of the school to co-operate in a team in order to achieve common goals and objectives in accordance with specific guidelines. An MIS allows management to pull people and skills together in order to provide for effective teaching and learning in a school.

1.9 Maintaining and evaluating systems and structures for effective school administration

We have already seen that administrative systems and structures have a significant impact on the smooth functioning of your school. Therefore, you need to make sure that what has been put in place is working effectively.

Once you have established systems and structures, you have to make sure that they are maintained. This means you need to have a process in place to continuously monitor the systems and structures. The systems and structures should be evaluated from time to time to ensure that they are functioning effectively and efficiently, thereby serving the purpose for which they were established.

Evaluation should also cover the performance of the individuals within the systems and structures. You need to monitor whether they are performing their allocated tasks in accordance with the prescribed performance standards. [We will not go into more detail on this issue in this unit, as performance management will be covered in the core module, entitled *Lead and manage people*.]

During the process of setting up systems and structures it is important to pay attention to maintenance and evaluation. If these aspects are not specifically attended to, the result is that they generally become neglected. You also need to ensure that people are appointed to monitor, maintain and evaluate the systems and structures.

1.10 Personal qualities for effective management of organisational systems and physical and financial resources

In this section we will look at the personal qualities and behaviour you need as a school leader, and at the ways in which you should demonstrate such qualities and behaviour. School leaders also need to display the values upheld in the Constitution as they apply to resource management.

Specific outcome 1 of the unit standard that this unit relates to requires you to demonstrate the personal qualities necessary for effective management of organisational systems and financial and physical resources.

The unit standard specifies the following personal qualities:

- The ability to seek and use information to guide judgement and decision-making
- Integrity and fairness in managing resources
- A systematic, yet flexible, approach to running an organisation
- The ability to think creatively to anticipate and solve problems
- An awareness of the critical importance of informal and formal means of communication in the running of an organisation.



Reflect on your own personal qualities in the areas identified in the unit standard, as well as on your values. To stimulate your thinking, you should read the extracts on leadership competencies in **Text 2** in your **Reader**. Also consider the values that form the basis of the Constitution. These are democracy, equality, efficiency, accountability, transparency, fairness, integrity and respect for the rule of law.

These are some of the questions you should consider:

- In which areas do you think you demonstrate the personal qualities of a good manager of operational systems and physical and financial resources?
- Which are your weaknesses, and where you think you can improve?
- Engage with a trusted colleague and/or mentor who will give you honest feedback. Compare their answers to the above questions to your own. Do you agree with the strengths and weaknesses that they identified in you?
- What do you think you can do in practice to improve your personal qualities so as to make you a more effective leader?

Keep your answers to these questions in your portfolio so that you can refer back to them when you develop your Personal Development Plan.

We will now be looking at some of the personal qualities of effective school leaders in more detail.

1.10.1 Recognise the importance of formal and informal means of communication

School leaders spend a large percentage of their day communicating with staff, learners, parents, the School Governing Body (SGB) and the Department of Education (DoE). Communication is the 'oil' that ensures the smooth running of a school's 'engine'. This issue is covered in some detail in the fundamental module *Language in leadership and management* and the core module *Manage policy, planning, school development and governance* and so will be discussed only briefly in this module.

Information, which is the 'fuel', is an equally essential component of this engine, and the quality of the school leader's decisions is directly related to the quality of the information at his or her disposal. An effective electronic information system will facilitate access to the information required for decision-making and managing all the school's systems and structures.



The school leader has to communicate with various stakeholders, and he or she needs to put a system together that will enable effective communication with all the different stakeholders.

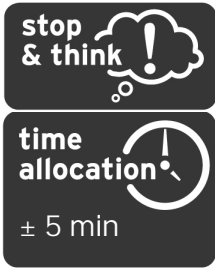


In order to ensure healthy staff relationships, informal liaison between the school leader and staff is necessary. This can be achieved by informal conversations in the staffroom (on non-school matters) and by showing a genuine interest in the wellbeing of every staff member.

No management task can take place without communication. According to Van der Westhuizen (1995: 20) it would seem that educational leaders spend 80% of their time each day in situations involving interactive communication. Therefore it is clear that educational leaders spend the better part of their day communicating, and therefore the importance of good communication can hardly be overemphasised.

There are different ways of ensuring optimal communication within the education system. Types of communication include the following:

- *Meetings (with one person, a group of people or all those concerned)*
- *Internal communication (such as a memo, notice board or school assembly)*
- *Circulation of relevant documents (such as circular letters, departmental circulars, provincial bulletins, relevant legislation and regulations, minutes of meetings, reports and notices)*
- *E-mail*
- *Telephone*
- *Fax*
- *Intercom.*



Please indicate the type(s) of communication you would use to communicate with the following stakeholders in your school. Indicate why you would use these forms.

TABLE 6: STAKEHOLDERS AND THE VARIOUS TYPES OF COMMUNICATION

STAKEHOLDER	COMMUNICATION TYPE
SGB	
Educators	
SMT	
Learners	
DoE	
Parents	
Teacher Unions	
Non-Governmental Organisations (NGOs)	

What do you think are the advantages of having a good communication system in place at your school?

Although communication is probably the most difficult management task of any school leader, it has many advantages for the school. Communication is essential for motivating people; implementing planning and organisational efforts; providing guidance; and transferring ideas from the school leader to other people.

What do you think are the advantages of having a good communication system in place at your school?

Although communication is probably the most difficult management task of any school leader, it has many advantages for the school. Communication is essential for motivating people; implementing planning and organisational efforts; providing guidance; and transferring ideas from the school leader to other people.

1.10.2 Seek and use information to guide judgement and decision-making

"How important is it for the school leader to be informed?" Since a school is a public institution, it is essential for the school leader and other decision-makers at the school to make accountable decisions. Decisions of this kind are only possible if they are based on relevant and reliable information and data.

What this implies is that the school leader must ensure that information is given to him or her systematically and timeously, and that the information is reliable.

The school as an organisation is becoming increasingly complex. For this reason, the development of a formal MIS (ICT) at schools is becoming a necessity, as it will enhance the quality of decision-making. School leaders have to make a diverse range of decisions because of the variety of tasks being carried out at the school, and because of the many people involved in the school's activities. The school leader is an official of the public sector and his or her decisions must be based on certain basic principles. Van der Westhuizen (1995) identifies a number of guidelines for the actions of public officials. Within the school context, these guidelines can be set out as follows:

Political and legal responsibility: The framework governing the actions of the school leader consists of laws, ordinances and decrees that have been passed, as well as the decisions of official bodies. Information in this regard is necessary for accountable action.

Democratic responsibility: Democratic responsibility requires that a public official is accountable to the public. This requirement obliges the school leader to be informed.

Fairness and reasonableness: As a public official, the school leader is required to be fair and reasonable towards those he or she comes into contact with. In order to do this, a school leader cannot afford to be ill-informed. Knowledge of legislation relevant to the situation is essential.

Efficacy: The school leader must be effective in his or her role, and this demands that he or she be adequately informed. School leaders should be aware of their responsibilities and duties, and also of what is expected of them. In addition, they should be aware of the objectives to be attained and the available resources. Without the necessary information, they will be unable to act effectively.

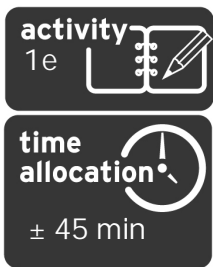
Imperatives for value based decision making by school leaders and managers

In considering the establishment of administrative systems and allocation of resources, there are three imperatives for value-based decision making:

- **Moral imperative:** Effective educational leadership have to combine both the *professional and technical roles* of the principal, the latter including relationships with external stakeholders such as sponsoring bodies or fund holders. It is thus important that school leaders constantly examine the "why" before the "how". In other words they must be secure in their own minds that the reason behind any decision is morally and educationally valid. For example: if generating additional funds as seen directly linked to the SDP, then the commitment to the most effective means of gaining funds become more powerful.
- **Efficiency imperative:** The principal must continuously consider the best alternative which is given up by using resources in one way or another. Time is often spend on grandiose planning activities which do not relate to the realities revealed by environmental scanning. This is about time on task. Is it worthwhile to allocate resources to activities that will not add real value to the efficacy of the school and its systems. In this context one should also remember that *school management is not only the task of the few*; it should be seen as an activity in which all members of the staff can engage.

- **Professional imperative:** School leaders and managers are primarily educational professionals whose functions relate to the school's core purpose of effective teaching and learning. Principals and SGB's should thus be aware that education staff are generally not trained for entrepreneurship, fund-raising, marketing and financial management. Yet these are some of the qualities and abilities needed for effective school management. At the heart of these lies the ability to establish sound internal and external relationships. The principal should therefore seek to make decisions based on establishing strong relationships with the staff that is focused on long term collaboration and skills development rather than on **"seeking short time fixes"**.

As indicated above, professional leadership and decision-making can only combine effectively with technical demands if the principal is effective in his or her role, and this demands that he or she be adequately informed. School leaders should be aware of their responsibilities and duties, and also of what is expected of them. In addition, they should be aware of the objectives to be attained and adequately informed of the available resources.



What types of information and data would the school leader need in order to implement the four guidelines discussed above? Please write down the types of information/data that he or she would need, and place an 'X' in the relevant box to rank the importance of the information. Also indicate the possible sources.

TABLE 7: TYPES OF INFORMATION/DATA AND THE GUIDELINES FOR THE ACTIONS OF PUBLIC OFFICIALS

GUIDELINE	TYPE OF INFORMATION/DATA	VERY IMPORTANT	IMPORTANT	UNIMPORTANT
Political and legal responsibility				
Democratic responsibility				
Fairness and reasonableness				
Efficacy				

Please take note that there is also some vital information/data that the school leader needs to disseminate.



A distinguishing trait of humanity is the power to choose; the power to make decisions. In order for anything to get done, actions have to be taken, and this requires a decision. It would seem that the quality of a decision is directly related to the quality of the information and data at the disposal of the decision-maker. It is therefore not surprising that in each organisation – such as a school – there is a formal or informal information system.

According to the *Integrated Quality Management System (IQMS)* of 2003, competence in decision-making is a required performance standard for Level 2 - 4 educators. In terms of the performance-measurement requirements, competence in decision-making will be used for purposes of pay-and-grade progression.

The performance level “Outstanding decision-making” is described in the performance measurement rubric by, among others, the following key phrases (2003: 31):

- “Whenever possible ... decisions are arrived at by consensus.”
- “Decisions based on wide consultation with all relevant parties ... are made in good time.”
- “[They should be] accountable to staff for the decision-making process and decisions.”
- “Staff ... are motivated to participate in decision-making.”

In fact, all quality management initiatives in your school should be planned in an integrated way. This is designed to foster mutual accountability and a democratic ethos among role players.

For major decisions it is important to understand the culture of the school, and to recognise that the decision-making process must be appropriate for the particular school. In small schools, it is often quite easy to involve all staff in decision-making. In larger schools the process is often more complex.

The school leader needs to be able to do the following:

- Collect and weigh evidence, and make judgements and decisions
- Analyse, understand and interpret relevant information and data
- Think creatively and imaginatively to anticipate and solve problems, and to identify opportunities for development
- Demonstrate good judgement: know when to make decisions and when to consult with others. For those in middle management positions, know what the limits of your responsibility are.

For effective decision-making the school leaders should ask the following questions:

- What information/data do I need to do my job?
- When do I need this information/data?
- In what form do I need this information/data?
- From whom and from where should I be getting this information/data?

There are also other important questions that few people ever ask, such as:

- Which new tasks that I have taken on should I abandon?
- Which tasks should I do differently?

- What information/data do I owe? To whom do I owe it, by when and in what form?



We know that principals are required to generate considerable amounts of data annually (for the 10th Day Survey, Annual Survey, provincial needs etc.). Many principals collect this data as fast as possible, and then pass it on up the system. The principal often does not audit the data or copy it. Are you such a principal? If you are, you are missing an important source of information for making informed decisions for your school. Copy the data, once verified, and share it with your staff, SGB, learners and community.

*Can you use it to argue for more teachers? To inform the school development plan priorities? To enhance inclusion? To determine if a new classroom is needed? To inform the mix of textbooks and IT-based LTSMs you need? and so on. Making decisions based on valid data ensures that your decisions are valid and based on solid data. It makes you stronger when arguing your case for more resources. It also means that collecting data stops being a chore, done for the provincial or national office, but it is instead a useful activity. As a general rule **use** every piece of data you generate at a school. All of it has a use.*

1.10.3 Think creatively to anticipate and solve problems

THE INTERRELATIONSHIP BETWEEN CRITICAL AND CREATIVE THINKING

During consultation with stakeholders there may be stages when it is hard to reach consensus. This may be the result of differences of opinion or of not understanding what the underlying problem is. In order to resolve such situations it is worthwhile to understand some problem-solving, innovation and creative-thinking techniques.

Robert Harris (1992) makes the following distinction between critical thinking and creative thinking:

Much of the thinking done in formal education emphasises the skills of analysis – such as teaching students how to understand claims, follow or create a logical argument, figure out the answer, eliminate the incorrect paths and focus on the correct path. However, there is another kind of thinking; one that focuses on exploring ideas, generating possibilities and looking for many right answers rather than just one. Both of these kinds of thinking are vital to a successful working life, yet the latter tends to be ignored in most schools.

We might differentiate these two kinds of thinking as follows:

TABLE 8: DIFFERENCES BETWEEN CRITICAL AND CREATIVE THINKING

CRITICAL THINKING	CREATIVE THINKING
Analytic	Generative
Convergent	Divergent
Vertical	Lateral

CRITICAL THINKING	CREATIVE THINKING
Probability	Possibility
Judgement	Suspended judgement
Focused	Diffuse
Objective	Subjective
The answer	An answer
Left brain	Right brain
Verbal	Visual
Linear	Associative
Reasoning	Richness and novelty
Yes, but ...	Yes, and ...

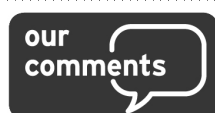
In an activity like problem-solving, both kinds of thinking are important. First, we must analyse the problem. Then we must generate possible solutions. Next, we must choose and implement the best solution. Finally, we must evaluate the effectiveness of the solution. As you can see, this process reveals an alternating focus on critical and creative thinking. In practice, both kinds of thinking operate together much of the time and are not really independent of one other.

What is creativity?

Creativity is an ability: Creativity is the ability to imagine or invent something new. It is the ability to generate new ideas by combining, changing or reapplying existing ideas. Some creative ideas can be astonishing and brilliant, while others are just simple, good, practical ideas that no one seems to have thought of yet.

Creativity is an attitude: Creativity is an attitude. It is the ability to accept change and novelty; the willingness to play with ideas and possibilities; and the readiness to be flexible in your approach to ideas. Creativity is making the decision to enjoy looking for ways to improve ideas.

Creativity is a process: Creativity entails working hard and continually improving on ideas and solutions by making gradual alterations and refinements.



Creativity enables you to have a new vision and a new approach to things. A creative person is able to transform existing knowledge and give it a new perspective. In this way you are better equipped to formulate problems, achieve possible solutions, develop alternative solutions and visualise the consequences more effectively.



“Believe it or not, everyone has substantial creative ability. Just look at how creative children are. In adults, creativity has too often been suppressed through education, but it is still there and can be reawakened. Often all that’s needed to be creative is to make a commitment to creativity and to take the time for it.” Robert Harris (1992, <http://www.virtualsalt.com>)



Reflect on the last time you had a creative moment and answer the following questions:

- What was it that made you realise that this was a really innovative idea?
 - What were the ideas that you came up with before and after you hit on this idea?
 - How did you feel about this idea at the time?
 - What did you subsequently do about this idea?
-

Creative methods

Harris (1992) identifies five classic methods for producing creative results:

1. **Evolution:** This is the method whereby one improvement builds on another. New ideas stem from other ideas; new solutions from previous ones. The new ideas and solutions slightly improve on the previous ones. By making something a little better here and a little better there you can gradually make it something a lot better – even entirely different from the original.
For example, the motor vehicle has evolved from a simple mode of transport to take you from one point to another, into a highly computerised machine that can automatically switch on its windscreen wipers when it rains.
2. **Synthesis:** With this method, two or more existing ideas are combined into a third, new idea.
For example, by combining a radio, CD player, video machine, television set, DVD player and surround-sound speakers into one machine, you have a home theatre system
3. **Revolution:** Sometimes the best new idea is a completely different one; a marked change from the previous ideas.
For example, while an evolutionary improvement philosophy might cause an educator to ask, “How can I make my lessons better and better?” a revolutionary idea might be, “Why not stop having lessons and ask the students to teach each other, working as teams or presenting lessons to one another?”
4. **Reapplication:** This entails looking at something old in a new way. We go beyond the defined use of the object or idea; remove prejudices, expectations and assumptions; and discover how something can be used for new purposes or how it can be reapplied. The key is to see beyond the previous or stated applications for some idea, solution or thing and to see what other application is possible.
For example, a kitchen knife can be used to unscrew an electrical plug, or a soapy solution can be used to kill ants.
5. **Changing direction:** Many creative breakthroughs occur when attention is shifted from one angle of a problem to another. This is sometimes called creative insight.
For example, with more and more vehicles on the roads, intersections are increasingly becoming points of congestion. The traffic department tried to solve this by introducing four-way stops. However, the four-way stops increased congestion. Traffic officers were introduced at

key intersections, but due to a shortage of human resources this could not be sustained. Traffic lights were too costly to install at all the intersections. Finally, large traffic circles with only yield signs were built, and this helped traffic flow more smoothly.

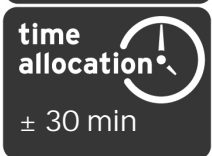


There are various factors that influence our own creative abilities. These can be classified as:

- *Negative attitudes that block creativity*
- *Myths about creative thinking and problem-solving*
- *Mental blocks to creative thinking and problem-solving*
- *Positive attitudes towards creativity.*



Below are five tables. Each table contains statements that relate to a specific category that influences creative ability. For each statement, write down your understanding of what the statement means. You can use examples to illustrate your understanding of the statement.



You are then required to rate yourself on each statement by ticking the relevant face. This will give you an indication of which areas you should work on to increase your creative abilities. We also recommend that you give these to a few colleagues and ask them to rate you as well. See how your self-assessment differs from that of people who work with you every day.

RATING SCALE:

☺ = this reflects how frequently feel/respond (give examples)

☹ = this reflects how I sometimes respond (give examples)

☹☹ = totally disagree – I never respond in this way (give counter examples)

TABLE 9: NEGATIVE ATTITUDES THAT BLOCK CREATIVITY

ATTITUDE	DESCRIPTION	RATING		
		☺	☹	☹☹
1. Oh no, this is a problem		☺	☹	☹☹
2. It can't be done		☺	☹	☹☹
3. I can't do it. There's nothing I can do		☺	☹	☹☹
4. But I'm not creative		☺	☹	☹☹
5. That's childish		☺	☹	☹☹
6. What will people think?		☺	☹	☹☹
7. I might fail		☺	☹	☹☹

TABLE 10: MYTHS ABOUT CREATIVE THINKING AND PROBLEM-SOLVING













ATTITUDE	DESCRIPTION	RATING		
1. Every problem has only one solution				
2. The best answer/ solution/ method has already been found				
3. Creative answers are technologically complex				
4. Ideas come or they don't. Nothing will help				

TABLE 11: I BELIEVE MENTAL BLOCKS TO CREATIVE THINKING AND PROBLEM-SOLVING ARE DUE TO:













ATTITUDE	DESCRIPTION	RATING		
1. Prejudice				
2. Functional fixation				
3. Learned helplessness				
4. Psychological blocks				

TABLE 12: POSITIVE ATTITUDES FOR CREATIVITY





































ATTITUDE	DESCRIPTION	RATING		
1. Curiosity				
2. Challenge				
3. Constructive discontent				
4. A belief that most problems can be solved				
5. Suspension of judgement and criticism				
6. Seeing the good in the bad				
7. Problems lead to improvement				
8. A problem can also be a solution				
9. Problems are interesting and emotionally acceptable				

TABLE 13: SUGGESTED GENERAL GOOD ATTITUDES (RATE YOURSELF AND YOUR TEAM)

ATTITUDE	DESCRIPTION	RATING		
1. Perseverance				
2. A flexible imagination				
3. A belief that mistakes are welcome				



The creative person knows that there is always room for improvement and that every problem that has been solved can be solved again in a better way.

A critical truth in problem-solving is that the goal is to solve the problem, not to implement a particular solution. When one solution path is not working, shift to another. There is no commitment to a particular path, only to a particular goal.

The appropriate attitude towards problem-solving is summarised by the statement, "The difficult we do immediately; the impossible takes a little longer". A good mind with a positive attitude and some good problem-solving skills will go far in solving any problem. The key elements are interest in, and commitment to, the problem.

Failures along the way should be expected and accepted; they are simply learning tools that help focus the way toward success. Not only is there nothing wrong with failing, but failing is a sign of action and struggle and attempt – which are all much better than inaction. Mistakes are not fun, but they are educational. A good manager creates space for his/her staff and him/herself to make mistakes and to learn from them.

Constructive discontent is necessary for a creative problem-solver: if you are happy with everything the way it is, you will not want to change anything. Only when you become dissatisfied with something, when you see a problem, will you want to solve the problem and improve the situation. (Adapted from R. Harris: <http://www.virtualsalt.com>.)

One of the qualities of an effective school leader is that he or she can use various problem-solving techniques. Below are some general techniques that you might find useful.

1.11 Solving problems related to systems and structures

A problem is first noticed when one observes a deviation between what is happening and what should be happening (Grobler, 2005: 31). Before a problem can be solved, you need to identify what the problem is. You also need to determine the extent and boundaries of the problem – in other words, where does the problem begin and where does it end? In systems thinking we would first ask: “what entity, system or ‘collision’ of systems are we dealing with?”

What this actually means is that you need to be clear on the problem that you want to solve. Is the problem limited to an individual, a department, a team or a family, or does it extend to the wider community?

Creative problem-solving techniques

1.11.1 Brainstorming

Brainstorming is an idea-generating technique. Its main goals are as follows:

- To break us out of our habit-bound thinking
- To produce a set of ideas from which we can choose and find a solution.

Brainstorming is useful when dealing with specific (rather than general) problems and when a collection of good, fresh, new ideas (rather than judgement or decision analysis) are needed.

Brainstorming can take place either individually or in a group of two to ten, with four to seven group members being ideal. The best results are obtained when the following guidelines are observed:

1. **Suspend judgment:** This is the most important rule. When ideas are generated, no critical comments should be allowed. All ideas should be written down and evaluation must wait for later.
2. **Think freely:** You should try to let your thoughts run wild and share the first idea you have, no matter how impossible or unthinkable it may seem. In fact, in every session there should be several ideas so bizarre that they make the group laugh. Practical ideas very often come from silly, impractical and impossible ones. By allowing yourself to think outside the boundaries of what is normal and ordinary, you might come across a brilliant new solution. Think ‘outside the box’.
3. **Tag on:** It is important to improve, modify and build on the ideas of others. Think about the idea and try to expand on it, even if it seems outrageous. Use another person’s idea to stimulate your own improvement or variation. Changing just one aspect of an unworkable solution can sometimes make it a great solution.
4. **Quantity of ideas is important:** Concentrate on generating a large number of ideas so that they can be sifted through later on. The obvious, usual, stale and unworkable ideas usually come to mind first, so the larger your list of possibilities, the better your chances of finding a truly great solution.

1.11.2 Idea-generating questions

The 'Journalistic Six' are the six key questions that journalism students are taught to answer in their news articles to make sure that they have covered the whole story. These questions will help to stimulate your thinking and approach the problem from various angles.

1. **Who?** Here the focus is on all the role players involved in the situation being described. What were their actions and what were the consequences of their actions?
2. **What?** Here you need to decide what action will be taken, who will take the action, and what will happen as a result of the action that is taken.
3. **When?** What are the time frames involved? What should happen, when should it happen and what will happen if the deadlines are not met?
4. **Where?** Where did the problem incident or situation occur? Does the location impact on the nature of the problem, and has the location impacted on the role players involved – either positively or negatively?
5. **Why?** This question relates to the reason for a particular course of action, and the implications that this course of action has for the different role players. It also focuses on alternative courses of action and their implications.
6. **How?** This question deals with what method was used in the course of the action. It describes the sequence of events from beginning to end.



Select a typical problem that you experience in your school. Consider the extent of the problem and its implications by using the table below.

[Key: 0 = not a problem at all, 1 = problem is trivial, 2 = pay attention to the problem, 3 = the problem is serious and required immediate attention.]

TABLE 14: PROBLEM FINDING

	0	1	2	3
Is the problem considered to be substantial?				
Will there be serious implications in terms of costs and loss?				
Will stakeholders be negatively affected by the problem?				
Will the school's image be tarnished if the problem is not solved?				
Will the problem impact on the internal morale at your school?				
Is it within your power to solve the problem?				

1.11.3 Cause and Effect Analysis

Grobler (2005: 35) is of the opinion that there are always deeper underlying causes for each problem. This necessitates a careful analysis of the underlying

causes. A problem seldom exists in isolation. More often than not, a problem is the result of other smaller or underlying problems.

The Cause and Effect analysis assists you to analyse a problem by helping you to identify the underlying problems that cause the primary problem. It also helps you explore the root causes of each underlying problems. The Problem Tree then guides you to investigating the consequences of the primary problem. After completing the Problem Tree, you will be in a better position to decide on the best solution for the primary problem. The following is an example:

The problem is that parents complain that the school's switchboard assistant is incompetent since she/he does not answer the phone immediately. Here are the possible underlying causes of this problem:

- The switchboard assistant is expected to perform many other tasks.
- It could take some time to walk from where she/he is working to the switchboard.
- The switchboard assistant gets flustered when she/he has to answer the phone because she/he has not been properly trained.
- Most people phone during peak time and there are not enough lines available.
- The phone is often occupied by teachers.

Each of these underlying causes can probably be sub-divided into other causes. Somewhere in the analysis one would be able to identify the actual problem that needs to be solved. In order to do so one can use various techniques including the problem tree. Another technique is called the fishbone diagram.

The fishbone diagram

The name of this diagram is derived from the fact that upon completion of this exercise, one has a diagram that looks like the bones of a fish.

You start the diagram by placing the problem under discussion in a box that depicts the head of a fish. A straight line is then drawn across the sheet of paper to depict the backbone. This is linked to a set of ribs, with each rib depicting one of the underlying causes to the problem.

After you have identified the causes, you may find that a certain cause recurs or is very similar to others in the diagram. If this is the case, you can assume that this is the main cause of the problem. This is depicted in Figure 6 below.

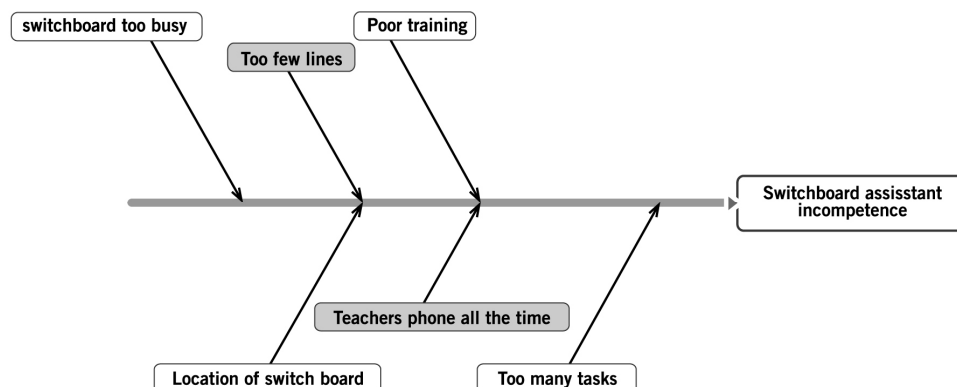


Figure 6: The fishbone diagram

Implementation of the solution

The following factors should be considered during the implementation of a selected solution:

- Consider possible resources to assist with the implementation, such as people and their expertise, and financial resources
- Consider possible forces of resistance to the solution and how to deal with these
- Work out the details in advance and brief all the stakeholders on the actions/work needed to resolve the issue.

It should be obvious by now that effective administration requires the ability to access, process, synthesise and evaluate up-to-date, appropriate and accurate information. We can use information and communication technology to help us to do this efficiently.

1.12 Final remarks on Unit 1

Effective management of administrative affairs is a key feature of effective educational management. However, administrative tasks are not fully appreciated by all, as some people perceive them to be simply 'red tape' or a waste of time. The school leader should know that an effective administration system is a precondition for the effective functioning of the school as an organisational system. Well-conceived and properly planned administrative systems and structures will without doubt contribute to the smooth running of the school.

However, it should also be remembered that administration tasks should a) have a clear purpose – they have no innate value in themselves and b) should take up as **little** time as possible. Some principals equate administration with principalship. This is a false equation.

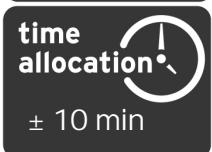
Now that you have reached the end of Unit 1, you should have a general idea of what we are going to be focussing on in this module. This unit tried to lay a good foundation with regard to the legal and other requirements relating to the management of your school's systems and its physical and financial resources. We also spent quite a lot of time on the personal qualities essential for effective leadership and management in these areas.

You must remember that most of the issues we covered in Unit 1 are relevant for all the areas that we will be covering in the remaining units of this module. The challenge in those units will be how you apply what you learnt in Unit 1 to the specific systems and resources covered in Units 2 and 3.



activity
1f

Imagine that you are confronted by staff and parents about the lack of discipline in your school's learners. Most of the parents feel that you should introduce harsher disciplinary measures, while the teachers are not convinced that this is the correct solution.



time
allocation
± 10 min

Using a Problem Tree, reflect on the possible roots of the problem and propose possible solutions to the situation. Keep in mind relevant legislation on disciplinary measures in schools.



our
comments

These are a few of the strategies that you can use for problem-solving and creative thinking. The basic idea underlying each strategy is to search for and identify the root of the problem and come to an understanding of what the actual problem is. From there you can work to find a solution.

In order to find an amicable and implementable solution you will usually need a trade-off or compromise between parties so that a win-win situation is created. Such compromises should always have the best interest of the learners at their core.



key
points

There are times when it is difficult to reach consensus, and then problem-solving and creative-thinking skills are needed to resolve the impasse. It is important to select the most appropriate method for each particular situation or problem.

Managing financial resources

unit

2

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Managing financial resources

2.1 Introduction

This is a crucial unit in view of the fact that the financial management in many of our schools is weak. This unit will assist you to manage the financial resources of your school in a transparent and accountable way within a financially sound and effective accounting system.

Managing the financial resources of a school is not simply about finances and accounting; it is a component of management that touches on every other activity within the school as an organisational system. It is therefore necessary for you as a school leader to understand the requirements for financial systems and policies, as well as the legal framework that defines the relevant requirements.

The following are the main areas covered in this unit:

- The national and departmental legal and regulatory requirements for managing school finances
- Managing the finances of Section 21 and Non-Section 21 schools
- Compiling a school budget, including the budget policy and the budgeting process
- Financial monitoring and control, including cash management, the ordering and procurement of goods and services, payment for these goods and services, auditing and reporting, and asset management
- Guidelines on marketing your school.

Many forms, templates and examples are provided in this module to assist you in setting up the required financial management systems, or improving your existing systems.

This unit has been developed to assist school leaders to manage the financial resources of their schools in a transparent and accountable way. The unit will therefore assist you to manage your school within a financially sound and effective accounting system in terms of the legal requirements.

Policies and procedures have been outlined within various functional areas in order to enable school leaders to manage and administer school funds and assets. The guidelines provided in this unit will also enable your school to report financial matters effectively to all required levels within the school and in the Department of Education (DoE). The unit should be read together with the Department of Education's *School Financial Guidelines*.

2.2 The legal framework for managing school finances

The legal requirements governing the management of school finances are mainly described in the South African Schools Act (SASA) and the Norms and Standards for School Funding. Additional requirements are found in the Constitution, and the Public Finance Management Act (PFMA).

The Constitution of the Republic of South Africa, 1996 (RSA, 1996(a): 14) requires that school education be transformed and democratised in accordance with fundamental values and principles.

2.2.1 PFMA requirements for financial management

School finance should also be managed within the broader framework of the Public Finance Management Act (Act no 1 of 1999) as amended. The intention of the PFMA is to ensure that all statutory bodies perform their functions within their budgets and that there are no deficit balances, while overdrafts and loans are limited as far as possible.



Despite the fact that schools are not listed as public entities in the PMFA, the principles contained therein are sound and should apply to public schools, as the state will be liable to compensate claims against a public school. (Bisschoff & Mestry, 2005: 43)

The purpose of the Public Finance Management Act is to:

- Regulate financial management in the national government and provincial governments
- Ensure that all revenue, expenditure, assets and liabilities of those governments are managed efficiently and effectively
- Describe the responsibilities of persons entrusted with financial management in those governments
- Secure transparency and accountability
- Provide for matters connected therewith.

Perhaps one of the most significant implications of the PFMA for public schools is that the financial management responsibility and accountability will be delegated to School Governing Bodies (SGBs) in accordance with the SASA.

2.2.2 SASA requirements for financial management

The requirements relating to financial management are mainly described in the South African Schools Act, in Sections 37(1) and 42(b). We will be exploring these requirements in detail throughout this unit.

The following sections of the Act (i.e. the SASA) are of particular importance for school governance, as they have a direct bearing on the management of school finances.

Section 5.3(A) – Admission to public schools: No *learner* may be refused admission to a *public school* on the grounds that his/her *parent* is unable to pay or has not paid the *school fees* determined by the *governing body* under Section 39.

Section 15 – Status of public schools: Every public school is a *juristic person*, with legal capacity to perform its functions in terms of this Act.



According to Section 15 of the Act the school is a juristic person with the legal capacity to perform its functions. What does this mean? Why is it important in the context of managing school finances by School Governing Bodies?

Section 16 - Governance and professional management of public schools

Section 16 (1): Subject to this Act, the governance of every public school is vested in the governing body.

Section 16 (2): Subject to this Act, and any applicable law, the professional management of a public school must be undertaken by the principal under the authority of the Head of Department (HOD).



Section 12(1): According to the SASA all public schools are funded by the state. Section 12(1) determines that the Member of the Executive Council (MEC of the provincial legislature) must provide public schools for the education of learners out of funds appropriated for this purpose by the provincial legislature.

Section 34: This section stipulates that the state must fund public schools from public revenue on an equitable basis in order to ensure the proper exercise of the rights of learners to education and the redress of past inequalities in education provision.

2.2.3 DoE Norms and Standards for School Funding

In order to ensure consistency and equitable funding of schools the national Department of Education (DoE) adopted the document entitled, *Norms and Standards for School Funding*. The document describes the national norms and minimum standards for school funding in terms of the SASA. It also deals with the procedures to be adopted by the Provincial Education Departments (PEDs) in determining resource allocation to schools.

The norms and minimum standards deal with:

- The public funding of schools in terms of Section 35 of the SASA
- The exemption of parents who are unable to pay school fees in terms of Section 39 (4) of the SASA
- Public subsidies to independent schools in terms of Section 48(1) of the Act.

Funding will thus be allocated in respect of capital and recurrent costs in accordance with the resource targeting table and the quintile ranking of each school (DoE 2006b:28-32).

As noted previously, the policy framework was augmented at the beginning of 2007 by the declaration of no-fees schools.

The standard allocation usually refers to:

- Recurrent expenditure: i.e. learning materials, textbooks and curriculum needs (60 percent of the allocation)
- Recurrent expenditure: other recurrent expenditure, e.g. municipal and other services (12 percent of the allocation)
- Recurrent expenditure: immovable capital improvement and repairs (28 percent of the allocation).

2.2.4 Distinction between Section 21 and Section 20 schools

It is important to distinguish between the Section 21 schools and the Section 20 schools, as this has important implications for the state's contribution to school funds. Section 20 of the SASA determines that all public schools have compulsory functions. However, schools that have the capacity may apply for additional or allocated functions under Section 21 of the Act.

Section 20 schools must be managed differently from Section 21 schools. The funding norms indicate clearly that although Section 21 schools may not exercise total control over their finances, they need to do financial planning and take decisions with regard to their budget allocations.

Section 21 schools

Section 21 of the SASA and the National Norms and Standards for School Funding issued in terms of the Act stipulates that SGBs can apply to the Provincial Education Departments to be allocated responsibility for managing certain functions, if they can prove that they have the capacity to do so.

The functions that can be delegated to SGBs include the maintenance and improvement of the school's property, buildings and grounds occupied, determining the extra-mural curriculum of the school and the choice of subject options in terms of provincial curriculum policy, and the purchase of textbooks, educational materials or equipment for the schools.

Section 20 schools

Schools that are not allocated Section 21 status by the provincial department will not have the allocated funds transferred into their schools banking account. The Provincial Education Departments will manage these funds to ensure that each school implements the funding norms. They will also ensure that schools receive an allocation to cover costs and raise income for the shortfall, based on the school's annual budget.

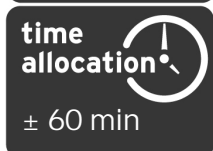
TABLE 15: THE ADVANTAGES AND THE CHALLENGES OF BECOMING A SECTION 21 SCHOOL

ADVANTAGES	CHALLENGES
<ul style="list-style-type: none"> • The school has an opportunity to resolve its own problems • In self-reliant, self-managed schools the 	<ul style="list-style-type: none"> • The Finance Committee must have members with strong financial backgrounds and expertise

<p>school community is willing to take ownership and initiative</p> <ul style="list-style-type: none"> • There is much greater financial flexibility, as state allocations are deposited directly into the school's current account • The school is in a position to negotiate with suppliers, for goods and services • The school has greater control over the quality of goods and services • Delays are a thing of the past, as the school has greater authority over suppliers and service providers 	<ul style="list-style-type: none"> • Robust financial systems are needed to cope with the management of sometimes very large budgets • Members of the SGB and School Management Team (SMT) must be self-reliant and committed to effective, ethical and accountable school governance • No economy of scale in purchase • Danger of being bullied/bribed by suppliers – single school is weak to resist
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Note that Section 20 of the Act was amended by the Education Laws Amendment Act of 1997, which introduced functions with a financial implication. The functions of a governing body to employ educators and non-educators can have a huge impact on school fees. Section 20 requires that the SGB must have a clear job description for any posts they envisage creating and be able to justify the expenditure against the school funds after taking into consideration all other priorities.



Read through the sections of the SASA to identify the requirements relating to the financial management of Section 21 and Section 20 schools. The most relevant sections are Sections 20, 21, 37, 38 and 42. Also refer to **Text 9** of your **Reader**, which describes the conditions and criteria for the allocations of functions to Section 21 schools. Then evaluate your school's current status against those requirements. If you are a Section 21 school, are you meeting all the requirements?

If yours is a Section 20 school, is it viable for you to apply for Section 21 status? If so, develop a checklist that you and your SGB can use to assess the capacity of your school to apply for the allocation of the Section 21 functions. Then evaluate your school against this checklist to identify what actions are required to enable you to meet the specified requirements.

While most of the provincial evaluation forms or checklists assess the financial and contractual capabilities of the school governing body, one should take cognisance of the specific conditions laid down by the Act.



You should be aware that if the fund allocations from the provincial DoE are not sufficient, the SGB has the responsibility to take reasonable measures to supplement the school's income not covered by the standard allocation. In accordance with Section 40(1) of the SASA: "A parent is liable to pay school fees determined in terms of Section 39 unless or to the extent that he or she has been exempted from payment in terms of the Act".



The SASA stipulates that the principal, under the authority of the Provincial HOD, must undertake the professional management of the public school. The question now arises: who is to be held accountable for the finances of the school: the principal or the SGB?

2.2.5 Access to allocated funds by Section 20 public schools

Section 20 schools may acquire goods and services only from authorised suppliers determined by the PED. They are required to complete the necessary requisition forms and submit these to the Provincial Education Department that will manage the procurement and payment of suppliers.

Section 37(1) and Section 42(b) of the Act outline the policies and procedures that will enable schools to administer school funds and report matters effectively on financial matters to all required levels within the school and Department.

Figure 7 below provides a clear picture of how the allocation and access to funds are to be managed. All the procedures depicted in this model will be discussed in detail later in this unit.

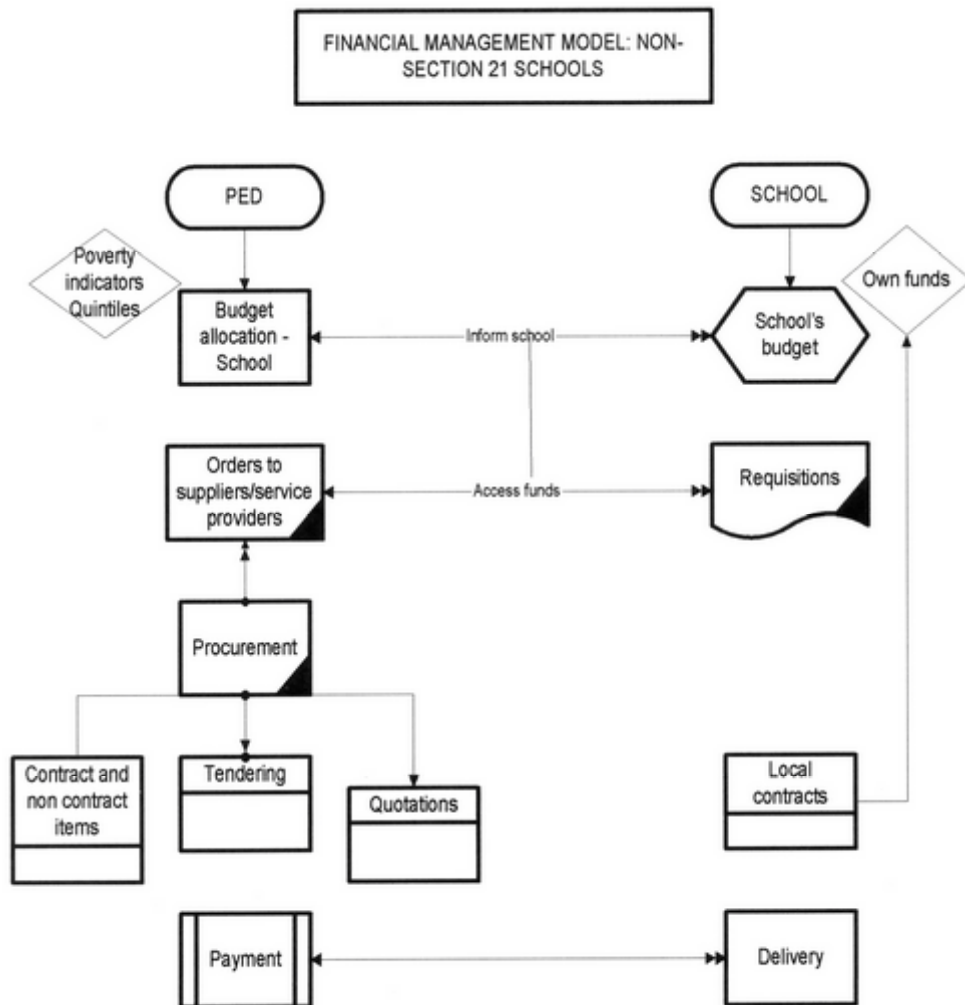


Figure 7: Financial management model for Non-Section 21 schools



The introduction of the SASA as well as provincial legislation and policy directions point South Africa firmly towards a decentralised school-based system of education management and governance. This means that substantial decision-making authority resides in schools.

However, while the policy framework attempts to transform education, the past education system has resulted in fragmentation, inequity in provisions, a crisis of legitimacy in many schools, the demise of a culture of learning and teaching as well as resistance to change. This has created enormous managerial problems at schools, leading to deterioration in the standard of education.

The implementation of a sound and effective internal control system for public schools would require the intervention, control and monitoring of financial matters by the SGB, the school principal and the Provincial Education Department in accordance with Sections 37 and 38 of the SASA.

The principal of a public school has a duty to facilitate, support and assist the SGB in the execution of all statutory functions relating to assets, liabilities, property and the financial management of the school.

2.3 Setting up financial systems for Section 20 and Section 21 schools

As indicated in the Key points above you should be aware that if the fund allocations from the provincial DoE are not sufficient, the SGB has the responsibility to take reasonable measures to supplement the school's income not covered by the standard allocation. In accordance with Section 40(1) of the SASA: "A parent is liable to pay school fees determined in terms of Section 39 unless or to the extent that he or she has been exempted from payment in terms of the Act".

The financial policy of both Section 20 and Section 21 schools can only be implemented within a sound management and administrative structure.

Note the main difference between Section 20 and Section 21 schools is in the way that income is accessed – as depicted in the figure above. Where a Section 20 school raises and use own funds for **expenditure and procurement** the same systems and procurement policy applicable to Section 21 schools apply. A systems model for school financial management that will ensure the effective management of school finances is proposed in **Text 10** of your **Reader**. The model gives an overview of the most crucial activities and related responsibilities, together with the level of financial accountability.

2.3.1 The School Finance Committee

Section 30 of the Act, allows the SGB to set up a Finance Committee and sub-committees. The term of office of committee members should not exceed one year.

The SGB should consider the following aspects prior to the appointment of Finance Committee members:

- The level of competence required for the responsibilities assigned
- The need to have adequate accountability and transparency
- The SGB Treasurer should preferably be the chairperson of the committee and will then be the designated finance controller
- At least two parent members should serve on the committee
- The SGB holds the right to remove or appoint additional members, as and when they consider it appropriate
- If the school's SGB lacks financial knowledge, a teacher with financial knowledge should be appointed or seconded to the committee.

Functioning of the Finance Committee

- The Finance Committee should act as a sub-committee of the SGB and must report directly to the SGB.
- The Committee should meet on a regular basis to discuss all relevant financial issues.
- Financial reports should meet the reporting requirements and must be approved by the Committee at each meeting (preferably on a monthly basis).

- A Finance Committee meeting cannot be convened in the absence of the following members:
 - ▶ The Principal
 - ▶ The Chairperson
 - ▶ The Treasurer.
- Minutes must be kept and circulated to all members prior to approval at a subsequent meeting.

Duties and responsibilities of the Finance Committee

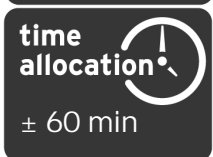
- Take responsibility for the monitoring and control of all financial matters at the school
- Develop and implement financial policies and procedures within the school
- Delegate authority to responsible persons serving on the committee to enable the discharge of responsibilities and duties
- Provide the SGB with sound financial advice relating to the generation and utilisation of school funds
- Make recommendations to the SGB on the level of school funds to be levied per learner and the levy and extent of school fund exemptions that would be appropriate and acceptable
- Take responsibility for the preparation and presentation of financial reports to the SGB.



To what extent do the members of the SMT of your school understand the financial responsibilities of the SGB, Finance Committee, Treasurer, Finance Officer and the specific role of the principal in your school? Is it necessary to train them more comprehensively on the aspects of financial policy making and management?



You are preparing for a meeting of the Finance Committee at your school. Draw up an agenda for the meeting. Give an example of the financial report that you are going to bring before the committee, with footnotes explaining the over or under expenditure on certain of the items or any other discrepancy emerging from the report.



You may use real examples from your own school. Insert these into your portfolio so that it can be used in assessing your overall competence in school leadership.

2.3.2 Financial policy

Developing a financial policy for your school

In order to ensure that the finances in public schools are effectively managed, it is therefore important to develop a sound financial policy for the school.

The financial policy should guide all the financial activities within the school. It is against the decisions, captured within the policy, that the school can determine whether financial management is appropriate or inappropriate. The financial policy should not be developed or applied in isolation, as it is part of the comprehensive policy requirement and framework of school governance (DOE: School Financial Management Guidelines).

Policy development principles

The process for developing a financial policy for your school should be underpinned by the following principles:

- Policy development is an inclusive and participative process
- Policy should reflect appropriate, specific and measurable objectives, outcomes in line with the vision, goals and values of the school
- Policy is based on realistic resource implications such as financial and human resources required to implement the policy
- Policy should be simple and transparent. Key questions to ask are: “Does it inform?” and “Is it easy to understand?” (If it is too difficult to explain, then your policy will not address the school’s needs with regard to financial practices)
- Policy development processes should include the identification of possible problems and constraints (including anxiety, fears and resistance within the school community about the policy) as well as strategies for overcoming these negative responses.

POLICY DEVELOPMENT PROCESS

The following steps are recommended for the policy development processes:

STEP 1: POLICY MAKING STRUCTURE

- The SGB can set up an ad hoc policy development committee which will be responsible for convening and coordinating the policy development process.
- The committee must develop an operational plan that details all the activities and time frames such as: collective staff and parent workshops, drafting the policy, circulation of the draft for input, and finalisation of the document.

STEP 2: POLICY CONTEXT

- Review the school’s vision and mission statements
- Scan the policy environment, taking into account national financial legislation and provincial policies
- Identify all the relevant information
- Involve as many stakeholders as possible (many heads are better than one)
- Carry out research into the financial policies followed in other schools or institutions.

STEP 3: POLICY FORMULATION

- Identify and define the real issue or problem
- Identify the cause(s) of the problem and separate them from symptoms
- Identify the problems and their causes that can be successfully tackled through the policy process, and which ones fall outside of the control of the intention of the policy
- The financial policy of the school should be in line with the vision, mission and goals of the school
- Bring the school community together to:
 - ▶ Discuss and comment on the intentions and content of the draft policy document; and
 - ▶ To make recommendations to the decision-making process on the final policy

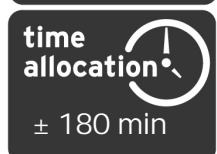
- Incorporate recommendations and finalise the financial policy. (This should be done by the SGB.)

STEP 4: POLICY IMPLEMENTATION

- Plan the implementation that includes the following:
 - ▶ Set appropriate, specific and measurable policy implementation objectives, outcomes and targets, in line with the policy vision, goals and values
 - ▶ Design detailed strategies, action plans and time frames for their achievement
 - ▶ Identify resource requirements to implement the policy, e.g. information technology support and skills
 - ▶ Identify possible problems and constraints (including anxiety and fears about the policy and resistance to it), and strategies for overcoming them
 - ▶ Allocate clear roles and responsibilities
 - ▶ Communicate the implementation of the policy to the school community. The final policy document should be submitted to the circuit office
 - ▶ Establish an effective mechanism for coordination to ensure that the various elements of policy are effectively integrated, and that the policy as a whole is well coordinated with other institutional policies.
- Mobilise support
 - ▶ It is easier to mobilise support for the policy implementation if all the relevant stakeholders have been positively involved in all the development stages of the policy formulation process
 - ▶ Design and implement an effective communication strategy so that everyone is continuously informed of the policy development progress. Ensure that stakeholders are involved in decision-making on policy intentions and content.

STEP 5: POLICY OUTCOMES

- Monitoring and evaluation
 - ▶ The SGB is responsible for policy implementation as well as monitoring and evaluation to ensure that the policy addresses the needs of the school, and to determine whether it streamlines financial management processes.
- Policy maintenance, reformulation or termination
 - ▶ If the policy is not effective in implementing all its elements, the SGB should decide which parts should be reformulated or whether the policy should be terminated and therefore re-developed.



Develop a draft financial policy that will address the needs of your school. Use the template provided in **Text 11** of your **Reader** as a basis for your financial policy. Insert this policy into your portfolio so that it can be used in assessing your overall competence in school leadership.

It is advisable that you revise or review the core module *Manage policy, planning, school development and governance* before embarking on this journey.



Resources such as people and equipment are crucial ingredients for successful implementation of management plans. However, they can only contribute towards the success of the plans if provision has made for funding in the budget.

Managing finances is therefore one of the key roles and responsibilities of the public sector manager. Yet, very few public education sector managers in public schools are appointed on the basis of their financial management skills.

This problem is further exacerbated by the government finance system, which is mainly designed to support the departmental recurrent activities, while the new projects, programmes and policies are often once-off undertakings.



The SGB should start preparing the following year's budget during the 2nd and 3rd terms of the school year. After the SGB has agreed to it, the budget should be presented to the parents at a meeting early in the 4th term.

Before such a budget is approved by the SGB, it must be presented to an Annual General Meeting (AGM) of parents convened on at least 30 days' notice, for consideration and approval by a majority of the parents present and voting.

2.4 Preparing a school budget

This section of Unit 4 deals with the preparation of a school budget that supports the implementation of school goals, policies and plans. Section 38 of the SASA, determines that the SGB must prepare a budget annually. The budget must be prepared according to the specifications of the MEC in a Provincial Gazette, which shows the estimated income and expenditure for the following year.

2.4.1 What is a budget?

A budget is a plan expressed in quantitative terms – usually a sum of money covering a specific period of time, normally one year. It can be defined as a plan for the allocation and expenditure of resources to achieve the objectives of the school over a period of one calendar year. It should closely to the school's development and improvement plans.

A budget is not a balance sheet. It is rather an instrument of planning and a statement in financial terms of the school's priorities. It is an expression of intent, written in financial terms.



Each budget should reflect the values, aims and objectives expressed in the financial policy document and should thus fit the unique character of the specific school.

Essentially the school's budget is a:

- Plan to balance income and expenditure for the next year
- Way of supplementing resources provided by the state

Process of allocating resources between various priorities to improve the quality of education

Advantages of a budget

It is clear from the previous sections that the mission and objectives of the school can only be realised through a budget. Because funds are not unlimited, the advantage of a budget is that it assists in determining priorities when a school wants to translate its objectives into action.

A budget gives the school an opportunity to ask the following critical questions:

- What does the existing infrastructure look like?
- What is the profile of the existing staff?
- What are the expectations of the parents and community for the school?
- What are the expectations of the learners for the school?
- What are the expectations and needs of the staff?
- What are the existing sources for generating funds?



All schools should have a vision for offering quality education and a mission statement that expresses the short-term achievable goals. This should be recorded in the School Development Plan (SDP). The SDP should in turn inform the budget in terms of the resources needed to achieve these goals. Reflect on your school's vision and mission statement and identify the budgetary items that are included for this purpose.

Is the alignment between the budget and your school's vision and mission statement a satisfactory alignment? If not, how will you address the problem?



If we define a budget as a financial expression of a management plan, it means that there must be a strong correlation between budgets, policy and plans.

Unfortunately, this is not the case in many public schools. Management plans such as policies, strategic plans, programmes, whole school development plans, and projects are often developed without considering financial implications. This leads to problems with implementation of these plans and often to their failure.

2.4.2 Budgeting process

Types of budgeting processes

There are several types of budgeting processes, such as zero-based budgeting, incremental budgeting, programme budgeting and performance budgeting (Bisschoff and Mestry, 2005: 45).

Incremental budgeting: This is the most common technique of preparing a budget. The process starts with the assumption that the previous levels of income and expenditure are a reasonable base for estimating the income and expenditure for the next financial year. Only minor (incremental) adjustments are necessary. It is not a suitable approach where dramatic changes occur in the status of income or expenditure e.g. the school has been declared a 'no fee' school.



Incremental budgeting pays little attention to change or economic and political trends. Therefore, it is recommended that you should not use this process for developing a budget.

Line item budgeting: Although line item budgeting is quite simplistic, it is more specific than incremental budgeting. This process considers each line item separately and estimates cost increases accordingly. The following table serves as an example of a line item budget.

TABLE 16: EXTRACTS FROM A LINE ITEM BUDGET

STATIONERY	BUDGET 2006	BUDGET 2007
Typing paper	R 10,000.00	R 11,000.00
Pencils	R 4,000.00	R 4,200.00
Ink cartridges	R 1,500	R 1,800
Total stationery	R 15,500	R 17,000



This form of budgeting is still very common in our schools and you can use it if you are managing a smaller school with limited budgeting capacity.

Programme budgeting: This is a more advanced way of budgeting and is closely linked to financial planning and resource allocation according to prioritised programmes.

TABLE 17: EXTRACTS FROM A PROGRAMME BUDGET

PROGRAMME	BUDGETED 2006	ACTUAL 2006	BUDGET 2007
Learning material	R 15,000.00	R 12 000.000	(Note 1) R 15,000.00
Typing	R 6,000.00	R 4,000.00	R 6,000.00
Text books	R 35,000.00	R 23,500.00	R 26,000.00

PROGRAMME	BUDGETED 2006	ACTUAL 2006	BUDGET 2007
Files (Portfolios – Grade 8)	R 2,000.00	R 1,500.00	R 2,000.00
Note 1: Only learning materials for Grade 8 were purchased in 2006, the rest will be purchased later.			

(Adapted from Bisshoff and Mestry, 2005: 43)

Zero-based budgeting: In zero-based budgeting previous budgets are not taken into consideration. All activities are costed from a zero base. The budget is determined on the basis of strategic plans, programmes, projects and activities.

Performance budgeting: This may be defined as a delivery-oriented financial planning and resource allocation process that relates inputs/resources to outputs and outcomes. It is part of government’s broader strategy of improving financial management by shifting the focus from a traditional input-based process to one that is based on outputs and outcomes. As indicated in Figure 8 below this type of budget is ideal for linking objectives, inputs, outputs and expectations.

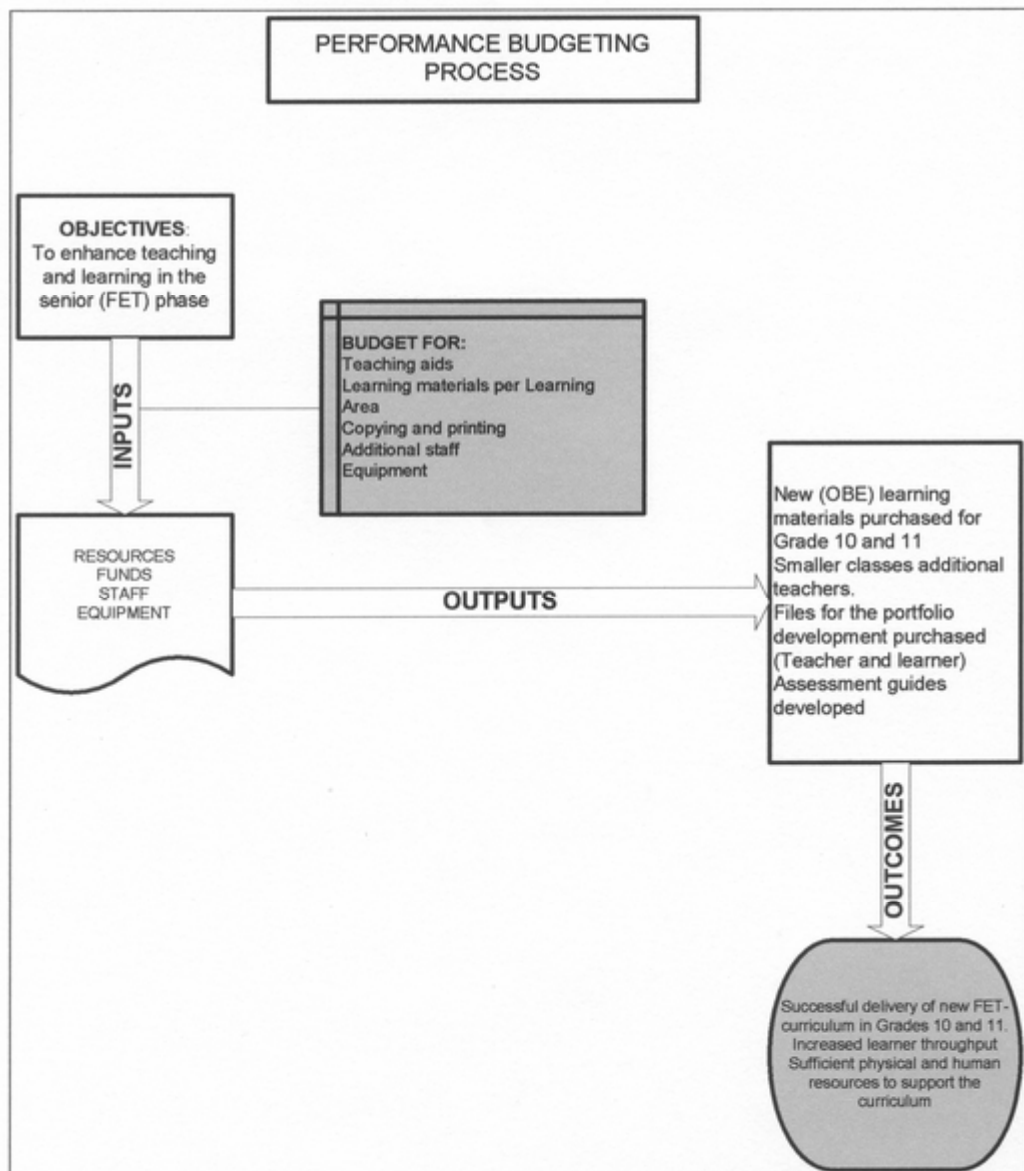
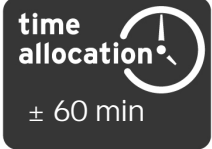
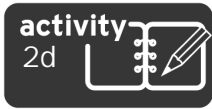


Figure 8: Performance budgeting process



Scrutinise the previous budget of your school carefully. Decide which budgeting technique best suits your school's needs. Consider whether you should convert to another type of budget. Consider how you would integrate the school budget into the school development plan, in view of the requirements of relevant sections of SASA and budgeting theories.

Draw up a submission to the SGB of your school, advising it to maintain the current procedure or to convert to another budgeting process. Explain the reasons for your recommendation. Insert this submission into your portfolio.

Elements of a budget

Any budget system consists of four key elements: policy objective, centre of financial responsibility, expenditure items and source of finance. These are described below.

Policy objective: Each year the Provincial Education Department is legally bound to inform every school of its budget allocation. This is calculated on the basis of the school's rating on the provincial poverty index as stated in the Medium Term Expenditure Framework (MTEF) and the National Norms and Standards for School Funding. The SGB will decide how it will supplement this allocation after consultation with all stakeholders. The SGB will prepare a budget to be presented at the AGM of parents.

Centre of financial responsibility: This describes the level of decision-making, i.e. sub-programme, programme, department, cabinet or parliament. An estimate of planned expenditure must be compiled for each centre of financial responsibility entrusted with the task of budget submission and accounting for expenditure against such a budget.

Expenditure items: This gives an estimate of costs against the item structure, e.g. salaries, transport and equipment.

The source of finance: The fund, vote or account must be identified and separate estimates of expenditure must therefore be drawn up for each source of finance.

2.4.3 Preparations for compiling the budget

The budget cycle

Figure 9 below indicates the main phases of the budget cycle.

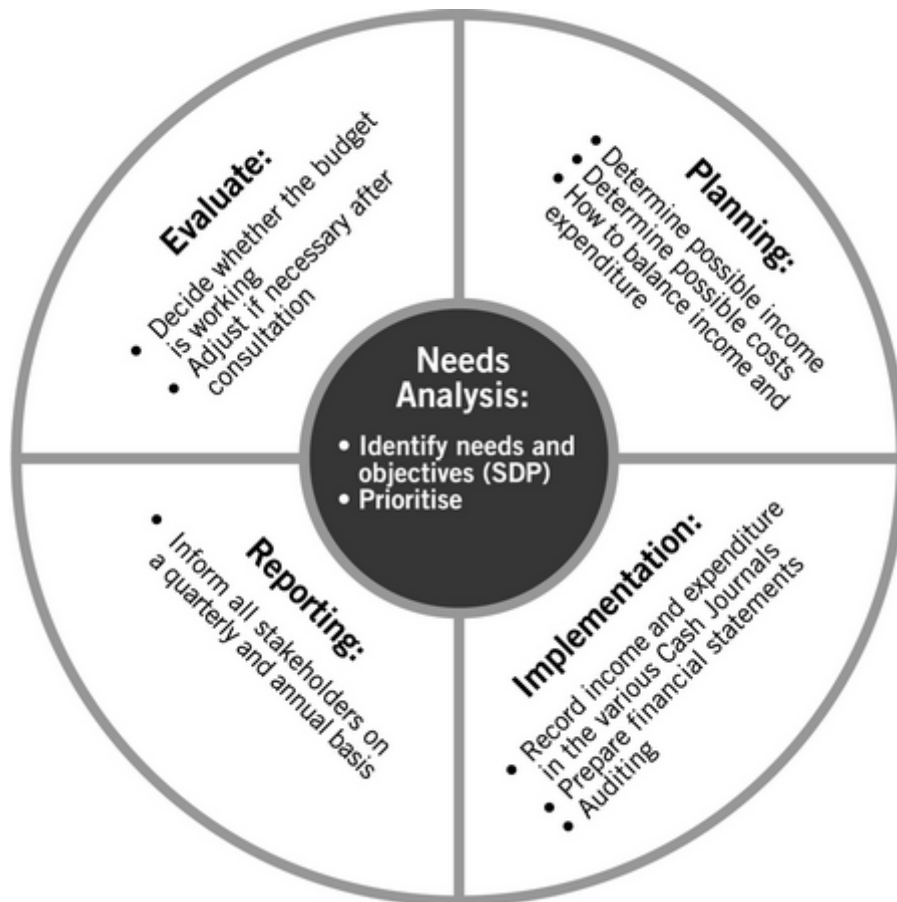


Figure 9: Phases in the budget cycle

our comments

*It is necessary to monitor the budget on a continuous basis to ensure that it is workable. Note that a budget is only a guideline and may be changed with the approval of the majority of stakeholders. The table provided in **Text 12** of your **Reader** gives an overview of the types of activities that should be completed during the different phases of the budget cycle. This table reflects the different activities to be completed in the four school terms. This table gives an indication of how the budget can be assessed on a continuous basis.*

The budget cycle illustrates the time of year to plan a specific budget activity. The Financial Cycle illustrates your implementation of monthly financial activities that take place throughout the year.

Guidelines for compiling a budget

As previously indicated the SGB appoints a Finance Committee to co-ordinate and process the budget. In order to do so effectively it is necessary to involve all the staff members that are heading specific activities in the school.

It should by now be clear that the best practice of developing a whole school budget is through a number of sub-budgets. These budgets are compiled by members of the Budgeting Committee in order to inform the whole-school budget.

The **Budget Committee** may consist of the following:

- Chairperson of the Finance Committee
- Principal
- Heads of academic departments
- Heads of extra-curricular activities (sport and culture)
- Person responsible for maintenance and physical facilities
- A member of the school administration staff.

During the third term of the school financial year, the SGB's Finance Committee should distribute the Budget Preparation Form and request input from all the departments. Each activity can be referred to as a 'cost centre'. The Budget Preparation Form should not be too complicated. An example is provided in Text 13 of your Reader, although you may customise this to suit your needs.

Analysing the Budget Preparation Forms

Once collected, the Treasurer (assisted by other members of the Finance Committee) must check all details and calculations on the Budget Preparation Forms.

The Finance Committee must examine the budget preparation forms and make decisions based on factors such as:

- The school's vision and mission
- Planned school improvements or the Whole School Development Plan
- Previous year's expenditure profile per cost centre
- Likely sources of income
- Preventing over-expenditure and shortfalls
- Existing commitments.

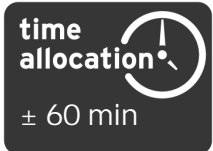
The Finance Committee must make decisions and prioritise possible expenditure of the budgeted income. The final total of all activities is an estimate of the total cost to run the school programme for the next year, that is, the annual expenditure budget.



We would like to issue three warnings here:

- *Remember that there is a difference between 'need to have' items and 'nice to have' items. If some requests are excessive or questionable, these should be referred back to the activity heads with a request to re-think their budget requests. For example, one department may be asking for new curtains, and another may think such a request is not a high priority.*
 - *Just because a senior person at the school is in charge of an activity (e.g. head of sports department) and has asked for some items, this does not mean that s/he will get it! All stakeholders should be encouraged to be realistic.*
-

- *Don't forget that it is the parents who will have to pay. You will need to justify the budget at the parents' AGM. There may be some parents who are financial experts, and who will ask difficult questions! There may be other parents who refuse to pay for some activities, e.g. they may refuse to pay for sports if they think learning is not being taken seriously.*



You are a sports coach in your school. One of the missions of the SGB is to get as many learners as possible involved in sports. The SABC has granted donor funding for your participation in the "Let's play!" campaign.

Submit a budget preparation form to the Finance Committee that will provide you with the necessary funds to take this campaign forward in the next financial cycle. Utilise your own school's Budget Preparation Form. All the role-players indicated above should collaborate in completing the form.

PS: This is a formative assessment and therefore it does not have to be included in the portfolio.

2.4.4 Compiling the budget

The process of compiling the budget is described in the following four steps:

- Step 1: Identify the sources of income
- Step 2: Identify areas of expenditure
- Step 3: Draw up the draft income and expenditure budget
- Step 4: Determine time lines for activities.

These steps are described in more detail below.

Step 1: Identify sources of income

Guidelines for provinces on how much money to allocate to each school and each learner are provided in two documents: the National Norms and Standards for School Funding and the government's Medium-Term Expenditure Framework.

The Norms and Standards document requires PEDs to provide schools with sufficient information annually, by 30th September, so that the SGBs can develop their budgets as required by Section 34 of the SASA. "This information should in time include the amount of the total allocation by the provincial department to the school, including all personnel costs, and the total allocation divided by enrolment. This is necessary so that schools become accustomed to thinking about their total costs per learner."

This will enable the SGB to know the total amount that will be provided by the PED. Those schools which are already self-managing (i.e. the Section 21 schools) will actually receive the amount in their bank accounts. Section 20 schools will be informed in writing of the amounts allocated to them. The capacity of the schools to manage their own finances will be reviewed each year and cost allocation adjusted accordingly.

Cost allocation items are categorised as follows:

- **Capital cost allocations**
 - ▶ New classrooms
 - ▶ Other constructions.
- **Recurrent cost allocations**
 - ▶ Immovable capital improvements and repairs (e.g. maintenance and cleaning)
 - ▶ Recurrent costs easily separated from other costs (supplies and services)
 - ▶ Other recurrent and minor capital equipment costs (e.g. stationery, books and equipment)
 - ▶ Hostel costs.
- **School fees**
 - ▶ School fees are charged to supplement the resources supplied by the PED. The school fees fill the gap between the needs of the school and the departmental allocation.
 - ▶ School fees must include all educational costs for an approved educational programme.
 - ▶ Learners in the same grade must be charged the same amount of school fees.
 - ▶ School fees are determined by the SGB, as approved by parents at the AGM, as part of the budgeting process.
 - ▶ The SGB determines the budget and priorities for the following year, and then considers how to raise the money to meet expenditure.

No fees schools need to apply to cover the gap between the needs of the school and the normal departmental allocation from the funds set up for this purpose.



Review the budget that was developed for your school for the previous financial year. Use the knowledge and insight you have developed through this section of Unit 4 to identify the areas for improvement in the budgeting process and the budget. Write those notes on the budget. Communicate the insights you have gained to the persons involved in compiling the budget for the coming financial year. Make sure that the issues you noted are attended to during the next budget cycle.

Insert the previous year's budget, with your notes on improvements in your portfolio, together with the notes on the new budget for the next financial year.

DONATIONS

Donations are not a regular part of a school's income, but your school could ask the school community and broader community to supplement the school fund through donations. In your request for donations, you should be specific about your school's needs, and how the donation will contribute towards the achievement of objectives. Donations can be in the form of money or material contributions, such as books, building materials, equipment and services. The South African Revenue Service exempts such donations from taxation.

FUNDRAISING

For purposes of control, fundraising must be well planned and coordinated by the Finance Committee. Remember that you are legally required to fundraise.



Consider all the potential donors for your school. What could the donors give? What information would they need from you? Think about how you would approach a donor.

Step 2: Identify areas of expenditure

The Finance Committee must consider what it spent in the current financial year, before projecting the estimated expenditure for the following year, in relation to the identified cost centres. This information is available from the Cash Payment Journal (CPJ) and the Annual Statement of Receipts and Payments.

The Finance Committee will identify all the broad areas of expenditure, such as Teaching and Learning, Administration, Sports and Culture, etc. These are likely to differ from school to school and in accordance with school type. These broad areas are called 'cost centres' and the budget should be structured along the lines of categories or 'cost centres'. A template of an Expenditure Budget is provided in **Text 14** in your **Reader**.

To assist you further in compiling your school's budget, a template for the Budget Summary is provided in **Text 15** of your **Reader**. It lists the 19 main categories of the Expenditure Budget, and also shows the total expenditure for the past year and the next year.

Step 3: Draw up the draft Income and Expenditure Budget

Once the Expenditure Budget has been drafted, it must be balanced to the income in order to ensure that the expected expenditure approved is not more than the expected income. This will be quite easy if you have already summarised the expenditure totals in accordance with the Budget Summary indicated above. An example of an Income and Expenditure Budget is provided in **Text 16** in your **Reader**.

Step 4: Determine time lines for activities (Cash-flow projection)

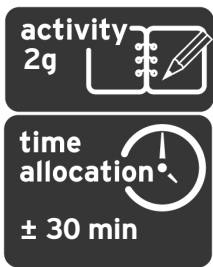
Each activity head must also be requested to indicate the months in which the activities will take place. This information will assist the Finance Committee in drawing up a Cash Flow Expenditure Spreadsheet for the whole year.

A cash flow projection is an important part of the budgeting process. It involves the projection of each expenditure item on a monthly basis for an entire financial year.



Some items, such as administrative expenditure are regular monthly expenses and have almost equal distribution throughout the year (except December). However, some items such as equipment purchase are once-off expenditures. This means that monthly expenditure varies depending on when those once-off payments are made.

*Cash flow projection enables managers to plan monthly expenditure and to align it with the school's activities. It also allows for budget monitoring and control, as the projected monthly budget can be easily compared with the actual expenditure. An example of a Cash Flow Expenditure Budget is provided in **Text 17** in your **Reader**. Do remember you indicate expenditure on an item in the month in which you receive and pay the invoice. This will often be a month or two later than you ordered the item.*



As Chairperson of the Finance Committee you need to ensure that the cash flow of the school is constantly healthy. Take your school's current budget and plot it on a cash flow spread sheet. If a spread sheet has already been drawn up, evaluate and adjust if necessary.

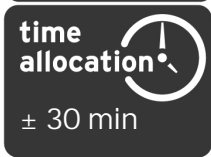
2.4.5 Linking SDP's to the budget

As you now know, a budget is expressed in quantitative terms, usually about how money will be spent in a set period of time. This definition emphasises the focus on planning and the need to relate expenditure to the achievement of objectives, also those objectives relating to specific school development plans, rather than the more familiar instrumental function of authorisation and control of expenditure. In this sense a budget is more than a balance sheet or a list of projected figures. It is a planning instrument, a decision model to assist the management of the school during the financial year and beyond. However, linking budgets with SDP's is often a very difficult exercise, mainly because of the following:

- **Time scales:** SDP' are usually drawn up to meet short, medium and long term objectives, while a budget spans the period of the financial year only. A way around this problem is to link only the short term development plans and objectives to the budget. In this context short term spans 1 year, medium term, 2 – 4 years and long term 4 – 5 years.
- **Integration of the different elements of whole school development:** SDP's are likely to combine different elements, such as the allocation of resources, curriculum improvement, capital projects, staggered across time lines, but also overlapping. This requires careful planning when compiling the budget to ensure that funds will be available in accordance with payment schedules.
- **Maintenance versus development:** School development plans are often link to expansion, which in turn impacts on the budget. So unless the budget can be escalated in real terms to meet the demands imposed by the envisaged school development plans, it would require additional funding, which could put severe constraints on the normal operational budget. This would also require schools to establish priorities in order to balance income and expenditure in a meaningful way.



Compare the recent SDP of your school with your current budget, Could you link all the areas?



What are the short, medium and long term implications?

2.5 Financial monitoring and control

We will now move to the fourth main section of Unit 4 and look at prescriptions and guidelines for financial monitoring (e.g. regularly checking planned against actual income and expenditure) and control (e.g. ensuring that correct procedures are being followed and going through the necessary steps to take corrective action when required). This will be followed by the last section, i.e. marketing your school.

2.5.1 The importance of financial monitoring and control

Financial monitoring and control is aimed at ensuring that the finances are available for the planned projects, that money is appropriately used for the intended purposes, and that the income and expenditure is effectively managed. Control measures help to prevent as well as to detect and to correct errors that could effect the successful achievement of results.

Financial control will always be an essential part of the effective management of a school. Financial control procedures should cover the following areas:

- Determination of financial procedures
- Collection of money
- Expenditure of money
- Recording financial transactions
- Financial reporting
- Accountability.



Financial control within the context of ubuntu and collective accountability implies the sharing of information among all stakeholders, as well as need for transparency. This means that:

- *All role players must be informed about the budget and internal financial control measures*
- *Decision-making should be a collective process*
- *Co-operative school management should contribute towards collective stewardship by all stakeholders*
- *Transparency and collective accountability should contribute towards trusting and co-operative relationships amongst all stakeholders, as opposed to a school climate of mistrust, division and exclusion.*



It is your responsibility as school leader to establish a new type of managerial relationship that is characterised by a high degree of transparency, consultation, trust, collaboration and consensus-seeking.

2.5.2 Monitoring and control of school funding

As previously indicated, the Norms and Standards for School Funding came into effect from January 2000, and was intended to improve the financial management of schools. The main objectives promoted through this document are:

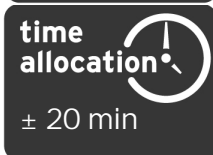
- Effecting equity, redress, and quality
- Targeting the needs of the poorest communities and the physical conditions of the schools
- Improving the quality of financial management in schools.

Responsibilities for managing school funding

Chapter 4 of the SASA, 'Funding of Public Schools', outlines key responsibilities of various stakeholders involved in school financial management, norms and standards, and process for funding of public schools.



Read through Chapter 4 of the SASA to identify the main areas of responsibility. Then reflect on the way in which these responsibilities are carried out by the various role players in your school. Consider the following questions: Are all the role players taking responsibilities for the relevant areas of financial management? What are the main gaps that need to be covered? What actions will you need to take to address the gaps you identified?



The key responsibilities of the main role players relating to financial management are summarised below:

- It is the responsibility of **the State** to fund public schools from public revenue on an equitable basis:
 - This is to ensure the proper exercise of the rights of learners to education and the redress of past inequalities in education provision.
 - The State must, on an annual basis, provide sufficient information to public schools regarding the funding (referred to in Sub-section 1 of Chapter 4 of the SAQA) to enable public schools to prepare for their budget for the next financial year.
- The **SGB** must take all reasonable measures within its means to supplement the resources supplied by the State in order to improve the quality of education provided by the school.
 - The SGB of a public school must open and maintain a banking account.
 - A SGB must prepare a budget each year, present it and approve it at a general meeting of parents.
 - The SGB must establish a school fund and administer it in accordance with directions issued by the Provincial HOD.

-
- All money received by a public school, including school fees and voluntary contributions, must be paid into a school fund.
 - The **school fund** and any other assets of the public school must only be used for:
 - Educational purposes, at or in connection with the school
 - Educational purposes, at or in connection with another public school, by agreement with such other public school and the consent of the Provincial HOD
 - The performance of the function of the SGB
 - Another educational purpose agreed between the SGB and the Provincial HOD.
 - **School fees** may be determined and charged only if a resolution has been adopted by a quorum of parents in an AGM:
 - Equitable criteria should be defined for total, partial, or conditional exemption of school fee payment.
 - Parents are liable for payment of school fees and the SGB may enforce the payment of school fees.
 - The SGB of a public school must keep **records of funds** received and spent by the school and of its assets, liabilities, and financial transactions.
 - Financial statements should be drawn up no later than three months after the end of each financial year (which for a school is January to December).
 - The SGB must appoint an **accountant and auditor** to audit the records and statements of the school.

The audited report must be submitted to the Provincial HOD within six months after the end of each financial year (31 December)

School fees and exemptions of payment

The following are the official requirements relating to school fees and exemption of payment:

- Section 36 of the SASA imposes a responsibility on schools to raise additional funds in order to augment what the State provides, but schools are not required to charge compulsory school fees.
- The Minister of Education has regulated equitable criteria and procedures for the exemption of parents who are unable to pay fees.
- The Norms relating to exemption are designed to assist parent bodies to make appropriate and equitable decisions about the fee level and the exemption thresholds.
- SGBs must call a general meeting of parents at which the budget is proposed. In terms of Section 39(2) of SASA, SGBs must notify all parents in writing about these criteria in sufficient time for the AGM at which the budget will be considered.
- The majority of parents attending that meeting have to approve the budget. If parents agree to the payment of school fees, the amount to be paid must be

agreed to by the parents at that meeting. In the same meeting parents must decide on the scale of fee payment to be applied for parents who qualify for partial exemption.

There are four types of exemptions:

- Total exemption
- Partial exemption
- Conditional exemption
- No exemption (DoE 2006a:7-9).

The extent of partial exemption depends on decisions made during the parents' meeting.

The DoE has devised a table/formula to guide schools in determining the equitable level of partial exemption. This table is included as **Text 18** in your **Reader**, together with extracts from the SASA that relate specifically to exemptions.

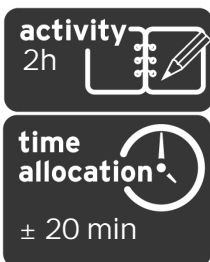


The SASA defines a parent as: (a) the parent or guardian of a learner; (b) the person legally entitled to custody of a learner; or (c) the person who undertakes to fulfil the obligations of a person referred to in (a) and (b) towards the learner's education at school.

Assistance must be provided to parents who wish to apply for exemption or wish to lodge an appeal in respect of the payment of school fees.

A parent who, for whatever reason, needs assistance to apply for exemption or lodge an appeal as contemplated in regulation 7, may request an educator or any other person to assist him or her in making the application or appeal.

If no assistance is given to the parent after he or she has requested it as contemplated above, the principal must assist the parent in such application or appeal.



Use the information listed below to calculate the amount of school fees payable per parent for the coming financial year:

- The current school fees in your school
- The number of learners in the school
- The percentage increase planned for school fees
- The estimated expenditure for the year
- The estimated income, excluding school fees
- The percentage of parents that you anticipate will be fully exempted from paying school fees
- The percentage of parents you anticipate will not pay school fees.

2.5.3 Cash management and control

As you might be aware by now, school funds must be carefully controlled with clear procedures for the collection and payment of monies. In the following sections we will discuss budgetary control, the recording and management of cash, as well as the auditing and reporting of school finances.



However, before we do so, we should have a clear understanding of the requirements for financial administration and bookkeeping. The summary below is adapted from Matthew Goniwe School of Leadership and Governance (2005).

- The **financial year** of a public school is from 1 January to 31 December.
- **Bank account:** The SGB must open a cheque account in the name of the school at the nearest registered commercial bank for all monies under its control, including trust funds.
 - The only address which may be used for such a bank account is that of the school
 - The signatories of a cheque account opened in terms of Section 37 of the Act must be the chairperson of the school governing body, principal and the treasurer
 - The SGB may not, under any circumstances, overdraw its cheque account.
- **Deposits:** The principal must, on a daily basis, bring into account all monies received on behalf of the school.
 - The principal should, as far as possible, deposit all the monies on the day of receipt or at the earliest opportunity, but no later than five days of receipt thereof
 - This money must be paid into the account of the school with the registered commercial bank concerned
 - **Cash cheques** may NOT be issued.
- **Cash book:** The Treasurer must ensure that the bookkeeper maintains a proper cash book, either manually or electronically.
 - This should, as far as possible, be a three-column, single-page cash book
 - The cash book should record all monies received, receipt numbers, deposits, payments and cheque numbers
 - All transactions must be recorded in the cashbook and reconciled on a monthly basis
- **Receipts** must be issued immediately for all monies received, from whatever source and invoices must be obtained for all monies expended.
 - The Treasurer must only use one official receipt book at any given time and it must have on it the school name or be stamped with the school stamp, or preferably both
 - The receipt book must be numbered sequentially

- Receipts must be made out in their serial number order and no alteration to the name and amount in words and figures is permissible, unless initialled
 - Receipts must be made out in triplicate
 - The school stamp must be used on all receipts
 - A computerised receipt is acceptable only in the event of it containing the name of the school and the logo
 - If a mistake is made on a receipt, the original must be cancelled and kept in the receipt book for inspection and audit purposes
 - Particulars of receipts issued by the bookkeeper must be entered in the cash book on a daily basis
 - The principal must record the serial numbers of all receipt books purchased and issued in a distribution register.
- All **payments** must be made only on submission of invoices which reflect the name of the person or firm to whom payment is to be made, the nature and date of the claim of services rendered and the amount due; only original invoice(s) should be processed. All payments must be against budgeted expenditure.
 - A **contract register** must be kept at all times and be used for payment of lease agreements.
 - **Debts incurred** contrary to the provision of any national or provincial law, must not be charged against the school fund.
 - SGB members who, according to the minutes, voted in favour of the resolution to incur such debts must be jointly and severally liable for these debts
 - The DoE cannot be held liable for any debt incurred by the SGB contrary to the provisions of any national or provincial law.
 - No **personal loans** may be made from the school fund under any circumstances, or for any reason.
 - The SGB may grant approval for the principal/Finance Officer to keep a **petty cash account**, in an amount determined by the SGB in line with provincial regulations. The amount must be reviewed annually, according to an imprest account system.

Referring to your **Reader** you will find: **Text 19**, an example of a cheque; **Text 20**, an example of a petty cash voucher; and **Text 21**, an example of a school receipt. You should also consult the DoE manual *School Financial Guidelines*.

CASH FLOW BUDGET

The cash flow budget is the tool used for effective management of cash resources in the school. Cash resources include notes, cheques, postal orders and available funds in the bank account. The way these funds are committed over the short medium and long term will have a direct impact on the solvency of the school.

Cash received

Monies are received in various ways by schools. They can be paid to the Finance Officer, deposited into the bank account or received via mail in the form of cash, cheques or postal orders.

Monies received through the mail must be opened by at least two people and the amount entered in a Remittance Register. The following is an example of a Remittance Register:

TABLE 18: EXAMPLE OF A REMITTANCE REGISTER

DATE	ORDINARY/ REGISTERED MAIL	RECEIVED FROM	AMOUNT R C	RECEIPT NO.	PURPOSE	SIGNATURE	SIGNATURE

As you do not know whether a letter contains a cheque or money, the school's mail should always be opened in the presence of two designated people, and recorded. The school may also receive funds that are directly deposited into the bank account, such as:

- Ordinary payments of school fees, donations or other charges
- Payments for services provided by the school (e.g. rent for the use of the school hall)
- Allocations in terms of the Norms and Standards (only Section 21 schools)
- Interest on the current account.



In order to maintain strict control over the collection of funds, it is better to allocate a specific time and place for the receipt of funds from the learners. At least two members of the Finance Committee (educators or PS-staff) should be present to monitor the payment of school funds (not the Treasurer or Bookkeeper/Accountant).

At the end of each collection session the total funds must be reconciled to (checked against) the total receipts issued and the cash receipt register. Each member should sign the register after reconciliation.

Parents and donors must be made aware of the importance of providing the correct reference on the deposit slip in order to reduce the chances of confusion about the origin and purpose of payments.

Parents and learners must be informed about the importance of requesting a receipt when making a payment in order to prevent fraud, misappropriation of funds or disputes.

Receipt books

You should ensure that your school has its own receipt book. Each receipt should contain the following information:

- Name and address of the school

- Name, grade and class of the learner
- Date of receipt
- Receipt number (pre-printed receipt books should be used and all receipt numbers must be sequential)
- Amount received
- Method of payment
- Purpose of receipt (e.g. school fees, donation, etc)
- Signature of person issuing the receipt.

An example of a receipt is included as **Text 22** in the **Reader**.

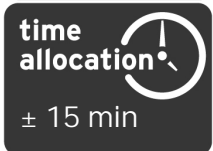


You should contact a local stationer or other service provider to produce pre-printed receipt books with the school name and sequence numbers on it. If your school cannot afford this, you could purchase receipt books from any stationer or general dealer. In that case, each receipt must be stamped with the school stamp and given a sequence number.



Do a physical check of your school's receipt books. Pay particular attention to the following:

- Sequence numbers of unutilised books
- Sequence numbers of utilised books
- The secure storage of the receipt books.



Check the copies of the last ten receipts issued:

- Are the sequence numbers in order?
- Do they contain all the information indicated above?
- Are they all duly signed?

Recording money received

Cash transactions must be recorded in 'books of entry' or 'journals'. The purpose is to record each transaction into a specific daily diary or journal. At the end of the month the totals must be transferred to the respective ledger accounts.

The first two journals correspond to the bank account:

- The Cash Receipt Journal (CRJ) corresponds with the debit side of the bank account and accommodates all receipts received in cash.
- The second journal is the Cash Payments Journal (CPJ), which corresponds with the credit side of the bank account and accommodate all cash payments.

To draw up the CRJ you need the information from the receipt book, deposit book and bank statements.

To facilitate the control of cash in a school, all cash received during a day should be deposited in the bank early the next day. In rural areas, far from a bank, this will not be possible. If so, all monies must be kept in a safe, located in a secure place in the school.



For the control of petty cash your school should make use of an imprest account system. This simply means that the Finance Officer will receive an initial amount or 'float' of for example R 1,000.00 for the month. During the month the Finance Officer may spend R 1,000.00 on petty cash items. The Treasurer of the Finance Committee will reimburse the finance in order to restore the amount to R 1,000.00 again.

Bank deposits

Schools fees received should be deposited into the school's bank account on a daily basis. Where this is not possible, as in some rural areas, the monies should be deposited once a week. Direct deposits should only be recorded in the register after a stamped copy of the deposit slip has been received.



Deposit slips must indicate the nature of funds deposited and must be attached to the register as proof. Each bank has its own pre-printed deposit slip. The following information will generally appear on a deposit slip:

- *Name of the school*
- *Date and year (written out)*
- *Account number (as printed on the cheque)*
- *Branch code (as printed on the cheque)*
- *Reference: Name of person that makes the deposit*
- *Money deposited, i.e. cheques, notes or coins*

The process of recording money received by the school is depicted in **Text 23** in the **Reader**.

Tuck shop sales

A committee must be established to control and monitor income and expenditure for tuck shop sales. The procedures for the collection of school fees must also be applied to money collected through tuck shop sales.

When it is necessary to buy stock for the tuck shop, a member of the Finance Committee must be assigned the responsibility unless the tuck shop is outsourced to a parent or community member. The Cash Controller and the buyer must sign the cash reconciliation as evidence of cash paid and received. Another member must be assigned the duty of stock control. Such a person must maintain a record of all items purchased.

The tuck shop stock register must reflect the following information:

- Description of the item
- The quantity purchased
- The cost price per item
- The selling price per item
- The quantity sold for the month
- The quantity on hand
- Actual amount sold
- Signatures of stock controller and buyer.

At the end of each session one member of the Finance Committee together with the person on duty in the tuck shop must record the amount, based on the cash at hand, after deducting the cash float at the start of the session.

The Cash Receipt Register is like a daily diary of monies received and reflects the debit side of the bank account.

Cash reconciliation

The Cash Controller must prepare a cash reconciliation of supplementary funds, including the tuck shop, on a weekly basis (using a prescribed form). The reconciliation must contain the following information:

- Opening cash on hand (per previous reconciliation)
- Sales (per sales record)
- Cash payments (with all invoices and slips attached)
- Amount checked and recorded by the Cash Controller (handed over to the Treasurer for banking)
- Closing cash on hand.

The Treasurer and Cash Controller must sign the reconciliation and agree the cash on hand to the closing balance of cash per reconciliation.

The Treasurer must confirm that adequate sales records and supporting invoices for cash purchases are attached for reconciliation. Stock counts must be done on a monthly basis.

2.2.2 Fundraising

Schools traditionally generates income through occasional activities, often in conjunction with parent communities. Such events not only raise funds but also encourage parents to and the local community to be involved with the school, celebrate it and gain an understanding of its plans and achievements.

Challenges: although parents wants the best education for their children they are often reluctant or not in a position to offer any contribution to the school The implication is that the school principal will have to identify other means of income. The secret to the success of fundraising is often related to its originality and frequency. The success of one fundraising project will influence the manner and enthusiasm with which the community will become involved in such activities. It is thus important that teachers, learners and parents should be harnessed in teams and accept ownership and responsibility for their projects

Establishing a fundraising committee:

Pivotal to the success of your fundraising efforts would be those who drives the process. A committee must be established to control and monitor income and expenditure relating to fundraising. The members of this committee must have a vested interest in the school and nominations are usually received from the SGB, educators and parents. Nominations should be accompanied by a brief motivation and upon acceptance the person should be committed for at least one year.

The SGB call for nominations at a specific date and it is communicated to all stakeholders by means of an official letter from the school

Appointment: Be reminded that this committee will be an ad-hoc committee of the SGB and as such is appointed by the SGB and also reports to the SGB. It is clear that each of the members are clear on what membership of the FC entails, prior to acceptance of appointment.

Allocating portfolio's: Before allocating portfolio's to individual members of the Fundraising Committee, it is important that you know what their skills and abilities are. Embark on a fun exercise, let them list their own strong and weak points! Allocate portfolios in accordance with members' experience and interests. The following portfolios are recommended for a fundraising committee (FC):

- Chairperson
- Secretary
- Treasurer
- Advertising
- Project manager
- Additional member(s).

Fundraising projects: The following are examples of typical fundraising projects that are easy for schools to manage:

- Dance/entertainment evenings
- Cultural days/evenings
- Sports days
- Spelling/Essay/Chess competitions
- Mr and Miss (Schools name) competitions
- Learner concerts/talent evenings
- Art exhibitions
- Car- boot sales, and then on much grander scale:
 - ▶ Debutante's Ball
 - ▶ Game festival
 - ▶ Soccer/Rugby legends evening
 - ▶ Sponsored Cycle Race/Marathon/Read-a-thon
 - ▶ Entrepreneurial activities during a school entrepreneurial day – children also learn business skills (selling food/homemade crafts and arts/rendering a service like photography etc

Such activities often have considerable educational value for learners, including the development of social skills, business skills and creative thinking skills.

Sponsorships

Persuading an external resource such as a company to sponsor the school or a building (e.g. Hotel School or Computer room) or a specific activities in the school can be extremely rewarding, although as indicated in Unit 1, one should always consider the moral implications and the appropriateness of such a sponsorship. The advantages are that there is a guaranteed income over a period of time and the school receives exposure through the sponsor's activities.

Managing additional income generation (Fundraising)

The procedures for the collection of school fees must also be applied to money collected through fundraising. It is also important that generating additional funds is part of the strategic plans of the school and are linked to the SDP.

The school principal and SGB must develop a policy for fundraising which are included in the School Policy. Such a policy must also be clear on the administration, and control of these funds.

Developing a fundraising policy

At this stage you should be well aware that any policy has to reflect the school's vision and mission statements. You need to align your fundraising policy with that of the school. This should be easy if you have already linked it to the SDP.

- The policy should make provision for:
- The vision and mission statements, as aligned to that of the school
- The linkage to the SDP
- The Fundraising Strategy
- Meetings and procedures
- Monitoring procedures, such as :
 - ▶ circulation of minutes and records
 - ▶ reporting to the SGB
 - ▶ feedback to the members and communication with the broader community
 - ▶ financial monitoring, and
 - ▶ financial transparency

At the end of each fundraising event one member of the Finance Committee, together with the person responsible for ticket sales/collection of money at the fundraising event must record the amounts raised. A system should be in place to regulate this process. The handling, monitoring and financial control measures for ticket sales is a good example of this.

Ticket sales

A register must be kept for all ticket sales. The register should contain the following fields in order to ensure effective control over all ticket sales:

- Date of issue to teacher/learner/parent
- Name of teacher/learner/parent
- Signature of teacher/learner
- Ticket number sequence
- Number of tickets sold/unsold
- Date and amount of cash received
- Receipt number issued to teacher/learner/parent for cash received
- Signature of teacher/learner/parent
- Signature of Finance Committee member.

The normal procedures and checks are applicable in managing cash received.

A Fundraising strategy

A strategic approach to fundraising will ensure maximum participation and success. One of the tasks of the FC would be to submit a fundraising strategy. The following have to be in place and serve as inputs for setting up a strategy:

- The fundraising policy
- The SDP
- The priority list
- The resource list.

Remember, this strategy should not be a complex document. It needs to address the following issues and not more:

- The scope and expected outcome - what do we seek to achieve?
- The identified projects and suggested timelines
- The allocation of physical and human resources
- Available financial resources as an initial investment
- Marketing and advertisement strategy, communications map. What is the target market?
- Draft budget and possible allocation of funds
- Evaluation and feedback on each project or activity:
 - ▶ Did the project justify the input?
 - ▶ How effective was the FC in their planning and coordination of the project?
 - ▶ Does the profit justify the input in terms of time and resources?
 - ▶ What was the level of participation from learners, educators, parents and the broader community?
 - ▶ Did we reach the target market effectively?
 - ▶ What lessons can we learn?

2.5.5 Ordering and procurement of goods and services

A school can face serious liquidity problems if debtor control is not effective. Therefore, you need to ensure that there is a proper requisitioning system in your school so that funds are spent as allocated. For example, if the funds are requisitioned for maintenance, and the requisition approved, the funds must be committed under maintenance.

The flow chart in **Text 24** in the **Reader** gives an overview of the process of obtaining funds for the procurement of goods and services, through to the delivery of goods/services and payment.

Procurement Committee

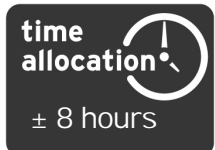
Many schools have a separate Procurement Committee that functions as a sub-committee of the SGB. Other schools see this as a function of the Finance Committee. However you do this in your school, you need to ensure that your school has a procurement policy. It could be sub-section of your school's Financial Policy.

The Procurement Policy should deal with the following aspects:

- Membership: for example, one member of the SGB could be the chairperson, supported by two elected teachers and the Administrator/Finance Officer
- Meetings: when and where these should take place and who should organise the meetings
- Financial records: financial procedures and controls to be applied (to be read with the school's Financial Policy)
- Budgetary controls and dealing with variances
- Routine expenditure: procedure and lists of approved/preferred suppliers and service providers
- Non-routine expenditure: procedures for calling for tenders and quotations, including capital expenditure
- Declaration of interest and recusal: all members of the committee and SGB should declare their interests and be prepared to recuse (withdraw) themselves from any procurement or tender related to meeting which is discussing a contract, process or company in which they have an interest.



If your school has a Procurement Committee and Policy, review these in the light of the points raised above. Identify ways in which these can function more effectively.



If your school does not have such a committee and/or policy, identify the steps you will have to take to get these off the ground. Indicate how you will convince the SGB and the Finance Committee that these are indeed necessary. We suggest that you contact another school where these are in place to get some ideas to use as a basis for establishing ones for your own school.

Procurement

Procurement of goods and services can be done in different ways, depending on the type of item that is being requisitioned. The Provincial Education Departments should have a section dedicated to procurement of goods and services for Section 20 schools, or schools can be granted the option to procure some goods directly from suppliers.

Contracts and non-contract items

The PEDs can enter into contracts with various suppliers on behalf of schools and provide schools with lists of contracted suppliers, together with catalogues received from the suppliers.

Certain items cannot be bought on contract, e.g. groceries for Home Economics. These should be bought from local suppliers.

In the case of hostels it is good practice to contract local suppliers for the daily delivery of consumer goods such as bread, milk, meat, etc. With the authorisation of the SGB, accounts can be opened with such local suppliers.

Bulk buying

Bulk-buying is more appropriate for centralised procurement, e.g. PEDs have a central warehouse and purchase text books for delivery to all the Section 20

schools in the province. Schools need to consider their cash-flow situation and storage facilities available, before purchasing goods in bulk.

Tendering

This method can be applied in both centralised and devolved procurement systems. The procedures for tendering must comply with the following requirements:

- The tendering procedures must be efficient and effective
- Orders can only be submitted after formal approval of the tender
- The Finance Committee/Tender Committee should ensure that the order is placed with the contracted supplier.

Commitment register

In order for your school to access funds on the Financial Management System of the PED, the following procedures should be adhered to:

- The school must commit the funds by completing a requisition form and forwarding it to the department
- The budgeting officer or dedicated official will deduct the committed funds from the school's allocated budget and place the order.



It is important to remember that funds are committed when the order is placed, even though the ordered goods may not have been received. Committed funds can only become available again if the order is cancelled.

Requisitioning

Requests for the acquisition of goods or services must only be accepted from the principal, members of the SMT (HODs) or the Finance Committee.

The HODs/Finance Committee must in turn co-ordinate and approve all requests for goods and services received from teachers or committee members. Goods and services of a general nature that have not been requested by teachers or committee members must be approved by the principal.

The principal, HODs and Finance Committee must consider the following prior to the approval of a requisition:

- Existing levels of stock available
- The need to acquire the goods or services based on the priorities and objectives of the department/committee
- The availability of adequate funds in the approved budget for the specific activity.

The following process must be followed for requisitioning:

- All requests must be processed by means of standard pre-printed, pre-numbered Purchase Requisition Forms, which should be the prescribed form.
- The items requisitioned should be selected from a catalogue provided. Where the items are not provided in the catalogue three quotations should be requested.

- The requisition form must state: the item code on the catalogue, the account number for the item, the exact quantity ordered, and the cost centre number (i.e. the number that identifies the school).
- The requisition forms should be numbered in sequence so that the school is able to keep track of the number of requisitions completed each month.
- The requisition form number should be quoted on the order form when an order is placed with a supplier.

Ordering

The Treasurer of the Finance Committee must co-ordinate requests early in the school financial year on the basis of the planning and budgeted activities. The budgeting activities provide information on the nature of goods and services required, quantities required and expected dates of delivery.

The following information should be included in order forms:

- Date of the order
- Description of goods
- Quantity
- Unit price (as quoted or fixed)
- Amount of VAT (if applicable)
- Total amount
- Delivery instructions.

See the example of an order form that is attached as **Text 25** in the **Reader**.

Orders should be completed in triplicate. The top copy is for the supplier, the second copy must be retained by the school, and the third copy is for the department that put in the order (in the case of Section 20 schools).

Orders exceeding the amounts determined by the Department/SGB must be done on a quotation basis and approved by the SGB. The SGB must obtain approval from the Provincial education Department before the erection of buildings or improvement to buildings. This is to prevent any non-compliance with provincial policy in respect of capital cost allocation as defined in the national Norms and Standards for School Funding.



It is important that the Finance Committee should prepare a schedule containing the following information:

- Nature of goods and services required (e.g. text books and learning materials)
- Expected dates of delivery
- Quantities required
- Supplier, or list of suppliers who could provide quotations
- Other relevant information.

Considering the storage space available at schools, a plan must be devised to benefit from discounts offered, e.g. for bulk-buying. Such a plan must be approved by the SGB in accordance with the authorisation levels applicable to procurement, tenders, quotations, etc. You could see if other schools in your

cluster are ordering the same item and then buy together to get a bigger discount.

Receiving of goods

In the case of decentralised systems in Section 20 schools, goods are usually delivered to the central stores and distributed by the Provincial Education Departments. It is however, more cost-effective if Provincial Education Departments can arrange for suppliers to deliver directly to schools.

The following procedures must be adhered to when receiving goods delivered directly to your school:

- A member of the Finance Committee and the requisitioning body must receive the goods
- The persons receiving the goods must ensure that the consignment matches the delivery note, which in turn must be matched with the requisition and purchase order
- They must make sure that the quantity ordered, the description of the goods and the price are matched. The goods must not be accepted, nor the delivery note signed, if there are any discrepancies with regard to these aspects. This means checking everything received. Do not assume because the book at the top of a box is correct, all the books in the box will be the same. Check them all!
- A prescribed form, the Goods Received Voucher must be signed as evidence that the goods were received. The Goods Received Voucher must be completed in triplicate.
- One copy of the Goods Received Voucher must be submitted to the person in charge of stocks and assets, one to the accountant/bookkeeper, and one must be retained in the file
- The bookkeeper must file the Goods Received Voucher together with the purchase order.

2.5.6 Payments

Procedures for payment are determined by the Provincial Education Departments for Section 20 schools. This is based on the quarterly or annual operating budget, as approved by the Provincial Education Department.

All payments should preferably be made by cheque. However, small disbursements, such as postage, cannot be paid by cheque. It is therefore advisable to keep a small amount of cash in the office for the payment of petty expenses.



Always take note of and follow the DoE rules and regulations regarding the procedure for expending funds.

All your expenditure should be paid through the school's current bank account (cheque account). This ensures proper control over money because a cheque may be stopped if something irregular has occurred.

The procedures regarding invoices from the suppliers, cheque requisition and issuing of cheques are described below.

Invoice from the supplier

Before any payments can be processed, the school must receive an invoice stating what services were rendered or what purchase was made. The invoice must be checked against the Delivery Note. If it is found to be in order, it must be signed by a member of the Finance Committee. [See the example in Text 26 in the Reader.]

Cheque requisition

Before a cheque is issued a Cheque Requisition Form must be completed. This form must be filed in cheque number sequence for auditing purposes. Cancelled cheques must also be similarly filed.

An example of a Cheque Requisition Form is provided in **Text 27** in the **Reader**.

Issuing of cheques

All payments by the school to suppliers must be paid by cheque. Any cheque issued by the school must carry two authorised signatures. The SGB will determine who the signatories are to be, in accordance with the school's financial policy.

our comments

It is always good practice to appoint three people as signatories, in case one is unavailable. This is done through a formal process at the bank.

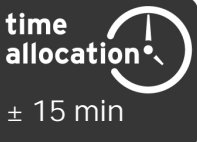
The following aspects are important when issuing cheques:

- Complete the counterfoil as indicated in **Text 19** in the **Reader**
- All cheques should be crossed, "not transferable"
- It is preferable to write the recipient's name, followed by the ID in brackets, e.g. Pay: D Ndhlovu (362317 5057 089)
- Signatories should **never** sign a blank cheque
- After the cheque has been signed the invoice should be stamped with the words, 'PAID' boldly across the face of the invoice to avoid double payment.



activity
2k

Use the checklist below to check all cheque payments made in your school over the last week to see whether the procedures were correct. Make this checklist available to all persons at your school who are involved in issuing cheques.



time
allocation
± 15 min

TABLE 19: CHECKLIST FOR CHEQUES ISSUED

CHECKLIST FOR THE ISSUING CHEQUES	
Activity	Check (tick)
Orders and invoices stapled to requisition form	
Information on order, invoice requisition and cheques are the same: Total amount Name of supplier Description of goods	
The counterfoil on the cheque is completed	
Cheque is crossed	
Date is correct	
Requisition forms are filed in cheque number sequence	

Recording payments

All payments must be recorded in the Cash Payments Journal on a daily basis. As mentioned before, these journals should correspond with the bank account. Therefore it will have a column for 'bank', as well as money columns relating to the nature of the payment and the cost centre. The bank statement must compare with the CRJ and the CPJ.

The Bank Reconciliation Statement

As you will have realised by now, school funds must be carefully controlled with clear procedures for the collection and paying of monies. One of the crucial aspects of proper financial control is the drawing up correct financial statements.

The bank reconciliation statement is a financial statement drawn up on a monthly basis, or more frequently, if required. The purpose is to determine the state of the school's bank balance as reflected by the bank statement and compared to the cash journals previously discussed.

An example of a bank statement is attached as **Text 28** in the Reader. We have also provided you with an example of a Bank Reconciliation Statement (**Text 29**) and a Bank Statement Reconciliation Checklist (**Text 30**).



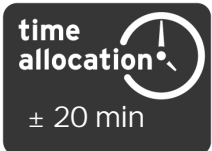
- The bank statement will not correlate with the journal entries and must be reconciled. If you issue a cheque and subsequently record the amount in the CPJ, it can only be reflected in the bank statement after it was presented for payment by the beneficiaries.
- In order to reconcile the bank statement with the journal entries one needs to follow a specific step-by-step process, the following checklist could be of assistance to you.
- The next step will be to determine the bank balance from the completed CRJ and CPJ.
- There are many ways to draw up a Bank Reconciliation Statement. You could use the template provided below in Table 20.

TABLE 20: FORMAT FOR A BANK RECONCILIATION STATEMENT

BANK RECONCILIATION STATEMENT FOR SCHOOL X AS AT 31 JANUARY 2007				
Balance as per Bank Statement No: LESS: Balance as per Cash Journals = Balance to be reconciled	61	31 Jan		3204.00 2262.00 942.00
PLUS: Outstanding deposits TOTAL:	DS58	31 Jan	900.00 900.00	900.00
				1842.00
LESS: Outstanding cheques	74 81 83	24 Jan 26 Jan 30 Jan	802.00 300.00 740.00	
				1842.00
DIFFERENCE				0.00



Take the CRJ and CPJ of your school for the last month, as well as the bank statement for the last month. Draw up a Bank Reconciliation Statement, following the procedure discussed above. Use the reconciled totals to determine your school's balance for that period of time.



The following financial reports will enable you to do a bank reconciliation:

The Cash Receipts Journal – as indicated previously, the CRJ reflects the debit side of the bank account. It will show all funds received for the specific month. Remember to record all the transactions from the duplicate receipts in the receipt book

The Cash Payments Journal – the CPJ reflects the credit side of the bank account. It will show all the payments that were made. Remember to use the information from the cheque counterfoils for the month in the CPJ.

Follow the steps indicated in Text 30: After we have done this let us assume the following:

1. After we compared the **credit amounts** (receipts) in the Bank Statement with the CRJ bank column amounts we identified three unticked amounts (R80.00 + R120.00 = R200.00 for school fees and R50.00 for interest on the current account, in the credit column of the Bank Statement. Enter these amounts in the CRJ. The entries in the CRJ will now be complete and aligned with the amounts reflected in the Bank Statement;

2. As indicated by the steps in Text 30, you must now close off the CRJ by calculating the total of each column. If you add all the totals of the specific columns the amount should be the same as the amount reflected in the BANK-column.
3. We also identified an unticked amount of R2000.00 recorded in the BANK-column of the CRJ that is not reflected by the Bank Statement. This simply means that the bank was not aware of the deposit and therefore it is not recorded in the bank statement. Highlight this amount with a highlighter or ring it with a pencil. You will show this amount as an **outstanding deposit** in the Bank Reconciliation Statement;
4. Compare **the debit amounts** (payments) in the Bank Statement with the CPJ. After we have done this let us assume we found five unticked amounts (R20.00 + R10.00 + R50.00 + R30.00 + R25.00 = R135.00 for bank charges and a debit of R500.00 for the repair on a lawn mower in the debit column of the Bank Statement. Immediately enter these amounts in the CPJ. The entries in the CPJ are now complete. Close off the CPJ as indicated in Text 30.
5. Let us assume we also identified three unticked cheque amounts (R300.00, R250.00 and R1200.00 = R1750.00) in the bank column of the CPJ which are not reflected in the Bank Statement. This means that these cheques have not yet been presented to the bank. These will be referred to as **outstanding cheques** in the Bank Reconciliation Statement

The next step is to determine the bank balance from the corrected cash journals. This is done in accordance with the templates reflected in Table 20 and Text 29:

<i>Bank Reconciliation Statement of _____ AS at 31 January 2007</i>			
<i>Balance as per Bank Statement No: _____</i>	<i>31 Jan</i>		<i>11715.00</i>
<i>LESS: Balance as per Cash Journals</i>	<i>31 Jan</i>		<i>9830.00</i>
<i>= Balance to be reconciled</i>			<i>R1885.00</i>
<i>LESS: Outstanding cheques</i>			<i>1750.00</i>
<i>TOTAL</i>			<i>R1750.00</i>
<i>ADD: Outstanding deposits</i>			<i>135.00</i>
<i>TOTAL:</i>			<i>R1885.00</i>
<i>DIFFERENCE</i>			<i>0.00</i>

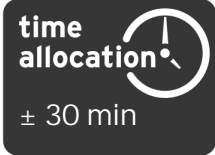
The 12-Monthly Statement of Receipts and Payments

The 12-Monthly Statements of Receipts and Payments is a summary of the CRJ and the CPJ. Its purpose is to give a clear indication of the total receipts and total payments for a particular period of time, usually one year.

The annual statement is usually drawn up for the school's financial year, i.e. 1 January to 31 December. However, it can easily be drawn up for any period of time, since it is a summary of the journals and the bank reconciliation.



Use the information from the last three months provided in the CRJ, CPJ and Bank Reconciliation Statements to draw up a Statement of Payments and Receipts for your school and reflect on the questions below.



If you have difficulty in executing the task above, answer the following:

- Why are you experiencing difficulties?
- How can these difficulties be overcome?
- Is your school's financial journal correctly kept and up to date?
- Do you need to make adjustments to your school's financial policy?

THE ANNUAL STATEMENT OF PAYMENTS AND RECEIPTS

Since this is now a summary of the whole year you simply require the information already reflected in the 'Total' column of the 12-Monthly Receipts and Payments Statement. See the example below adapted from: Province of the Eastern Cape, Department of Education: Education Management Development, Module 4: 92).

TABLE 21: EXAMPLE OF AN ANNUAL STATEMENT OF PAYMENT AND RECEIPTS

SCHOOL X		
Annual Statement of Payments and Receipts for the year ended 31 December 200Y		
RECEIPTS		R 65,000.00
School Fees	R 10,000.00	
State grant – LSM	R 20,000.00	
State grant – maintenance	R 25,000.00	
Fundraising	R 5,000.00	
Tuck shop	R 5,000.00	
LESS PAYMENTS		R 60,000.00
School administration	R 5,000.00	
Maintenance	R 25,000.00	
State Grant –LSM	R 20,000.00	
Teaching and Learning	R 5,000.00	
Net Receipts		R 5,000.00

Monitoring payments

The expenditure management must be directed at achieving the three Es – economy, effectiveness and efficiency. In the next section we will look at variance analysis and expenditure control as key aspects of monitoring payment.

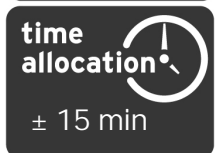
Variance analysis

Variance analysis is an essential part of the budget management process. Variance analysis is a comparison between budgeted and actual expenditure. As a result of unforeseen factors, some budget items may have been under-spent and others over-spent. Variance analysis enables managers to monitor their budgets on a monthly or quarterly basis and to take early corrective action, if necessary. If unauthorised, irregular or fruitless and wasteful expenditure is discovered, it must be reflected in the monthly report. The accounting officer must also attempt to recover resulting losses or damages, in accordance with regulations. The amount of such expenditure must be disclosed as a note to the annual financial statements. The accounting officer may instigate disciplinary steps.

An example of a Variance Analysis is provided in **Text 31** in the **Reader**.



Draw up a Variance Analysis for your school for the past three months, using the template provided in Text 31.



In conducting a variance analysis, we compare planned and actual expenditure and income (usually expressed as a percentage). If we consistently spend more on stationery than we had planned, for example, then this is a warning to us that a) we may go over budget by the end of the year so we need to cut back on expenditure in this area or compensate by savings in other areas b) we need to account for the unanticipated expenditure – is it justified and is it likely to continue c) we may need to adjust our projections for the following year's budget planning.

2.5.7 Asset management

Assets procured for use over a period of time must be carefully managed and controlled. This process is also known as inventory management. Assets represent cash, and therefore the mismanagement of assets means the mismanagement of cash. If the process of purchasing, storage and control of goods and assets is not properly managed, this creates an environment conducive to theft and corruption. It is clear that asset management is an important aspect of financial management. Therefore, assets should be accounted for and asset registers should be kept and updated yearly.

Donations and items of stock must be carefully registered in the Assets Register. This register must be checked together with the other financial records. The PEDs may issue guidelines for the depreciation of fixed assets.

PFMA requirements for asset management

The Treasury Regulations (March 2005) describe the process of disposal and letting of assets, responsibility for asset management, and assets accruing to the state by operation of any law.

Section 38(1)(d) of the PFMA states that the accounting officer of an institution must take full responsibility and ensure that proper control systems exist for assets. The accounting officer must ensure that:

- Preventative mechanisms are in place to eliminate theft, losses, wastage and misuse
- Stock levels are at an optimum and economical level
- Processes (whether manual or electronic) and procedures are in place for the effective, efficient, economical and transparent use of the school's assets.

Disposal and letting of assets

Section 76(1)(k) of the PFMA requires that movable assets must be disposed at market-related value or by tender or auction, whichever is most advantageous to the State, unless determined otherwise by the relevant Treasury.

The responsibility for the control of assets must be allocated to a senior member of the school, i.e. a member of the SMT. The person must ensure that assets are physically secured to prevent theft and misuse. The designated person must be responsible for maintaining the Asset Register of the school. The Asset Register must at least contain the following details:

- Type and description of asset
- Date of purchase
- Asset number/category
- Serial numbers, where applicable.

The following template could serve as an example of an Asset Register. You could also refer to **Text 32** in the **Reader**, an example of a completed Asset Register.

TABLE 22: EXAMPLE OF AN ASSET REGISTER

ASSET REGISTER: SCHOOL X							
CATEGORY: SCHOOL FURNITURE							
Description	Reference No./ Invoice No.	Date received	No. of Units	Date of stock take	No. in stock	Serial number	Signature
Tables	23/1020	01/02/2003	45	31/12/2003	42		



Analyse your school's Asset Register. Do you think it makes sufficient provision for stock control? Does the register record all the items in the example above? Is the register up to date?



An appropriate quantity of stock should always be available to satisfy the operational needs of the school. The 'appropriate' quantity depends on several variables such as:

- Annual turnover of stock
- Costs of stock
- Costs of ordering
- Holding costs
- Costs incurred by not having stock e.g. the cost of making supplementary photocopies
- The school's strategic and operational plans.

The annual turnover of stock is the quantity of stock utilised over a period of one year. An analysis of the previous year's stock utilisation may assist in determining current year needs. However, changes in the school's operational plans and staff changes have to be taken into consideration when determining the current year's stock requirements.

2.5.8 Auditing and reporting

As previously indicated budgetary control and reporting is of utmost importance and the Finance Committee must report to the SGB on a monthly basis. In accordance with Sections 32 and 43 of the SASA, the financial control process includes reporting on:

- Amounts budgeted and results achieved
- Analysis and interpretation of discrepancies
- Audit and calculation
- Accounting
- Implementation of corrective measures, if necessary.

Financial reporting

The Finance Committee reports to the SGB, as the accountable body responsible to donors, PEDs, parents and the community.



We have already discussed the roles and responsibilities of the Finance Committee. For the purposes of this section, however, it is important to take note of the financial documentation to be presented to the SGB, namely:

- *The two Cash Journals, i.e. the CPJ and the CRJ*
- *The latest bank statement*
- *The deposit book*
- *The Reconciliation Statement*
- *The budget*
- *Receipts and accounts*
- *Cheque book and Cheque Requisition Forms.*

Note: *Book-keeping and accounting software usually include these items automatically.*

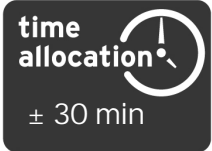
Budget report to the SGB

Budget control should be the duty of the Treasurer. It is important for the Treasurer of the SGB to be competent in budget reporting. He/she should also be competent in the use of computer software packages and financial systems. The table below gives an example of a budget report:

TABLE 23: EXAMPLE OF A BUDGET REPORT

BUDGET REPORT: 31 MARCH 2007					
Cost Centre	Budget total	Expected to date	Actual to date	Variance to date	Variance %
Telephone	120.00	600.00	700	-100.00	-16.67%

[Note: The minus (-) sign shows overspending of R 100.00 on the line item. This can also be indicated in brackets (100.00).]



Analyse your school's previous budget report. Identify variances that occurred due to incorrect budget allocations or planning. Consider the following questions:

- How could you prevent these variances from occurring?
- Was the budget and the variances properly explained during the meeting?
- Was the explanation accepted and minuted for auditing purposes?
- What adjustments were made to the budget?
- What contingency plans were put in place, if any?
- What actions will you recommend to address the weaknesses you identified?

Reporting to the Provincial Education Department

As previously discussed, the PED is involved in the budgeting process of the school. Therefore, the school has certain obligations towards the Department. The following documents must be submitted to the Department:

- A copy of the approved estimate of income and expenditure (Budget)
- The name of the auditor appointed to audit the financial records of the school (i.e. the accounting officer or person approved by the Minister in terms of Section 34(2) of the SASA)
- A copy of the audited financial statements, within six months.



Although the finances of the school are the responsibility of the SGB, the principal (as ex-officio member) must be directly involved in the management of the school's finances.

Auditing

An auditor must be appointed by the SGB to check the records and financial statements of the school annually. The auditor must be registered as an accountant and auditor in terms of the Public Accountants and Auditors Act (1991). If your school cannot find or afford an auditor, the school may appoint an accountant or a person with financial management expertise to audit the books, with approval from the DoE. Such a person must be independent of the school.

After the audit has been completed the auditor should report back to the SGB at a formal meeting, where the findings and recommendations must be discussed. The audited statement must be submitted to the Provincial Education

Department within six months of the end of the financial year (that is before 30 June).

The audited statements must be available for inspection by any person who has a vested interest.



The misuse or fraudulent use of school funds is a criminal offence and can lead to the freezing of the school account when under investigation.



Ensure that the auditor has easy access to the following financial records:

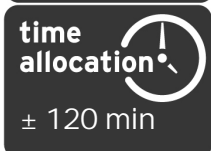
- Monies received: i.e. receipt books, bank deposit books, cheque books and bank statements
- Monies paid: i.e. cheque requisitions, used cheques returned by the bank, cheque counterfoils, bank statements and petty cash vouchers
- Funds committed: order forms and delivery notes.

2.5.9 Integrated assessment of financial management

You have now worked through all the sections on financial management. You should now have gained much knowledge, understanding and insight into the management of the financial resources of your school. This activity is designed specifically to enable you to relate the content of this unit thus far to your own school.



Go through all aspects of financial management that are covered in this unit. In each section, analyse the current state of financial management in your own school. Identify areas where improvement is needed. Write down your recommendations on actions that should be taken.



Your school will get the most benefit from this activity if you do it with your Finance Officer and other staff who are directly involved in financial management processes. This will enable them to benefit from this programme.

You could group your recommendations into three categories: critical areas that require immediate attention, areas that need to be attended to over the next two to three months, and those areas that should be attended to within six to ten months. We suggest that you use a table such as the example below:

Area/issue to be attended to	Person responsible	Action that needs to be taken	Time frame for completion	Notes on issues that need to be taken into consideration

Include the final version of the document you produced in your portfolio for the ACE qualification. Thereafter, you should use the document to track progress in implementing your recommendations.

2.6 Marketing of schools

We will now look very briefly at the marketing of your school. We will be looking at this area from the perspective of the management of financial resources.

As noted before, the decentralisation of responsibilities means that some authority has been devolved from central government to individual schools and their SGBs. The result is that 'open' enrolment now gives parents the freedom to enrol their children in the school of their choice (Anderson & Lumby, 2005: 29).

As school income is strongly linked to learner numbers, it has become important for schools to attract more learners. Even more importantly, it also concerns the potential for schools to apply economies of scale that allow for maximising resources in order to improve teaching and learning.

our comments

The most important aspect of marketing in an educational context is certainly the way in which schools connect with their stakeholders. This is known in the business environment as 'relationship marketing'. This concept has particular relevance to small businesses as they recognise the significance of relationships based on mutual trust and confidence.

This is equally relevant in schools, which can be regarded as small businesses, because they now enjoy a level of autonomy in respect of operational matters and the way they allocate and manage their financial resources.

2.6.1 Marketing strategies

According to Anderson and Lumby (2005: 137), educational institutions should look at 'strategic marketing', where all the aspects of the organisation's vision and strategy are linked to the analysis of customer needs.

So how does a school ensure that marketing is part of its strategic management and planning? We believe that there are three components that schools need to consider:

- **Strategic analysis:** This is the first and most important stage as it involves scanning the environmental factors that can influence the operations of the school and determining how far current provisioning meets the parent community's needs.
- **Strategic choice:** This stage is informed by the realities revealed by the environmental scanning. Choices need to be made about approaches to the strategy you want to employ.
- **Strategic implementation:** At this stage the marketing strategy is implemented. Aspects of day-to-day activities are important here, for example, communication, branding, building organisational relationships.

stop & think

What is the current view of your school on marketing the school? In your view, are the current promotional activities of any value and how effective are they? What improvements do you recommend for your school's current marketing strategy?



A recent research survey conducted by Bush & Joubert (2004) into the marketing strategies employed by South African schools revealed the following:

- *Schools need to develop a cultural shift towards accepting the existence of a market and the need to operate actively in that environment.*
- *There is a very varied interpretation of school marketing with the main focus being on the product (i.e. the type of education provided).*
- *Some principals and SGBs believe that marketing is not necessary.*
- *Generally, schools have an ad-hoc, short-term approach to marketing, dominated by short-term promotional activities.*
- *Some schools go into a 'crisis management mode' by trying frantically to get more learners when they realise that they are going to lose teachers due to the drop in enrolment.*

In most schools there is a total absence of market research. No environmental scanning is conducted. Therefore, no effective marketing strategy can be planned. Such schools often try to be 'all things, to all learners', which often leads to a situation where school effectiveness is jeopardised.

2.6.2 Developing a brand for your school

It is likely that you have compiled a brochure or information booklet to market your school. It may include information on the curriculum, the history of the school, past achievements and extra-curricular activities. It may also include information on school fees. The brochure should also include the vision and mission statement of the school. However, marketing research and environmental scanning might indicate that you need more.



Building a name (a brand) for the school is certainly not a once-off information session or distribution of an information booklet. It is a well-planned continuous effort to convey a positive image of the school. It is about continuously showcasing the school and its achievements. It is about getting parents to take interest in the activities of the school. You need to get them involved and motivate them to take ownership of the school.

One way of doing this by creating a slogan that will capture the uniqueness of the school. The slogan should be included on letterheads, flyers and other documents that would market your school. There are many ways of developing such a slogan!




Staff ± 20 min
learners ± 20 m

If your school does not have a good slogan, we suggest that you get the staff together. Give each a piece of paper and ask them to write a slogan (no more than 6 words) that captures a unique characteristic of the school. Select the five best and present them to a random sample of learners. Ask the learners which one they think will be the most captivating. You may need to refine it after receiving feedback. Ask someone with marketing experience to assist you to develop a good slogan and logo.

Once you have agreed on the slogan and logo, use it on all the school's brochures, posters and other marketing material.

2.7 Conclusion of Unit 2

Unit 2 has been quite demanding, but we hope that you have gained much from it that you can apply to improving the financial management of your school. Let us review what we have covered in Unit 2. We started by looking at the legal requirements relating to the management of school finances. In this section we also identified the differences between Section 21 schools and schools that have not been granted that status. The second section described setting up financial systems for Section 20 schools. In the third section, we focused on the preparation of the school budget. We covered the budgeting policy and process, the types of budgets and elements of a budget, as well as the budgeting cycle and the actual compilation of the budget. Then we looked at the processes and policies we needed for financial monitoring and control. Finally, we talked about how schools can market themselves in their communities so that they can retain or even build their learner base and so that the communities they serve will see them as valuable resources belonging to the community rather than as something separate from the community.

Managing physical resources

unit

3

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Managing physical resources

3.1 Introduction

The success of teaching and learning is largely dependent on the extent to which physical resources are effectively and properly acquired, maintained and managed. This unit focuses on the school leaders' responsibility in the management of physical resources. It covers the legal requirements, systems, policies and procedures that must be in place to ensure that physical resources are effectively managed.

Four main areas are covered in this unit:

- The maintenance and improvement of the school buildings, property and grounds, including day-to-day, scheduled and preventative maintenance, as well as community involvement in school maintenance
- The purchase of textbooks, educational material and equipment for the school, including stock control, storage, as well as depreciation and disposal of stock
- Safety and security of school buildings and grounds
- School transport, including the requirements for managing vehicles owned by the school that are used to transport learners to and from school and/or other activities, as well as the use of private vehicles of parents and teachers for transporting learners to extra-curricular activities and other events.

Schools are important centres in a local community and should be the pride of the community. The school buildings, premises and other physical resources are a reflection of the community they serve. In addition, they play an important part in creating the general environment in which learning takes place. We recognise that the physical environment in which we work can and does influence what we do, how we feel and how effectively we function. It can affect our teaching, our communication patterns, the noise levels and even the extent of our disciplinary problems. A well-maintained, neat, attractive and flexible physical facility creates a climate that supports effective teaching and learning in our schools.

This unit focuses on physical resources.

3.2 SASA requirements for managing physical resources

The SASA grants the right to Section 21 schools to manage and control their own administration and finances, whereas Section 20 schools must work through their relevant circuit and district offices. The appropriate, optimal and controlled utilization of physical facilities is an important management task of the school principal and the SGB. The responsibilities are categorised as follows:

- Maintaining and improving the school's property, buildings and the grounds occupied by the school
- Purchasing textbooks, educational materials and equipment for the school
- Paying for the services rendered to the school (water, electricity and sanitation services).

Administration and control of property, buildings and grounds of the school implies that the SGB stands in a position of trust towards the school (DOE, 1999: 26). This means that members of the governing body must look after the school property, and/or the property occupied by the school.



Let us look at some of the official descriptions of terminology.

The SASA refers to movable property and immovable property. Movable property includes things such as school furniture, textbooks and equipment. Immovable property means land, buildings and other structures permanently fixed to the land.

What is meant by administration and control? The DOE (1999: 27) sees these functions as interconnected:

- Administration means taking all the necessary steps and decisions required for the continued use and occupation of the property by the school. This also means that adequate records should be kept.
- Control means that the governing body must establish and apply the rules and principles relating to the actual use of the property. This would include a description of who should do what, under what conditions. It is important to note that control also deals with security. Therefore, the Governing Body should determine the principles and procedures for safeguarding the property against misuse, theft or damage.

3.3 Maintaining and improving the school's property, buildings, and grounds

The maintenance and improvement of property, buildings and grounds are functions that may only be performed if they have been allocated to the Governing Body by the Provincial HOD (in respect of Section 21 schools). It involves the making of decisions on spending the school's money on the maintenance and improvement of all the immovable property of the school. The budgetary procedures, control and accounting of such expenditure will be discussed in Unit 4 of this module.

The first step should be to establish a School Maintenance Committee as a sub-committee of the SGB. Such a committee should include at least one member of the teaching staff (usually a member of the SMT but could also be a PL1 educator with the relevant knowledge or experience). Where applicable, the person serving as the schools' handyman (also referred to as the factotum) should also serve on the Maintenance Committee.

The chairperson of the committee should be a member of the SGB and should have adequate knowledge and skills in calling for quotations/tenders and defining requirements, as well as the quality assurance of workmanship.

3.3.1 Policy and procedures for maintaining and improving school buildings and grounds

The school should have a policy document for maintaining the physical resources of the school. The document should establish proper procedures and supervision to ensure that physical resources, including buildings and grounds, are maintained in a regular and effective way.

key points



The following aspects should be addressed in such a policy document:

- Membership of the School Maintenance Committee
- Meetings
- Duties and responsibilities of committee members
- Inspections
- The involvement of teachers and learners
- Duties and responsibilities of the handyman/factotum and dedicated maintenance staff
- Community involvement and participation in maintenance and improvement efforts
- Dealing with grants and sponsorships
- Procedures for emergency repairs.

our comments

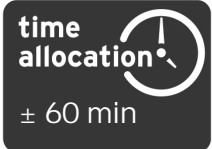


It should be noted that every Provincial Education Department has its own processes and procedures for Section 20 schools for requesting maintenance and repair services. These procedures should include the following activities and forms:

- Schools request for urgent repairs from the department, specifying the nature of the defect and the type of services
- The Works Administration office will arrange for a technical inspection by

the Works Inspector to establish the degree of urgency

- The Works Administration will obtain the services of an approved contractor and submit an order
- The Works Inspector is responsible for quality assurance and monitoring of the service to be provided.



Obtain a list of the policy, procedures and forms used in your school for requesting maintenance and repair services from the DoE or from private contractors. Look through these documents to:

- Identify the specific areas covered
- Identify any important issues that have been excluded
- Comment on what needs to be done to improve the documentation.

It would be a good idea to have a discussion on these documents with a member of the Maintenance Committee and/or with the person who does most of your school's repairs. Also make sure that all official forms are used and that requests for maintenance and repairs follow the correct procedures.

3.3.2 Day to day and scheduled maintenance and repairs

General maintenance in a school (and of school buildings in particular) can be grouped into two categories, namely:

- Day to day maintenance and emergency repairs
- Scheduled preventative maintenance.

It is not only important, but also more cost-effective, to have a programme of regular maintenance and repair of buildings and property. This will improve the appearance and hygienic conditions at the school and extend the lifespan of physical resources.

Day to day maintenance and repairs

Urgent day to day repairs refer to any part of the school infrastructure that cannot be postponed, due to the following:

- The possibility of causing injury to people
- The potential of a health hazard
- The possibility of causing further damage to property
- The inconvenience to occupants.

Examples of urgent day to day maintenance are:

- Any defect which can escalate into further damage or even health risks, such as blocked toilets, leaking roofs, electrical defaults
- Any defect that can endanger lives, such as defective electrical cabling, storm damage to walls, or defective fire-fighting equipment
- Defects where the safety of the occupants is threatened, such as vehicles that are not roadworthy, defective exterior door locks and blocked fire escape routes.

3.3.3 Scheduled general repairs and preventative maintenance

The School Maintenance Committee should do regular inspections of buildings and grounds and submit a written report to the SGB. The Committee must also develop an annual maintenance plan well before the budget is drawn up. This must be presented (together with a cost estimate) to the Finance Committee of the school.

General preventative maintenance is done periodically to improve the lifespan of buildings, facilities and other physical resources. This would typically include:

- Repainting exterior and interior walls
- Servicing and upgrading water pipes and taps
- Storm and rainwater disposal, including servicing and cleaning of gutters and down pipes, storm water pipes and gullies
- Toilets plumbing, including inspection for leakages and blockages, as well as the servicing and clearing of sewerage systems
- Servicing and upgrading of electrical systems, including wall plugs and lighting, as well as appliances and fixtures and such as shelving, kitchenettes, cupboards
- Site-works, including entrance and boundary gates, playing fields, paved areas, parking, assembly areas, walkways and covered passages
- Inspection and servicing of fire-fighting equipment
- Inspection and replacing of cracked and broken windows, doors and locks, as well as repairing floor surfaces (floor tiling and filling of cracks).

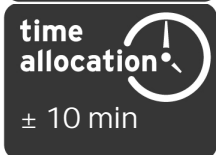
3.3.4 Funding for maintenance and repairs

Day to day repairs can either be arranged through a yearly tender or separate quotations. The advantage of yearly tenders is that the service price is fixed for a period of time and the service can be provided without lengthy delays.

Section 20 schools have to apply for urgent repairs through the DoE. The department is bound by the conditions of the State Tender Board Regulations, to make use of contracted suppliers.

3.4 Community involvement in school maintenance and improvement projects

It is suggested that schools with limited state funding should involve the community more directly in assisting with school maintenance and improvement projects. School leaders could encourage community members to get involved in such projects and to get them to understand that they have a vested interest in the school. The community should see the school is an asset to the community as they are the co-owners! What do you think about this suggestion? Do you foresee any problems?



- In what ways can the parent community assist the school with repairs, maintenance and improvements?
- How will you conduct skills assessment survey of the parents in your school?
- What would be the best way to motivate the community to assist the school in this area?
- How can you target parents and get them involved?



As a school leader you have to remember that parents have different capacities and there are many different ways in which parents could be involved. Some have time to assist, some have expertise, some can provide additional labour, and some can contribute financially.

Even those who might feel they have nothing to offer could be encouraged to identify areas in which they could assist. The more creative you are and the more effective your communication is, the better the commitment of the parents will be.

3.4.1 Community role players to assist your school

It is important to analyse the different community structures to identify parents who are involved in these structures. These structures could be:

Local government and council members

There are usually people in local government who are responsible for community projects and funding. Invite them to the school, have discussions with them, and ask them where they can be of assistance. You could even present them with your annual maintenance plan.

Other government structures

Other government structures like the Department of Health have a network of clinics and people working in the community. Parents involved in these structures should be identified and requested to become involved in areas such as hygiene and the effective cleaning of buildings and toilets.

Local business

The SGB and school should make contact with businesses and business forums, such as the Chambers of Commerce. Present them with plans for improving school buildings and grounds and ask them to become actively involved.

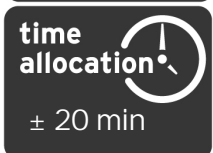
Businesses could be involved in sponsoring projects, but also in providing skills and materials (e.g. scrap metal, building material, paint, computers and material, trucks and bakkies, manpower - virtually anything!)

Community organisations

Every community has a network of community organisations and associations. Most of them will be willing to assist the school in some way. What you need is to identify what their purpose is and how they can play a role, not only in the physical maintenance and improvement of grounds and buildings, but also in supporting projects for fundraising.



activity
3b



time
allocation
± 20 min

At your next Governing Body meeting, compile a list of all the community and business structures that are already involved in your school's maintenance and improvement. Then compile a second list of possible community and business structures that can become involved in your school's maintenance and improvement. Identify, possibly via a survey document to the parents, who are involved in these structures and what their contact numbers are. Discuss ways in which parents and organisations can be approached and encouraged to assist your school.

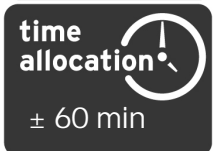


our
comments

Most Section 21 schools will have employed a qualified handyman who is primarily responsible for the maintenance of buildings and grounds. Schools must be aware of the applicable legislation when they employ technical and other support staff. Such persons must be trained in handling equipment, such as power drills, lawnmowers and bush cutters. They must also be provided with safety clothing, such as gloves, dust masks, hard hats, industrial shoes and coveralls. They should be familiar with the requirements of, and comply with, the Occupational Health and Safety Act.



activity
3c



time
allocation
± 60 min

Use the table provided in **Text 5** in your **Reader** to assess the maintenance needs of your school building and infrastructure.

3.5 Purchasing textbooks, educational materials and equipment for the school

our comments

Issues relating to procurement and asset management will be covered in the next unit that focuses on the management of financial resource. Therefore we will not go into detail in this unit. We will only give a few pointers on issues relating specifically to learning materials and equipment.

key points

- If yours is a Section 21 School, you have the power and responsibility to purchase stock (e.g. stationery, books, furniture, equipment and cleaning materials) directly from suppliers and to pay for the goods directly.
- If yours is a Section 20 school you procure most of the stock you require by ordering it from the Provincial Education Department. However, if you generate your own funds, then you are allowed to procure directly from suppliers, in accordance with the procurement policy of the school.

3.5.1 Procurement Committee and Policy

In this section we would like to share a few practical aspects relating to procurement and a procurement policy. The next unit will deal more comprehensively with all aspects of financial and control pertaining to procurement.

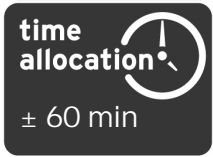
Many schools have a separate Procurement Committee that functions as a sub-committee of the SGB. Other schools see this as a function of the Finance Committee. However you do this in your school, you need to ensure that your school has a procurement policy. It could be sub-section of your school's Financial Policy.

The Procurement Policy should deal with the following aspects:

- Membership: for example, one member of the SGB could be the chairperson, supported by two elected teachers and the Administrator/Finance Officer
- Meetings: when and where these should take place and who should organise the meetings
- Financial records: financial procedures and controls to be applied (to be read with the school's Financial Policy)
- Budgetary controls and dealing with variances
- Routine expenditure: procedure and lists of approved/preferred suppliers and service providers
- Non-routine expenditure: procedures for calling for tenders and quotations, including capital expenditure
- Declaration of interest and recusal: all members of the committee and SGB should declare their interests and be prepared to recuse (withdraw) themselves from any procurement or tender related to meeting which is discussing a contract, process or company in which they have an interest.



If your school has a Procurement Committee and Policy, review these in the light of the points raised above. Identify ways in which these can function more effectively.



If your school does not have such a committee and/or policy, identify the steps you will have to take to get these off the ground. Indicate how you will convince the SGB and the Finance Committee that these are indeed necessary. We suggest that you contact another school where these are in place to get some ideas to use as a basis for establishing ones for your own school.

3.6 Stock control

Part of your responsibility in managing the physical assets of your school is ensuring that existing stock is properly cared for.

3.6.1 Stock control inventories

Your school should have a stock/asset registers that is linked to other inventories and registers of your school's physical resources and property. This should include:

- Room inventories: These are usually fixed to the wall near the door, and their purpose is to monitor stock and stock movement very closely.
- Whole school inventories: The inventories of all the rooms should be combined into one inventory for the whole school.

For further guidelines consult the DoE's *School Records Manual*.

3.6.2 Stock taking

In Unit 4 we recommend that stock taking must take place annually, but that it is preferable to do quarterly stocktaking and reporting. This will ease the burden of the year-end stock taking exercise.

The Stocktaking Report presented to the SGB by the Stock Controller should answer the following questions:

- Condition: What is the general condition of the stock in hand?
- Surpluses: Are there any surpluses? If so, where do they come from? What is the value? Is there any need for disposing of surplus stock?
- Shortages: Are there any shortages, i.e. missing items? Do you know why this is the case? What is the value? Is recovery likely?
- Unserviceable items: Which items are redundant, obsolete, irreparable or useless? Recommend possible ways of disposing of these items.



Your school probably has a stock inventory. Obtain a copy of the latest inventory. Compare this inventory with the list provided in **Text 6** in your **Reader** to identify items that should be included in your school's inventory. Is the inventory drawn up on a yearly and/or quarterly basis? Should it be done more regularly? Is the inventory up to date, i.e. is the recently purchased furniture or equipment recorded? What actions do you need to take or recommend in order to improve your school's stock inventories?

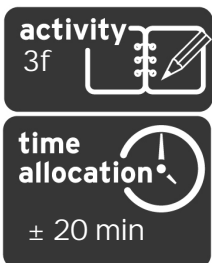
If your school does not have such an inventory, instruct the person at your school who is responsible for stock to complete an inventory.

We suggest that you instruct the relevant person to develop a similar template for compiling a stock list for text books and other learning material. This should also be completed regularly, at least once a year.

3.6.3 Storage, custody and care

You must ensure that the school's property and physical resources are protected from theft, fire, vandalism and possible damage. Storerooms should be burglar-proofed by installing burglar bars, safety doors and a monitored alarm system. Schools are advised to carry insurance on property bought from their own funds.

You should also ensure that existing learning materials, office equipment and furniture is properly cared for.



Use the tables provided in **Text 7** in your **Reader** to evaluate the care and control of the books and other learning support material, as well as the furniture and office equipment in your school. Write your comments and/or recommendations in the column provided. Provide the completed list to the Stock Controller or staff member who is directly responsible for the control and care of your school's physical resources. Follow up with this person to monitor whether your recommendations have been implemented.

We have already discussed the aspects of stock control and asset management. The purpose of this section is thus not to discuss the physical record-keeping and financial accounting procedures, but rather to give some guidelines on physical stock handling and disposal.

3.6.4 Stock disposal

You should ensure that there is a proper process for disposing of stock. Stock should only be removed from the school premises or disposed of if it follows an authorised and documented process in accordance with the guidelines for Section 21 and Section 20 schools. The Stock Controller should submit a written request motivating the disposal to the SGB. If it is approved, the chairperson must sign the request as the authorising officer, and the decision must be noted in the minutes of the meeting.

Disposals must be recorded in the Stock Register, with the following information:

- Description of the item disposed of
- Quantity being disposed
- Original source of the item (where relevant)
- Date of approval for the disposal of the item
- Authority number
- Signature of the authorising officer.

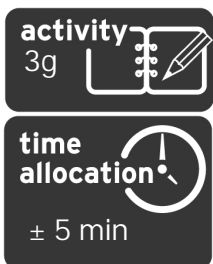
3.6.5 Depreciation

Depreciation is the devaluation of assets over a period of time.

Campher, et al. (2005:46) indicate that the management of assets should also include depreciation, as it is directly relevant to the management of physical and financial resources.

There are three types of depreciation:

- Technical obsolescence: Depreciation due to wear and tear of an asset, e.g. machines in technical workshops, lawnmowers and duplicators
- Economic obsolescence: Depreciation due to new technical innovation, e.g. more advanced computers and software development often renders existing computers and software obsolete, even if they still work
- Regulatory depreciation periods: Annual value depreciation as determined by the DoE or the Auditor of the school.



A duplicator will depreciate in value as follows:

- At the end of the first year it will depreciate by one third of the purchase price.
- At the end of the second year, it will depreciate by one third of its value at the end of the first year.
- At the end of the third year, the remaining value can be written off.

Your school has purchased the duplicator for R24 000.00. Calculate the value of the asset to be written off at the end of the third year.

3.7 Safety and security of school buildings and grounds

School Governing Bodies are also bound by the Bill of Rights (DoE, 1999: 14). One of the functions of the bill is the protection of people. In this context one of the most important rights of learners and teachers is the right to freedom and safety and security of the person.



A public school is regarded as an 'organ of state'. Therefore, it is expected of a SGB, within its function and means, to respect, promote and fulfil the fundamental rights of others. As mentioned in Unit 1, school administration and control also deals with safety and security.

When parents send their children to school they have a reasonable expectation that their children will be physically and psychologically safe. It is also a constitutional right of educators and other employees at school to work in a safe and healthy environment. Learners and staff in a school are also entitled to a reasonable measure of security with regard to their belongings. Unfortunately schools are just as vulnerable to threats and danger as any public place. It is therefore vital that safety and security should always enjoy a high priority in any public school.

It is clearly the responsibility of the SGB to determine principles to safeguard the property and school environment. The SGB will have to fund projects and physical infrastructure (e.g. electronic access, name tags, access via smart card technology, alarm monitoring, security guards on site, etc.) to protect teachers and learners during and after school hours. These devices and arrangement have huge financial implications for the school and DoE. It is therefore essential to conduct an annual needs assessment and to budget accordingly. A School Safety and Security Committee can be established for this purpose.

There is a substantial body of general legislation on safety and security that is also applicable to the safety and security aspects of your school. As principal you must take note of this legislation, even if is not specifically directed towards school safety and security of school buildings and grounds. The Occupational Health and Safety Act, 1993 (Act 85 of 1993) is the most relevant here.

This Act is especially relevant to schools that are equipped with workshops. This Act requires these schools to appoint a safety representative and a safety committee, which must meet on a regular basis in order to ensure continuous safety in the workshop.



You will probably remember that we worked through the example of a school safety policy in Unit 2 of this module. (Text 4: Forbes High School: Safety and Preventative Measures Policy) You could refer back to it during this section on school safety and security and scholar transport.

3.8 Scholar transport

Aspects of the Road Traffic Act, 1989 (Act 29 of 1989), and the consolidated Road Traffic Regulations promulgated in terms thereof, are relevant to road safety for learners. Matters such as the licensing and roadworthiness of school buses and measures concerning learner patrols and pedestrian crossings are covered in this Act.

3.8.1 Transport of learners in school buses

When your SGB approves the purchase of a school bus for transporting learners, it must make sure that all legal requirements are met. This includes the insurance of passengers and the driver, indemnity, liability, roadworthiness and public driving permits.

Any person driving a 16-seater school bus must be in possession of a Professional Driving Permit (PDP), which is an assurance and law requirement. This permit must be renewed every two years, subject to the driver undergoing a full medical and screening test (including an eye test and fingerprints). The PDP is then endorsed on the driver's licence. The vehicle is subjected to an annual Certificate of Fitness test that coincides with the licence renewal.

The vehicle must be fitted with the following:

- Reflective tape
- Toolbox
- Fire extinguisher
- Spare tyres in good condition
- Safety belts (especially where learners with special needs are transported)
- An alarm system, anti-hijacking system or gear lock.

The SGB must appoint a reputable service provider to take care of the maintenance and repairs on the vehicle.

3.8.2 Transport of learners in private vehicles

It often happens that learners are transported in private vehicles driven by educators and private persons, e.g. for extra-curricular activities. It is best to avoid this practice as far as possible because the issues of liability become very complex.

If extreme situations arise and learners are transported privately the following should be taken into account:

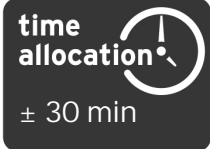
- The principal must warn the drivers to exercise extra care and alert them to the risks involved
- The vehicles must be roadworthy and properly licensed
- The driver and the school must have proper liability insurance
- All traffic regulations must be strictly obeyed
- The parents of the learners must sign a letter of consent for the transport of their children.



Ensuring the safety of schools and its learners must be a top priority. On a basic level it means ensuring learners and educators are physically secure, that material resources are secure for real learning and teaching to happen.



Use the template provided in **Text 8** of your **Reader** to evaluate the safety and security measures that are taken in your school. Communicate your findings and recommendations to the staff members responsible for the areas covered in the template. Follow up on the recommendations to ensure that appropriate actions have been taken to improve the safety and security of your school.



After you have done this assessment, prepare a memorandum for the SGB. Indicate cost implications of corrective actions that need to be taken. Recommend the allocation of funds for areas that require immediate attention. Where appropriate, make sure that areas requiring attention in the following year are included in the next budget.

3.9 Conclusion

In this unit we provided guidelines that school leaders can use to ensure that facilities and other physical resources are adequate, that they are appropriate to the needs of the learners, that they are properly maintained, and that they are utilised for the purpose for which they were planned.

We hope that this has been useful in assisting you in your important task of managing your school's physical resources.

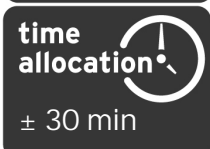
The end of Unit 3 also brings us to the end of the module as a whole. At this point we suggest that you go back to the beginning of the module and remind yourself of the overall learning outcomes we set out to achieve. Make a note of any outstanding problems or queries that need to be raised during your next contact session.

Integrated assessment

Now, to conclude this module, we invite you to complete the final activity. We have designed it to assist you to consolidate and integrate the learning in this module, and to apply it in your own school.



This activity is in the form of a 'Systems and Resources Management Health Check', which you should use to evaluate the current state of your school in relation to the areas covered in the module. We encourage you to take this assignment seriously as you will be able to use it as an instrument for improving the management of your school's organisational systems, and its physical and financial resources. We have not specified the time allocation as this will vary from school to school.



This is a summative assessment activity that you should file in your portfolio. It is designed to assess the knowledge, understanding, insight and skills you developed during this module, and your ability to apply that to your own school.

The 'Health Check' will assist you in a number of ways:

- It gives an overview of the key issues that are covered in the module.
- It is a valuable learning tool as it indicates the most important areas that need to be in place and managed to ensure the effective running of your school.
- You will be able to use it to reflect on your learning during this module, and also the way in which you will apply the learning in your own school.
- It will serve as a diagnostic tool that you can use to identify what is already in place in your school.
- You will be able to use the results of the 'Health Check' to identify key areas for improvement.
- You will also be able to use the results as a basis for engaging with members of your school's Management Team, the SGB and others on ways of improving the management of your school.
- Finally, it will serve as a valuable resource in compiling a plan for improving the management of your school and writing your Personal Development Plan. These two documents will be key documents in the portfolio that you will submit for assessment of your overall competence in the ACE programme.

We recommend that you use the questions and checklist provided to conduct the 'Health Check' for your school. The questions and checklist are attached as **Text 33** in the **Reader**. However, you can add additional sections to the template and adapt it to best serve your needs.

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Texts & Templates



READER

Assessment rubric for Manage organisational systems, physical and financial resources	TEXT 1
Leadership competencies (extracts from websites)	TEXT 2
Admission Policy of Forbes High School	TEXT 3
Forbes High School: Safety and Preventative Measures Policy	TEXT 4
Assessment of the maintenance needs of school buildings and other physical resources	TEXT 5
Inventory of school furniture and equipment	TEXT 6
Care and control of physical resources	TEXT 7
Evaluation of security and safety in the school	TEXT 8
Reader - Conditions and criteria for the allocations of functions to Section 21 schools	TEXT 9
A systems model for school financial management	TEXT 10
Financial policy template	TEXT 11
Activities in the budgeting cycle	TEXT 12
Example of a Budget Preparation Form	TEXT 13
Expenditure Budget for the school	TEXT 14
Budget summary	TEXT 15

Income and Expenditure Budget **TEXT 16**

Cash Flow Expenditure Budget **TEXT 17**

Exemption from payment of school fees **TEXT 18**

Example of a cheque **TEXT 19**

Example of a petty cash voucher **TEXT 20**

Example of a school receipt **TEXT 21**

Example of a receipt to record income **TEXT 22**

Process for recording money received by the school **TEXT 23**

Overview of the process of funding the procurement of goods and services **TEXT 24**

Example of an order form **TEXT 25**

Example of an invoice **TEXT 26**

Example of a Cheque Requisition Form **TEXT 27**

Example of a Bank Statement **TEXT 28**

Example of a Bank Reconciliation Statement **TEXT 29**

Example of a Bank Statement Reconciliation Checklist **TEXT 30**

Example of a Variance Analysis **TEXT 31**

Example of an Asset Register **TEXT 32**

'Systems and Resources Management Health Check' **TEXT 33**

TEMPLATES

'Systems and Resources Management Health Check' **TEMPLATE**

Reader

The reader contains a variety of different texts which were referred to in the Learning Guide and which provide the basis of activities or extensions of the discussion in the main text.

Text 1: Assessment rubric for Manage organisational systems, physical and financial resources

See following page.

The level is the mark	LEVEL 1 Minimal Achievement	LEVEL 2 Rudimentary Achievement	LEVEL 3 Commendable Achievement	LEVEL 4 Superior Achievement	LEVEL 5 Exceptional Achievement
<p>Critical Thinking This entails being aware of one's thinking as you perform tasks and using that awareness to monitor and direct what you are doing. It involves making critical choices concerning what to believe or what to do. This also refers to such basic mental tasks as comparing, classifying, predicting, problem solving and decision making that involves a variable but predictable sequence of thinking skills underpinned by constant critique of "what is"</p>	<ul style="list-style-type: none"> ✓ Demonstrates little understanding and only limited comprehension of scope of problem or issues. ✓ Employs only the most basic parts of information provided. ✓ Mixes fact and opinion in developing a viewpoint. ✓ States conclusion after hasty or cursory look at only one or two pieces of information ✓ Does not consider consequences 	<ul style="list-style-type: none"> ✓ Demonstrates only a very general understanding of scope of problem ✓ Focuses on a single issue ✓ Employs only the information provided ✓ May include opinion as well as fact in developing a position ✓ States conclusion after limited examination of evidence with little concern for consequences. 	<ul style="list-style-type: none"> ✓ Demonstrates a general understanding of scope of problem and more than one of the issues involved ✓ Employs the main points of information from the documents and at least one general idea from personal knowledge to develop a position ✓ Builds conclusion on examination of information and some considerations of consequences. 	<ul style="list-style-type: none"> ✓ Demonstrates clear understanding of scope of problem and at least two central issues ✓ Uses the main points of information from the documents and personal knowledge that is relevant and consistent in developing a position ✓ Builds conclusion on examination of the major evidence ✓ Considers at least one alternative action and the possible consequences 	<ul style="list-style-type: none"> ✓ Demonstrates a clear, accurate understanding of the scope of the problem and the ramifications of the issues involved. ✓ Employs all information from the documents and extensive personal knowledge that is factually relevant, accurate and consistent in the development of a position. ✓ Bases conclusion on a thorough examination of the evidence, and exploration of reasonable alternatives, and an evaluation of consequences.
<p>Communication of Ideas This describes how effectively the learner can communicate (represent using any of a variety of media) his or her solution and the thinking and processes behind it.</p>	<ul style="list-style-type: none"> ✓ Position is vague ✓ Presentation is brief and includes unrelated general statements ✓ Overall view of the problem is not clear ✓ Statements tend to wander or ramble. 	<ul style="list-style-type: none"> ✓ Presents general and indefinite position. ✓ Only minimal organisation in presentation ✓ Uses generalities to support position ✓ Emphasises only one issue ✓ Considers only one aspect of problem 	<ul style="list-style-type: none"> ✓ Takes a definite but general position ✓ Presents a somewhat organised argument ✓ Uses general terms with limited evidence that may not be totally accurate ✓ Deals with a limited number of issues ✓ Views problem within a somewhat limited range 	<ul style="list-style-type: none"> ✓ Takes a clear position ✓ Presents an organised argument with perhaps only minor errors in the supporting evidence ✓ Deals with the major issues and shows some understanding of relationships ✓ Gives consideration to 	<ul style="list-style-type: none"> ✓ Takes a strong, well-defined position ✓ Presents a well-organised, persuasive argument with accurate supporting evidence ✓ Deals with all significant issues and demonstrates a depth of understanding of

The level is the mark	LEVEL 1 Minimal Achievement	LEVEL 2 Rudimentary Achievement	LEVEL 3 Commendable Achievement	LEVEL 4 Superior Achievement	LEVEL 5 Exceptional Achievement
				examination of more than one idea or aspect of the problem	important relationships ✓ Examines the problem from several positions
<p>Knowledge of managing organizational systems, physical and financial resources</p> <p>This describes the extent to which the learner has sufficient knowledge and the ability to find appropriate information.</p>	<ul style="list-style-type: none"> ✓ Reiterates one or two facts without complete accuracy ✓ Deals only briefly and vaguely with the relevant content knowledge needed to manage organizational systems, physical and financial resources ✓ Barely indicates any previous knowledge of financial accounting principles and practices ✓ Relies heavily on the information provided. 	<ul style="list-style-type: none"> ✓ Provides only basic facts with only some degree of accuracy ✓ Refers to information to explain content knowledge relevant to managing organizational systems, physical and financial resources without complete accuracy. ✓ Limited understanding of financial accounting principles and practices ✓ Major reliance on the information provided 	<ul style="list-style-type: none"> ✓ Relates only major facts to the basic issues with a fair degree of accuracy ✓ Explains the content knowledge needed to manage organizational systems, physical and financial resources with substantive support ✓ Uses general ideas of financial accounting principles and practices with a fair degree of accuracy 	<ul style="list-style-type: none"> ✓ Offers accurate analysis of the documents ✓ Provides facts to relate to the major issues involved in managing organizational systems, physical and financial resources ✓ Uses previous knowledge of financial accounting principles and practices to examine issues surrounding effective resource and systems management practices 	<ul style="list-style-type: none"> ✓ Offers accurate analysis of the information and issues. ✓ Provides a variety of facts to explore major and minor issues surrounding optimal and effective management of organizational systems, physical and financial resources ✓ Extensively uses their understanding and knowledge of financial accounting principles and practices to supervise, interpret and analyse systems and resource management practices.
<p>Observation</p> <p>This describes the extent to which the learner identifies something as a problem and becomes engaged in solving it.</p>	<ul style="list-style-type: none"> ✓ Minimally completes the task with fragmented results- may need redirection in the future. ✓ Displays a decontextualised and uncritical approach to 	<ul style="list-style-type: none"> ✓ Partially completes the task with minimal or perfunctory effort. ✓ References to resource allocation and distribution of resources are made, but the connection to 	<ul style="list-style-type: none"> ✓ Substantially completes the task, with some ideas or concepts missing. ✓ The observer's opinion is informed by a basic knowledge of quality improvement, management and assurance 	<ul style="list-style-type: none"> ✓ Completes the task in an incisive and thorough manner. ✓ Reflects a thorough grasp of the principles of quality improvement, management and 	<ul style="list-style-type: none"> ✓ Makes fulfilment of the task a creative expression. ✓ Reflects extensive commitment to and understanding of the principles of quality improvement,

The level is the mark	LEVEL 1 Minimal Achievement	LEVEL 2 Rudimentary Achievement	LEVEL 3 Commendable Achievement	LEVEL 4 Superior Achievement	LEVEL 5 Exceptional Achievement
	<p>the generation of funds and distribution of resources</p> <ul style="list-style-type: none"> ✓ The observer's opinions regarding resource allocation and distribution the management of systems and resources are not based on events that can back them up. ✓ It is difficult for the reader to gain an idea of what the situation or setup is like. ✓ Minimal awareness that management of systems and resources is needed 	<p>the situation / setup being observed may not be clear.</p> <ul style="list-style-type: none"> ✓ The learner seems unsure about what to look for. ✓ There is an attempt to describe the situation or setup being observed, but the reader may not gain a clear picture. ✓ Partial awareness of the crucial place, value and function of equitable resource use and systems management 	<ul style="list-style-type: none"> ✓ At least one clear reference is made to applied diversity management ✓ The reader gains a basic understanding of the situation / setup being observed. ✓ Satisfactory display of a basic awareness of the crucial place, value and function of equitable resource use and effective systems management 	<p>assurance</p> <ul style="list-style-type: none"> ✓ Evidence of the factual knowledge required to solve problems is displayed. ✓ Critical judgments are clear and reader gains an insight into the situation / setup being observed. ✓ Able to analyse choices made and observe the effect of marginalisation through the allocation of resources and management of systems 	<p>management and assurance</p> <ul style="list-style-type: none"> ✓ Observations are insightful and based on careful analysis and observation. ✓ Observational criticism is clearly stated and is based on supportive examples. ✓ The reader gains a clear picture of the situation /setup and an understanding of the observer's point of view. ✓ Insightful and in depth observation which describes the contradictions, harmonies and tensions resulting from the choices made concerning use and management of resources and systems.
<p>Reflection This refers to any reflexive thinking i.e. thinking before, during and after any process/ performance/ product / presentation</p>	<ul style="list-style-type: none"> ✓ Vague, simple, mechanical reflections ✓ Focuses mainly on surface features ✓ No examples provided, purposeless ✓ One-dimensional, superficial reflections provided (e.g. I like.../I don't like...) ✓ The learner is able to 	<ul style="list-style-type: none"> ✓ Developing an attitude of ownership towards the reflective management of systems and resources ✓ Two-dimensional reflections provided (e.g. describes performances/processes with some 	<ul style="list-style-type: none"> ✓ Although able to identify strengths and weaknesses, they act on evaluation results in a general, roundabout way instead of getting to the core of whatever problems there are immediately ✓ Although the learner seems to want to optimise financial management practice, they 	<ul style="list-style-type: none"> ✓ Reflections and diagnostic strategies made are mostly specific (who, what, where, when, how, why) and insightful ✓ Learners are able to reflect on specific features of an organisational system and if they discover 	<ul style="list-style-type: none"> ✓ Analysis of and reflection on strengths and weaknesses have depth to them ✓ Diagnostic strategies after systems or resource management evaluations lead to suggestions that are specific (who, what, where, when, how,

The level is the mark	LEVEL 1 Minimal Achievement	LEVEL 2 Rudimentary Achievement	LEVEL 3 Commendable Achievement	LEVEL 4 Superior Achievement	LEVEL 5 Exceptional Achievement
	<p>reflect on his or her own decisions but takes little or no responsibility for problems or conflicts arising.</p> <ul style="list-style-type: none"> ✓ Doesn't seem honest or is not accurate when reflecting on events that have transpired ✓ There seems to be no ownership of problems and therefore no problem solving abilities are displayed ✓ Attitude is one of executing policy in an uncritical manner ✓ Does not seem to be aware of the need to set goals in improving the professional skills of self, groups and individuals. ✓ Hard to read, not organized well 	<p>specifics but includes no insights)</p> <ul style="list-style-type: none"> ✓ He or she may reflect on a number of systems or resource management strategies employed, but may not be able to explain why any one was more effective than the other. ✓ Reflects on what would be the ideal organizational system or physical and financial resource setup but not both ✓ Displays little responsiveness – mainly concerned about control and compliance procedures ✓ Some inferences need to be made as to what the learner means a lot of the time 	<p>are not able to define or clarify the problem areas due to a seeming reluctance to adopt an attitude of asking probing questions of themselves , their existing organisational systems, and regular consultation with others.</p> <ul style="list-style-type: none"> ✓ In reviewing resource management problems, the learner may have an unrealistic view of his or her contribution and tend to show little or no sense of individual responsibility when it comes to financial management (i.e. most comments are about they, he or she, rather than I and we). ✓ Exercises an attitude of responsiveness but on the level of basic control and compliance ✓ Demonstrates an awareness of the need to set goals in achieving optimal systems and resource management practices. 	<p>evidence that they are on the wrong track, are capable of admitting it and changing direction or tactic.</p> <ul style="list-style-type: none"> ✓ They can analyse what worked and speculate about other choices that might have been more effective. ✓ He or she demonstrates ownership of the burden of financial management and organisation and often refers to "I" and "we" when writing about possible future strategies and not "they", "he" or "she" ✓ They adopt an attitude of responsiveness to the changing needs of the environment ✓ Able to set appropriate and achievable goals as a result of in-depth reflection 	<p>why) and always manage to penetrate to the heart of the issue</p> <ul style="list-style-type: none"> ✓ Self-reflection practices are probing and the possible effects of their weaknesses on management abilities, professional interactions and/or understanding of technical financial problems are evaluated. ✓ The learner is able to refer to specific strategies, or incidents, in evaluating the strengths and weaknesses of the management of systems or resources. ✓ Able to apply the procedures in a contextually relevant yet ethical way ✓ He or she recognises when something is awry and is motivated to seek the appropriate information or solutions to improve it
Application	<ul style="list-style-type: none"> ✓ Lacks sufficient knowledge and skills 	<ul style="list-style-type: none"> ✓ Applies knowledge and skills to manage 	<ul style="list-style-type: none"> ✓ Applies knowledge and skills to manage 	<ul style="list-style-type: none"> ✓ Skills and knowledge are applied to manage 	<ul style="list-style-type: none"> ✓ The learner is highly motivated, confident

The level is the mark	LEVEL 1 Minimal Achievement	LEVEL 2 Rudimentary Achievement	LEVEL 3 Commendable Achievement	LEVEL 4 Superior Achievement	LEVEL 5 Exceptional Achievement
<p>This describes the extent to which the learner knows and uses appropriate problem solving strategies</p>	<p>to manage organisational systems, and physical and financial resources even with guidance</p> <ul style="list-style-type: none"> ✓ Little evidence of the personal and/or professional qualities and skills necessary to manage organisational systems, and physical and financial resources ✓ Strategy for setting up, implementing, maintaining and evaluating these systems are impractical or may not be based on the framework of GAAP ✓ Little to no evidence of the learner being able to manage and take responsibility for the financial resources of the institution 	<p>acceptable organisational systems, and physical and financial resources but needs guidance</p> <ul style="list-style-type: none"> ✓ Evidence of a few of the personal and professional qualities and skills necessary to manage organisational systems, and physical and financial resources ✓ Communication, information management and administration systems implementation plans are inferred (some evidence) but strategies might prevent transparency and/or accountability ✓ Evidence of being able to manage financial resources, but responsibility tends to be deferred to others ✓ Fails to provide suggestions for improvement or may attempt to search for quick-fixes in solving problems. 	<p>organisational systems, and physical and financial resources in an acceptable way</p> <ul style="list-style-type: none"> ✓ Demonstrates many of the personal and professional qualities and skills necessary to manage organisational systems, and physical and financial resources (integrity, fairness, flexibility, ability to anticipate and solve problems, etc.) ✓ Develops a simple yet appropriate operational system for communication, information management and administration systems but the tactics needed to achieve this are not always clear ✓ Financial resources are responsibly managed but affairs are not always transparent ✓ Provides some suggestions for improvement when developing operational plans 	<p>effective organisational systems, and secured physical and financial resources</p> <ul style="list-style-type: none"> ✓ The learner shows an interest in financial management strategies like planning and organising fundraising and marketing strategies ✓ Demonstrates most of the personal and professional qualities and skills necessary to manage organisational systems, and physical and financial resources (integrity, fairness, flexibility, ability to anticipate and solve problems, etc.) ✓ Sets up, implements, maintains and evaluates communication, information management and administration systems which are well-thought through and logically reasoned and which supports their aims ✓ Financial resources are responsibly 	<p>and effective in applying their skills and knowledge to manage efficient organisational systems, and physical and financial resources</p> <ul style="list-style-type: none"> ✓ The learner is willing to explore unique and unusual procedures in the planning and organising of financial management practices like fundraising and marketing strategies, ✓ Demonstrates a wealth of personal and professional qualities and skills necessary to manage organisational systems, and physical and financial resources (integrity, fairness, flexibility, ability to anticipate and solve problems, etc.) ✓ Sets up, implements, maintains and evaluates communication, information management and administration systems in a clearly focused, complete and thoughtful

The level is the mark	LEVEL 1 Minimal Achievement	LEVEL 2 Rudimentary Achievement	LEVEL 3 Commendable Achievement	LEVEL 4 Superior Achievement	LEVEL 5 Exceptional Achievement
				<p>managed in a transparent and accountable way</p> <ul style="list-style-type: none"> ✓ Useful suggestions are provided for improvement of identified areas 	<p>manner.</p> <ul style="list-style-type: none"> ✓ Financial resources are effectively managed in a transparent and accountable way ✓ Provides detailed and perceptive suggestions for improvement

Text 2: Leadership competencies (extracts from websites)

Leadership Competencies

Despite the fact that trait and behavioural theories of leadership have proved unsuccessful in isolating a definitive set of leader characteristics, the competency approach to leadership development and assessment is becoming increasingly widespread. Leadership standards, qualities and/or competency frameworks now form the basis of the management development and review processes within most large organisations.

Leaders are usually perceived to act as an energiser, catalyst and visionary equipped with a set of abilities (communication, problem-solving, people management or decision-making) that can be applied across a diverse range of situations and contexts.

In addition to 'soft' skills, the leader is also expected to display excellent information processing, project management, customer service and delivery skills, along with proven business and political acumen. They build partnerships, walk the talk, show incredible drive and enthusiasm, and get things done. Furthermore, the leader demonstrates innovation, creativity and thinks 'outside the box'. They are entrepreneurs who identify opportunities – they like to be challenged and they are prepared to take risks.

Qualities such as honesty, integrity, empathy, trust and valuing diversity are well regarded by followers. The leader is expected to show a true concern for people that is drawn from a deep level of self-awareness, personal reflection and emotional intelligence.

Whilst personal qualities of the leader are undoubtedly important they are unlikely to be sufficient in themselves for the emergence and exercise of leadership. Furthermore, the manner in which these qualities translate into behaviour and group interaction is likely to be culturally specific and thus depend on a whole host of factors, such as the nature of the leader, followers, task, organisational structure and wider environment.

Further details are available at www.drc-gb.org/about_us/leadership.

Generic Management and Leadership Frameworks: CEML Framework of Management and Leadership Abilities

The Council for Excellence in Management and Leadership conducted an extensive piece of research using primary and secondary data sources to identify a key set of management and leadership abilities (Perren and Burgoyne, 2001). The resultant framework identified 83 distinct management and leadership abilities (condensed from an initial list of 1013), which were grouped into three generic categories and 8 meta-groups. The categories and meta-groups are:

- Thinking Abilities: Think Strategically;
- People Abilities: Manage self, Manage and lead people, Lead direction and culture, Manage relationships; and

- Task Abilities: Manage information, Manage resources, Manage activities and quality.

The full report can be downloaded from the [Council for Excellence in Management and Leadership](#).

National Occupational Standards in Management and Leadership

These NOS act as a benchmark for effective practice and form the basis of NVQ and SVQ awards in management. A revised framework is due to be introduced soon and divides management and leadership into six key functions: providing direction, facilitating change, achieving results, working with people, using resources, and managing self and personal skills. For each of these elements the framework defines outcomes, behaviours, knowledge and understanding, and skills.

Further details are available from the [Management Standards Centre](#).

Investors in People Leadership and Management Model

The IIP Leadership and Management Model sets out a framework for the assessment of leadership and management capabilities in relation to the new 'leadership and management' dimension of the Investors in People Award. There are four main principles (commitment, planning, action and evaluation) each with associated indicators.

Further details can be found at [Investors in People](#).

EFQM Business Excellence Model

The European Foundation for Quality Management Award is an internationally recognised quality award based around business processes, of which one is leadership. The leadership dimension is a key 'enabler' and covers the following four areas:

- Leaders develop the mission, vision and values and are role models of a culture of excellence;
- Leaders are personally involved in ensuring the organisation's management system is developed, implemented and continuously improved;
- Leaders are involved with customers, partners and representatives of society; and
- Leaders motivate, support and recognise the organisation's people.

Further information is available from [EFQM](#).

Institute of Chartered Management - Chartered Management Skills

Chartered Manager candidates need to demonstrate (and provide evidence of) learning, development and impact in the workplace against two of these six categories: Leading People, Meeting Customer Needs, Managing Change, Managing Information and Knowledge, Managing Activities and Resources, and Managing Yourself.

More information can be obtained from the [Chartered Management Institute](#).

Public Sector Leadership and Management Frameworks (Senior Civil Service Competency Framework)

This framework sets out key attributes that have been identified by Civil Service Corporate Management as required for the Senior Civil Service (SCS). There are six main sets of competences, each with a series of related behaviours. The competencies are as follows: Giving purpose and direction, Making a personal impact, Thinking strategically, Getting the best from people, Learning and improving, and Focusing on delivery.

More information can be obtained from the [Cabinet Office](#).

Defence Leadership Centre Helix Model

The Leadership Helix Model has been recently developed by the Defence Leadership Centre to act as a basis for the development of leadership attributes in the armed forces. It comprises nine qualities: integrity, vision, communication, professional knowledge, decision-making, innovation, focussed on development, humility and an unspecified quality.

For more information go to [Defence Academy of the UK](#).

EO for Local Government - Compendium of Competencies

The Employers' Organisation for local government's (EO) role is to help councils achieve the high standards of people management needed to ensure the continuous improvement of services. Their website includes a compendium of leadership competencies developed by and/or used by local authorities across the UK. These have been classified into 20 different categories, including: Change, Communication, Corporate Focus, Customer Focus, Decision-Making, Equality and Diversity, Focus on Results, Impact and Influence, Information Management, Integrity, Leading People, Partnerships, Personal Management and Drive, Political Awareness, Project and Process Management, Resource Management, Safety, Service Improvement, Strategic Focus, and Team Building.

More details can be obtained from www.lgemployers.gov.uk/skills/leadership_comp.

NHS Leadership Qualities Framework

The NHS Leadership Qualities Framework, developed by the NHS Leadership Centre, identifies 15 key qualities (personal, cognitive and social) across three broad clusters: Personal qualities, Setting direction and Delivering the service.

- Personal qualities: Self belief, Self awareness, Self management, Drive for improvement, Personal integrity;
- Setting direction: Seizing the future, Intellectual flexibility, Broad scanning, Political astuteness, Drive for results; and
- Delivering the service: Leading change through people, Holding to account, Empowering others, Effective and strategic influencing and Collaborative working.

Full details on the framework are available from the [NHS](#).

Material cited with permission from:

- Bolden, R. (2004) *What is Leadership?* Leadership South West Research Report, Centre for Leadership Studies, July 2004.
- Bolden, R., Gosling, J., Marturano, A. & Dennison, P. (2003) *A Review of Leadership Theory and Competency Frameworks. Report for Chase Consulting and the Management Standards Centre.* Centre for Leadership Studies, June 2003.
- For further details you can visit the website www.leadership-studies.com.

Text 3: Admission Policy of Forbes High School

[Adopted by the SGB in terms of Section 5(5) of the SASA act.]

1. Interpretation

In this policy document, unless the context indicates otherwise:-

- 1.1. the Act means the South African Schools Act No. 84 of 1996 (as amended);
- 1.2. Educator means any person, excluding a person who is appointed to exclusively perform extracurricular duties, who teaches, educates or trains learners at the School who has not been appointed by the Governing Body of the School;
- 1.3. Feeder Zone means the school is the closest school to the parents' place of residence
- 1.4. Learner means any person receiving education or obliged to receive education in terms of the Act;
- 1.5. Parent means:
 - 1.5.1. the parent or guardian of a learner;
 - 1.5.2. the person legally entitled to custody of a learner; or
 - 1.5.3. a person who undertakes to fulfill the obligations of a person referred to in paragraphs 1.5.1 and 1.5.2 towards the Learner's education at the School;
- 1.6. the School means the [Name of] School.

2. Documents Required for the Admission of a Learner

- 2.1. The Parent/s must fully complete and sign an application form for the admission of a Learner in the form prescribed by the School from time to time. The application form together with the additional documents described in sub-paragraph 2.2 below shall be delivered to the school prior to 16h00 on June30, provided that in the event that the said day falls on a Saturday or Sunday, the application form and additional documents described in sub-paragraph 2.2 shall be delivered prior to 16h00 on the first business day thereafter. Preference shall be given to applicants whose applications are complete and have been submitted timeously. Late and/or incomplete applications may be disregarded.
- 2.2. When a Parent applies for the admission of a Learner, the Parent must present:
 - 2.2.1. an official birth certificate of the Learner;
 - 2.2.2. proof that the Learner has been immunised against the following communicable diseases, namely, polio, measles, tuberculosis, diphtheria, tetanus and hepatitis B;
 - 2.2.3. a copy of the last report card issued by the previous school of the Learner or other equivalent documentation from the previous school;
 - 2.2.4. an authority, duly executed by the Parent, authorising the previous school/s attended by the Learner to supply information concerning the Learner;
 - 2.2.5. the School's application form duly completed and signed;
 - 2.2.6. such additional documents as may be prescribed by the School from time to time.

2.3. A Parent shall be entitled to submit, together with the application, such additional documentation that may demonstrate compliance with the admission criteria described herein below.

3. Maximum Number of Learners

Based *inter alia* on the number of Educators and the School's facilities, the School shall not admit more than 35 Learners per class at any time, or the provincial or national norm, should that change.

4. Admission Criteria

4.1. Preference will be given to Learners who reside in the feeder zone and secondly those whose parents/guardians work in the feeder zone.

4.2. In the event that after the application of the criteria referred to in subparagraph 4.1 applicants are equal, preference will be given to Learners disadvantaged as a result of unfair discrimination in the past.

5. Appeal

The Learner or Parent of Learner may appeal against the decision to refuse admission to a learner to the Member of the Executive Council in terms of Section 5(9) of the Act.

6. Period of Admission

The future admission of a Learner to grade 8 or grade 9 shall be for grade 8 and grade 9 only. Such Learners shall again have to apply for admission to grade 10. The admission criteria set out herein shall apply *mutatis mutandis* for the admission of Learners to any grade.

Text 4: Forbes High School: Safety and Preventative Measures Policy

CONTENTS

1. Designated portfolios
2. Lists of assigned duties for employers
3. Lists of responsibilities and assigned duties for employees
4. An appreciation of the school and its surrounds
5. Safety precautions to be followed during extra-mural activities
6. Safety precautions to be followed during official school hours
7. Rules governing the use of the school's facilities by outside parties
8. Action to be taken in the event of an accident at school and while under supervision, i.e. during official activities
9. Rules governing the use of school transport
10. Rules governing the maintenance of school transport
11. Procedures to be followed if involved in a road accident while transporting school children
12. Safety precautions to be enforced before, during and after learners have used public transport to and from school
13. The use of machinery at school
14. Procedure to be followed when contractors or outside labour is being utilised
15. Safety equipment
16. Evacuation procedures
17. School functions
18. Vehicles in school grounds
19. Electrical installations
20. Access and searches
21. Names, addresses, telephone numbers of trauma units and, ambulance services

[Note: The contents page of the Forbes High School: Safety and Preventative Measures document should give an overview of all of the areas that should be covered with regard to the safety of people at your school or on your school premises. What other areas can you think of that should be added to this list?]

INTRODUCTION

This document serves as a set of guidelines and a checklist to assist members of the Forbes High School staff to help the school create a safe environment for its learners, visitors and personnel. In accordance with the requirements of the Occupational Health and Safety Act, the staff will endeavour to follow the safety requirements as presented in this document, to the best of their ability and as far as is reasonably possible.

DETAILS OF SAFETY PRECAUTIONS AND PREVENTATIVE MEASURES

1. Designated portfolios

Portfolios relating specifically to matters of safety will appear under each separate heading in this policy document.

Any staff member who is in charge of a specific portfolio must assume responsibility for that activity or portfolio and must also ensure that if he/she is absent during the said activity that the necessary safety precautions have been carried out by those who have been left in charge. At no time may a learner be given this responsibility. While delegation of work is encouraged, the act of delegation does NOT remove the accountability from the educator in charge of the specific portfolio or activity. The educator in charge must therefore be clear and concise when giving instructions relating to aspects of safety. The use of written memorandums is encouraged.



[Note: The questions and activities in this annexure have been placed in boxes so that they are distinguishable from the text of the policy document.]

The introduction suggests that the members of staff, rather than the school leader, are primarily responsible for safety measures being introduced in a portfolio. How do you think the safety committee at Forbes High School justifies this?

If the members of staff are responsible, list the procedure that the school leader should introduce to ensure that every member of staff is aware of the contents of the safety and security policy, and of their roles and responsibilities.

The following portfolios relate specifically to aspects of general safety:

- Executive Safety Officer: A designated member of staff.
- Safety Committee:
 - ▶ The site manager;
 - ▶ The executive safety officer;
 - ▶ A designated member of staff; and
 - ▶ A member of the SGB.

The executive safety officer and the safety committee need to meet at least once per term.

2. Assigned duties of employers

The Employers shall be known as the Governing Body of Forbes High School. They need to support the efforts of the safety committee to help ensure a reasonably safe environment for those connected with the school. This can be done in the following way:

- Wherever possible make funds available to maintain the safety requirements of the school;
- Read the minutes of the safety committee meetings;

- Register its employees (those paid by the governing body) with the Department of Labour; and
- Make recommendations to the safety committee.

3. Responsibilities and duties of employees

All employees are expected to make a reasonable effort to maintain the safety regulations. Specific responsibilities are given to those in charge of portfolios. The safety committee however, is responsible for ensuring that safety measures are maintained and that continuous safety checks are carried out in the following areas:

- Use of safety clothing worn by ground staff
- Fire fighting equipment
- Electrical equipment
- Electrical installations
- Storing of chemicals
- Vehicles
- Movement of learners
- Evacuation drills
- Transportation
- Facilities, furnishings and windows
- Potentially dangerous activities
- Precautionary measures
- Rules for the driving of vehicles on school property
- Sports equipment
- The swimming pool area and access thereto
- Access control
- Safety of learners
- Emergency training
- Appropriate signage
- Playground duties.



List any other duties you think should be added to this list.

Specific duties assigned to the safety committee are as follows:

3.1 THE SITE MANAGER (GROUNDSPERSON)

- Maintenance of vehicles
- Maintenance of tools and machinery under his control
- Maintenance of buildings and grounds
- Safety equipment used by ground staff
- Fire fighting equipment (service and inspection thereof)
- Users of potentially dangerous equipment have received the relevant training
- Instructions as to when mowing, gardening and other potentially dangerous activities may take place are in writing
- Control the storage, use and access to chemicals and poisons
- Take reasonable precautions to avoid contamination when using insecticides or fertilizers on school playgrounds

- Ensure that all instructions are adhered to when using hazardous substances
- Place warning signs where inflammable substances are stored
- A list of potential common poisons and first aid measures should be placed in the medical kit
- The telephone numbers of the emergency medical services, poisons help line and fire brigade should be available on the school cell phone and visible in the site manager's office.

3.2 THE EXECUTIVE SAFETY OFFICER

- Arrange meetings with the Safety Committee
- Ensure minutes are kept
- Maintain a constant checking system of all aspects of safety as specified in this document
- Organise evacuation drills
- Keep records of procedures to be followed and all relevant forms required by the Department of Labour and the Education Department regarding accidents on duty
- Report any breach of safety to the principal.

3.3 OTHER MEMBERS OF THE SAFETY COMMITTEE

- Support the Executive Officer and assist him wherever possible
- Offer suggestions and solutions to any problems that may occur
- Help in the control of safety in areas that the Executive officer delegates
- Attend meetings of the Safety Committee.

THE SAFETY COMMITTEE WILL MAKE CERTAIN RECOMMENDATIONS TO THE STAFF REGARDING ASPECTS OF SAFETY. IT IS THE RESPONSIBILITY OF EACH STAFF MEMBER TO ENSURE THAT THE RECOMMENDATIONS ARE CARRIED OUT.

THE SAFETY COMMITTEE DOES IN NO WAY REPLACE THE RESPONSIBILITY PLACED ON STAFF TO ENSURE THE SAFETY OF THOSE UNDER THEIR CONTROL.



- Explain who you think should take up the role of safety officer at your school.
- Draw up the duties of the groundsman at your school.
- Design an evacuation procedure for your school in case of fire or other threats.
- What action would you deem to be appropriate if a member of staff does not follow the safety committee's recommendations?

4. Appreciation of the school and its surrounds

The school is situated in a high traffic zone and every reasonable precaution needs to be taken to ensure the safety of all learners when they arrive or leave the premises.

5. Safety precautions to be followed during extramural activities

The following is a checklist that should be followed BEFORE any extra mural activity takes place:

- No motor cars are parked near the fields of play.
- The field is clear of any dangerous objects.
- Seating is placed well clear of the field of play so as not to cause a danger to players.
- Playing equipment such as goalposts, nets, rugby poles, uprights, balls and any other equipment is safe and will not be a danger to players or spectators.
- Spectators are a safe distance away from the field of play and are not seated or standing in a position that could be regarded as a risk to themselves or the players e.g. behind the goalposts, or close to the touchlines. Wherever possible an area should be clearly marked for the use of spectators.
- Safety equipment should be in place at all times e.g. the padding around rugby posts, and body protection equipment that form part of the essential playing kit as prescribed in the rules of each sport or activity.
- Coaches must ensure that sufficient warm-up has taken place before a training session or match begins.
- NO extra-mural activity may take place unless an educator or appointed coach is present.
- The rules that govern a particular sport or activity must be adhered to at all times.
- No learner may play with or against another learner from a different age group unless written consent has been received from the parent concerned.
- Only full time learners at this school may represent the school during matches unless prior written consent has been received.
- NO learner may take part in sport if he or she is injured or sick.
- During practices a medical kit must be close at hand.
- If a learner sustains a suspected serious injury, the procedure explained in 8.b should be strictly followed.
- The following equipment must be available when a match is played:
 - ▶ A First Aid Kit, including latex gloves;
 - ▶ Water and ice;
 - ▶ Keys to gain access to a telephone; and
 - ▶ Trauma board and neck brace.
- During rugby matches, qualified first aid personnel must be on duty at the ground. If there are no such personnel available, the match must NOT take place. There should be access to paramedics and an ambulance.
- For activities that take place at night the school must be sufficiently illuminated so as to allow an easy access into and out of the school.
- During athletics practices and meetings, there must be a staff member on duty at each event. Throwing events must be carefully monitored to ensure the safety of all. The regulation safety measures must be carefully explained to all concerned by the educator in charge of Athletics.
- Educators must ensure that they arrive timeously to practices or matches so that learners are not left unattended.
- Educators must ensure that they clearly communicate the instruction that no learner may play with any equipment unless a staff member or designated coach is present.

- If the person in charge of an extra mural activity is a not a member of the full time educator staff, parents must be notified of this in writing by the educator in charge of that activity.



- There are a large number of precautions listed here. Highlight those that you believe to be unnecessary or unreasonable given your specific circumstances.
- Add any others precautions that you can think of.

6. Safety precautions to be followed during official school hours

- The school's code of conduct must be consulted in this regard and should be adhered to at all times. The code of conduct's primary function is to ensure the safety of learners at school.
- Class teachers must ensure that all learners have a copy of the Code of Conduct. A copy must be pinned to the class teacher's notice board.
- The Code of Conduct needs to be periodically scrutinised by the Safety Committee and amended when necessary.
- It is the duty of each and every staff member to ensure that learners follow the regulations as laid down in the Code of Conduct.
- Apart from the school rules in the Code of Conduct, all educators are reminded of the following:
 - ▶ No class may be left unattended at any time.
 - ▶ Educators are to vacate the staff room when the bell is rung at the start of school, and at the end of breaks. This is to ensure that learners are not left unattended in or outside classrooms.
 - ▶ Educators are to ensure that they know when they are on break duty and that they fulfil their duty obligation by patrolling the playground during breaks.
 - ▶ Duty lists appear on the staff notice board.
 - ▶ If a staff member is absent from school, the educator in charge of substitution must inform the learners other staff members and the rules governing substitution and staff absenteeism must be adhered to. No learners may be left unattended during formal contact time.
 - ▶ Educators must use the utmost caution when working with equipment, machinery, chemicals and apparatus. They must at all times follow the safety guidelines as given in their subject's syllabus.
 - ▶ No learner may use any machinery or equipment unless in the presence of an educator, providing that the educator is sure that the learner is competent and able to use that equipment and that all the necessary safety precautions have been taken.
 - ▶ Storage of chemicals must comply with nationally approved safety regulations. Subject educators must ensure that they know what the safety regulations are.
 - ▶ Educators must report any breakages/hazards by completing the Site Manager's maintenance book. The Site Manager must check this book daily and immediately fix that which constitutes a threat to safety. Any problem in this regard must be reported to the executive officer.
 - ▶ All gates surrounding the school must be kept locked during the duration of the school day. The security guard on duty controls access to the school.

- ▶ NO visitor is allowed on the school premises without a visitor's card. Any person who sees a stranger on the school premises, should contact the office immediately.
- ▶ If an educator notices that a child is ill, is behaving in a strange manner, has a rash or spots, has lice or nits then that child must be sent to the office immediately, with a note from the educator. Educators are reminded to be discreet in such instances. A list of learners who suffer from diabetes, asthma or epilepsy must be noted on the SIMS programme and available to all staff.
- ▶ All other information regarding safety during school hours can be found in this document.
- ▶ No machinery such as lawnmowers and bush cutters may be used during break times or when there are learners on the fields.
- ▶ If floors are being washed or polished, a signboard must be on the floor, warning users that the floor is wet and slippery. These signs must be placed at all entrances to that section.



As you can probably see, in many ways your school functions according to the safety regulations that are in place. Nothing can be taken for granted. The school leader and members of staff can be held liable if there is proof of negligence.

Discuss this view and cite some examples of negligence you are aware of.

7. Rules governing the use of the school's facilities by outside parties

- The school's facilities may NOT be used by the general public unless the principal has granted special permission to a specific request. Under these circumstances, the individual or group must be given written approval from the school. This approval must contain an indemnity clause that removes any responsibility from the school and that the party or parties use the school's facility at their own risk. The indemnity clause should read as follows: Any outside parties making use of the school's facilities use such facilities at their own risk and the school indemnifies itself against any costs, damage, claims or suits of whatsoever nature arising directly or indirectly from any activities on school premises. Any damage done while the school is being hired is to the hirer's account.
- All gates should be locked after school hours. This includes entrances to the sports fields, courts and Tennis courts.
- Clear signboards should be visible to the general public and should clearly state that the school's facilities are not for general public use. These signs should be placed at all entrances to the school and its facilities.

8. Action to be taken in the event of an accident at school:

Any staff member must take all reasonable steps to ensure that injured persons receive prompt first aid treatment in the case of injury or emergency. Accidents are divided into two categories: Minor accidents and Major accidents.

A. MINOR ACCIDENTS

Either provide First Aid at the scene or take the child to the office. If the child is bleeding, latex gloves must be worn (refer to the school's HIV and AIDS policy). Communication with the parents should take place.

B. MAJOR ACCIDENTS

These are defined as injuries that are serious enough to warrant medical attention by a doctor. If there is any doubt, as to the seriousness of the injury, adhere to the following instructions:

- If it is a suspected neck or back injury do not move the patient.
- If the patient has stopped breathing, administer artificial respiration and/or CPR.
- Make the patient as comfortable and as calm as possible.
- If there is a suspected fracture, try not to handle this area.
- If you are unable to leave the patient, send a responsible person to alert the office. It may not be necessary to call the emergency services, but in all cases where the patient has lost consciousness, has stopped breathing, needs CPR, or has a suspected back/neck injury, this **MUST** be done. The parents must also be contacted.

A first aid kit must be kept in the sickroom and should contain essential first aid equipment for the treatment of minor injuries. It must always include a pack of new latex gloves. Medication should not be administered.



Once again it is clear that each member of staff has a vital role to play when administering first aid. What other processes could be in place to ensure that a patient receives adequate attention?

9. The use of school transport

- Only those in possession of a valid Driver's Licence and Public Driver's Permit may drive a school bus.
- The Site Manager is responsible for the safety of the vehicles.
- Each vehicle must be equipped with a Log Book. This book is to be stored with the bus keys and must be completed after every trip. The following information must be given:
 - ▶ Driver's name
 - ▶ Destination
 - ▶ Distance travelled
 - ▶ Complaints/comments.

The complaints column is very important. Any problem the driver may have had with the vehicle must be reported here. The problem must be sorted out before the bus is used again. The Site Manager must check this book every morning and rectify the complaint. If the complaint is of a mechanical nature, the bus must be sent to the local garage to be fixed, before it is used again.

- The driver of the bus must ensure that all passengers remain seated and well behaved at all times.
- Before the driver leaves the school he/she should check the following:

- ▶ That there is sufficient fuel
- ▶ That the tyres and lights are roadworthy
- ▶ That there is oil and water
- ▶ That the logbook is up to date and that the complaints have been rectified
- ▶ That there are latex gloves in the First Aid Kit.

The Site Manager must check these five points every morning and indicate in the Log Book that this has been done.



Many schools make use of public transport – such as taxis and busses – when learners are transported to a fixture, outing or tour. There is a specific checklist that needs to be administered before the journey can be undertaken. In point form, explain what information needs to be gathered about the vehicle and the driver.

10. Maintenance of school transport

Apart from the safety mechanisms given in 9 above, the Site manager must ensure that the buses are sent for a service every 15 000 km.

11. Procedures to be followed if involved in a road accident

The assumption here is that the driver is able to carry out the following:

- Switch off the engine.
- Apply the handbrake.
- Do not remove the injured immediately unless in danger.
- Ascertain the extent of the injuries (if any) and give immediate attention to the injured. Seek assistance from any nearby source.
- If necessary ask for the emergency services to be contacted.
- Contact the school as soon as possible, and give a brief synopsis of the extent of injuries and where the injured have been transported to. If after hours, contact the Principal.
- Give a clear description of where the accident took place.
- Report the accident to the S.A.P.S.
- If another vehicle is involved, make sure you obtain the registration number of the vehicle(s), the name and address of the driver or company, and the names, telephone numbers and addresses of witnesses. Do not make any statements to the press or any bystander.
- Make sure that the passengers are kept out of further danger. Under no circumstances should passengers be in the road or around the vehicle (unless of course they cannot be moved).
- All accidents, no matter how small, must be reported to the school.



It is therefore necessary for the member of staff in charge to either travel on the same vehicle as the learners, or at least follow closely behind in another. The learners cannot travel alone. Is this practical?

12. The use of machinery at school

All machinery must be used with the utmost caution and should only be used under the following conditions:

- All machinery used by the ground staff must be regularly checked by the Site manager and all faults should be rectified immediately.
- No person may use any machinery that has been declared unsafe.
- Equipment and appliances in the laboratories may only be used under the supervision of an educator providing that the educator is satisfied that the user is trained and competent and that the equipment has all the required safety guards and emergency switches.
- No equipment should have bare electrical wires exposed.
- Ground staff must wear protective clothing, head and face gear when working with any machinery that poses a threat to their safety or health. The Site manager must ensure that this instruction is strictly obeyed.
- Fields may not be mowed nor bush cutters used during breaks, extramural activities or when learners are in the vicinity.
- Learners may not use any electrical equipment at school unless written permission has been granted by that learner's parent and there is adult supervision.
- The Site Manager must ensure that gas bottles are housed in a protective cage and that danger signs are clearly visible.

A First Aid box in workshops should be clearly marked. The person in charge of the workshop must ensure that the First Aid boxes are available, accessible and complete. The term "workshop" includes the laboratories, the tuckshop and the Site manager's workshop.

13. Use of outside contractors or labour

If the school utilises the services of outside contractors, part of the service contract must include a safety clause that makes the contractor responsible for the safety of himself and those under his employ. The school will not be held responsible for the safety of equipment or personnel while being used by an outside contractor. These must be covered by the contractor's own safety policy. Should the school hire the services of casual labour, the Site manager must ensure that the normal safety regulations apply. The person being employed should not be asked to use machinery before he has been trained and the safety rules clearly explained.



If an outside worker falls off a ladder while painting your school, under what circumstances could the school be held liable for the costs incurred as a result of the injuries?

14. Safety equipment

The following rules must be strictly adhered to regarding the servicing and use of safety equipment.

- All necessary steps must be taken to ensure that all safety equipment is provided and maintained in a good and clean condition to ensure that all areas of the school are rendered safe.
- Such equipment must be checked at least twice per term and serviced regularly every six months.
- The Site manager must ensure that this takes place.
- Any problems relating to the equipment must be reported to the Executive Safety Officer.



Make a list of the safety equipment you think a school should have.

15. Evacuation procedures

It is imperative that each staff member treats an evacuation drill with the utmost seriousness. The Executive Safety Officer is responsible for the evacuation drills and procedures. He must make sure that each staff member is aware of the procedure and that all know exactly what they have to do. An evacuation drill should be held at least once per term.

16. School functions

When the school organises a school function outside of the normal school hours, the following safety precautions should be followed:

- The educator in charge of the function must be present.
- There must be sufficient lighting around the school to assist pedestrians.
- The school must clearly define the closing time of such a function so that parents can fetch their children on time.
- The educator in charge must ensure that he/she has access to a telephone.
- Learners may not leave the venue until the function is over, or unless the learner has written permission from a parent to leave early. Such documentation must be kept by the educator on duty.
- During such functions, normal school rules apply.
- The educator on duty has the right to refuse the entry of any person or persons who in their opinion are undesirable. Such persons must not be allowed to loiter in the school grounds. Use the assistance of the S.A.P.S if necessary.
- The educator on duty must ensure that the school is locked and unoccupied before leaving.
- Should the function be organised for non-learners, the regulation stated in 7.a applies and the indemnity should be clearly visible.



Assume that your school is going to organise a dance as a fundraiser. Based on the above and other aspects of the safety document, explain what safety precautions should be in place and what needs to be communicated to the learners and parents in this regard.

17. Vehicles in school grounds

- Vehicles may only be parked in the designated areas.
- The speed limit in the school grounds is 10 km/hour.
- No school learner may play in the close proximity of any vehicle.
- Delivery trucks may not enter the school during break times.
- No vehicle may park near the sports fields or courts unless it is an emergency vehicle and does not constitute a danger to players.
- The school will not accept responsibility for any vehicle parked on its premises.
- Any person who drives recklessly in the school grounds must be reported to the traffic authorities.

18. Electrical installations

Only properly qualified electricians may install electrical points or equipment. These installations must satisfy the industrial council's regulations. The contractor is therefore responsible for ensuring that the necessary standards are met.

19. Access and searches

Signs indicating that people entering the property may be subjected to searches have been placed at the entrances to the building. The sign reads as follows:

IN TERMS OF THE REGULATIONS FOR SAFETY AT PUBLIC SCHOOLS, ANY PERSON WHO ENTERS THIS SCHOOL PROPERTY MAY BE SUBJECTED TO A SEARCH IF THERE IS REASON TO BELIEVE THERE IS CAUSE FOR SUCH A SEARCH.

The signs have been written in the three official languages of the Eastern Cape viz. English, Afrikaans and Xhosa.

Visitors to the school are not permitted on the school premises except the reception area unless they have permission from the principal or a designated authority.

20. Emergency services

List the emergency telephone numbers you should have at on display at your school. Don't forget bees and snakes.

- Explain who you think the Safety officer at your school should be.
- Draw up the duties of the groundsman at your school.
- Design an evacuation procedure for your school in case of fire or other threats.
- What action would you deem to be appropriate if a member of staff does not follow the safety committee's recommendations?

Text 5: Assessment of the maintenance needs of school buildings and other physical resources

(Indicate the condition on a scale of 1 to 5, where 1 = very poor and 5 = excellent.)

NO.	ITEM DESCRIPTION	1	2	3	4	5	NOTES ON MAINTENANCE NEEDS
1	Roof						
2	Gutters and down pipes						
3	Fascia boards						
4	Walls and pillars (exterior)						
5	Walls (interior)						
6	Plaster/Face bricks						
7	Walkway surfaces						
8	Ceilings and skirting						
9	Floors and floor covering						
10	Windows, frames and catches						
11	Doors and door frames						
12	Chalk and pin boards						

NO.	ITEM DESCRIPTION	1	2	3	4	5	NOTES ON MAINTENANCE NEEDS
13	Electrical wiring						
14	Electrical switches and plugs						
15	Electrical lights and fittings						
16	Toilet cisterns and pans						
17	Toilet urinals and wash basins						
18	Water piping and taps						
19	Fire hydrants						
20	Fire canisters and hose reels						
21	Other physical resources: (insert other items that should be included in this inventory)						

Text 6: Inventory of school furniture and equipment

(Indicate the condition on a scale from 1 to 5, where 1 = very poor and 5 = excellent.)

NO.	ITEM DESCRIPTION	TYPE	1	2	3	4	5	TOTAL
1	Desks double							
2	Desks single							
3	Desks other							
4	Table teacher							
5	Table large: lab/arts & crafts							
6	Table typing							
7	Table office							
8	Table telephone							
9	Stand computer							
10	Chairs learners							
11	Chairs teacher							
12	Chairs typist							
13	Chairs utility							
14	Chairs other							
15	Benches							
16	Stools laboratory							
17	Cupboards loose							
18	Writing boards loose							
19	Refuse bins all							
20	Book case steel							
21	Book case wood							
22	Cabinet filing							
23	Cabinet Storage							
24	First aid box							
25	Rack correspondence							
26	Projector overhead							
27	Projector screen							
28	Computers							
29	Photocopier machine							
30	Fax machine							
31	Duplicating machine							
32	Printers computer							
33	Other <i>(insert other items at your school that should be included in this inventory)</i>							

Text 7: Care and control of physical resources

TABLE 24: BOOKS AND OTHER LEARNING SUPPORT MATERIAL

EVALUATION CRITERIA	YES/NO	COMMENTS/ RECOMMENDATIONS
Policy and procedures are in place for dealing with the procurement of books and learning material		
We call for tenders or quotations when we use our own funds to procure books and material		
We keep records of all orders, delivery notes, invoices and statements		
We have a stock control policy in place		
We have appointed a dedicated person in charge of stock and asset control		
Teachers use a standard and pre-printed requisition form when they require stock		
A stock/asset register is maintained at all times		
Room inventories are maintained by occupying personnel		
A procedure is in place for issuing and recording of learning material and text books to learners		
The issuing of material and text books always takes place within the first day or two of the new school year		
We do annual stocktaking		
We use a standardised and pre-printed handing over certificate when the need arises.		

TABLE 25: SCHOOL FURNITURE OFFICE MACHINES AND EQUIPMENT

EVALUATION CRITERIA	YES/NO	COMMENTS/ RECOMMENDATIONS
We have sufficient tables and chairs for all learners		
The school desks are free of scratches and graffiti		
Broken desks are repaired regularly		
Every teacher has a table and chair		
Each classroom has a lockable cupboard with keys		
The staffroom has a sufficient number of tables and chairs		
We do an annual needs assessment		
We submit our request for furniture to the department timeously		
Furniture that can no longer be used is written off and sold		
Office machines (copiers and duplicators) are used effectively		
Office machines and equipment are serviced on a regular basis		
We have a maintenance contract with service providers		
Equipment purchased from own funds is insured		
Equipment is stored in safe areas		

These tables have been adapted from the Imbewu programme of the Eastern Cape Department of Education, Module 5: 22 – 27

Text 8: Evaluation of security and safety in the school

(Indicate the current status on a scale from 1 to 5, where 1 = very poor and 5 = excellent.)

EVALUATION CRITERIA	1	2	3	4	5	COMMENTS/ RECOMMENDATIONS
All school gates are locked during school hours						
All visitors are screened during school hours						
All visitors have to produce valid identification						
School keys are centrally administered by the school management and not freely available						
All classrooms are secure and locks are working						
All harmful chemicals and inflammable materials are securely stored in designated storage areas						
All laboratories and workshops have safety rules attached to walls and all industrial machinery						
Maintenance teams are provided with safety gloves, safety glasses, hard hats, industrial shoes and coveralls.						
Arrangements are in place to allow community groups to have controlled access to school premises and facilities after hours						
All potentially dangerous structural items in the school are immediately scheduled for repairs and precautionary measures are taken						
The school has an emergency evacuation plan, which is practised at least twice a year						
Electrical wiring, toilets, sewerage systems and other potentially hazardous areas are inspected on a regular basis						
Areas that are potential health hazards are kept hygienically clean, e.g. toilets						
The safety and security measures taken in respect of vehicles purchased by your school meet all the legal requirements						
The drivers of school vehicles transporting learners have the required Professional Driving Permit and meet all other legal requirements relating to transporting learners						

EVALUATION CRITERIA	1	2	3	4	5	COMMENTS/ RECOMMENDATIONS
The school vehicle is properly maintained and serviced to ensure safety						
The correct procedures is followed when private persons transport learners for school activities						
Other (insert other areas of your school's safety and security)						

Text 9: Reader - Conditions and criteria for the allocations of functions to Section 21 schools

[Note: The acronyms used in this Annexure refer to the provincial Departments of Education, i.e. FS = Free State, G = Gauteng, KZ = Kwa-Zulu Natal, MP = Mpumalanga, NC = Northern Cape, NW = North West Province, WC = Western Cape.]

Allocation and assignment of functions to Section 21 schools

The SASA states that the granting of functions to Section 21 schools by the provincial HOD may be unconditional or subject to certain conditions. The decision of the HOD to grant or not to grant certain functions must be conveyed to the SGB, in writing, stating the reasons for the decision. If any person is not satisfied with the decision, that person has the right to appeal to the Member of the Executive Committee (MEC).

The Act also provides that the MEC may, by notice in a Provincial Gazette, allocate one or more functions to a SGB even if the governing body did not apply for the function(s). This is referred to as the 'assignment of functions' and must be submitted in writing.

It should be noted that the Act requires that the SGB, and not the principal and SMT, apply for these functions. It is therefore more correct for the SGB Chairperson to complete the application. Some provinces require the SGB Chairperson and the school principal to countersign the application form.

Most PEDs regulate this process through circulars informing schools about Section 21 function allocation and related responsibilities. These circulars include information on:

- Criteria and conditions applicable to the allocation of the functions
- A statement regarding the powers and authority vested in the HOD with respect to the allocation of these functions
- Where applicable the MEC may determine that some SGBs may exercise one or more functions without making an application
- A management plan with time frames
- The application form.

Notification of the allocation of functions to schools

Most provinces (KZDE, WCDE, MPDE, and GDE) send a notice of allocation of functions to the chairperson of the SGB, signed by the HOD. These notices state the following:

- Whether the school has been allocated the function(s)
- A statement that any or all of the functions can be withdrawn if the school fails to perform effectively
- A statement that these functions have not be allocated indefinitely and can be reviewed
- Some provinces inform schools on the amount of funding allocation they would receive and the dates which allocations will be made.

It is very important for Section 21 schools to be informed about the timing of allocated funds, as it can affect their financial planning and cash flow position.

The table below gives an indication of how provinces differ in the payment of allocated funding.

TABLE 26: PROVINCIAL DIFFERENCES IN FUNDING ALLOCATION

PROVINCE	FUNDS	1 ST TERM	2 ND TERM	3 RD TERM	4 TH TERM
A	All	55% Jan	15% April	15% July	15% Oct
B	All	25% Jan	25% April	25% July	25% Oct
C	Maintenance Services	25% March 9 equal amounts	25% June	25% Sept	25% Dec
D	All	100% March			

Common and unique criteria and conditions selected from a range of provincial checklists on managerial capacity of schools are synthesized below. A survey done by Gobodo Incorporated for the Education Foundation Trust in 2001-2002, indicated that the following factors and structures should be in place or must be observed if a school is to properly execute Section 21 functions.

- A Section 21 school must provide proof that it have a legally constituted governing body that meets at least once a term, keeps minutes of meetings and applies the policy of exemptions from school fees.
- It must be able to balance its budget with sufficient income (KZDE, NWDE, WCDE, MPDE, FSDE and GDE).
- The chairperson must state that he/she is conversant with the SASA, the National Norms and Standards for School Funding (paragraph 104) and relevant provincial legislation.
- The SGB must indicate its capacity to manage and monitor budgeting and accounting systems (GDE).
- There must be a plan for developing the SGB members (GDE).
- The school must have security measures in place that includes a safe or a strong room (KZDE, MPDE and NWDE).
- The school must have the necessary office space and infrastructure to effectively manage school funds.
- The school must have an account at a financial institution and be able to produce financial records for the previous two years, accompanied by a non-endorsed audited statement (MPDE).

Determining the capacity of Section 21 schools to manage the allocated functions

In order to ensure that the school has the capacity to carry out the allocated functions, some provinces provide a checklist for completion by the SGB (KZDE, NWDE, MPDE, WCDE and NC). KZDE and NWDE used to utilise the same 47-item questionnaire, as they offered the functions together as a package. GDE preferred to provide a function checklist and an application form for each of the functions (Education Foundation Trust, 2001). The table below summarises the general conditions and criteria applied by the provincial departments for every function.

TABLE 27: GENERAL CONDITIONS AND CRITERIA FOR SECTION 21 SCHOOLS

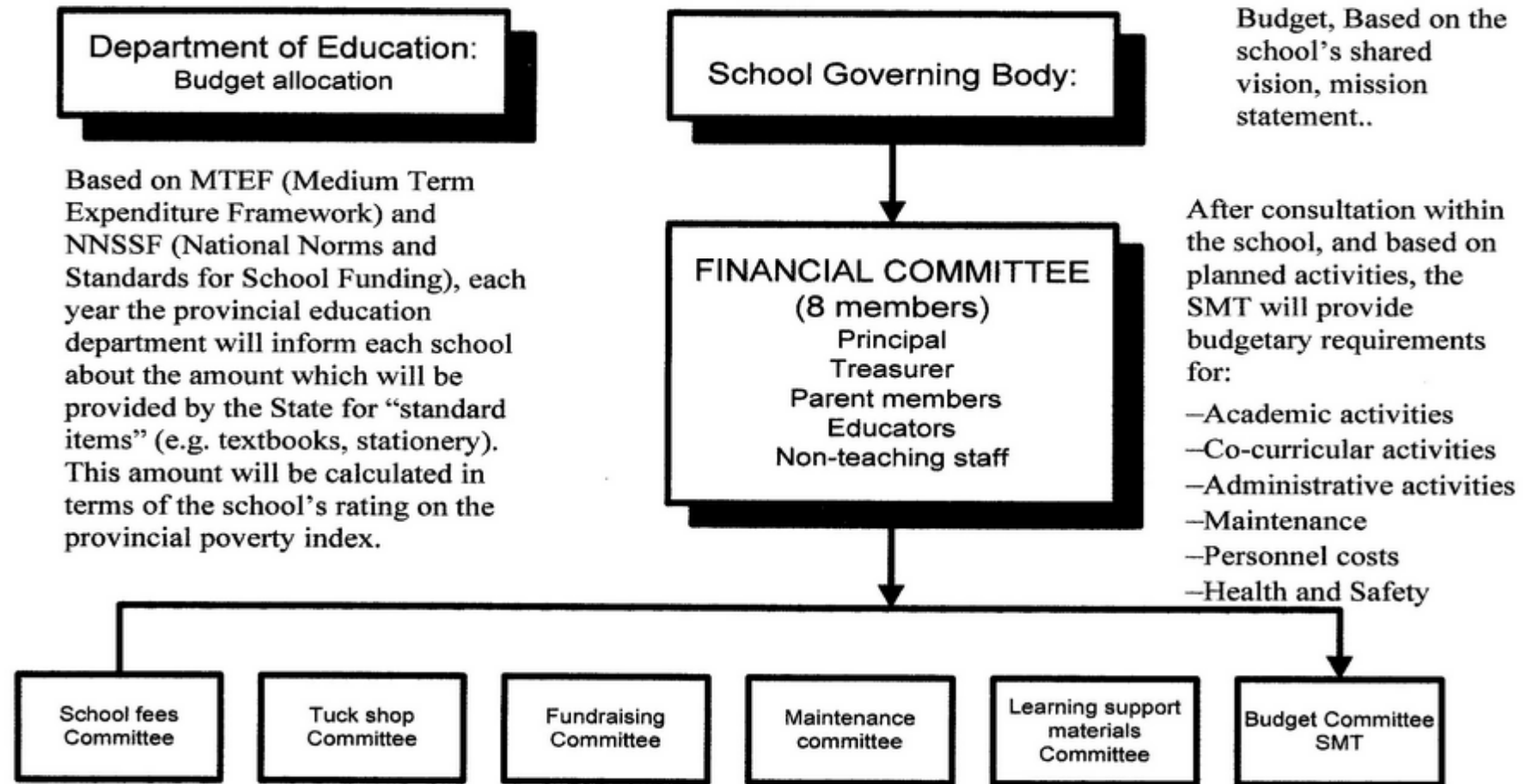
FUNCTION	CONDITIONS OF FUNCTIONS	CRITERIA OF MANAGEMENT CAPACITY
To maintain and improve school property, buildings and grounds, including school hostels, where applicable	<ul style="list-style-type: none"> - The plans for improvement and upgrades are to follow provincial building specifications and safety regulations - Community structures and local police services can be actively engaged to ensure safety and security of buildings and grounds - Planned minor capital works have been approved by the physical planning section of the Department (NC, GDE and MPDE) 	<ul style="list-style-type: none"> - Proven previous experience in managing this function - Insurance available to cover the school against claims as a result of injuries sustained by persons during the intended use of school buildings (WCDE) - School policy on the use of school property or other mechanisms in place to ensure accountability for the responsible use and maintenance of grounds and buildings - Indicators of community ownership (MPDE and FSDE)
To determine the extra-mural curriculum of the school and the choice of subject options in terms of provincial curriculum policy	<ul style="list-style-type: none"> - Curriculum choice must be based on Curriculum 2005 - Must be informed by availability of required resources, in particular learning area policy, equipment and human resources - All learners must have equal access to all curricular and extra-curricular activities offered by the school - Non-payment by parents must not deny any learner access 	<ul style="list-style-type: none"> - A committee for extra-mural activities is established - The school has a time table for extra-mural activities in addition to the educational programme (GDE, MPDE and FSDE) - A capable staff member is in charge of extra-mural activities - Proven assistance by the governing body to improve extra-mural activities through provision of finance, transport, equipment, etc. (MPDE and GDE) - Involvement with other schools and engagement with the school community
To purchase textbooks, educational materials or equipment for the school	<ul style="list-style-type: none"> - A Learning Support Material Committee should be established in order to develop policy/guidelines for the selection, distribution and retrieval of learning support material (KZDE, NWDE, NCDE, GDE and FSDE) - Departments can stipulate the materials but not the suppliers - A stock register of all support materials should be developed and maintained - Procurement procedures are in place 	<ul style="list-style-type: none"> - The Learning Support Materials Committee comprises of appropriate staff members and SGB members - The committee is familiar with and understands the Norms and Standards for School Funding - Proven previous experience in purchasing and controlling educational materials - Allocation of funds for the educational needs of the school have been prioritised and sufficient funds are allocated for this purpose (KZDE, NWDE, NC and GDE) - There is a sound policy and control measures for the distribution and retrieval of books and other learning materials to learners - Security measures are in place to safeguard

FUNCTION	CONDITIONS OF FUNCTIONS	CRITERIA OF MANAGEMENT CAPACITY
		school property
To pay for services for the school	<ul style="list-style-type: none"> - A Finance Committee, conversant with budgeting and accounting procedures has been established - Information is supplied as required by the provincial HOD 	<ul style="list-style-type: none"> - Proven previous experience in paying for municipal/local council services and/or any educator or administrative staff salaries - Personnel records of staff, contracts of employment for non-state employees, registration as an employer with the Receiver of Revenue, UIF cards etc. should be evident of the school's ability to manage this function effectively - Properly audited annual financial statements in accordance with the provisions of Section 43(5) of the SASA are provided - A telephone call register that separates private from official calls - Electricity and water usage are monitored and controlled by the school and the School Governing Body

Text 10: A systems model for school financial management

See next page.

A SYSTEMS MODEL FOR SCHOOL FINANCIAL MANAGEMENT



Text 11: Financial policy template

(Source: DoE Financial management guidelines)

SECTIONS	FOCUS (AREAS COVERED IN THE SECTIONS OF THE DOCUMENT)
Introduction	<ul style="list-style-type: none"> - Clearly stating the school's name and the purpose of the policy document
Overview	<ul style="list-style-type: none"> - School vision and mission statements - The financial principles, which will govern the work of the finance committee - Goals/aims/objectives of the finance committee - Planning cycle e.g. budget cycle
Specific Procedure	<ul style="list-style-type: none"> - The steps for each financial activity, which the finance committee will undertake e.g. budgeting, procurement etc. - The timeframe (when and how often) each activity will take place e.g. budget planning during the 3rd term, banking once a day etc. - The different meetings and how often this must happen - The decision making procedures - The different stakeholders participating in the different activities - Reporting - Auditing
Organisational Structure/Finance Committee	<ul style="list-style-type: none"> - The composition of the structure e.g. Treasurer, Finance Officer, etc. - The roles and responsibilities of each element of the structure - The accountable structure e.g. the treasurer having the final decision making responsibility - The reporting structure e.g. Annual General Meeting
Administration	<ul style="list-style-type: none"> - Recording of money - Issuing receipts - Petty cash management - Monitoring income channels
Evaluation	<ul style="list-style-type: none"> - Review process of the financial activities - Time when these reviews will take place - Policy review
Appendices	<ul style="list-style-type: none"> - National Legislation - Provincial policy - School policy

Text 12: Activities in the budgeting cycle

Refer to table on following page.

TERM 3 JUL AUG SEPT		TERM 4 OCT NOV DEC		TERM 1 JAN FEB MARCH		TERM 2 APRIL MAY JUNE	
GOVERNANCE	MANAGEMENT	GOVERNANCE	MANAGEMENT	GOVERNANCE	MANAGEMENT	GOVERNANCE	MANAGEMENT
<p>Review SDP, prioritise and identify expenditure patterns</p> <p>Prepare income and expenditure need of each item code</p> <p>Prepare and ratify the 1- budget draft for presentation to AGM</p> <p>Review and adopt amended Admission Policy</p>	<p>Identify the needs of the school's item codes</p> <p>Submit budgetary requests to SGB</p> <p>Prepare procurement processes for the next school year</p> <p>Project learner enrolment</p>	<p>Collect all reports from sub-committees for the AGM presentation</p> <p>Present a proposed budget (including proposed school fees) in AGM for adoption</p> <p>Present audited statements of previous year to AGM</p> <p>Presentation of the activities of all the sub-committees</p> <p>Present a report on general affairs of the school</p> <p>Submit adopted budget to the District Office</p> <p>Approve year plan in line with budget allocations and SDP</p> <p>Finalise admissions</p>	<p>Support the SGB in preparation and communication of the final budget, e.g. reports from sub-committees</p> <p>Finalise and cost the year plan as per the adopted budget</p>	<p>Present annual financial statements to parents</p> <p>Adjust budget to reflect deviation</p> <p>Appointment of SGB employed staff</p> <p>Preparation of financial records for auditing</p> <p>Appoint a registered auditor or an approved examiner</p> <p>Re-constitute sub-committees</p> <p>Learner representatives introduced to SGB and submit their funding proposals</p>	<p>Communicate budget adjustments to sub-committees</p> <p>Administer admission (apply for additional educators)</p>	<p>Confirm transfer of allocated funds</p> <p>Review expenditure patterns against actual allocation</p> <p>Present audited financial statement to parents</p> <p>Submit audited financial statements to HOD</p> <p>Apply for additional remuneration to pay state-paid educators</p>	<p>Communicate budget adjustments to sub-committees</p>

Application Form (from DoE School Records Manual 4)

Introduction

Those wanting to apply for a place in a school must complete an application form. Application forms are used to obtain relevant and necessary information about the applicant. Although individual letters can be written to apply for enrolment, the use of a standard form facilitates the processing of numerous applicants and makes it a more efficient process and helps with filing.

It is important to understand the National Policy on Admissions.

Members of the School Management Team (SMT) must ensure they understand the following matters when undertaking admissions:

- Compulsory education;
- Age of admission (and age grade norms);
- Their school's feeder area (and out-of-area applications);
- Reasons for declining or increasing admission;
- Mechanisms for appealing against admission refusal;
- Late registrations;
- Over-age learners and Fast Track Programmes.

It is also important to note that it is illegal for a school to do the following:

- Request a compulsory registration fee;
- Deny admission on grounds of race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth;
- Apply an admissions test to determine entrance to the school;
- Make parents sign that they will pay school fees;
- Make parents pay some of the school fees straight away;
- Suspend or expel a learner due to failure of paying school fees;
- Withhold a report due to failure of paying school fees;
- Exclude a learner due to misconduct or for any other disciplinary reasons;
- Insist that parents subscribe to the school's mission statement in writing;
- Deny a learner admission or continued attendance at a school on account of his or her HIV/AIDS status or perceived status (National Policy on HIV/AIDS).

Documentation required

When a child is registered at a school for the first time parents/guardians must supply the following documentation:

- Certified copy of birth certificate or acceptable proof of birth date (do not take baptismal certificate as acceptable proof);
- Immunization card;
- Transfer and / or;
- Last report card;
- Copy of a document that shows that the parents, learner or guardian reside in the area (e.g. an electricity or water and rates account).

If the child and / or parent is not citizen of South Africa the following additional documents should be produced:

- Study permit;
 - ▶ Temporary or permanent residence permit from the Department of Home Affairs;
 - ▶ Evidence that an application has been made for permission to stay in South Africa.

If a parent/guardian cannot provide the relevant documents, they should be told where to get them and be given three months in which to do so.

Purpose

The purpose of the application form is to enable the following:

- To provide an efficient and effective mechanism for a school to process potential learners;
- To provide all the information on a learner needed by the school.

After a learner has been admitted, the information on him/her may be used to create other records, for example, the admissions register, the learner's profile card, class registers, etc.

Use

The Principal of a school will use the application form to obtain all the necessary information regarding the proposed learner. It is also used to develop the learner's profile card once the learner has been admitted.

Organisation, storage and retention

The Principal can keep applications in a filing folder or a box. The forms could be filed according to a registration number (which is linked to the date of receipt). They can be further subdivided by name and gender. These records can then be indexed using name and gender. Application forms do not have to be kept for a long time. They can be disposed of once all the information has been entered onto all the other relevant records or registers.

Example – APPLICATION FOR ADMISSION TO SCHOOL	Application Number:
ABC PRIMARY SCHOOL	
• <i>This form must be completed in every detail.</i>	
• <i>All alterations must be initialled by parent/guardian.</i>	
• <i>Completed forms with documents to be handed into the school by (date)</i>	
• <i>Filling in the form does not necessarily mean that you have been accepted.</i>	
• <i>Where a box is given, mark the correct block with an X:</i>	X

Surname of learner			
First name(s) of learner			
Address where learner resides			
Proof of Residency <i>(Staple proof to this form)</i>	Has the applicant supplied proof of residency? <i>(Mark with x)</i>	Y	N
Postal address			
Date of birth			
Identity number			
Proof received for Birth Date	Y	N	<i>Date</i>
Gender			
Race <i>(for statistical purposes)</i>			
Religion <i>(for statistical purposes)</i>			

Supporting Documentation Supplied

(mark with X)

Birth Certificate	Immunisation Card	Transfer Card	Last Report	Study Permit	Temporary or Residence Permit	Proof of Application for Permission to stay in SA

ACTION AGREED

Date missing documentation to be supplied by (date):		
--	--	--

Grade applied for

(mark with X)

Gr. R	FOUNDATION			INTERMEDIATE			SENIOR		
	Grade 1	Grade 2	Grade 3	Grade 4	Grade 5	Grade 6	Grade 7	Grade 8	Grade 9

General Information

SCHOOLING TO DATE	
1	Which language would you prefer to be your language of learning?
2	Highest grade passed
3	Date when this grade was passed
4	Name and address of school where this grade was passed
5	Home Language
FATHER'S DETAILS (IF APPLICABLE)	
6	Full name of father
7	Occupation
8	Name and address of father's employer
9	Father's work telephone number
10	Permanent home address of father
11	Father's home telephone number
12	Father's cell number
MOTHER'S DETAILS (IF APPLICABLE)	
13	Full name of mother
14	Occupation
15	Name and address of mother's employer
16	Mother's work telephone number
17	Permanent home address of mother

18	Mother's home telephone number	
19	Mother's cell number	
GUARDIAN'S DETAILS (IF APPLICABLE)		
20	Full name of guardian (if different from above)	
21	Occupation	
22	Name and address of guardian's employer	
23	Guardian's work telephone number	
24	Permanent home address of guardian	
25	Guardian's home telephone number	
26	Guardian's cell number	
<p><i>If the applicant will not be residing with a parent/guardian while attending school, furnish the following particulars of the person with whom the learner will be residing:</i></p>		
27	His/her full name	
28	Occupation	
29	Permanent home address	
30	Home telephone number	
31	Name and address of employer	
32	Telephone number of employer	

Parent/guardian..... Date.....
(Signature)

Text 13: Example of a Budget Preparation Form

SCHOOL X BUDGET PREPARATION FORM: 2007				
ACADEMIC: DEPARTMENT OF MATHEMATICS AND SCIENCE				
PERSON IN CHARGE _____				
ALLOCATION IN 200Y _____				
DATE: _____				
ACTIVITY	LINE ITEM	TIME LINE	COSTING	TOTAL
Learning material	MML & S, Grade 10	10 January 2007	10 000.00	
	MML & S, Grade 11	10 January 2007	12 000.00	
				22 000.00

Text 14: Expenditure Budget for the school

PROPOSED EXPENDITURE BUDGET FOR 2007		PLANNED 2006	ACTUAL 2006	PLANNED 2007
1	Administration 1.1 Accounting packages (for administration) 1.2 Flowers, gifts funeral contributions 1.3 Office equipment (purchase, maintenance) 1.4 Stationery and consumable 1.5 Advertising and postage 1.6 Telephone			
2	Awards and bursaries 2.1 Badges, honours boards and framing 2.2 Prizes, bursaries, trophies and engraving			
3	Bank charges			
4	Cleaning materials 4.1 Cleaning materials 4.2 Carpets 4.3 Overalls 4.4 Hygiene services 4.5 Toilet paper			
5	Duplicating 5.1 Service provider 5.2 Duplicating paper			
6	Educational aids 6.1 Accounting 6.2 Afrikaans 6.3 Biology 6.4 Business Economics 6.5 Computers 6.6 English 6.7 Geography 6.8 History 6.9 Mathematics 6.10 Media (books and videos, consumables) 6.11 Science 6.12 Textbooks (all subjects) 6.13 Economics			
7	Extra mural activities 7.1 Hockey 7.2 Netball 7.3 Soccer 7.4 Volleyball 7.5 Choir 7.6 Debating 7.7 Chess 7.8 Catering committee			
8	First aid/Medical (consumables)			
9	Grounds 9.1 Gardens 9.2 Lime, fertiliser, compost			

PROPOSED EXPENDITURE BUDGET FOR 2007		PLANNED 2006	ACTUAL 2006	PLANNED 2007
	9.3 Equipment			
10	Insurance 10.1 Premium 10.2 Vehicle tracking			
11	Maintenance 11.1 Buildings and facilities 11.2 Electrical maintenance 11.3 Plumbing maintenance 11.4 General supplies (Including paint, keys and locks) 11.5 Mower repairs 11.6 Tuck shop repairs 11.7 Tuck shop equipment			
12	Printing (Certificates, reports, statements)			
13	Photographs (IDs, activities, and public relations)			
14	Refreshments and catering 14.1 Staff tea 14.2 Sport 14.3 Functions and entertainment			
15	Salaries and allowances 15.1 Caretaker 15.2 Office 15.3 Travelling (staff) 15.4 Social worker 15.5 Substitution and casual staff 15.6 Labourer 15.7 Teachers 15.8 Tuck shop convenor and workers			
16	Security 16.1 Alarm systems, burglar bars and gates 16.2 Guard for premises			
17	Stationery 17.1 Chalk 17.2 Computer paper			
18	Vehicles and transport 18.1 Repairs and tyres 18.2 Fuel 18.3 Hire of buses 18.4 Licence fees			
19	Project – 2008 19.1 Development of sports stands 19.2 Replace window frames			

Text 15: Budget summary

BUDGET SUMMARY		PLANNED 2006	ACTUAL 2006	PLANNED 2007
1	Administration			
2	Awards and bursaries			
3	Bank charges			
4	Cleaning materials			
5	Duplicating			
6	Educational Aids			
7	Extra-murals			
8	First aid			
9	Grounds			
10	Insurance			
11	Maintenance			
12	Printing			
13	Photographs			
14	Refreshments and catering			
15	Salaries and allowances			
16	Security			
17	Stationery			
18	Vehicles and transport			
19	Special projects			
TOTALS				

Text 16: Income and Expenditure Budget

EXPENDITURE		INCOME
1	Administration	State grant
2	Awards and bursaries	School fees
3	Bank charges	Fundraising
4	Cleaning materials	Rent
5	Duplicating	Interest
6	Educational Aids	
7	Extra-murals	
8	First aid	
9	Grounds	
10	Insurance	
11	Maintenance	
12	Printing	
13	Photographs	
14	Refreshments and catering	
15	Salaries and allowances	
16	Security	
17	Stationery	
18	Vehicles and transport	
19	Special projects	
TOTALS		

Text 18: Exemption from payment of school fees

The DoE has devised the table below to guide schools to determine the equitable level of partial exemption.

[Method: Determine your Ratio = Income/Fees. If the value you get is between 10 and 30, look up that value in the table. For example if R = 14, then fees are 80% exempt. If R = 20 then fees are 50% exempt, which means you have to pay half the amount of fees.]

RATIO (R)	EXEMPT	RATIO (R)	EXEMPT	RATIO (R)	EXEMPT	RATIO (R)	EXEMPT	RATIO (R)	EXEMPT
<10.0	100.00	14.0	80.00	18.0	60.00	22.0	40.00	26.0	20.00
10.1	99.50	14.1	79.50	18.1	59.50	22.1	39.50	26.1	19.50
10.2	99.00	14.2	79.00	18.2	59.00	22.2	39.00	26.2	19.00
10.3	98.50	14.3	78.50	18.3	58.50	22.3	38.50	26.3	18.50
10.4	98.00	14.4	78.00	18.4	58.00	22.4	38.00	26.4	18.00
10.5	97.50	14.5	77.50	18.5	57.50	22.5	37.50	26.5	17.50
10.6	97.00	14.6	77.00	18.6	57.00	22.6	37.00	26.6	17.00
10.7	96.50	14.7	76.50	18.7	56.50	22.7	36.50	26.7	16.50
10.8	96.00	14.8	76.00	18.8	56.00	22.8	36.00	26.8	16.00
10.9	95.50	14.9	75.50	18.9	55.50	22.9	35.50	26.9	15.50
11.0	95.00	15.0	75.00	19.0	55.00	23.0	35.00	27.0	15.00
11.1	94.50	15.1	74.50	19.1	54.50	23.1	34.50	27.1	14.50
11.2	94.00	15.2	74.00	19.2	54.00	23.2	34.00	27.2	14.00
11.3	93.50	15.3	73.50	19.3	53.50	23.3	33.50	27.3	13.50
11.4	93.00	15.4	73.00	19.4	53.00	23.4	33.00	27.4	13.00
11.5	92.50	15.5	72.50	19.5	52.50	23.5	32.50	27.5	12.50
11.6	92.00	15.6	72.00	19.6	52.00	23.6	32.00	27.6	12.00
11.7	91.50	15.7	71.50	19.7	51.50	23.7	31.50	27.7	11.50
11.8	91.00	15.8	71.00	19.8	51.00	23.8	31.00	27.8	11.00
11.9	90.50	15.9	70.50	19.9	50.50	23.9	30.50	27.9	10.50
12.0	90.00	16.0	70.00	20.0	50.00	24.0	30.00	28.0	10.00
12.1	89.50	16.1	69.50	20.1	49.50	24.1	29.50	28.1	9.50
12.2	89.00	16.2	69.00	20.2	49.00	24.2	29.00	28.2	9.00
12.3	88.50	16.3	68.50	20.3	48.50	24.3	28.50	28.3	8.50
12.4	88.00	16.4	68.00	20.4	48.00	24.4	28.00	28.4	8.00
12.5	87.50	16.5	67.50	20.5	47.50	24.5	27.50	28.5	7.50
12.6	87.00	16.6	67.00	20.6	47.00	24.6	27.00	28.6	7.00
12.7	86.50	16.7	66.50	20.7	46.50	24.7	26.50	28.7	6.50
12.8	86.00	16.8	66.00	20.8	46.00	24.8	26.00	28.8	6.00
12.9	85.50	16.9	65.50	20.9	45.50	24.9	25.50	28.9	5.50
13.0	85.00	17.0	65.00	21.0	45.00	25.0	25.00	29.0	5.00
13.1	84.50	17.1	64.50	21.1	44.50	25.1	24.50	29.1	4.50
13.2	84.00	17.2	64.00	21.2	44.00	25.2	24.00	29.2	4.00
13.3	83.50	17.3	63.50	21.3	43.50	25.3	23.50	29.3	3.50
13.4	83.00	17.4	63.00	21.4	43.00	25.4	23.00	29.4	3.00
13.5	82.50	17.5	62.50	21.5	42.50	25.5	22.50	29.5	2.50
13.6	82.00	17.6	62.00	21.6	42.00	25.6	22.00	29.6	2.00
13.7	81.50	17.7	61.50	21.7	41.50	25.7	21.50	29.7	1.50
13.8	81.00	17.8	61.00	21.8	41.00	25.8	21.00	29.8	1.00
13.9	80.50	17.9	60.50	21.9	40.50	25.9	20.50	29.9	0.50
								>30.00	0.00

Sections from the SASA dealing with exemptions

The following sections of the SASA deal with the procedures for school fee exemption, applications and appeals.

- (1) The governing body must notify all parents in writing of:
 - a) the amount of the annual school fees to be paid and the equitable criteria and procedures for exemption determined in terms of section 39 of the Act;
 - b) the fact that parents are liable to pay such fees in terms of section 40 of the Act unless or to the extent that they have been exempted from payment thereof; and
 - c) the contents of regulations 3, 4 and 5 and at the request of a parent make a copy of these Regulations available to him or her.
- (2) A parent, who wishes to be exempted from payment of school fees for each individual learner at the particular school, must apply in writing to the chairperson of the governing body on a form.
- (3) An application referred to in sub regulation (2) must contain sufficient particulars to enable the governing body to apply the criteria set out in regulation 5(2) in order to determine in which category referred to in regulation 3, the applicant falls.
- (4) An application must furnish such relevant further particulars as requested by the governing body.
- (5) The applicant must prove on a balance of probabilities that the information supplied by him or her on the matters mentioned in regulation 3 and 5 (2) is true and correct.
- (6) An applicant must, if he or she so requests, be afforded an opportunity to present his or her application in person, or through a designated representative.

Procedure for consideration of an application by Governing Body

- (1) The governing body must consider the application subject to these Regulations and make a decision within fourteen days after receipt thereof.
- (2) In considering an application a governing body must take into account –
 - a) the financial position of the applicant including –
 - (1) the total gross annual income of the parents;
 - (2) the total annual necessary expenses; and
 - (3) a statement of assets and liabilities;
 - b) the number of dependents of the applicant;
 - c) the standard of living of the applicant; and
 - d) any other relevant information supplied by the applicant.
- (3) If the applicant falls in -
 - a) the category referred to in regulation 3 (1) (a), the applicant is exempted in full;
 - b) the category referred to in regulation 3 (1) (b), the applicant is partially to the extent determined by the governing body having regard to the criteria referred to in sub regulation (2); and
 - c) the category referred to in regulation 3 (1) (c), the application is declined.
- (4) A governing body, may deviate from the provisions of sub regulations (3), if the applicant proves facts which justify such deviation.
- (5) A governing body may attach such conditions to an exemption granted to an applicant as it may deem reasonable.

- (6) Information by the applicant in support of his or her application must be treated in confidence by the governing body and may not be divulged to a third party without the consent of the applicant.
- (7) The governing body must notify each applicant in writing of its decision and the reasons therefore, within seven days after the decision is taken.
- (8) If an application is declined or partially declined, the governing body may notify the applicant of his or her right of appeal in terms of section 40 (2) of the Act.

Alteration of decision

- (1) If a governing body obtains information that the financial position of a parent who was granted exemption, has changed substantially, the governing body may reconsider and rescind, amend, substitute or alter its decision to grant exemption.
- (2) Before taking action in terms of sub regulation (1) the governing body must -
 - (a) notify the parent concerned of the intended action and of the information on which it will be based; and
 - (b) afford the parent the opportunity to rebut the information and to show cause why the exemption should not be reconsidered.

Procedure for appeal

- (1) A parent who is dissatisfied with the decision referred to in regulation 5 (7) may appeal in writing against the decision of the Head of Department within 30 days after receipt of the notification of that decision.
- (2) The appellant contemplated in sub regulation (1) must furnish the Head of Department with -
 - a) the reasons for the appeal; and
 - b) all relevant information pertaining to the appeal.
- (3) The Head of Department must within 14 days after receipt of the documentation referred to in sub regulation (2) -
 - a) notify the chairperson of the governing body concerned of the appeal that has been lodged;
 - b) furnish to the chairperson a copy of appellant's reasons for appeal; and
 - c) request the chairperson to forward to him or her within 14 days after receipt of the request -
 - i) the minutes of the meeting of the governing body at which the application was discussed and was decided upon; and
 - ii) any comments the governing body wishes to make with regard to the appellant's reasons for appeal and any other information relevant to the appeal.
- (4) After consideration of all information referred to in sub regulations (2) and (3), the Head of Department must within 14 days of receipt of the documentation or information contemplated in sub regulations (3) (c) -
 - a) uphold the appeal -
 - i) in full;
 - ii) in partially; or
 - iii) conditionally; or
 - b) dismiss the appeal.
- (5) Within 7 days of deciding the appeal, the Head of Department must notify the appellant and the chairperson of the governing body concerned in writing of his or her decision and the reasons therefore.

Text 19: Example of a cheque

Date:	ABC BANK	Date:
To:	Mount Frere Branch	
For:	PAY _____ or bearer	
Bal b/f	THE SUM OF _____	
Amt Dep.	_____	
Total	_____	
This ch.		
Bal c/f		
No 102	102 4412 0123456789	

Date: 3 Jan 200Y	ABC BANK	<i>Not transferable</i>	Date: 3 Jan 2007
To: Saville Row	Mount Frere Branch		
For: Uniforms	PAY <i>Saville Row Clothing</i> _____ or bearer		
Bal b/f <i>R15200, 00</i>	THE SUM OF Two thousand five hundred	R2500-00	
Amt Dep.	rand only _____		
Total 15200,00	_____		
This ch. 2500,00	_____		
Bal c/f 12700,00	PO Box 220 V.Dumezweni P Thomas		
	Mt Frere		
	4700		
No 102	<i>Note: Complete the counterfoil in detail</i>		

Text 20: Example of a petty cash voucher

PETTY CASH CLAIM FORM			<i>School Stamp:</i>	
NO:			DATE:	
DATE	SLIP NO	DETAILS OF EXPENDITURE	ALLOCATION	AMOUNT
TOTAL EXPENSES				
BALANCE IN BOX				
TOTAL FLOAT				
Finance Officer			Principal	

Note: Slip numbers follow chronologically and must be completed in carbon duplicate

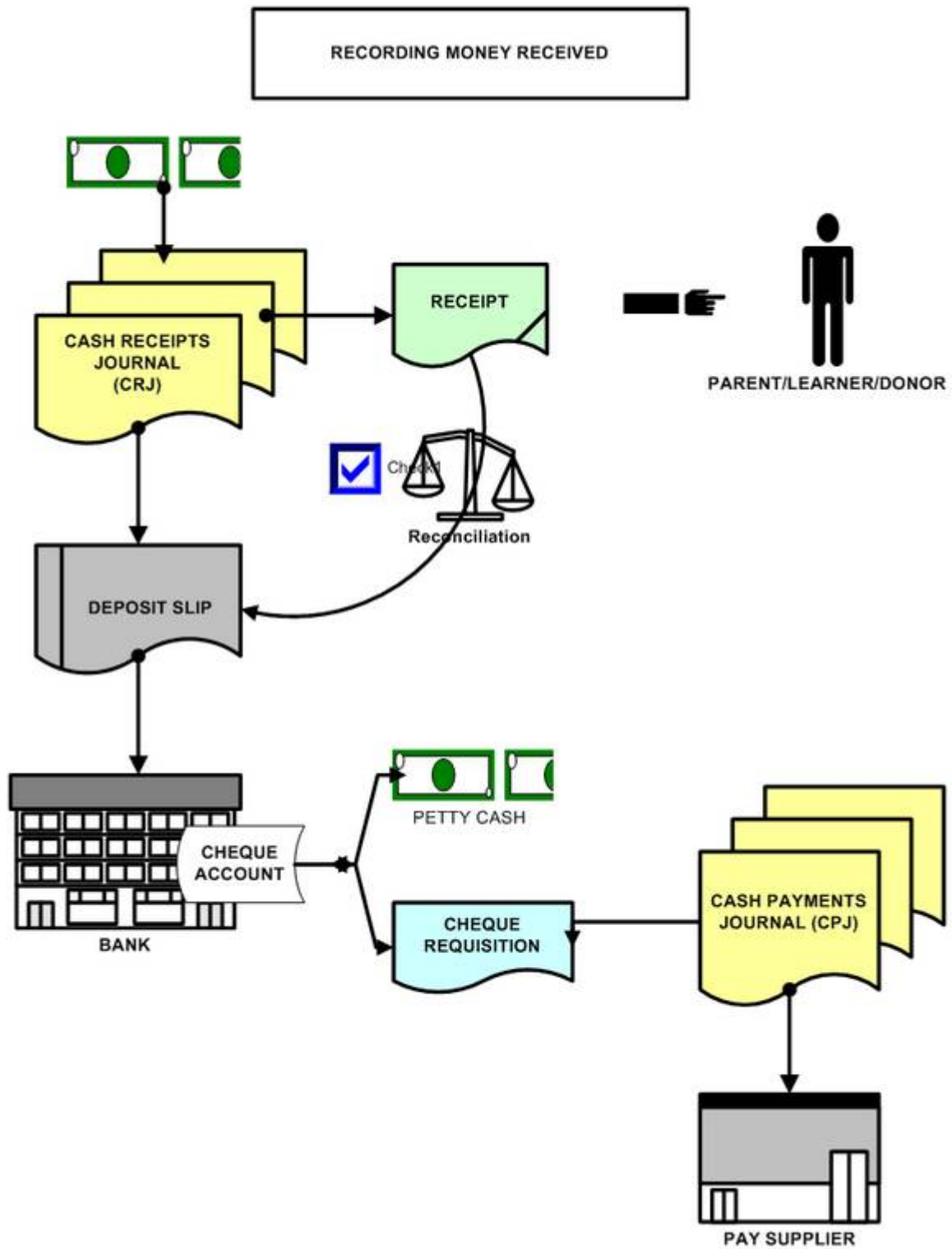
Text 21: Example of a school receipt

<p>MQHAYI PRIMARY SCHOOL Private Bag X2, Mt Frere, 4770 Tel: 039 888 2800</p>					
NUMBER:			DATE:		
Physical Address:					
Received from:			Contact Number:		
The sum of:		Rand			
And		cents			
For:					
CASH		CHEQUE		DEPOSIT IN BANK	
R			With thanks		

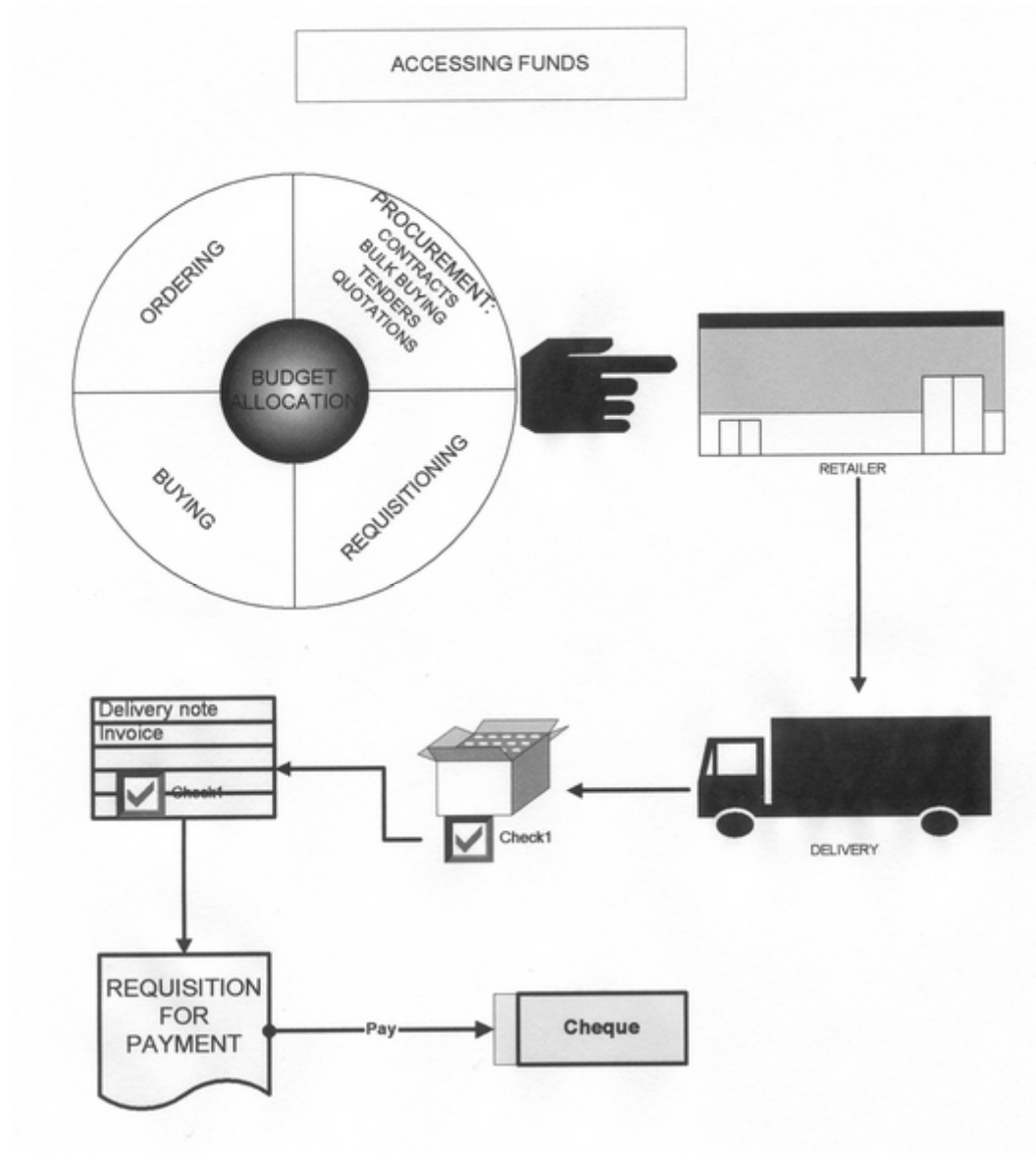
Text 22: Example of a receipt to record income

RECEIPT NO: 1234		<i>SCHOOL NAME & LOGO</i>	
RECEIVED FROM:			
Grade: <i>(if paid by learner)</i>			
The sum of:		Rand	
And		cents	
For:			
Amount: R		Signature:	
CASH		CHEQUE	
<i>WITH THANKS</i>			

Text 23: Process for recording money received by the school



Text 24: Overview of the process of funding the procurement of goods and services



Text 25: Example of an order form

ORDER		<i>SCHOOL NAME & LOGO</i>		
NUMBER:		DATE:		
<i>PLEASE SUPPLY:</i>	<i>Budget Line Item</i>	<i>Quantity</i>	<i>Unit Price</i>	<i>Amount</i>
Delivery instructions:				
Signed:				
Designation:				

Text 26: Example of an invoice

<i>INVOICE</i>																						
1. I, the undersigned, herewith authorise Telkom SA to arrange with my bank / building society and Multi-Data for the amounts to be drawn against my account in accordance with the debit order system.																						
2. SURNAME:		TITLE:																				
FIRST NAME:																						
3. ADDRESS:																						
		CODE:																				
4. AMOUNT:	FREQUENCY:	DEDUCTION DATE:																				
5. NAME OF BANK:																						
BRANCH:																						
6-FIGURE BANK CODE	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> </tr> </table>																					
ACCOUNT NO	<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> <td style="width: 25px;"></td> </tr> </table>																					
TYPE OF ACCOUNT: <i>(please tick)</i>	CHEQUE <input type="checkbox"/>	SAVINGS <input type="checkbox"/>	TRANSMISSION <input type="checkbox"/>																			
6. LANGUAGE:	ENGLISH <input type="checkbox"/>		AFRIKAANS <input type="checkbox"/>																			
7. TELEPHONE NO:	(W)	(H)																				
8. CELLULAR:																						
9. EMAIL:																						
10. I acknowledge that the party hereby authorised to effect the drawing(s) against my account may not cede or assign any of its rights to any third party without my prior written consent and that I may not delegate any of my obligations in terms of this contract/authority to any third party without prior written consent of the authorised party.																						
11. SIGNATURE:		DATE:																				
<i>(This arrangement will remain valid until it is recalled in writing by either of the parties.)</i>																						
Telkom-SA Private Bag X2, Mt Frere, 4770. Tel: 039 888 2800 Fax: 039 888 2888 Reg.No: 003-226NPO VAT No: 4820122481																						

Text 27: Example of a Cheque Requisition Form

<p>TAX INVOICE NO. 1234</p>			
FROM:		DATE:	
TO:			
<i>Quantity</i>	<i>Description</i>	<i>Unit Price</i>	<i>Amount</i>
		TOTAL:	
Signature:			

REQUISITION NO.	<i>SCHOOL NAME & LOGO</i>
DATE:	CHEQUE NO:
CHEQUE PAYABLE TO:	AMOUNT:
DESCRIPTION:	COST CENTRE:
SIGNED:	DATE:
<p>AUTHORISATION: <i>Authorised by:</i> _____ <i>Date:</i> _____ <i>Designation:</i> _____ <i>Signature:</i> _____</p>	
<p><i>Staple the order form and invoice at the back the cheque requisition, before filling out the cheque</i></p>	

Text 28: Example of a Bank Statement

ABC Bank				
THE TREASURER MQHAYI PRIMARY SCHOOL ACCOUNT NUMBER: 01234567891		STATEMENT NO. 61 AS AT: 31 Jan 2007 BRANCH CODE: 246810		
DETAILS	DATE	DEBIT	CREDIT	BALANCE
Balance	01/01			15,200.00
Cheque no. 101	01/03	250.00		14,950.00
Deposit	01/04		550.00	15,500.00
Deposit	01/05		12,300.00	27,800.00
Cheque no. 102	01/05	2,500.00		25,300.00
Deposit	01/06		1,015.00	26,315.00
Deposit	01/07		3,400.00	29,715.00
Deposit	01/08		800.00	30,515.00
Deposit (School fees: Yunus - Grade 8b)	01/09		50.00	30,565.00
Deposit	01/13		1,500.00	32,065.00
Cheque no. 103	01/14	625.00		31,440.00
Cheque no. 109	01/19	12,150.00		19,290.00
Deposit	01/20		410.00	19,700.00
Cheque no. 106	01/20	2,000.00		17,700.00
Deposit book	01/21	12.00		17,688.00
Cheque no. 108	01/24	75.00		17,613.00
Cheque no. 110	01/25	1,134.00		16,479.00
Cheque no. 112	01/25	950.00		15,529.00
Deposit (School fees: T Tula - Grade 9c)	01/26		70.00	15,599.00
Cheque no. 107	01/27	3,120.00		12,479.00
Lennon's Hire (S/O Fax machine lease)	01/28	350.00		12,129.00
Cheque book	01/28	88.00		12,041.00
Cheque no. 105	01/29	310.00		11,731.00
Govt duty on debits	01/30	16.00		11,715.00

Text 29: Example of a Bank Reconciliation Statement

BANK RECONCILIATION STATEMENT OF			
200 _____	FOR _____		
BALANCE PER BANK STATEMENT NO _____ DATED ____/____/____			<i>A</i>
LESS: OPENING BALANCE PER CASHBOOK			<i>B</i>
EQUALS: BALANCE TO BE RECONCILED (A - B)			<i>C</i>
LESS: OUTSTANDING CHEQUES <i>(Cheques made out but not yet processed through bank)</i>			<i>D</i>
DATE	CHEQUE NO	AMOUNT	
TOTAL:			<i>(Transfer total to D above)</i>
ADD: OUTSTANDING DEPOSITS <i>(Bank Deposits not as yet credited on Bank Statement)</i>			<i>E</i>
DATE	DEPOSIT NO	AMOUNT	
TOTAL:			<i>(Transfer total to E)</i>
BALANCE (c - d + e)			<i>F</i>
<i>PREPARED BY: Finance Officer</i>		<i>APPROVED BY: SGB Treasurer</i>	
SIGNATURE		SIGNATURE	

Text 30: Example of a Bank Statement Reconciliation Checklist

ACTIVITY	COMMENT
Compare the credit amounts (receipts) in the bank statement with the CRJ bank column	Tick with a pencil next to the amounts in both places
Enter the un-ticked amounts in the CRJ	These will usually be electronic or direct deposits and interest earned
Close off/cast off the CRJ	Calculate each column
Cross cast	Cross calculate the totals of each column. The answer should be the same as the total in the bank column
Note: you might find an un-ticked amount in the CRJ, draw a ring around it	This will usually indicate that the deposit has not yet been registered by the bank. This will be noticed as an outstanding deposit in the Bank Reconciliation Statement
Compare the debit amounts (payments) in the bank statement with the CPJ	You might find a number of un-ticked amounts in the debit column of the bank statement. Usually it will be bank charges or debit orders, e.g. for the lease of the fax machine
Enter the un-ticked amounts in the CPJ	The entries in the CPJ are now complete
Close of/cast off the CPJ	
Remember to check the accuracy by cross-casting the totals	
Note: You might find un-ticked amounts in the bank column of the CPJ	These cheques were issued for payment but have not been presented to the bank by the beneficiaries. These are referred to as outstanding cheques in the Bank Reconciliation Statement

Text 31: Example of a Variance Analysis

(Adapted from Matthew Goniwe School of Leadership and Governance, 2005)

BUDGET SUMMARY		TOTAL	JANUARY			FEBRUARY		
			BUDGETED	ACTUAL	VARIANCE	BUDGETED	ACTUAL	VARIANCE
1.	Administration	10000	<i>1000</i>	<i>1500</i>	<i>+50%</i>			
2.	Awards and bursaries	2000	<i>1500</i>	<i>1500</i>	<i>0</i>			
3.	Bank charges	1200	<i>100</i>	<i>150</i>	<i>+50%</i>			
4.	Cleaning materials	2200	<i>200</i>	<i>300</i>				
5.	Duplicating	6500	<i>1200</i>	<i>1000</i>				
6.	Educational aids	12500	<i>1100</i>	<i>1000</i>				
7.	Extra-murals	8000	<i>600</i>	<i>700</i>				
8.	First aid	500	<i>50</i>	<i>0</i>				
9.	Grounds	2000	<i>500</i>	<i>0</i>				
10.	Insurance	2400	<i>200</i>	<i>200</i>				
11.	Maintenance	3600	<i>300</i>	<i>200</i>				
12.	Printing	2500	<i>220</i>	<i>300</i>				
13.	Photographs	1500	<i>120</i>	<i>0</i>				
14.	Refreshments and catering	2200	<i>150</i>	<i>150</i>				
15.	Salaries and allowances	20000	<i>1800</i>	<i>2000</i>				
16.	Security	18000	<i>1500</i>	<i>1500</i>				
17.	Stationery	6000	<i>500</i>	<i>1000</i>				
18.	Vehicles and transport	8000	<i>1000</i>	<i>1200</i>				
19.	Special projects	10000	<i>800</i>	<i>1000</i>				
TOTALS		119100						

Text 32: Example of an Asset Register

CATEGORY: SCHOOL FURNITURE								
DESCRIPTION	REF. NO.	DATE RECEIVED	NO. OF UNITS	DATE OF STOCK TAKE	NO. IN STOCK	SUPPLIER	STATUS & REASON	NAME & SIGNATURE
Furniture: Educators Tables	55/102 5	02.02.1999 Invoice 02/025623	55	10.11.2007	49	DoE	49 in stock because 6 were stolen Case no. 01/3145	T Dlamini Stock controller P Xaba SGB Treasurer
Furniture: Learners Desks	67/102 6	05.03.2000 Invoice 02/025683	67	10.11.2007	1049	DoE	1049 in stock	T Dlamini Stock controller P Xaba SGB Treasurer
Maintenance: Spades Rakes	75/103 0	10.04.2001 Invoice 02/025723	5 6	10.11.2007	8 9	DoE	8 spades in stock 9 rakes in stock	T Dlamini Stock controller P Xaba SGB Treasurer
Learning Support Materials Textbooks Posters	85/104 5	02.05.2004 Invoice 02/025824	987 10	10.11.2007	1120 15	DoE	1120 textbooks in stock 15 posters in stock	T Dlamini Stock controller P Xaba SGB Treasurer
Teaching Support Materials Overhead Projector Worksheets	96/105 5	07.08.2005 Invoice 02/025629	1 120	10.11.2007	3 150	DoE	3 projectors in stock 150 work- sheets in stock	T Dlamini Stock controller P Xaba SGB Treasurer

Text 33: 'Systems and Resources Management Health Check'

Questions to ask during the 'Health Check' of your school

- Legal and other requirements
 - ▶ Do you have all the relevant documents at our school?
 - ▶ Are these accessible to staff who need them?
 - ▶ Are staff members and other stakeholders (e.g. members of the SGB) informed of the requirements?
 - ▶ Is there a system for monitoring and communicating changes to legal and other requirements?
 - ▶ Are you satisfied overall that your school meets all the requirements legislation and policy and do you have the evidence to prove this?
- Systems, structures and processes
 - ▶ Are systems and structures in place for executing the processes for managing physical and financial resources?
 - ▶ Are the processes appropriate to the need?
 - ▶ Do the systems, structures and procedures meet the legal requirements?
 - ▶ Are these appropriate for the needs of your own school and its stakeholders?
 - ▶ Are these processes executed effectively?
 - ▶ Are you satisfied overall that your school has optimal systems, structures and processes and do you have the evidence to prove this?
- Persons responsible for establishing and implementing systems and structures
 - ▶ Have persons been allocated to perform these tasks?
 - ▶ Are these persons provided with clear guidelines on how to perform their tasks?
 - ▶ Are the persons responsible for implementing the processes sufficiently competent to perform their functions?
 - ▶ Do you have processes in place to ensure that these people are trained to perform their functions?
 - ▶ Are you satisfied overall that your school has the right people in the right places getting the right kind of support and do you have the evidence to prove this?
- Problem solving and improvements
 - ▶ What processes do you have in place for identifying areas where improvements are needed?
 - ▶ Is there a climate of openness in your school to confront problem areas?
 - ▶ How effective are the existing processes for dealing with problems and improving the way systems, structures and processes function?
 - ▶ Are you satisfied overall that your school is able to solve problems and continuously improve and do you have the evidence to prove this?

[Please note that you can add questions to this list to ensure that this activity benefits your school.]

Templates

The Reader contains many examples of tables and templates that you will need to adapt to suit your own needs. This section of the module contains a blank template for the 'Systems and Resources Health Check' referred in the **Learning Guide** as well as in **Text 33** of the **Reader**.

Template: 'Systems and Resources Management Health Check'

Refer to following page.

'Systems and Resources Management Health Check'

of

(insert the name of your school)

Name of school:

Name of person overseeing the 'Health Check'

(Note: This should be the school leader on the ACE programme)

Other persons involved in the evaluation:

Time period of the evaluation:

Key areas in managing the organisational systems and physical and financial resource of your school	Nothing is in place yet	Requires improve-ment	Meets required standard	Excellence achieved	Actions to be taken to improve the current state: Who must do what, when, how and with what to improve effectiveness
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REGULATORY FRAMEWORK

Acts					
Regulations					
National/provincial policies and requirements					

PERSONAL QUALITIES FOR EFFECTIVE MANAGEMENT OF YOUR SCHOOL

Integrity and fairness					
Systematic yet flexible approach					
Ability to think creatively to anticipate and solve problems					

Understanding of informal and formal means of communication					
COMMUNICATION PROCESSES					
With internal stakeholders					
With external stakeholders					
Contribution of the SGB to school management					
Contribution of other stakeholders, e.g. parents and the community					
INFORMATION SYSTEMS					
Use of information technology in your school					
Access to Internet facilities					
Management Information System					
MANAGING ADMINISTRATIVE SYSTEMS AND STRUCTURES					
Systems and structures for admission of learners					
Systems and structures for collection of school fees and exemptions					
MANAGING PHYSICAL RESOURCES					
Managing and maintaining the school's property, buildings and grounds					
Community involvement in school maintenance and improvement					
Systems and structures for purchasing textbooks, educational materials and equipment					
Managing and maintaining equipment in the school and stock control					

Safety and security of school buildings and grounds					
Managing school transport					
MANAGING FINANCIAL RESOURCES					
Financial systems and structures					
School budgeting process and budget policy					
Financial monitoring and control					
Cash management and control					
Systems for ordering and procurement of goods and services, and for payments					
Asset management processes					
Auditing and reporting processes					
MARKETING YOUR SCHOOL					
Marketing strategy					
MONITORING, MAINTAINING AND EVALUATING SYSTEMS AND STRUCTURES					
Maintenance of systems and structures					
Evaluating the effectiveness of systems and structures					
PROBLEM SOLVING					
Problem solving issues related to systems and structures					
Processes for identifying and analysing problems					

Processes for addressing problems					
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[Please note that you can customise this template so that you can use it as an instrument for improving your school.]

