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**An Investigation into Senior Leaders' Perceptions
and Experiences of their Roles, Responsibilities and
Appraisal Processes in their Primary Schools**

A thesis presented in partial fulfilment of the requirements for the
degree of

Master of Educational Administration and Leadership

at Massey University, New Zealand.

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2013

I certify that the thesis entitled **An Investigation into Senior Leaders' Perceptions and Experiences of their Roles, Responsibilities and Appraisal Processes in their Primary Schools** and submitted as part of the degree of Master of Educational Administration and Leadership is the result of my own work, except where otherwise acknowledged, and that this thesis (or any part of the same) has not been submitted for any other degree to any other university or institution.

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Abstract

This study explored the current roles and responsibilities of senior leaders (DPs/APs) in some large New Zealand primary schools, and their experiences and perceptions of appraisal processes. An online survey (Survey Monkey) which forty-six senior leaders completed, representing 38% of the sample group, provided broad and rich understandings on this study's topic.

While all had heavy involvement in managerial responsibilities, DPs/APs reported that their key responsibilities were appraising others, supporting teachers to develop their practice and professional development - all aspects of 'leading learning' practices. Developing other leaders in the school was also a key component of their role. They perceived appraisal to be most beneficial for making links between their own leadership and student learning. The findings suggest that these leaders combined pedagogical/instructional and transformational approaches to leadership and used appraisal "to provide a positive framework for improving the quality of teaching (and therefore learning)" (MoE, 1997, p. 40). As such, DPs/APs in this study supported the primary purpose of appraisal in New Zealand schools.

The DPs/APs in this study adopted a professional approach to appraisal. While they defined appraisal as being about both accountability and development, they viewed the purpose of appraisal as being more about professional development and student learning than accountability. The study highlighted tensions around appraisal faced by these senior leaders who based their practice on legislation, theory, policies, regulations and guidelines that lack clarity and cohesion. Challenges faced by these senior leaders in meeting requirements for both attestation and appraisal also emerged.

Unsurprisingly, varying approaches to appraisal processes across schools were evident. That policy and regulations are aligned and one set of criteria for appraisal and attestation is developed is proposed.

The DPs/APs in this study expected their appraisal processes to support their professional development. They expected appraisers to be professional, skilled and able to provide constructive feedback to support their ongoing development. That a coordinated approach for the training for DPs/APs is lacking emerged as a concern. This study supports recommendations in previous studies that coordinated training for appraisers is provided and that tools and evaluative frameworks that support to appraisal processes are developed.

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Table of Contents

Abstract	i
Acknowledgements	iii
Table of Contents	iv
List of Illustrations	viii
Chapter 1 Introduction	1
1.1 Scope of study	3
1.2 Overview of this thesis	7
Chapter 2 Literature Review	8
2.1 Background: Recent issues in education	13
2.2 International studies of appraisal	15
2.3 Appraisal in New Zealand: A historical perspective	20
2.3.1 From relations of trust to legislation for monitoring accountability ...	20
2.3.2 Development of performance management in schools.....	22
2.4 Performance Appraisal.....	27
2.4.1 Accountability and professional development.....	27
2.4.2 Introduction of Professional Standards	30
2.4.3 Tensions within and between appraisal purposes for development and accountability	33
2.4.4 Studies of senior leaders’ perspectives on appraisal.....	36
2.4.5 Views of what makes an ‘effective’ appraisal.....	41
2.4.6 Capacity building.....	46
2.4.7 Summary.....	48
2.5 The nature of DPs/APs’ roles and responsibilities	49
2.5.1 A managerial and reactive role	52
2.5.2 Workload and time constraints.....	53
2.5.3 Lack of clarity and role alignment.....	54
2.5.4 Gender and ethnicity	54
2.5.5 School size and scope for leadership	55
2.5.6 Emerging roles.....	57

2.6 Conclusion	59
Chapter 3 Methodology and Research Processes	61
3.1 Research paradigm	62
3.2 Research method	63
3.2.1 Survey research	64
3.2.1.1 Designing the Survey Monkey questionnaire	65
3.2.2 Choosing and accessing potential participants	69
3.2.3 Data analysis	75
3.3 Research issues in this study	78
3.3.1 Validity and reliability	78
3.3.2 Ethical considerations	80
3.3.3 Informed consent	81
3.3.4 Anonymity and confidentiality	81
3.3.5 Benefit and harm	82
3.4 Conclusion	82
Chapter 4 Roles and Responsibilities	83
4.1 Introduction	83
4.2 Introducing the participants: 46 senior leaders (DPs/APs) in 59 large state primary schools in a metropolitan New Zealand city	84
4.2.1 Gender	84
4.2.2 Ethnicity	88
4.2.3 Ages	89
4.2.4 Experience in the profession	90
4.2.5 School decile rating and size	91
4.3 Roles and responsibilities	93
4.3.1 Official roles and responsibilities	94
4.3.2 Unofficial roles and responsibilities	98
4.3.3 An overall perspective of DPs/APs' roles and responsibilities	100
4.4 Time allocated to fulfilling leadership role	102
4.4.1 Time spent on dimensions in a typical week	103
4.4.2 How senior leaders ideally wanted to spend their time in a week	106

4.5 Official roles and responsibilities against which senior leaders were appraised	109
Chapter 5 Perceptions and Experiences of Appraisal	114
5.1 Introduction	114
5.2 Understandings of the term appraisal and perceptions of the purposes of appraisal.....	115
5.3 Overall understanding of the term appraisal	116
5.3.1 Professional development.....	116
5.3.2 Accountability	117
5.3.3 Student learning	118
5.4 Perceptions of the purposes of appraisal.....	119
5.5 School policy on appraisal	124
5.6 Key features of appraisal processes	125
5.7 Level of satisfaction with appraisal processes	129
5.8 Expectations of the appraisal process when appraised	131
5.9 Expectations of appraisers	133
5.10 How the role played by appraisers was described.....	134
5.11 How senior leaders were prepared to fulfil the role of appraiser	136
5.12 Perceptions of the extent to which appraisal processes fulfil a range of purposes	138
5.13 Perceived relationship between appraisal, attestation, the Professional Standards and Registered Teacher Criteria.....	140
5.14 The relationship between appraisal and professional development .	142
5.15 Conclusion	143
Chapter 6 Discussion and Conclusion	145
6.1 Key roles and responsibilities.....	145
6.1.1 Appraising others	146
6.1.2 Involvement in professional learning and developing practice.....	146
6.1.3 Pedagogical/Instructional leaders	147
6.1.4 Developing other leaders	147
6.1.5 Lack of role alignment.....	149

6.2 Appraisal: Opportunities for DPs/APs	151
6.3 Appraisal: Traversing the continuum of accountability and professional development.....	154
6.4 The complex nature of appraisal processes	156
6.4.1 An amalgamation of appraisal and attestation.....	157
6.4.2 A lack of clarity and consistency	158
6.5 Appraisers play a key role.....	159
6.5.1 The appraiser’s approach makes a difference	159
6.5.2 Training for appraisers	160
6.6 Implications of the study: Pathways and challenges.....	162
6.7 Some recommendations for action.....	163
6.7.1 Policy and regulation documentation	164
6.7.2 Training for appraisers	164
6.7.3 Tools for appraisal	166
6.8 Limitations of the study	167
6.9 Suggestions for further research	168
6.10 Conclusion	170
References.....	172
Appendices.....	192

List of Illustrations

Figure 1	Gender of respondents	84
Figure 2	Proportion of male principals and senior leaders in relation to the proportion of males in the teaching workforce	86
Figure 3	Proportion of female principals and senior leaders in relation to the proportion of females in the teaching workforce	86
Figure 4	Ethnicity of respondents	88
Figure 5	Ages of respondents	89
Figure 6	Time in previous roles	90
Figure 7	Years of experience in current role	91
Figure 8	Decile rating of schools	92
Figure 9	School size	92
Figure 10	Official roles and responsibilities	94
Figure 11	Unofficial roles and responsibilities	99
Figure 12	Roles and responsibilities (official and unofficial)	100
Figure 13	Time allocated to fulfilling leadership role	102
Figure 14	Time allocated to dimensions of work in a typical week	104
Figure 15	Dimensions of work senior leaders ideally wanted to spend time on in a typical week	106
Figure 16	How senior leaders spent a fair amount of time to most of their time in a typical week in comparison to their ideal week	109
Figure 17	Role alignment between time on dimensions of work in a typical week and an ideal week	109
Figure 18	What senior leaders were appraised against	110

Figure 19	Comparison between official responsibilities and what senior leaders were appraised against	112
Figure 20	Overall understanding of the term 'appraisal' and perceptions of the purposes of appraisal	120
Figure 21	Level of satisfaction with appraisal processes	129
Figure 22	How the role played by appraisers was described	135
Figure 23	How senior leaders were prepared to fulfil the role of appraiser	136
Figure 24	Perceptions of the extent to which appraisal processes fulfil a range of purposes school	139

Chapter 1 Introduction

As a senior leader in a large primary school, this researcher is aware that the journey along the path of leadership has, and continues to be, one of continuous growth both on a personal and professional level (Browne-Ferrigno & Lindle, 2007, p. 175). While there have been many avenues for accessing support and professional development, she has found that one of the key processes for developing and supporting her to be an effective leader and deputy principal within her context, has been the appraisal process. However, through discussions with colleagues who are in similar leadership positions, it has become evident that this is not the experience of all school leaders. An investigation of the educational research literature in this area has revealed minimal information about how this group of leaders perceives the appraisal process (see for example, Bagnall, 2011; Middlewood & Cardno, 2011; Moreland, 2009; Piggot-Irvine, 2003). It is a cause for concern for educationalists that this has not been a stronger focus of educational research; and it is an even greater cause for concern, particularly for students, teachers, whanau and society, if research reveals that senior leaders do not perceive the appraisal process as contributing to their development as effective leaders in their schools.

What constitutes an effective educational leader may vary from one context to another (Dimmock & Walker, 2004). Leadership is inextricably intertwined with political, social and economic factors at a local, national and global level that impact on education (Bottery, 2004). As such it requires a broad range of skills (Sergiovanni, 2001), techniques, tools, resources (Latchem & Hanna, 2001), attributes (Naik, 2011) and a style of leadership that 'fits' and may vary from one context to another (Rajeev, 2011). Whatever the context, effective educational leadership constitutes more than a 'laundry list' (Fink, 2005) of competencies, attributes and measurable outcomes or 'standards' as outlined in many leadership frameworks (Hargreaves, 2011). It requires a view of educational practice as demanding moral and ethical deliberation (Bottery,

2004). This means that effective leaders need to be ‘principle-centred leaders’ (Covey, 1991, as cited in Daresh & Arrowsmith, 2003), having a clear sense of what is right or wrong and what should be done after giving consideration to a range of perspectives and circumstances (Court, 2010). Effective educational leadership requires a moral responsibility, which involves endorsing certain values over others and appraising facts (considering psychological, sociological, historical contexts and political issues) in order to make reasoned decisions, which best serve the interests of the school community (Court, 2010).

Given these complexities, effective educational leadership requires a high level of political skill (Sergiovanni, 2007) as well as the ability to situate learning and education policy as a whole within national and global trends (Shields, 2005) so as to understand the forces that are shaping the work of educational leaders within the local context. Moreover, Hargreaves (2011) maintains that the capacity “to fuse many leadership styles and components together into an integrated and self-assured whole” (p. 227), to achieve the necessary consensus and commitment required to make the school function well for everyone (the common good), is what distinguishes those leaders who “perform beyond expectations” (p. 239).

All of these factors point to the need for appraisal processes that support and develop educational leaders, with the aim to provide them with confidence, challenge and clarity about how they can lead in a way that enhances school improvement and better outcomes for all the school community’s stakeholders (Grace, 1997; MoE, 2012). This researcher agrees with those who argue that as one of the processes for supporting and developing school leaders to be effective practitioners, a constructive appraisal process should be the prerogative of every educational leader (Hewton & West, 1992; Bagnall, 2011). However, research into the appraisal of primary school leaders is sparse and little is known about the actual experiences of senior leaders in

primary schools, particularly in terms of whether the appraisal process is perceived positively.

1.1 Scope of study

The terms ‘school leaders’, ‘senior leaders’ and ‘educational leaders’ in this study are not used as synonymous with ‘principal’ and as such it is not an examination of issues around effective principal appraisal. It is now widely accepted that with school leadership becoming more and more complex there is a need for a broad distribution of responsibilities. Leadership, rather than solely linked to hierarchical status, is now seen to comprise elements of ‘cooperative’ or ‘distributed’ leadership. As such leadership is seen as vested in deputy principals, associate principals, assistant principals or other leaders in schools responsible for improving teaching and learning, and student development and achievement (Gronn, 1999; Spillane & Diamond, 2007; MoE, 2012).

In recent years the New Zealand Ministry of Education has presented a model of educational leadership specifically for New Zealand educational leaders based on this premise, that “twenty-first century schooling requires leadership that is widely shared” (MoE, 2012, p. 8). While the Ministry of Education first published ‘Kiwi Leadership for Principals’ in 2008, and ‘Tu Rangatira: Maori Medium Educational Leadership’ in 2010, it has also recently published a draft version of ‘Leading from the Middle’ (MoE, 2012). Within the latter document’s vision and direction for the work of ‘senior leaders’ and ‘middle leaders’, ‘senior leaders’ are defined as “associate, deputy and assistant principals” (p. 7). In this current study, the terms ‘deputy principal’, ‘associate principal’ and ‘assistant principal’ are used interchangeably, and it is this group of leaders who are the focus of this research.

A considerable amount of research has been conducted into principals' perceptions of their appraisal processes (see for example, in primary schools, Collins, 1999; Mc Millan-Rourke, 1998; in secondary schools, Anderson, 1996). Teachers' perceptions of appraisal systems in their schools have also been investigated (see for example, Fitzgerald, Youngs & Grootenboer, 2003; Gratton, 2004; Ker, 1999; McWilliams, 2009; Sinnema, 2005). However, not much is known about the perceptions and experiences of deputy principals, associate principals or assistant principals (also known as vice-principals in some countries), particularly in primary schools. Thus the aim of this study is to achieve a deeper understanding of both the roles and responsibilities of senior leaders and how appraisal processes are experienced and perceived by them. This focus on senior leaders in large state primary schools is important as they clearly have a key role to play in determining organisational effectiveness and improved outcomes (educational and social) for the school community's members (Middlewood & Cardno, 2001; Huber & Pashiardis, 2008; MoE, 2012).

In order to provide a context for understanding deputy, associate or assistant principals (DPs/APs) experiences and perceptions of their appraisal processes and how those may or may not support their leadership development, an understanding of what their roles and responsibilities in their large primary schools entail is essential. Furthermore, in order to fully understand the roles and responsibilities of DPs/APs it is important that the global and national factors that influence their roles and work are also examined. This study thus aims to gain 1) an understanding of how their roles and responsibilities are defined and exercised in practice and 2) an understanding of their experiences and perceptions of appraisal.

Another important aspect for this study is the size of the school as a context for leadership. In his two-year research study of primary schools in the UK,

Southworth (2004) clearly established that of the many factors that affect the school as a context for leadership, its size is a major one (p. 9). School size was found significant in terms of the different roles and responsibilities of senior leaders and consequent implications for the way in which senior leaders were evaluated, developed and equipped for headship (principalship). This current study has been limited to investigating a sample of senior leaders in large primary schools (with a roll of 600+) in a large metropolitan city in New Zealand as they share a similar context for their work and the context of senior leaders' work may influence their roles, responsibilities and perceptions and experiences of their appraisal processes. Future research could explore whether leaders in smaller primary schools have similar or different responsibilities and appraisal processes and experiences.

The fields of leadership development and performance management are vast; and in education there is a huge body of literature, which covers a range of fields from a variety of cultural perspectives. From the outset, therefore, it is important to acknowledge that this study draws predominantly on a Euro-centric perspective and focuses on appraisal processes within the New Zealand education system. Although parallels may be drawn with educational developments internationally, the focus is on primary school senior leaders in New Zealand.

As alluded to earlier, the impetus for this research proposal has arisen out of this researcher's own experiences and observations as a senior leader. In part, it is motivated by an awareness that some of her most significant developments as an educational leader in two large primary schools in New Zealand have come about, not only by developing her own teaching and leadership practice and seizing opportunities that have come her way, but that it can also be attributed to the input that other, more experienced, leaders have had in supporting, mentoring and

coaching her, particularly through the appraisal process. That her experience might be at odds with that of some of her colleagues, who are in a similar leadership position, aroused her interest in investigating this in her research. It is hoped that this study will make a contribution to the limited research on senior leaders in schools and enrich both academic knowledge and educational practitioner knowledge about how appraisal processes are being experienced currently, and how they could best support leadership development for achieving improved outcomes for students, teachers, whanau and society (MoE, 2012).

The theories about leadership development and how improved outcomes for students are best achieved through appraisal processes serve to shape the work and appraisal of senior leaders. In recent times there has been a shift in emphasis from transformational leadership where the focus is on facilitating collegial discussions and collaborative capacity building to an emphasis on student learning and pedagogical or instructional leadership. This has mainly been brought about by findings from studies that revealed that school leaders are most effective, that is, have the greatest impact on student outcomes, when they are closely involved with teachers in professional learning and make links between their leadership and student learning in appraisal (see for example, Robinson, 2007; Robinson, Hohepa & Lloyd, 2009; Timperley & Robinson, 2008). Whether the emerging discourse about leaders 'leading learning', as some have characterised 'pedagogical' or 'instructional leaders', (Robinson et al. 2008; Robinson et al., 2009; Swaffield & MacBeath, 2009; MoE, 2012a), is changing or 'reconceptualising' the roles of DPs/APs (Cranston, 2007; Famham, 2009) and impacting their appraisal processes is investigated. This is examined with keen interest in the light of studies that have revealed that while DPs/APs would like to be more closely involved in pedagogical/instructional leadership, the demands on them to fulfil managerial tasks appear to limit their opportunities to be engaged in leading learning practices associated with pedagogical/instructional leadership.

1.2 Overview of this thesis

Following this Introduction, Chapter Two provides a review of New Zealand and international literature on developments in appraisal processes. In particular, developments in increased managerial accountability and the implications of performance pay in the UK and USA are analysed. A detailed review of the appraisal system in New Zealand is then provided. This is followed by a review of the very limited literature on senior leaders' perceptions of appraisal and a consideration of the literature on what makes for 'effective' appraisal. This chapter concludes with a review of the literature on the nature of DPs/APs' roles and responsibilities in primary schools.

Following this, in Chapter Three, the methodology underpinning the study is explained. The findings on the roles and responsibilities of senior leaders and their experiences and perceptions of their appraisal processes are reported and discussed in Chapters Four and Five, respectively. Chapter Six begins with a discussion of the key findings and their implications for current and future practice. Recommendations for those who are responsible for educational policy are suggested. The chapter concludes with a discussion of the limitations of the study and suggestions for future research.

Chapter 2 Literature Review

The purpose of this chapter is to provide an understanding of the contexts in which DPs/APs in primary schools form their perspectives of appraisal and to determine through a review of the research literature, what is known about their experiences and perceptions of appraisal. In order to understand the current educational environment, an overview of key developments in the UK and USA is provided. However, it is the context of the New Zealand appraisal system, which provides the key focus of this study. As such, it is important to explain this in some detail first.

In order to ensure clarity, it is essential to distinguish between two key processes, 'performance management' and 'performance appraisal'. The term 'performance management' has superseded teacher appraisal in the UK; the term 'performance appraisal' is currently used in the USA and New Zealand. The New Zealand Ministry of Education's definition of performance management is stipulated in the guidelines for "Performance Management Systems", the legal document by which performance management and performance appraisal were mandated in 1997 (MoE, 1997). In this document, the term performance management is defined as:

The development and implementation of policies and procedures to ensure teachers and staff of schools provide education and services that fully meet the needs of their students. Sound performance management systems provide a systematic approach to goal setting and link school objectives to the performance of each individual staff member. (MoE, 1997, p. 39)

Performance management thus serves as an overarching system or umbrella for all personnel management policies within a school. According to the Ministry of Education (1997) it involves:

The recruitment and retention of staff; the selection and appointment of staff; those clauses of collective and individual employment contracts which relate to performance management; statutory requirements for teacher registration; the appraisal and assessment of staff; the professional development of staff; career development; succession planning; remuneration management, and the discipline and the dismissal of staff (pp. 39 - 40).

'Performance appraisal', on the other hand, is presented as a subset of performance management. It is officially defined by the Ministry of Education in its 'Performance Management Systems' document (MoE, 1997) as "an evaluative and developmental activity in the framework of professional accountability" (p. 44). It is a mandatory requirement in order to assure the Government, "on behalf of taxpayers, that teachers are being supported by sound management systems and practices and in turn are providing high-quality learning opportunities for students" (MoE, 1997, p. 44). There is thus a mandatory requirement that boards "provide support for an appraisal process that establishes expectations and objectives and leads to professional growth through reflection and formal feedback" (MoE, 1997, p. 44).

Within the 'Performance Management Systems' document, developed largely to provide guidelines to support the implementation of appraisal, several terms including 'appraisal', 'assessment' and 'evaluation' are used. The guidelines explicitly state, in response to the question of whether there is a difference between the terms 'appraisal', 'assessment' and 'evaluation' that

there is no difference and that “the terms are interchangeable” (MoE, 1997, p. 44). Thus terms, which could have several different meanings attributed to them, are used interchangeably in the ‘Performance Management Systems’ guidelines (MoE, 1997).

Within New Zealand the functions, roles and responsibilities associated with teacher and principal performance appraisal are distributed across the Ministry of Education (MoE), the New Zealand Teachers Council (NZTC), the Education Review Office (ERO) and schools (MoE, 2011). In the case of the latter, the New Zealand School Trustees Association (NZSTA) provides support and guidance for school Boards of Trustees (BoTs) who have a governance role within a system of self-managing schools. In addition to these official bodies, the teacher unions - the New Zealand Education Institute (NZEI), which represents primary school teachers, and the Post Primary Teacher Association (PPTA), which represents secondary school teachers - negotiate collective employment agreement contracts for teachers and principals.

The various terms and purposes which performance appraisal aims to fulfil can cause confusion. An example of this is the NZSTA’s modified version of the Ministry of Education’s definition. The NZSTA stipulates to BoTs that performance appraisal is:

The process of identifying, evaluating and developing the work performance of employees in the organisation, so that the organisational goals and objectives are more effectively achieved, while at the same time benefiting employees in terms of recognition, receiving feedback, catering for individual work needs and offering advice. (NZST, 2004, p. 37)

How this aligns with the 'Performance Management Systems' guidelines (MoE, 1997) and is applied in practice is left up to BoTs to decide. They are afforded flexibility "to design performance appraisal systems appropriate to individual teachers, their school and community, within a minimum quality assurance and accountability framework" (MoE, 1997, p. 40). Thus a BoT's approach to performance appraisal may vary from one context to another.

ERO, on the other hand, which has an accountability role and reviews schools' compliance with legislative requirements in terms of the State Sector Act (1988) and the Education Act (1989) (MoE, 2011) does not have a set definition for performance appraisal. However, when reviewing schools, review officers focus on processes within schools and are guided by ERO evaluation indicators, which inform judgements and evaluations. According to ERO, indicators of effective performance appraisal practice are processes within the school that focus on the linking of personal goals to the school's strategic goals and goals that are linked to 'best practice' (p. 31).

Documentation that shows that principals can determine whether or not teachers are competent and which provides the basis on which principals annually determine whether or not teachers are able to progress to their next salary step (a process called, 'attestation'), is used as a source of evidence for determining whether a robust process for both addressing underperformance and providing support, is in place (ERO, 2011, p. 31).

While different processes and sources of evidence are meant to inform the review of the appraisal (focused on development) and attestation (focused on accountability) processes, it has been established that in practice, schools are likely to draw on the same evidence for both (MoE, 2011).

Information from the appraisal process serves a further purpose when it comes to employment contracts. From the outset, the Primary Teachers'

Collective Employment Contract (1995 – 1998) - negotiated by NZEI; the Secondary Teachers' Collective Employment Contract (1996 – 1998) - negotiated by PPTA; and the Area Schools' Collective Employment Contract (1996 – 1998) all linked appraisal (dependent on competent performance) to salary progression (MoE, 1997, p. 42). The Ministry of Education's 'Professional Standards' provide the criteria for making judgements about competence and form the basis for determining remuneration. As already mentioned, principals are required to annually attest to the fact that teachers fulfil the criteria and are competent. If deemed competent, principals approve teachers' next steps in their salary progression. If not deemed competent, a competency process comes into play and the teacher does not progress to the next salary step.

Another official body that requires information from appraisal processes is the New Zealand Teachers Council. The information is used to assess how teachers are performing and their areas for development in relation to the Registered Teacher Criteria (RTC), which have replaced the Satisfactory Teacher Dimensions. These criteria became mandatory for all teachers in 2012. Every three years principals are required to use these criteria and evidence from the appraisal process to determine whether a teacher's performance is satisfactory and their registration should be renewed.

The lack of clarity created by the use of a range of terms throughout the 'Performance Management Systems' document, the multiple definitions used for performance appraisal by various educational groups and the range of purposes which performance appraisal is meant to serve across these groups have to a great deal contributed to the confusion about the definitions of appraisal and have led to a range of ways in which appraisal processes are implemented (Cardno & Piggot-Irvine, 2005). Potentially this could

undermine the primary purpose of the appraisal process, which “is to provide a positive framework for improving the quality of teaching (and therefore learning) in New Zealand schools” (MoE, 1997, p. 40). In order to further illuminate the complexities associated with appraisal processes, a review of the literature from several perspectives follows.

2.1 Background: Recent issues in education

The emergence of new public management (NPM) and neoliberalism over the past thirty years has seen economic, social and political forces become the dominant governance paradigm for educational policy and practice (Ryan & Cousins, 2009). With increased demands for efficiency, productivity and performance have come ever-increasing demands for accountability and transparency on the part of the education sector. In the UK and USA, particularly, this has seen the monitoring of school quality through large-scale assessments, and accountability measures reflected in performance management and appraisal systems.

Moreover, international student assessment surveys such as the Third International Mathematics Science and Math Study (TIMSS), Programme for International Student Assessment (PISA) and Progress in International Reading Literacy Study (PIRLS), are now used to measure and compare the quality of education systems on an international scale. These are linked to economic performance and driven by education policy underpinned by the assumption that gains against ‘standards’ or test scores represent increased productivity and increased quality in education. The policies of the Organisation for Economic Co-operation and Development (OECD) contribute to this view (Ryan & Cousins, 2009).

The emergence of this global economic reform movement (GERM) since the 1980's has been characterised by the following globally common features: standardisation; a focus on core subjects; a search for low risk ways to achieve learning goals; management models more suited for the corporate world and test-based accountability policies for schools (where raising student achievement is closely aligned to the accreditation and reward or punishment of teachers) (Sahlberg, 2013). This target-driven culture and exercise of power by governments has impacted the intensity with which control and accountability measures have been felt by school leadership and on classroom practice (MacBeath, 2009). Evidence-based policies have seen policy changes informed by claims of 'what works'. For example, Evidence for Policy Practice Information and Coordinating (United Kingdom), What Works Clearinghouse (USA) and the Iterative Best Evidence Synthesis Programme (New Zealand) have exercised significant influence over policy through claims of what kinds of evidence matters to determine educational effectiveness (Ryan & Cousins, 2009). These expectations and external policies have set school leaders and teachers up as 'both the problem and the solution' (Cuban, 2001 as cited in MacBeath, 2009, p. 142) and their implementation has direct implications for the manner in which senior leaders are appraised.

Keeping these important global forces for education in mind, the following review of the literature on appraisal begins with a focus on studies from the UK and USA and is followed by a more detailed review of literature on the New Zealand appraisal system to date. The UK and USA have been selected as a focus as they have a long-standing tradition of high stakes testing and greater managerial accountability measures associated with their appraisal systems – a shift in policy the New Zealand government has recently signaled it will be making (Makhlouf, 2012). The current New Zealand government is drawing on educational literature from these two countries

rather than that from Finland, to support educational policy changes (Parata, May, 2012). A review of the literature is undertaken to establish the impact of greater managerial demands for teacher accountability and to explore the possible implications of the government's proposed policy changes. This review is undertaken as the way in which teachers are held to account influence the approaches adopted in their appraisal processes and hence teachers' experiences and perceptions of their appraisal processes (Youngs and Grootenboer, 2003; Piggot-Irvine, 2003; Piggot-Irvine & Cardno, 2005).

2.2 International studies of appraisal

This section begins with a brief historical overview of appraisal in the UK. The key focus is on the impact of greater managerial accountability and the influence this had on the experiences and perceptions of senior leaders with regard to appraisal. The implications of performance pay are considered with respect particularly to the USA, as performance pay has been more firmly entrenched there.

In 1996 an extensive two year study led by Ted Wragg and involving 109 local education authorities (LEAs), 658 primary and secondary teachers and 479 appraisers, sought to determine what appraisal meant to those involved. Each group was the focus of a separate study and then the three strands were linked. The study was based on the premise that "if teaching is to 'improve' as a result of appraisal, then teachers should behave 'more effectively', after appraisal" (Wragg et al. 1996, p. 20), that is there should be positive change. The study employed both quantitative and qualitative methods.

This study revealed the following findings: 1) the diverse contexts and ethos of schools resulted in diverse forms of appraisal implementation; 2) consistently high standards in the provision of training for appraisers was required; 3) the classroom observation aspect of appraisal required greater prominence and adequate resourcing; 4) peer appraisal as opposed to hierarchical appraisal was perceived as beneficial because it involved those sensitive to context; 5) the way in which results of the appraisal were communicated and to whom they are communicated, were important considerations and 6) the need to strengthen evaluation by schools of what they did and the impact on classroom practice, was highlighted (Wragg et al. 1996, pp. 201 – 203). These findings are of particular interest as there are clear links with findings of studies focused on the current system of appraisal in New Zealand (Cardno, 1999; Piggott-Irvine, 2000; Piggott-Irvine, 2003; Piggott-Irvine & Cardno, 2005). These New Zealand studies, as will be discussed later in this chapter, also identified areas of priority for appraisal that, to a large extent, stand in sharp contrast to the current priority for appraisal that is linked to managerial accountability.

As in the United States of America, with the ‘No Child Left Behind Policy’ (NCLB) (Education Act of 2001), the objective of the Department of Education and Employment in the UK was to use more quantitative data, such as student achievement data, and to make direct links between a teacher’s performance and progression in pay. Data was collected by Haynes, Wragg and Chamberlain (2003) as performance pay was first being introduced in 2000 and then again in 2002.

Teachers were found to value opportunities to discuss their work, performance and aspirations. Their concerns around performance pay centred around: 1) uncertainty about the criteria to be used; 2) a lack of

training to implement performance pay; 3) whether the scheme could be fairly implemented as teachers' performance is context-bound; 4) test and exam results as a measure of 'outputs'; 5) setting student achievement targets for staff when students were already achieving highly; 6) consistency and reliability of data and the limited external tests available to primary schools; 7) variability in the difficulty of objectives that were set for teachers; 8) subjectivity in making judgements about teachers' performance; 9) a lack of time; 10) confusion about how funding was going to be awarded and a possible system of quotas that would mean that only the 'most effective' teachers rather than all deserving teachers would be rewarded; and 11) the lack of clear guidelines about how the process should be administered. This study is of interest as it highlights some of the key concerns around performance-related pay and league tables that were being expressed by New Zealand educationalists after announcements by the Minister of Education, Hekia Parata in 2012 about the development of a performance (appraisal) system with performance pay as a possible extension of this. In New Zealand concerns about the development of league tables utilising National Standards data from primary schools continue to be expressed (NZPF, 2013; Scoop Media, July, 2012).

Atkinson, Burgess, Croxson, Gregg, Propper, Slater and Wilson (2009) in the UK researched the impact of performance-related pay on teachers over the same period of two years (2000 – 2002). The research conducted in secondary schools used quantitative data to draw comparisons between student achievement before and after performance pay, linked to student outcomes, was introduced in the UK. The study revealed that claims about performance incentives improving student achievement were unsubstantiated. Such claims have also been shown to be less than substantial elsewhere. An example of this is an analysis by Walt Haney (2005) in the USA, in a paper entitled: "The Myth of the Texas Miracle". In

spite of heavily teaching to the test, an analysis of Texas Assessment of Academic Skills (TAAS) results showed that the many claims that miraculous gains had been made in reducing the number of dropouts and increasing achievement in Texas during the 1990s were not accurate. A close analysis of enrolment data revealed that the reliability and validity of data had been compromised by 'exclusions' doubling the number of students in special education, which meant that data for some students was not included; an increase in grade retention, including the retention of 30% of Hispanic and black students and a sharp increase in students opting to take General Educational Development (GED) tests rather than Texas Assessment of Academic Skills (TAAS) tests. In Texas this analysis clearly pointed to an emphasis on high-stakes testing, like the TAAS, being more damaging than helpful to teaching and learning, and particularly damaging to at-risk students.

The pressure to show that test scores had increased were found by Haney (2006) to also result in fraud by administrators in Florida, New York and Alabama. The actual result was to push "young people out of school in order to make high school test results look better" (p. 13). Not only students, but also teachers appeared to be pushed out by high-stakes testing. A survey of reading teachers in Texas revealed that 85% of them believed that the best teachers were being forced to leave teaching because of the restraints placed on decision-making and pressures placed on them and their students by the TAAS tests (Haney, 2005). A tension for educationalists who are committed to providing students with a set of broader skills and a holistic education, but who then are judged and appraised on narrow sets of criteria, has therefore been created (MacBeath, 2009).

Over the past decade the demands for public accountability measures have continued to increase, resulting in the micro-management of schools through accountability frameworks and electronic information systems (Gronn, 2003; Sahlberg, 2013). Where the stakes have increased, there has been a growing concern and recognition of “situations where measurement of quality may lead to everything else but better quality” (Ryan & Cousins, 2009, p. 183). The introduction of performance-related schemes have predictably been accompanied by opportunistic behaviour and ‘teaching to the test’ (Ryan and Cousins, 2009). This was clearly illustrated by Leavitt and Dubner (2005) in Chicago, USA. They demonstrated that a group of teachers whose professional futures were linked to student test scores, cheated by amending their answers. According to Gronn (2003) increased external demands for accountability have also contributed to the ‘work intensification’ of school leaders, resulting in disengagement and a culture of abstention on the part of school leaders, creating leadership succession problems and recruitment difficulties.

Moreover, Ryan and Cousins (2009, p.185) make the important point that accountability measures and performance practices also have a significant influence on the approaches adopted by appraisers who can serve as auditors or capacity builders. While appraisal performance guidelines and school appraisal systems significantly influence the context in which the appraisal of leaders takes place, we need to be aware that the approach that internal and external appraisers adopt have a significant influence on the perceptions and experiences of DPs/APs of appraisal, their ongoing development and ultimately student outcomes.

2.3 Appraisal in New Zealand: A historical perspective

2.3.1 From relations of trust to legislation for monitoring accountability

Not unlike other countries that embraced New Right, libertarian and economic rationalism views, New Zealand saw a gradual shift in teacher-state relationships from trust in the 1940's and 1950's and corporatist partnership in the 1970's, to a focus on professional accountability (Clark, 2001) during the 1990s.

Prior to 1989, inspectors, appointed by regional boards of education, scrutinised the performance of teachers. Within this system teachers' work was graded, but at the same time mechanisms for supporting schools and teachers were in place. While a level of professional trust and autonomy characterised the system, the ineffectiveness of the pre-reform Department of Education to improve the quality of teaching by holding teachers individually accountable for their performance was criticised (Cardno, 1999). The 1986 'Report of the Inquiry into the Quality of Teaching' (referred to more commonly as the Scott Report) claimed that there was considerable dissatisfaction with the Inspectorate (Fitzgerald, 2001).

Using explicit managerial language ('accountability to consumers', 'quality', 'standards', 'outcomes') the Scott Report argued that all teachers should be held to account for student learning outcomes (O'Neill, 2001). Cardno (1999) argued that while this report had no discernible impact on the system, its statements about a) the inadequate controls on professional performance and the impact of this on the achievement of quality in teaching and b) its recommendation that the profession should assume responsibility for

accountability, had a bearing on Treasury's recommendations in 1987 that "there was a need to establish 'clear systems of incentives and managerial accountability, which are enforced through effective quality control measures'" (p. 42). This in turn influenced the fourth Labour Government to establish a Taskforce to Review Education Administration in 1988.

The 'Picot Report' (1988) that followed provided the blueprint for Tomorrow's Schools. While the Picot Report contained a promise of improving learning opportunities for children by providing greater parental and community involvement in schools, greater teacher responsibility and the more immediate delivery of resources to schools, the underlying motivation for this had been signalled in Treasury's briefing papers to the incoming government. It is now widely recognised that the introduction of 'Tomorrow's Schools' and the resulting shift from centralised government to local responsibility by schools, was a direct response to Treasury's call for greater value, efficiency and accountability (PPTA, 2008).

The State Sector Act 1988 (Government of New Zealand, 1988) and the Education Act 1989 (Government of New Zealand, 1989) which followed provided the legislative framework for 'Tomorrow's Schools' and laid the foundation for the introduction of performance management in New Zealand schools. Section 77c of the State Sector Act 1988 gives the Secretary of Education authority to prescribe the requirements for assessing teacher performance and legislates responsibility to Boards of Trustees (BoTs) for assessing teacher performance. Section 77a of the State Sector Act 1988 legislates responsibility to BoTs for the development of teachers and for maintaining standards of integrity and conduct. Part VII of this act provides legislation requiring that BoT personnel policies comply with 'being a good

employer' and Equal Employment Opportunities (EEO) requirements (MoE, 1997, p. 41).

The Education Act 1989 still outlines legislation for all state and integrated schools and national education agencies in New Zealand today. Section 60A enables the Minister of Education to prescribe National Administration Guidelines (NAGs), National Education Guidelines (NEGs) and National Curriculum Statements. Under Section 75 of this Act, BoTs are given the control of schools (except where other New Zealand laws apply) and Section 76 regulates that principals, while they need to follow the BoTs general policy directions, have complete discretion to manage the school's day-to-day administration. Section 61 regulates that all schools must have a written charter of aims and objectives, the purpose of which is to meet the NEGs. It is the school's charter that forms the basis for accountability, both to the school's community and the government. NAG 2 (1993) places the requirement on BoTs to develop and implement personnel and industrial policies that promote high levels of staff performance, use educational resources effectively and recognise the needs of students. NAG 4 (1993) establishes a requirement for BoTs to provide a programme of regular self-review, including performance appraisal (MoE, 1997, pp. 41 – 42).

2.3.2 Development of performance management in schools

In April 1995, the Education Review Office (ERO) published a National Education Report entitled 'Managing Staff Performance in Schools' (ERO, 1995). The findings indicated that over the period of five years from the introduction of the Education Act 1989, many BoTs were not fulfilling their obligations to promote high levels of staff performance. Capper and Munro (1990) attribute this to the many contesting demands on BoTs to set up a

range of systems under Tomorrow's Schools. The ERO report noted that legislated powers vested in the Secretary of Education to prescribe to BoTs which matters should be taken into account when teachers were being assessed, had not been activated (p. 5). Few BoTs had an understanding of the elements of such a system. While most schools had systems for professional development and teacher appraisal in place, in only a few schools was there any attempt to systematically link these components of personnel management. In even fewer cases, was there an attempt to establish a link between these and the wider school goals and objectives (Collins, 1996).

The term 'performance management' was applied to an educational context for the first time in this ERO report (Collins, 1996). It was defined as: "The way in which a board acts as an employer and the policies and processes it has in place to ensure that its staff deliver services which effectively meet the needs of their clients (that is, the students)" (ERO, 1995, p. 4).

The report elaborated on a system of performance management as:

A set of policies, practices and procedures that covers all elements of personnel management and that impacts on the performance of staff in an organisation; and that in schools the performance management system therefore entails the recognition of and support for effective teaching and management practices in such a way that learners' needs are being met and student achievement is being enhanced (ERO, 1995, p. 5).

It therefore involves:

All personnel management policies such as the recruitment and retention of staff, statutory requirements for teacher registration, the appraisal and assessment of staff, career development, remuneration management, and the discipline and the dismissal of staff. (New Zealand School Trustees Association, 2004)

At about the same time during pay parity negotiations (May 1995), the New Zealand Educational Institute, the primary teachers' union, and the State Services Commission drew up a 'Heads of Agreement'. In this agreement the pay increases of principals were made subject to them having processes in place to determine on an annual basis, the objectives for each teacher and criteria for determining whether these had been met (Collins, 1996).

Moreover, the provision for annual review and salary progression linked to competent performance (as measured against the requirements as a classroom teacher as outlined in the Ministry of Education's Professional Standards) and as attested by the principal, was included in new employment contracts for primary teachers. There was also provision for an annual performance review of APs, DPs and Principals, the basis for which was a documented performance agreement (Collins, 1996).

In response to ERO's challenge to provide clearer guidelines for performance management, and the State Services Commission's request to develop procedures for the implementation of clauses relating to objective setting and performance review in both the 'Heads of Agreement' and 'Primary Employment Contract', the Ministry of Education set up an advisory group (June 1995). The task of this 'Development Group for Performance Management in Schools' as it was called, was to prepare draft guidelines for the introduction of performance management in schools (Collins, 1996).

According to Collins (1996), who was a member of this group, their first task was to define 'performance management'. This was defined as "the process of identifying, developing and evaluating work performance" and incorporated three interrelated concepts: 1) professional accountability; 2) improvement appraisal; and 3) quality assurance (Collins, 1996, p. 6). The first, professional accountability, stemmed from NAG 2 which requires BoTs to implement policies that promote high standards and the State Sector Act which has requirements of the BoT to be a 'good employer'. This concept, which encapsulates the other two concepts, establishes a requirement for effective systems for a) improvement appraisal for ongoing professional development and b) performance review for quality assurance (Collins, 1996, p. 6). The second concept, improvement appraisal, stemmed from requirements in employment contracts for employers (BoTs) to conduct annual performance reviews and attest to competence and NAG 4, which legislated institutional self-review. Requirements were set for a) objective or goal setting (individual or team); b) the provision of advice and support; and c) reflection on practice. The third concept, quality assurance, involves a) criteria or expectations about quality being set internally; b) systems for internal self-review (institutional and individual) against these criteria and c) a documented, reporting process for outcomes (Collins, 1996).

Collins (1996) made the observation that during the development of the draft requirements, elements of improvement appraisal and quality assurance were mixed together in an attempt to create a generalised framework of performance management for all schools, from 'sole charge' to large secondary schools. The extensive use of the terms 'performance appraisal', 'appraiser' and 'appraisee', may have led to some people interpreting this as performance management and appraisal being synonymous. However, according to Collins (1996), the intention was always for performance

management to cover the differentiated processes of performance review and appraisal.

The draft guidelines for performance management in schools were published on 4 March 1996 in the Education Gazette. These guidelines were presented as a proposed set of prescribed requirements for performance management to be applied to all New Zealand schools (Collins, 1996). During 1996 feedback was received by the advisory group and in October 1996, a final round of consultation was conducted with key sector groups. While a number of significant concerns and issues were raised at this point, some of which will be explored later, the mandatory requirements for performance management were finalised. These took into consideration the secondary employment contract ratified in 1996 and the compulsory requirements for teacher registration. A plan for implementation was also developed (Collins, 1996).

In February 1997, performance management systems for principals and teachers in all New Zealand state and integrated schools became mandatory. The series of guidelines referred to at the beginning of this chapter, entitled 'Performance Management Systems' (MoE, 1997) were published throughout 1997 to support the implementation of the requirements. These mandatory requirements still apply today. However, it is important to note that while the requirements are mandatory and BoTs have to operate within an accountability and minimum requirements framework, the opportunity is provided to BoTs to design 'performance appraisal' systems appropriate to their teachers, school and community (MoE, 1997, p. 40). The exploration of the appraisal process as a subset of the performance management system, and the inherent tensions within it, follows.

2.4 Performance Appraisal

2.4.1 Accountability and professional development

The Ministry of Education's 'Performance Management Systems' (PMS) guidelines (MoE, 1997) stipulate that performance appraisal is "an evaluative and developmental activity in the framework of professional accountability" (p. 44). The purpose of performance appraisal is to assure the government, "on behalf of taxpayers, that teachers are being supported by sound management systems and practices and in turn are providing high-quality learning opportunities for students" (MoE, 1997, p. 44). The role of the BoT is to "provide support for an appraisal process that establishes expectations and objectives and leads to professional growth through reflection and formal feedback" (MoE, 1997, p. 44).

The definition that the New Zealand School Trustees Association (NZSTA) provides to guide BoTs summarises appraisal as:

The process of identifying, evaluating and developing the work performance of employees in the organisation, so that the organisational goals and objectives are more effectively achieved, while at the same time benefiting employees in terms of recognition, receiving feedback, catering for individual work needs and offering advice (NZST, 2004, p. 37).

The PMS guidelines (MoE, 1997) stipulate key principles and aspects to be appraised. These include requirements that the BoT ensure that policies and procedures for appraisal are: part of a cohesive performance management

system within the school; appropriate to teachers, the school and wider community; developed in a consultative manner with teachers; open and transparent; supportive of professional development; timely and helpful to individual teachers; and must observe regulations around confidentiality. Moreover, the BoT has responsibility for ensuring that: a policy on teacher appraisal that adheres to these principles is in place; the implementation of the appraisal policy is delegated to a professionally competent person or persons; appraisals are completed in accordance with the policy; and each teacher is appraised at least once in a twelve-month period (MoE, 1997, pp. 40 – 43). In the case of appraisal of principals, the BOT chair is responsible for managing this process.

Features of the appraisal process outlined in the PMS guidelines include: a written statement of performance expectations (in consultation with the teacher); the identification and formal recording of one or more development objectives to be achieved during the period specified; the support to be provided to achieve the objective(s); where applicable, the observation of teaching; self-appraisal by the teacher; discussion between the teacher and their appraiser about their achievement and the preparation of an appraisal report in consultation with the teacher. Depending on the professional responsibilities and key performance areas of their position, aspects of performance to be appraised include teaching responsibilities, school-wide responsibilities, and management responsibilities (MoE, 1997, pp. 43 – 44).

In the terminology of the Ministry of Education guidelines (MoE, 1997, p. 44) a teacher is held professionally accountable and ‘appraised’, ‘evaluated’ or ‘assessed’ (the terms being used interchangeably) against an agreed job description or specified expectations that have been mutually agreed. These statements stand alongside guidelines for processes against which a teacher

is 'assessed' against the Professional Standards criteria and Teacher Registration Criteria for competency, salary progression and registration.

Cardno and Piggot-Irvine (2005) maintain that the performance appraisal system is intended "to benefit those who are already competent" (p. 18). However, as has already been argued, this intention isn't necessarily apparent. Clarity about the purpose and design of appraisal processes has been obscured by the interchangeable use of terms such as 'appraisal', 'evaluation' and 'assessment' that could mean quite different things. There are also minimum guidelines to support the implementation of appraisal processes and a variety of aims and purposes by different groups which appraisal processes are intended to serve.

The mandatory requirements for appraisal systems have, from the outset, had a focus on meeting local needs (teachers, principals, schools and communities). The primary purpose of appraisal as expressed in the 'Performance Management Systems' (PMS) guidelines (MoE, 1997), is to provide a "positive framework for improving the quality of teaching (and therefore learning) in New Zealand schools" (p. 40). The guidelines (1997) stipulate that for appraisal to be effective, the BoT has to provide opportunities for professional development, the professional growth of every teacher being an essential part of effective personnel management (p. 51). Thus, this Ministry document continues, while appraisal sits within a framework of professional accountability and is an evaluative (summative) activity, it also has a professional development (formative) orientation. It is or should be driven by a shared understanding between appraiser and appraisee about the levels and types of performance expected, the establishment of appropriate development objectives (and support) and the monitoring and evaluation or assessment of performance and growth (pp. 50 – 51). Its overall aim is to ensure an improvement in the quality of teaching and a direct benefit to all students. In order to achieve this BoTs need to

integrate the accountability and developmental components in the appraisal process.

It is important to point out once again that, from the outset, appraisal, competent performance and salary progression were linked. Clause 5.2.5 (a) and (b) of the Primary Teachers' Collective Employment Contract (1995 – 1998) required that appraisal occurs annually for salary progression. The Secondary Teachers' Collective Employment Contract (1996 -1998, Clause 2.7.1 a) also required that teachers should be working towards “high competence and quality” and Section G of this contract outlined the “quality teaching criteria” (MoE, 1997, p. 42). The individual contracts for primary and secondary principals also provided for progression of pay based on performance. Policy developments in New Zealand, like those in the UK and USA that were explored previously, thus saw performance management, appraisal and performance pay linked.

2.4.2 Introduction of Professional Standards

Then in 1998 the ‘Professional Standards for Primary School Teachers and Deputy/Assistant Principals’ were prescribed by the Secretary of Education and introduced by the Ministry of Education (MoE, 1998). These standards cover seven dimensions of teachers’ performance, namely, professional knowledge, professional development, teaching techniques, student management, motivation of students, Te Reo me ona Tikanga, effective communication, support for and co-operation with colleagues and contribution to school activities. In 1999 professional standards were introduced also for secondary schools, despite the resistance from the Post Primary Teachers’ Association (PPTA), which explicitly expressed its concern that rather than enhancing professionalism, the professional standards

separated teaching from its values and wider educational context (Piggot-Irvine, 2000, p. 334).

The introduction of 'Professional Standards' with nationally prescribed professional standards for the annual assessment of performance (differentiated for beginning, fully registered and experienced teachers) was then linked to salary progression. As such they have provided the assessment criteria against which judgements are made about an individual's basic competencies. An individual's competency is then attested to by the principal for annual salary' increments.

The 'Professional Standards' as relevant for teachers, APs/DPs and principals (revised for primary principals in 2009, secondary principals in 2010 and area principals in June 2012) (MoE, 2012a) are still the basis for assessing performance today (NZSTA, 2012). These criteria should not be confused with the criteria for teacher registration, which is managed by the New Zealand Teachers Council and which require that every three years teachers renew their teacher registration. It is incumbent on teachers to meet the criteria. Principals are required to complete a statement of endorsement stipulating that: 1) the teacher is of good character and fit to be a teacher; 2) has had satisfactory recent teaching experience; 3) the performance of the teacher has been assessed as satisfactory against each of the Registered Teacher Criteria; and 4) the teacher has completed satisfactory professional development (NZTC, 2012).

There has been some discussion about linking the 'Professional Standards' with criteria established by the New Zealand Teachers Council. The council's document, the 'Satisfactory Teacher Dimensions', have been replaced by the 'Registered Teacher Criteria' (NZTC, 2009). However, at the time of this research there were still two sets of criteria, The Ministry of Education's

‘Professional Standards’ and the New Zealand Teachers Council’s ‘Registered Teacher Criteria’, which teachers were required to meet.

To sum up the discussion to this point, there are several systems in place to ensure that New Zealand teachers are competent and professionally accountable. Performance management, as an overarching system of evaluation, encompasses a wide range of activities that come into play from the time a person enters an organisation until the person exits that organisation (Cardno & Piggot-Irvine, 2005). It incorporates, among other things, ‘performance appraisal’, the mechanism by which teachers are both held professionally accountable and are developed and supported. Under the performance management system teachers are also assessed against the ‘Professional Standards’ for salary progression and need to meet criteria set for teacher registration.

Cardno and Piggot-Irvine (2005), two of New Zealand’s most prolific educational researchers in the field of performance management and appraisal, argue that as the Ministry of Education did not stipulate that two separate systems, one for performance appraisal and another for assessment against the ‘Professional Standards’ were required, schools for the sake of efficiency have linked the two systems. They contend that this has helped to establish “the predominant role of appraisal as an accountability process with a remuneration agenda” (2005, p. 45) within New Zealand. This view was confirmed in a Ministry of Education publication (April, 2011), entitled: ‘OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes’. This document points to evidence suggesting that in practice, school management ‘amalgamate’ professional and registration standards. It would appear therefore, that the outcomes of teacher appraisal are used for a range of purposes – attestation and the purposes of salary progression, teacher registration and improving professional practice (MoE, 2011).

The tensions inherent in an appraisal process that is aimed at serving accountability as well as developmental purposes; the needs of the organisation alongside those of the individual; and where there is a blurring of appraisal and remuneration, will now be explored.

2.4.3 Tensions within and between appraisal purposes for development and accountability

It could be argued that in New Zealand, the appraisal system in a school is the basis for further developing and supporting those who are already competent. Those teachers and principals who are not competent are subject to a separate, competency process. Appraisal is not a single activity or an occasional formal meeting. Neither does it, as already discussed, serve a single purpose (Cardno, 2012). Rather, as stipulated in the Ministry of Education's (1997), 'Performance Management Systems' guidelines, through the process of integrating accountability and development, staff development and school improvement are integrated. School leaders in New Zealand are therefore vested with the important responsibility of aligning school-wide and individual professional development needs and need to make provision for these. It is essential therefore that all, but most importantly school leaders themselves, know and articulate what the priorities are within their school and how they can contribute to these. One would expect that there would be an alignment of leaders' goals with the institution's goals and an ability to carefully manage the tension that exists between accountability and development (Cardno & Piggot-Irvine, 2005; Cardno, 2012). This expectation, however, poses a significant challenge for many leaders.

While scholars like Blandford (2000) may support the view that appraisal is an effective mechanism for linking individual and school development, others like Cardno (1995) point out that such expectations are challenging. They bring with them the requirement to manage both internal and external stakeholders' aims and these are often conflicting. As indicated earlier, the attempt to intermesh personal and corporate goals makes appraisal a highly complex activity. There are aims to improve teaching practice, while at the same time holding both individuals and institutions accountable. Furthermore, there is the responsibility for ensuring that organisational goals are met while positive relationships between individuals are fostered and maintained. These aims, and at times conflicting responsibilities, create a system of appraisal characterised by dilemmas and tensions in terms of expectations, values and choices. The diversity of purposes of appraisal and conflicting values appraisers needs to manage, can lead to ineffectiveness within an appraisal system (Argyris, 1996; Cardno, 1995; Timperley & Robinson, 2008).

Timperley and Robinson (1998) have been critical of New Zealand schools' failure to meet both the requirements of accountability and development for this reason. School leaders, their research found, find it difficult to manage the tension between providing information to meet the responsibilities of both external and internal accountability, observing confidentiality and protecting the developmental ethos of appraisal (Timperley & Robinson, 1998; Middlewood & Cardno, 2001). These findings are also pertinent as they echo the concerns that were signaled in the feedback provided in response to the 1995 draft 'Performance Management Systems' guidelines (Collins, 1996).

Particular concerns in relation to appraisal were associated with the use of the same appraiser for both the 'improvement initiative' and 'quality

assurance' aspects (formative and summative processes). The concern that the appraisees' trust and confidence might be jeopardised by the summative aspects was raised (Collins, 1996, p.7). Furthermore, in addition to concerns raised around ongoing resourcing for appraisal training, adequate release time to conduct appraisals and ongoing, tailored professional development were also raised (Collins, 1996, p. 7).

The same issues are still concerns within the education sector today. There are mixed opinions on the extent to which appraisal should be used for high stakes performance judgements. The recent shift to a much stronger focus on student learning outcomes and the analysis and use of student assessment information, is reinforced by recent changes to teacher registration criteria where this receives greater emphasis and also recent amendments to centrally-managed professional development contracts for school leaders (MoE, 2011). There are growing concerns that the recent shift to the use of student achievement data to determine access to centrally controlled funding for professional development and the use of league tables to judge teacher and school performance, serve to increase controlling accountability measures within appraisal processes (Scoop Media, 16 July 2012).

For a long time educationalists have focused on the difficulties of hierarchical appraisal and the challenges in achieving a balance between the accountability and developmental aspects of an appraisal system (see for example, Argyris, 1996; Cardno, 1995; Cardno, 2012; Cardno & Piggot-Irvine, 2005; Fitzgerald, Youngs & Grootenboer, 2003; Grootenboer, 2000; O'Neill & Scrivens, 2005; Piggot-Irvine, 2003; Sergiovanni, 2007; Stewart & Prebble, 1993). Studies by many of these researchers reveal that a balance in systems of appraisal within New Zealand schools is difficult to achieve and

can best be described as existing on a continuum - based on where the accountability and development emphases lie. A system with an emphasis on assessing performance outcomes places the emphasis on managerial accountability, characterised by checklists, reporting requirements and supervisory control. In contrast, a system which places an emphasis on professional accountability is characterised by greater opportunities for self-evaluation and reflective practice and is more supportive of professional development and constructive appraisal processes (Piggot-Irvine & Cardno, 2005). Piggot-Irvine (2003) maintains that effective appraisal processes are possible to achieve by fostering professional accountability and balancing accountability and development in appraisal processes

The issue of how educational leaders are personally and professionally developed through appraisal is central to their performance and consequently has direct implications for how they appraise other staff. As already mentioned, achieving the right balance between accountability and development in appraisal is difficult, but is crucial as it is closely associated with effectiveness (Piggot-Irvine, 2003). The effectiveness of the appraisal process therefore has direct implications for organisational effectiveness, individual practitioner effectiveness and ultimately, improved student outcomes (Cardno, 2012; Middlewood & Cardno, 2001). A review of the literature on senior leaders' experiences and perceptions of the appraisal process follows.

2.4.4 Studies of senior leaders' perspectives on appraisal

A review of the literature has revealed that for the most part, studies have focused (although not exclusively) either on teachers' perceptions of appraisal or principals' perceptions of appraisal. In New Zealand a number of

earlier studies on appraisal focused on principals' perceptions of appraisal (for example in primary schools - Collins, 1999, Mc Millan-Rourke, 1998; in secondary schools – Anderson, 1996). A few New Zealand studies have focused on teachers' perceptions of appraisal (for example, Fitzgerald, Youngs & Grootenboer, 2003; Gratton, 2004; Ker, 1999; McWilliams, 2009; Sinnema, 2005).

This researcher could only find one study from the international literature that focused predominantly on DPs/APs' perceptions of appraisal and that was within the context of secondary schools. This study by Jan Moreland (2009), from the UK, included thirteen respondents who were senior leaders, one middle manager and three principals. The respondents were from twelve secondary schools, all from the same authority. The research method included an extensive literature review and semi-structured interviews.

Moreland's study (2009) is of interest as it identifies a range of variables, including personal ideology, experience and both the internal and external contexts of schools that affect senior leaders' perceptions of appraisal. It offers some possible aspects to consider when investigating the perceptions of senior leaders about appraisal. Firstly, the perceived purpose needs to be considered. Secondly, the climate of the school and how it impacts on the perceptions of appraisal needs to be considered. Where a high value was placed on developmental aspects (both for individuals and the school) and the concept of a community of practitioners was enhanced, the implementation of appraisal appeared to be fairly seamless.

Within New Zealand, two studies, one aimed at gaining teachers' perceptions of appraisal (Gratton, 2004) and one aimed at gaining middle and senior

leaders' perceptions of appraisal (Piggot-Irvine, 2000) reveal different perceptions held by the two groups of practitioners. The earlier study by Piggot-Irvine (2000) was a longitudinal study conducted from 1996 – 1999 of fifty-five schools across the four years that obtained responses from leaders in both primary and secondary schools. This study did not support the negative impacts, namely compliance, avoidance and negative resistance that were predicted with increased accountability. While there was avoidance in the area of collecting objective information for appraisal (a feature that had previously existed and for the most part can be attributed to a lack of training in dealing with problematic staff matters), “there was no report of increased controlling behaviour (particularly unilateral decision-making) in any aspect of appraisal activity” (Piggot-Irvine, 2000, p. 344). In fact, tighter accountability measures had a “considerable positive impact on almost all aspects of appraisal” (Piggot-Irvine, 2000, p. 345).

Positive impacts included a heightened awareness of professional development and the benefits of appraisal, standardised expectations with the introduction of the professional standards, greater transparency of systems in place, greater awareness by staff of their own performance, greater mentoring/assistance, better identification of staff strengths and weaknesses, more focused staff development and improvement in staff performance (Piggot-Irvine, 2000, p. 344). Piggot-Irvine acknowledged that two key factors were significant for her findings: namely the use of a checklist which was developed prior to the introduction of any national guidelines to appraisal, and the fact that her respondents were enrolled in a graduate programme of educational administration, and were thus likely to have been more informed about appraisal and more likely to have had an impact on the school's appraisal system. This may have accounted for their receptiveness to appraisal.

Gratton's study (2004), conducted with teachers at a large urban secondary school, revealed quite contrasting findings. Of the thirty staff surveyed, which included a mix of appraisers and appraisees, seventeen questionnaires were completed. Ten of the respondents were invited to participate in a follow up interview of which seven were interviewed. Gratton's findings revealed a mismatch between the school's purposes for appraisal and what teachers perceived the purposes to be. Their negative perception of the school's appraisal system as mainly an accountability measure was found to affect their approach to appraisal. Their responses revealed a perception of appraisal as 'tedious', 'impersonal', 'ticking the boxes', 'a waste of time'. Their perception was that no one cared and that staff was just going 'through the motions' as most only reviewed objectives at appraisal time (Gratton, 2004, p. 294). Findings also revealed that teachers believed that the main purpose of appraisal should be professional development. There was thus a mismatch between the perceived purpose of the school's appraisal system and the perceived purpose held by teachers. This misalignment and a lack of ownership by teachers rendered the appraisal system in this school ineffective (Gratton, 2004).

The findings of this study should not be used to make generalisations about teachers' perceptions of appraisal, as it only had a limited number of respondents and was located in one site at one point in time. Furthermore, as it focuses on teachers rather than middle and senior leaders, it cannot be used to contest findings in Piggot-Irvine's study (2000). However, what it does reveal is that when appraisal is located at the accountability end of the spectrum, it produces defensive behaviours in teachers and is perceived to be oppressive and controlling.

What is of particular interest is that in all three of the studies discussed above, perceptions of appraisal appear to be influenced by where on the spectrum, within the context of appraisal, development and accountability are perceived to be. This appears to be dependent on the approach the school adopts. That the approach adopted is crucial, was also evidenced in a study conducted in 2001 by Fitzgerald, Youngs and Grootenboer (2003). The study investigated teachers' perceptions of managerial and professional approaches to appraisal in schools. The study included a cross section of primary and secondary school teachers of which 52.6% held at least one management unit (management units being assigned to teachers with additional responsibilities). In general, teachers considered their appraisal to be consistent with a professional approach to appraisal. Most respondents considered their appraisal to inform their professional development, support ongoing and reflective practice, affirm and value their work and provide a basis for personal self-review. Appraisal was seen as a continuous and ongoing process and one in which teaching practice was considered in a holistic manner (Fitzgerald et al., 2003, p. 101). Teachers strongly agreed that appraisal held them accountable by checking that they met the Professional Standards. Despite the managerial approach adopted by the Ministry of Education, schools had adopted a professional approach. A collaborative, collegial approach, focusing on developmental aspects and viewing the teacher holistically was seen as fundamental to this professional approach. As in the UK study by Moreland (2009), the New Zealand research literature suggests that a key, influencing factor on people's experiences and perceptions of appraisal, is the approach to appraisal adopted by the school. The difference between positive or negative perceptions of the appraisal process might depend, to some extent, on whether a managerial or professional approach to appraisal is adopted by the school. Thus, some consideration of what is perceived to make the appraisal process 'effective' is worth exploring.

This review of the literature on appraisal has certainly revealed a significant gap in research. There is limited educational literature on the experiences and perceptions of senior leaders (DPs/APs) of their appraisal processes. While there is minimal research on secondary DPs/APs perceptions of appraisal, the literature on the perceptions of DPs/APs in primary schools appears to be purely anecdotal and virtually non-existent. This study endeavours to address that gap and contribute to the understandings in this field of educational research.

2.4.5 Views of what makes an ‘effective’ appraisal

As discussed earlier, there are many school leaders and researchers who are very critical of the notion of appraisal and see it as a tool for controlling and ‘de-professionalising’ educators (see for example, Ball, 2006; Bottery, 2004; Fitzgerald, 2008; Fitzgerald, Youngs & Grootenboer, 2003; Gronn, 2003; Gunter, 2002; O’Neill, 1997, O’Neill & Scrivens, 2005; Strain, 2009). They see it leading to ‘performativity’, the results of which “can lead to a perversion of the true objectives of the organisation, as attention is focussed on external demands and not internal needs” (Bottery, 2004, p. 93).

Flexibility, creativity and risk-taking are considered to be compromised at an organisational level while at a personal level, there is concern that practitioners experience a range of negative and damaging emotions, demoralisation, a loss of self-respect, guilt and in a low-trust environment, they resort to fabrication and inauthenticity (Bottery, 2004, p. 94).

Then there are those whose primary focus for appraisal seems to be on the benefits for student learning. This is clearly evident in the Leadership Best

Evidence Synthesis Iteration (Robinson et al. 2009), which is critical of both national policy on teacher appraisal and school-based appraisal policies. An effective appraisal, if it is maintained, should have as a focus, “evidence-based and situated inquiry into the impact of teaching and learning” (Robinson et al., 2009, p. 138).

Lambert (2003) used the analogy of putting oxygen masks on adults first and then children in airplanes, to make a statement about how a high-stakes accountability culture has focused professional development on student learning at the expense of adult capacity building. Both are crucial, but it is leadership capacity that is required for sustainable school improvement (Lambert, 2003). Concerns have to be raised if the emphasis on ‘evidence’ about the impact of teaching and learning is used to hold teachers and leaders accountable by linking evaluations about their ‘performance’ (made through the appraisal process) to their pay. Thus, while critical of national policy about appraisal, by laying claim to ‘what works’, and promoting these accountability measures, Robinson, Hohepa and Lloyd’s research (2009) (funded by the government) could be used to support a greater emphasis on teacher accountability linked to measurable student outcomes and help to inform government policy direction.

However, as also discussed earlier, there are those who see the value of appraisal in both providing a mechanism for accountability and for professional development (for example, Cardno, 2012; Day, Hall & Whitaker, 1998; Piggot-Irvine, 2003; Piggot-Irvine & Cardno, 2005). One would assume that for the appraisal to be considered ‘effective’ there should be some substantive improvement in practice that positively impacts on outcomes for students. Day et al. (1998) maintain that within the appraisal process, the development needs of both teachers and children need to be considered.

“The central purpose of appraisal is the professional development of teachers and, through this, the enhancement of learning opportunities for pupils in classrooms” (Day et al., 1998, p. 139). Hence, in order to achieve the purposes of improving learning outcomes for students, appraisal should be part of a system of ongoing professional development in which the teacher shares ownership and has space to reflect on practice (Marks & Printy, 2003).

It is therefore clearly evident that while both accountability for improving student’ outcomes and ongoing professional development are important, what is crucial is how these are weighted. Both Piggot-Irvine (2003) and Cardno (2012) maintain that by integrating, rather than distinguishing between these two requirements, effective appraisals are possible to achieve. First, Piggot-Irvine’s (2003) perspective of effective appraisal systems is presented. This is followed by Cardno’s (2012) more recent perspective of effective appraisal processes.

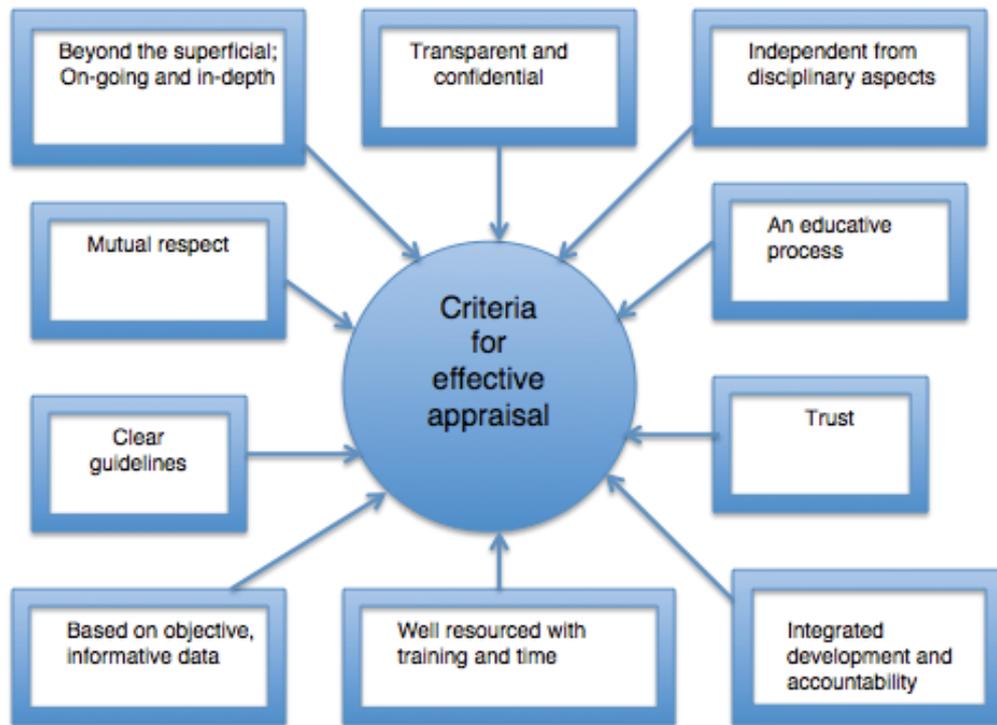
Piggot-Irvine (2003) maintains that an effective appraisal is underpinned “by values linked to objectivity, honesty, openness, transparency, respect, trust and non-defensiveness” (p.10). In her view, for this to happen it is essential that the wider school culture is characterised by these values and that they are embedded in the day-to-day functioning of the school and at every level of the school. It is one of the key responsibilities of school leadership to foster such a climate. Moreover, such a culture is equally important to effective appraisals for leaders.

In addition to a culture characterised by these key values, Piggot-Irvine (2003) maintains that the following features are essential elements of an effective appraisal:

- 1) An integration and balance of accountability and development – highlighting strengths and weaknesses and areas for further development
- 2) Confidential and transparent processes – ensuring confidentiality in relation to information obtained as part of the process and being transparent with all respondents about the process to be adhered to
- 3) Setting deep objectives – an emphasis on data-based reflections and a commitment to improving practice
- 4) Objective information – objectively collected, factual information that forms the basis for a valid, rigorous and fair appraisal
- 5) Separation of discipline processes from appraisal – appointing different personnel to manage the two processes to avoid undermining trust and openness in appraisal
- 6) Clarity – clearly articulated expectations that reflect both national guidelines and expectations particular to the institution and that aim at improving practice rather than check-listing
- 7) Quality time – making appraisal a priority and providing the necessary time and support
- 8) Developing educative interactions – an open, bilateral relationship, based on shared control, thinking, evidence, planning and monitoring
- 9) Training – training for appraisal and particularly, training to support the development of ‘educative’ relationships is essential

(pp. 4 – 10)

These key elements are represented in the following diagram:



(Piggot-Irvine, 2003, p. 4)

As already mentioned, Cardno (2012), like Piggot-Irvine (2003) considers an effective appraisal system to be one that integrates accountability and development, rather than one that distinguishes between the two (p. 93). Cardno's perspective on effective appraisal systems, which has many similarities with Piggot-Irvine's (2003) model (outlined above), incorporates the following features:

- 1) Reciprocal accountability between the manager and staff member;
- 2) Concern with individual performance based on negotiated and agreed expectations for both accountability and development;
- 3) Goal setting that is specifically related to teaching and learning;
- 4) Development needs identification and alignment at the individual, departmental and organisational level;
- 5) Developmental activity strengthened by expert mentoring and coaching;

- 6) Hierarchy (management) support, with strategic and operational resource links;
- 7) Open acknowledgement of contentious issues and joint effort to find solutions to problems of practice;
- 8) No comparative element; and
- 9) Data-based judgement (through the collection of evaluation material including information about student learning outcomes).

(pp. 93 – 94)

The perspectives of these two prolific researchers of effective appraisal systems provide valuable insights and reinforce the notion that effective appraisal processes aim to build capacity at several levels: individual, school and system. How this can be more specifically achieved for individuals is explored next.

2.4.6 Capacity building

The training of appraisers to develop educative processes is increasingly recognised as important (Crowther, Kaagan, Ferguson & Hann, 2002). Capacity building focuses action on collaborating and building others' capacity to take action for improvement (Friedrich & Lieberman, 2010) and capability to sustain that improvement (Jacobson & Bezzina, 2008). In New Zealand, provision is made for this in the induction programme for first time principals and the continuous professional development for experienced principals (Robinson et al. 2008). However, for most educational leaders, Piggot-Irvine's (2003) research revealed, this equates to one or two day courses or in some instances, only one or two brief workshops. Both Elmore (2003) and Piggot-Irvine (2003) maintain that if improvement is one of the main tasks of leadership, then school leaders need to take a hard line in terms of resources and capacity building.

In this researcher's experience, the leaders in her school have had some training in conducting appraisals and although some of the leaders will have revisited key aspects over a period of time, for the most part, the training has been more of a short-term approach and has been generally confined to one or two days of training. The key aspects covered have included:

- 1) 'Courageous' or 'open-to-learning' conversations and the benefits of 'productive reasoning practice' and 'double-loop' learning aimed at moving from dilemma avoidance (associated with defensive values and 'single-loop' learning) to dilemma management (Cardno, 2001; Piggot-Irvine, 2006; Robinson et al. 2009)
- 2) Coaching, which is essentially a professional, sometimes reciprocal learning relationship between two leaders who both benefit from working together as they implement personal and professional goals (Robertson, 2005)
- 3) Mentoring, where the mentor is an experienced colleague whose competence and credibility puts him or her in a dynamic relationship with a protégé, the latter's actions being central to the process which goes through different stages (Huber, 2008). As mentioned at the outset, I have personally benefited and developed as a leader under the mentorship of more experienced colleagues and
- 4) Double-loop learning, where pathways are developed to get to 'productive reasoning' as opposed to 'defensive reasoning' (single-loop learning) (Argyris, 1996). Productive reasoning, based on 'mutuality', which in appraisal is "linked to a deep commitment (particularly on the part of the appraiser) to equality and openness; to genuinely understanding the appraisee's perspective; to improvement outcomes in appraisal" (Piggot-Irvine & Cardno, 2005, p. 54).

There may be other strategies for developing educative processes, but one of the key features of an effective appraisal, as outlined above using Piggot-

Irvine's (2003) and Cardno's (2012) research, and prerequisites for school improvement, is appropriate training for the appraisers.

2.4.7 Summary

For many, appraisal has negative connotations (both in terms of intent and outcomes) (see for example, Ball, 2006; Bottery, 2004; Fitzgerald, 2008; Fitzgerald, Youngs & Grootenboer, 2003; Gronn, 2003; Gunter, 2002; O'Neill, 1997, O'Neill & Scrivens, 2005; Strain, 2009). Concerns have been raised about 1) being inspected, 2) hierarchically imposed expectations aimed at management and control rather than empowerment, 3) threats of performance related pay in New Zealand (Parata, May 2012) (already introduced in countries such as the UK and USA and recently introduced in parts of Australia), 4) concerns about a time-consuming practice aimed at ticking boxes (Forrester, 2011) and achieving conformity - imposed on an already overloaded schedule (Cardno & Piggot-Irvine, 2005; O'Neill & Scrivens, 2005). However, others have found that in many educational organisations the introduction of appraisal systems has been positive and that effective appraisal systems can be achieved (see for example, Cardno, 1999; Cardno, 2012; Day et al., 1998; Piggot-Irvine, 2000; Piggot-Irvine, 2003; Piggot-Irvine & Cardno, 2005).

This researcher's own experiences of appraisal have been positive. The appraisal process has provided challenge and clarity about how leadership can be further developed in order to enhance school improvement and better outcomes for students. It has engaged the researcher in reflective practice and fostered personal and professional growth (Hickcox & Musella, 1992). That this is not the experience of all leaders is cause for concern. That there is minimal research on the appraisal of DPs/APs is also cause for concern.

The key aspects reviewed thus far have explored literature on appraisal and how it has been researched and legislated nationally and internationally. In this current study, it is important to understand however, not only the systems by which senior leaders are appraised, but also the nature of the work on which they are appraised. In the next main section, it is not the endeavour of this researcher to review all factors pertaining to the DP/AP position. What follows is a review of the literature on the key roles and responsibilities of DPs/APs and some of the challenges and issues associated with their work.

2.5 The nature of DPs/APs' roles and responsibilities

Over the past two to three decades there have been increased external demands for accountability on educationalists (Cranston, 2007; Marshall & Hooley, 2006). The demands to demonstrate increased improvement in student academic achievement, especially for minority and disadvantaged groups (for example, No Child Left Behind policy in the United States, Every Child Counts policy in the United Kingdom and now legislated National Standards in New Zealand) and to prepare students for the demands of the 21st century and a global market have had an impact on the nature of senior leaders' roles and responsibilities (Cranston, 2007; Famham, 2009; Marshall & Hooley, 2006).

While there is a vast body of literature that examines the role of the principal in schools and the key role that effective principal leadership has on student outcomes (Heck & Hallinger, 2009; Leithwood, 2009; Robinson et al. 2008; Robinson et al. 2009) very little is known about the actual work and complexities of the roles and responsibilities of DPs/APs (Barnett, Shoho & Olseszewski, 2012; Cranston, Tromans & Reugebrink, 2004; Hausman, Nebekar, McCreary & Donaldson, Jr., 2002; Kwan, 2009; Marshall & Hooley, 2006; Scott, 2008) and even less is known about their work in primary schools. Of the comparatively

small number of studies on the nature of DPs/APs work, most are across the education sector, and include perspectives from primary through to secondary school (see for example, in the US: Barnett et al. 2012; Glanz, 1994; Hausman et al. 2002; Marshall & Hooley, 2006; in the UK: Ribbins, 1997; Webb & Vulliamy, 1995; in Hong Kong: Kwan, 2009, Wong, 2009; in Australia: Gronn & Lacey, 2006 and in Germany: Schermuly, Schermuly & Meyer, 2011).

There are a few studies that focus exclusively on the roles and responsibilities of DPs/APs in the secondary sector (see for example, Cranston, 2007; Cranston et al. 2004, in Australia; Kwan and Walker, 2008, in Hong Kong; Famham, 2009 and Scott, 2008, in New Zealand). There are also a few studies that focus on this group of leaders within primary schools (see for example, Harvey, 1994, in Australia; Hughes, 1999; Jayne, 1996; Simkins, Close & Smith, 2009; Southworth, 2004, in the UK and Neidhardt, 2009 who focuses on the perceptions of female deputy principals in New Zealand).

A recent publication such as 'Leading from the Middle' published by the New Zealand Ministry of Education (MoE, 2012a), outlines the roles and responsibilities of senior and middle leaders in New Zealand schools and this has been beneficial in providing a theoretical framework. The international research literature over the last decade indicates that there has been a distinct lack of clarity about the actual roles and responsibilities of DPs/APs (see for example, Harvey, 1994; Ribbins, 1997; Webb & Vulliamy, 1995; and more recent studies by Marshall & Hooley, 2006; Scott, 2008; Weller & Weller, 2002). This is despite the fact that Harvey signaled this back in 1994 when he could only find 50 studies related to deputy principals (many of these were anecdotal). It would seem that Harvey's description of these educational leaders as "a wasted educational resource" (1994, p. 24) may still hold true more than a decade later with them being described by Cranston, Tromans and Reugebrink

(2004) as “forgotten leaders” (p. 226). Barnett, Shoho and Oleszewski (2012) argue that a general lack of clarity about their role makes them an “underutilized resource in schools”, even today (p. 92).

For the most part the research reveals only general information about their roles and responsibilities across the sector. Therefore, what follows in this section is a review of what we know about DPs/APs in general. Where there is information pertinent to primary schools, this will be highlighted and where there are any insights into gender or race, these will be shared. It is also interesting to note that most of what we know about the nature of DPs/APs work is based on quantitative studies. Many of the studies used questionnaires or surveys that either the researchers developed or had been previously validated (see for example, Cranston et al. 2004; Hausman et al. 2002; Kwan, 2009; Kwan & Walker, 2008; Schermuly et al. 2011) and tended to be larger scale studies.

These large scale quantitative studies provide an understanding of the roles and responsibilities DPs/APs fulfill and the challenges they face, they do not necessarily provide a rich understanding of the dilemmas and complexities created by the interplay of these roles and responsibilities and how DPs/APs derive meaning and purpose from their work (Marshall & Hooley, 2006). Some of the smaller scale studies have tended to employ qualitative methods such as open-ended questionnaires, individual and focus group interviews, semi-structured interviews, observations and case studies (see for example, Barnett et al. 2012; Marshall & Hooley, 2006; Scott, 2008) in order to gain a deeper understanding.

So what does the research literature reveal about the nature of the work of this group of senior leaders? Oleszewski, Shoho and Barnett (2012) observe that

the roles and responsibilities of DPs/APs can vary from school to school and from year to year, the nature of their work, essentially being determined by the principal (Harvey, 1994; Mertz, 2000; Weller & Weller, 2002). Hence, Weller and Weller (2002) argue, that there is not a universal role for DPs/APs.

Moreover, many of the areas highlighted in the earlier research literature are still common themes and these challenges and issues associated with the role will now be outlined. Due to the limited research on DPs/APs, generalisations are drawn from studies that either focused on secondary DPs/APs or from studies across the primary and secondary sector. There are few insights into the work of DP/APs solely within the context of primary schools. The specific insights on primary school DPs/APs are provided mainly in the discussion of Southworth's (2004) study that focused largely on school size.

2.5.1 A managerial and reactive role

In a study conducted by Hausman et al. (2002), findings from 125 returned surveys that had been mailed to assistant principals in Maine, USA were analysed. While we may not be able to make many valid generalisations from the findings of this localised study, it reveals that for the most part, the roles and responsibilities of DPs/APs still involve managerial tasks and the role is predominantly reactive.

Utilising the seven key dimensions of vice-principals' work, identified by Hausman et al. (2002), namely, strategic leadership, education or curriculum leadership, management and administration, dealing with student issues, parent and community issues, staffing issues and operational issues (2002, p. 236), Kwan and Walker (2008) conducted a large scale study. They utilised an

instrument they developed to incorporate these areas and obtained responses from 331 vice-principals in Hong Kong secondary schools. The aim was to identify the core competency areas pertinent to the work of vice-principals as well as their perceptions of the relationship between these and school success. Kwan and Walker (2008) found that the seven work dimensions applied in the Hong Kong context as well. Cranston et al. (2004) who conducted a large survey of secondary deputy principals in Queensland, Australia, Cranston (2007) who conducted a study of New Zealand secondary DPs/APs and Scott (2008) who conducted a case study of 40 newly appointed secondary deputy principals in New Zealand, arrived at similar findings. Most of a DPs/APs' time it would seem, is taken up with management matters, ensuring stability, order and discipline in the school, as well as data-management and personnel management (Cranston et al. 2004; Cranston, 2007; Harris et al. 2003; Scott, 2008).

2.5.2 Workload and time constraints

Time constraints and the impact of this on workload and time management, are some of the biggest challenges experienced by DPs/APs. As demands have increased as a result of externally imposed requirements, so the responsibilities of DPs/APs have increased. Concerns about overload, stress and a lack of personal and family time are some of the key reasons why DPs/APs may not aspire to principalship (Barnett et al. 2012; Cranston et al. 2004; Harris et al. 2003; Marshall & Hooley, 2006; Scott, 2008). School DPs/APs in general experience pressure on time. For those with a teaching role there is a particular tension between their management and teaching roles (Harris et al. 2003). Cranston et al. (2004), Kwan and Walker (2006), Scott (2008) and Barnett et al. (2012) all found that there was a substantial gap between the time that DPs/APs spent on tasks and the key areas on which they believed they should be spending their time.

2.5.3 Lack of clarity and role alignment

While job descriptions for senior leaders may vary, for many there is a distinct lack of clarity about their role which impacts negatively on their emotional well-being and job performance (Harris et al. 2003; Ribbins, 1997; Webb & Vulliamy, 1995). 'Role ambiguity' can result from ill-defined and inconsistent responsibilities (for example, when senior leaders have to fulfill the function of supporting a teacher and at the same time monitoring, supervising and evaluating the teacher) and at times, seemingly incoherent assignment of tasks by principals - who at times are perceived to assign tasks on the basis of who is seen first after the principal becomes aware of the task (Marshall & Hooley, 2006, p. 7).

The level of alignment between the real (the actual daily work) and ideal (what deputy principals believe their work should be) roles and responsibilities of senior leaders has an impact on the level of job satisfaction these leaders experience. Marshall and Hooley's (2006) study found that 'role ambiguity' results in a lack of job satisfaction, confidence and a sense of ineffectiveness (p. 7) and Kwan and Walker (2008) found that it negatively impacts on the aspirations of these senior leaders. Cranston et al. (2004), in a study of 204 secondary vice-principals in Australia, support these findings noting: "The closer the real and ideal roles (are) aligned, the higher the level of job satisfaction" (p. 239).

2.5.4 Gender and ethnicity

Hausman et al. (2002) and Marshall and Hooley (2006) identified gender differences concerning the time spent on tasks by DPs/APs. In both studies,

women were found, among other things, to spend more time on instructional tasks, personnel management and took work home more often. They tended to adopt a more personal, democratic and participative style than male counterparts, who tended to adopt more autocratic, structured and directive approaches. Female DPs/APs spent a greater proportion of their time on pastoral care while male DPs/APs spent more time on discipline and curriculum matters. Hausman et al. (2002) suggest that these findings support the notion that women and men in these leadership positions perceive the world differently (p. 152).

Women DPs/APs, and especially those from ethnic minority groups, feel that they have to prove themselves in a predominantly male and white educational system while those from ethnic minority groups feel they are less likely to be encouraged to apply for promotions than their white colleagues. Women are less likely to apply for principalship than men, despite experience and capability (Harris et al., 2003).

2.5.5 School size and scope for leadership

This researcher could only find one extensive study conducted in primary schools which focused on school size and its implication for the work of senior leaders and the development of their leadership. Southworth's (2004) study, conducted in the UK, included a trilogy of studies that were used to complete a comparative study over three years. As this was an extensive study, it has considerable credibility and as such Southworth's (2004) findings are presented here, and their implications for this study carefully considered.

In his study Southworth (2004) found that the size of a school also has direct bearings on the nature of the roles and work of deputies in these schools and their level of job satisfaction. While there were some similarities between the roles and work of deputy principals in large primary schools and those in other-sized schools, such as dependence on the head (principal) to clearly define their roles and responsibilities; a working partnership with the head; the focus on sustaining positive relations with both staff and the head, and the ability to be able to turn and focus their attention at any given time to almost everything, there were also some distinct differences. These included: the substantial responsibility that deputy principals in large schools had; the daily demands of managing staff and teaching and learning programmes were far more than their counterparts in smaller schools; and the amount of teaching time was considerably less than that of deputy principals in medium-sized and small primary schools. Within larger schools, there was the potential and indeed the responsibility on the part of deputy principals to not simply manage tasks and projects, but also to develop middle leaders (Southworth, 2004, p. 163). In these schools the additional responsibilities held by deputy principals, their higher levels of involvement in managing and leading key “aspects of the school’s operations and the higher remuneration, compared to deputy headship and head posts in smaller schools, made the job one they were reasonably satisfied with, sometimes to the point of not considering headship elsewhere” (Southworth, 2004, p. 88).

In Southworth’s (2004) study, deputy principals reported that a range of responsibilities, as well as leadership across a number of curriculum areas and teaching at different levels of the school were useful preparation for deputyship. However, even with this preparation, once in this position deputy principals still experienced a steep learning curve (p. 87). It follows therefore that the development needs of senior leaders in these roles may vary and that they need to be supported and developed once they are in the role to fulfill their current

role. For those who aspire to principalship, appropriate support and development to fulfill that role is also crucial (Cardno, 2012).

Hausman et al. (2002) and Harris et al. (2003) raised a key concern that findings about how assistant principals (across the primary and secondary sector) spend their time suggest that assistant principalship does not appear to adequately prepare senior leaders for principalship (Hausman et al., 2002, pp. 152 – 153). In some schools where leadership is more distributed, DPs/APs are provided with opportunities to fulfill many of the tasks associated with the principal's role such as initiating and leading change. For the most part though, it appears that a focus on leadership development, comprising opportunities to introduce and lead innovation and change, instructional and curriculum leadership, coaching and evaluating teachers, communicating a vision and promoting school goals and shared ownership are not as prevalent in the role for DPs/APs as managerial responsibilities (Barnett et al. 2012; Cranston 2007; Harris et al. 2003; Scott, 2008). How the capability of DPs/APs are assessed and their leadership further developed and supported, so as to ensure that both in their current roles, and as potential principals, they effectively enhance educational outcomes for all the school's stakeholders, are important considerations for both the primary and secondary education sector.

2.5.6 Emerging roles

The literature was reviewed with a keen interest in whether the emerging discourse about leaders as being 'leaders of learning' (MoE, 2012a; Robinson et al. 2008; Swaffield & MacBeath, 2009), also referred to as 'instructional leaders' or 'pedagogical leaders' (Robinson et al., 2009), is changing or 'reconceptualising' the roles of DPs/APs (Cranston, 2007; Famham, 2009). While principal leadership has been the focus of studies, the findings by

Robinson (2007) and Robinson et al. (2009) about effective leadership can be extended to other senior leaders, as has already been discussed, leadership particularly in large schools, is often distributed to DPs/APs and other leaders.

These studies revealed that school leaders are most effective, that is, have the greatest impact on student outcomes, when they are closely involved with teachers in professional learning (Robinson, 2007; Robinson et al. 2009). Thus, rather than placing an emphasis on transformational leadership where the focus is on facilitating collegial discussions and collaborative capacity building (as outlined in Sections 2.4.5 and 2.4.6 above), the emphasis is on student learning and pedagogical leadership (Robinson et al. 2009). Pedagogical/instructional leadership involves leaders setting clear pedagogical goals, developing consensus around those goals and providing the tools for teachers to achieve them. Such leaders promote professional learning, work together with teachers to solve pedagogical problems, plan and monitor the curriculum, evaluate teaching and learning and provide appropriate resources to support all of these activities (MoE, 2012a; Robinson et al. 2009).

Studies undertaken by Cranston (2007) and Scott (2008) in New Zealand, Wong (2009) in Hong Kong and Oleszewski et al. (2012) in the USA (in which mainly empirical studies and literature on DPs/APs and vice-principals from 1970 – 2011 were reviewed), revealed that for many DPs/APs engaging in these leading learning practices in their schools is a significant challenge. While DPs/APs in these studies wanted to be more closely involved in pedagogical/instructional leadership, the demands on them to fulfil managerial tasks appeared to limit their opportunities to be involved in these leading learning practices (MoE, 2008; MoE, 2012a; Robinson, 2007; Robinson et al. 2009). Hausman et al. (2002) also found that the amount of teaching experience senior leaders had before entering the leadership role impacted on their

confidence and ability to carry out these aspects of their work. Leaders who had five years or less in terms of teaching experience spent less time on pedagogical/instructional leadership and understood that role less than leaders with more teaching experience.

The literature would thus suggest that, while DPs/APs are being held more and more accountable for improving school and student achievement outcomes, the managerial demands and responsibilities of their roles (and for some a lack of ability or confidence) restricts their function as pedagogical/instructional leaders (Barnett et al. 2012; Cranston et al. 2004; Harris et al. 2003; Marshall & Hooley, 2006). It is evident that there is a growing realisation of the contribution that DPs/APs make to school improvement (see for example, Cardno, 2012; MoE, 2012a) is evident. Research studies on effective leadership practices for DPs/APs specifically, however, are yet to be undertaken (Oleszewski et al. 2012). The fact this is rarely interrogated in the research literature is of interest, especially in the light of the key role that DPs/APs play in schools and the emphasis on pedagogical/instructional leadership. Whether the discourse about pedagogical/instructional leadership is having an impact on the appraisal of DPs/APs (where an evaluation of their performance is made) is also of interest.

2.6 Conclusion

As shown in this literature review, there is very little international or New Zealand literature on the subject of appraisal of senior leaders in primary schools and a significant gap in the literature about the roles and responsibilities of DPs/APs in that sector.

The key aspects of literature reviewed in this chapter provide a context and a platform from which to explore how primary school senior leaders experience and perceive their appraisal processes. As it is important to understand not only the system by which they are appraised, but also the nature of the work on which they are appraised and evaluated, a review of studies of DPs/APs' work has also been provided. The next chapter explains the methodology and survey research method used in this study.

Chapter 3 Methodology and Research Processes

Research methods are the research tools and techniques used for data collection, data management and data analysis (Cohen, Manion & Morrison, 2007; Piggot-Irvine, 2008). An explanation and justification of the research method for this study, a key requirement for any research project (Wellington, 2000), is now presented.

This research aimed to achieve an understanding of both the roles and responsibilities of senior leaders (deputy principals, assistant principals and associate principals) in large primary schools and their perceptions and experiences of appraisal processes.

By gaining an insight into how 1) their roles and responsibilities are defined and exercised in practice and by 2) understanding the way in which senior leaders are appraised, a context for understanding their experiences and perceptions of appraisal will be achieved.

A review of the literature revealed that not much is known about this key group of senior leaders in primary schools, despite the research findings that suggest that they play a key role in determining organisational effectiveness and improved outcomes for all the school's stakeholders (Huber and Pashiardis, 2008; Middlewood and Cardno, 2001). This study aimed therefore to address this gap in the field of educational research and to inform both educational research and practitioner knowledge about senior leaders' perceptions and experiences of their roles, responsibilities and appraisal processes, the latter being an ongoing, compulsory, legislated requirement for all teachers and school leaders in New Zealand (MoE, 1997).

In this chapter, the particulars of the research design are explained and justified. The first section discusses the research approach adopted in this study. This is followed by a discussion of the research method and an overview of the data analysis. Following this, an explanation of how issues of validity, reliability, ethics, consent and confidentiality were addressed is provided. The chapter concludes with a consideration of the possible benefits and harm associated with this study. Throughout the chapter, strengths and limitations of the processes and methods used in the data collection and analysis are discussed as they are covered, rather than as a statement at the end of the chapter.

3.1 Research paradigm

Essentially there are two broad research paradigms or philosophical frameworks in education (termed research traditions in educational research). These are the positivist, normative, quantitatively oriented paradigm and the post-positivist, humanistic, interpretive (and critical), qualitative oriented paradigm (Piggot-Irvine, 2008). Some researchers, in the tradition of Habermas, consider critical theory or critical social science, which seeks to not only understand situations but also to change them and address inequality, as a separate and third paradigm (Cohen et al. 2007). These paradigms or sets of beliefs about how the world should be understood (Davidson & Tolich, 1999) emerge out of the theories of existence or ontologies and theories of knowledge (epistemologies) to which researchers hold, and draw on different research techniques (Mutch, 2005). As such, they provide potential frameworks for research.

Rather than viewing these “assumptions about the social world” (Punch, 2005, p. 107) as a dichotomy of paradigms several researchers assert that these

should be viewed as being on a continuum and maintain that they can serve as complementary paradigms (Creswell, 2009; Creswell & Plano Clark, 2011; Piggot-Irvine, 2008; Punch, 2009; Teddlie & Tashakkori, 2011). This perspective has informed this research and the approach adopted in this study for the collection and analysis of both quantitative data and qualitative data in a questionnaire survey.

Quantitative research is considered to be more objective because it captures empirical or numerical data (such as that through surveys), is usually conducted on a larger scale and is easier to analyse and interpret, particularly if online survey software and questionnaire tools are used. Qualitative research, on the other hand, aims to achieve 'depth' of insight by collecting the perspectives and views of research participants. These tend to be smaller scale studies and aim to illuminate or construct a way forward and as such are more subjective and not that easy to analyse and interpret (Cohen et al., 2007). Both types of research are valid and useful. "They are not mutually exclusive. It is possible for a single investigation to use both methods" (Best and Kahn, 1989, pp. 89 – 90 as cited in Blaxter, Hughes and Tight, 1996, p. 60).

Thus, a blend of quantitative and qualitative approaches was used in this investigation, as together they were deemed to provide both a broad understanding (by highlighting trends in senior leaders' roles and responsibilities; perceptions and experiences of appraisal processes), as well as, the opportunity to analyse in depth any comments in open responses made by senior leaders.

3.2 Research method

3.2.1 Survey research

According to Cohen et al. (2007, p. 206) a survey provides an effective, economical and efficient mechanism for developing a broad understanding through the gathering of mainly quantitative (numerical) data, which can then be processed statistically. It also has a number of other advantages such as representing a wide target audience; gathering standardised information (the same questions and instruments being used for all participants); deriving frequencies by manipulating variables and key factors; capturing data from multiple choice questions, closed questions or observation schedules and providing inferential, explanatory and descriptive information. If it has a larger scale and captures responses from a wide population, this allows for generalisations to be made about the given factors or variables with a degree of confidence. An online survey has an added advantage as the data is gathered and collated electronically, at a comparatively low cost and ensures the confidentiality of respondents. It also provides greater opportunities for respondents to think about their responses, check information and complete the survey when and where they prefer to do so. Moreover, there is no risk of interviewer bias (Cohen et al., 2007).

However, while surveys can be easy to administer and have the above advantages, they can also be difficult to design. Consciously and carefully planning the survey with analytical considerations in mind from the outset is critical to ensuring difficulties or even insurmountable problems are avoided when it comes to data analysis (Youngman, 1984). Prior thought to how the initial and concluding stages of a survey are linked need to guide considerations around key design aspects. These include considerations around coding and how non-response and open-ended questions will be treated so that essential factual information is not lost. It also requires the consideration of the formulation of individual questions and the justification for including each

question. How the survey is structured (taking into consideration the response formats selected and the range of options), the difficulty, complexity, clarity and the pertinence of questions all require careful consideration (Cohen et al., 2007; Youngman, 1984).

The design of the survey can also influence respondents' willingness to consider the request to complete it. Making the theme of the survey explicit from the outset enables respondents to determine the context of the survey. The appearance, the size of the survey, the manner in which questions are ordered and varied and the wording and clarity of the instructions provided all influence the quantity and quality of responses (Cohen et al., 2007; Youngman, 1984). A further consideration with online surveys is that of the members in the sample group, few may welcome unsolicited mail (Wellington, 2000). All these considerations informed the final design of the survey.

3.2.1.1 Designing the Survey Monkey questionnaire

As already discussed, the key objectives of this study were to determine

1) the roles and responsibilities of senior leaders in large state primary schools and 2) their perspectives and experiences of appraisal processes. The working hypothesis was that there are links between the roles and responsibilities of senior leaders in large primary schools, their own experiences of appraisal processes (as appraisees and appraisers; past and current) and how they perceive the appraisal process.

The Survey Monkey questionnaire (Appendix A) was aimed at capturing a broad perspective of the demographic of this group, their professional experiences, the work they fulfill in large primary schools and an indication of their understandings, experiences, expectations and perceptions of the appraisal process.

The literature study had suggested some key challenges associated with senior leaders' roles and responsibilities that warranted further investigation.

These included the:

- 1) Managerial and reactive nature of the role
- 2) Issue of workload and limited time available to fulfill key responsibilities
- 3) Lack of time or opportunity to be involved in shaping the strategic direction of the school
- 4) Relationship between years of teaching experience before entering the role and the confidence and ability of senior leaders to provide instructional leadership
- 5) Level of alignment between real and ideal roles and responsibilities (the seven dimensions of work which were used as a basis for two international studies, one in the USA (Hausman et al., 2002) and another in Hong Kong (Kwan and Walker, 2008) and which also informed studies by Cranston et al. (2004) in Australia and Scott (2008) in New Zealand were used to frame questions in the questionnaire)
- 6) Differences in the roles and responsibilities of male and female senior leaders and the time they devote to these (which Hausman et al. (2002) suggest is a reflection of how gender groups perceive the world)
- 7) Low level of support minority ethnic groups feel there is for furthering their leadership development and advancing their careers
- 8) Relationship between school size and scope for leadership

Both the literature study and the working hypothesis were thus used to identify pertinent research data that needed to be collected, analysed and interpreted. This provided a justification for each of the questions that were included (Bell, Bush, Fox & Goodey, 2005) and so determined the content of

the questionnaire. The bulk of the questions were structured questions. Open questions were included where an elaboration on key themes and an indication of further points for discussion through focus group interviews was being sought. These focused mainly on appraisal processes. Qualitative data was therefore also collected.

As no one list for the work of DPs/APs could be found, the key functions of senior leaders that emerged from the review of the literature and which were also evident in varying ways in the policy and regulation documents for DPs/APs' work, were used to create a comprehensive list of roles and responsibilities fulfilled by senior leaders (NZTC, 2009; MoE, 2012a; MoE, 2013a).

One such document was the Ministry of Education's Professional Standards for DPs and APs, which encompasses: professional leadership; policy and programme management; staff management; relationship management; financial and asset management (MoE, 2013a). Another document that provided a basis for DPs/APs roles and responsibilities was the New Zealand Teachers Council's Registered Teacher Criteria (RTC). The criteria are categorised into two key areas: 'Professional Relationships and Professional Values' and 'Professional Knowledge in Practice' (NZTC, 2009). A third document which outlines the roles and responsibilities of senior leaders is the Ministry's recently published, "Leading from the Middle" publication (MoE, 2012a). In this document, the particular roles and responsibilities of senior leaders are listed as: leading pedagogical change; ensuring staff understand their role in implementing the school's vision and policies; providing leadership that is responsive; working to establish reciprocal relationships; working with students' families; providing a stable, safe, and orderly school environment; managing and appraising teachers; mentoring and coaching other leaders; leading and participating in professional development; building

professional, trusting relationships; resolving conflicts and promoting innovation and ensuring that ICT assists, supports and enhances student learning (MoE, 2012a, p. 8).

As these documents did not easily align, the key areas covered across the documents and guidelines were identified. Informed by the literature review and the areas identified in the documents and guidelines, the list of roles and responsibilities was created for the purposes of this study. The list comprised the following areas: appraising others; supporting teachers to develop their practice; behaviour management; professional development; pastoral care of students; dealing with parent issues; analysis of student data; school wide organisation; staffing issues; developing other leaders in the school; curriculum management; reporting of student data; informing the strategic direction of the school; new projects and initiatives; financial management; and property. DPs/APs then used this list to self-report what 'official' and 'unofficial' roles and responsibilities they fulfilled and were appraised against. An opportunity was provided for senior leaders to report any other 'official' and 'unofficial' roles and responsibilities so that all aspects of their work could be taken into account.

In order to determine what senior leaders spent their time on in a typical week and what they ideally wanted to spend their time on during a typical week, the decision was made to use the seven core dimensions (broad categories for senior leaders work) that had been the basis for several of the studies in this field of research (Cranston et al. 2004; Cranston, 2007; Hausman et al. 2002; Kwan and Walker, 2008). These dimensions, namely: management and administration; education or curriculum leadership; dealing with student issues; parent and community issues; operational issues; strategic leadership; and staffing issues - while broader than the list that was created for self-reporting official and unofficial roles and responsibilities, were

included to enable the findings from this study to be directly compared with that of previous studies.

The online survey (Appendix A) thus comprised a comprehensive list of questions that generated a combination of quantitative and qualitative data. The structure aimed at facilitating ease of completion. None of the questions were compulsory and the initial questions related to demographic information that was quick and easy to supply. Wherever appropriate, respondents were provided with an opportunity to comment. Most of the questions on appraisal processes were open response questions in order to provide participants with an opportunity to convey and elaborate on their perceptions and experiences of appraisal processes. The intention was to provide adequate scope to capture their perceptions and experiences about their appraisal processes, which would allow the researcher to identify any themes that might emerge.

An explanation of how these participants were selected follows.

3.2.2 Choosing and accessing potential participants

While what constitutes, small, medium, large and very large primary schools may be debatable, Southworth (2004) established that although many factors affect the school as a context for leadership, its size is a major one (p. 9). The credibility of Southworth's (2004) findings were discussed in Chapter 2. As there is limited research on the implications of school size and its impact on leadership in primary schools, Southworth's findings on school size are relied on extensively for the purposes of this study. As explained in Chapter 2, size does indeed make significant differences in terms of the roles and responsibilities of senior leaders. This in turn was found to have significant

implications for the way in which senior leaders are evaluated, developed and equipped for headship (principalship) (Southworth, 2004).

It was decided, therefore, to focus this study on DPs/APs working in large primary schools. As previously discussed in Chapter 2, in Southworth's (2004) study, schools with a roll of 400+ students were considered to be large. An analysis of the school rolls of state primary schools in a large New Zealand city was conducted using the Ministry of Education's 'Education Counts' website which collates school statistics (MoE, 2013b). This revealed that 163 of the 313 primary schools in the region (52.08%) had a roll of more than 400 students. In this region, a roll of 400+ was therefore not uncommon and probably would not have been considered large. Fifty-nine (18.85%) of the 313 schools have a roll of 600+. Using Southworth's parameters, these schools would be considered to be very large, but in this large New Zealand city, there are some state primary schools that are significantly larger and have a roll of 700+ ($37/313 = 11.82\%$).

Rather than only focusing on the largest schools, it was decided to include all schools with a roll of more than 600 students to achieve a large enough sample for the purposes of this study. Within this large New Zealand city, this sample included nearly 20% of primary schools in the city. To find schools that fitted the selection criteria of 'an above 600 student roll', the 'Education Counts' (MoE, 2013b) website was used once again to obtain a directory of schools. Information in this directory includes school region, city, school location, school type, name of the principal, decile rating and indicative roll information. The bigger sample of 59 schools with 134 senior leaders, identified either through visiting school websites or by personally telephoning schools (most state primary schools of this size would appear to have two or three senior leaders), ensured the study included a representative cross-

section of senior leaders, and as such was socially inclusive. The size of the sample also ensured that the findings were both reliable and valid.

The 134 senior leaders in the 59 state primary schools across a large metropolitan city in New Zealand thus became the sample group. This sampling strategy known as purposive sampling, that is, selecting participants on the basis of the characteristics that are being sought, best suited the purposes of the study (Cohen et al., 2007; Punch 2005). As discussed earlier in this chapter, the online survey provided an effective mechanism for obtaining information from this wide population. Cohen et al (2007) note that the response rate to postal surveys can be as low as 20%. This needed to be carefully considered as the online survey, while not strictly postal research, is very similar in that it is self-administered (with no opportunity for the interviewer to clarify queries from respondents), lacks the face-to face contact that improves response rates and could possibly lead to a lack of care when completing the survey (Cohen et al., 2007). A possible low response rate was planned for by including all schools with a roll of 600+, which, as already mentioned, represented nearly 20% of state primary schools in this large city.

Whereas, Scott (2008) in her study of newly appointed secondary deputy and assistant principals in New Zealand identified respondents and sent surveys directly to them, this researcher first approached principals of schools in the sample group. Consent from principals as gatekeepers of their schools was deemed crucial in ensuring the study was conducted in an ethical manner. This approach was planned to ensure informed consent on the part of schools and their senior leaders, as well as anonymity and confidentiality for potential participants (Bell et al., 2005). This did, however, create some significant challenges when a very low response rate eventuated and it was

difficult to identify non-respondents and follow up directly with senior leaders in the sample group (Cohen et al., 2007). An advantage of the approach through their principals was that this ensured that the identities of all the senior leaders in the sample group (large state primary schools with a roll of more than six hundred in a large city in New Zealand) were not known to the researcher.

In order to gain access to and recruit participants, an information letter () was emailed to the principals of the identified schools. This letter requested permission for their senior leaders to participate in the study. It informed principals about the study and provided the link to the online Survey Monkey survey so that they could view the survey questions. In this letter the assistance of principals in forwarding the information/invitation letter to senior leaders in their schools (Appendix C) was requested.

The initial information letter to principals (Appendix B) was personally addressed to principals. School websites served as a good source of information to obtain principals' school email addresses so, that wherever possible, the information letter was directly received by principals rather than school office personnel. This email included the information letter to senior leaders (Appendix C) with the request that principals forward this to their senior leaders should they consent that they participate. Three principals indicated that they had forwarded the information letter to their senior leaders and five principals declined the request. Reasons cited by principals for declining the request included: a considerable amount of change that the school was undergoing and workload on senior leaders; staffing changes and a personnel situation; two of these schools were already supporting other Masters students with their research; intensive professional development that

had significantly increased the workload of senior leaders and the principal was acting as the gatekeeper to minimise other non-essential demands.

Two weeks after the initial letter to the principals was sent out, a poor response (only 4 responses to the survey) required that a follow up email (Appendix D) with the link to the online survey be emailed to the principals who had not declined. They were once again requested, if they approved of their senior leaders participating in the study, to forward the letter (Appendix C), to their senior leaders. In response to this second request one more principal declined stating that this was for the very reason that neither he nor his senior leaders had earned their Masters, namely “no time or money”. Four more principals indicated that they had forwarded the request to their senior leaders. After a further two weeks, a total of fourteen responses had been received.

A further effort to initiate contact with principals was made with the intention of establishing via a telephone conversation with principals what the barriers might be to either forwarding the request or senior leaders completing the survey. It was hoped that by answering questions or addressing any concerns that principals (or senior leaders) might have, a clearer understanding of any issues would emerge and the response rate to the survey would increase. Attempts to make contact with several principals over a few days proved futile. They were unavailable and otherwise engaged (in meetings on or off site). Leaving my contact details and calling back did not prove to be productive. This approach was abandoned and instead the support of my own principal was enlisted.

A personal email from him to the forty-six principals who had not directly responded, requested their help in forwarding the survey [the information

letter for senior leaders (Appendix C) and the link to the survey were provided once again]. This had a significant impact and responses to the survey increased from fourteen to thirty-four. Emails from principals indicating that they had passed on the request were forwarded to me. When indicating that he had forwarded the request to his senior leaders one of the principals raised a concern about the large number of requests that schools receive and the little or no feedback that is provided when they have complied with such requests. By not providing feedback, such as a summary of the research project to participants, researchers may be creating barriers for themselves and others in the educational research community.

In a final attempt to elicit responses, senior leaders in schools where the principal had indicated that the request had been forwarded to them were emailed directly. Names and email addresses were obtained mainly from school websites and, where these were not available, by contacting schools. These senior leaders had potentially received the request four times. This saw an increase in the response rate from thirty-four to forty-six. In the process it was established that two senior leaders were unavailable (one was on maternity leave and the other was on study leave). Of the one hundred and thirty-four senior leaders in the original sample group, twelve were unable to participate as their principal had not consented and two were unavailable, reducing the sample group to one hundred and twenty. In total there were 46/120 (38%) responses to the online survey.

The letter which senior leaders received included the link to the online survey (Appendix A). This enabled them to view the survey questions before making the decision to participate. Where senior leaders had queries, the researcher responded to ensure all participants had a clear understanding of the project. All senior leaders who completed the online survey had the opportunity to remain anonymous. Completion of the survey was taken as consent on the

part of the senior leader (and as consent from their principal) to participate in the study.

3.2.3 Data analysis

Collated data must be recorded, analysed and interpreted. Cohen et al. (2007) assert that a representative range of responses is what the researcher should aim for. When these responses are analysed, they enable the researcher to answer key questions and meet the objectives of the study.

A feature of the Survey Monkey questionnaire is that it collates the raw data and generates graphs to display quantitative data. The researcher can thus focus on the analysis of quantitative data as soon as the participants have completed the survey. In terms of qualitative data, Creswell (2005) notes that there is no one, accepted approach to the analysis of open-response questions. What is important is that the defined links between theory, design and data analysis are maintained from the outset. This is crucial, as there is a direct correlation between the method of data collection and the method of analysis (Cohen et al., 2007). The key themes used in the questionnaire design provided the framework and headings for the data analysis and interpretation of both quantitative and qualitative data.

In order to ascertain whether the sample of senior leaders in this study was representative of the proportion of males to females nationally, an analysis of national data from the Ministry of Education's 'Education Counts' website (MoE, 2013b) was conducted. The Pearson chi-square test was used to measure whether there was a statistically significant difference between males and female senior leaders in the primary sector nation-wide and the males and female senior leaders who responded to the survey (Appendix E).

The minimum level of significance, 0.05 was used (which means that there is less than 5% likelihood that the observed differences between groups – males and females – are due to coincidence; in other words, there is a 95% likelihood that there is a real difference between groups) (Cohen et al. 2007). The findings are reported in Section 4.1.

In order to put the proportions of male and female senior leaders in a national context, a further analysis of the data on the 'Education Counts' website (MoE, 2013b) was conducted. The proportion of male senior leaders nationally was compared with the proportions of males in the teaching workforce and male principals. A comparison was also drawn between proportions of female senior leaders, females in the teaching workforce and female principals. Following this analysis a comparison between the two sets of data was drawn. These findings are also reported in Section 4.1.

The Pearson chi-square test was also used to determine whether the difference between males and females was statistically significant in terms of roles and responsibilities that were listed in the survey and which senior leaders self-reported against (Appendix F). The significance level was set at 0.05. As the relatively small size of the sample group needed to be considered, the parameters of the test was increased to 0.10 for those roles and responsibilities where a statistically significant difference between males and females was not evident initially.

Responses to closed questions focused on the roles and responsibilities of senior leaders and those that related to their appraisal processes were also analysed and interpreted. The findings on senior leaders' roles and responsibilities are reported in Chapter 4 and the findings on their perceptions and experiences of appraisal processes are reported in Chapter

5. In the case of all open response questions, content analysis – a research technique for systematically and rigorously analysing the contents of written data – was utilised (Cohen et al. pp. 475 – 488). Where pertinent, written responses were reviewed and then coded. “Codes are tags or labels for assigning units of meaning to the descriptive or inferential information compiled during a study” (Neuman, 2009, p. 214). Bell et al. (2005) describe it as a sagacious activity that involves looking for patterns and themes to identify and cluster key ideas and issues. According to Neuman (2009), categorising and classifying data in this manner also enables the researcher to link the code to the original set of data.

‘Wordle’, a computer-based programme for generating ‘word clouds’ from text that is provided, and which highlights words that appear more prominently in the source text, was used to identify key themes in open responses and to code the responses (Feinberg, 2013). Coded responses from participants were then categorised under each of the key themes. Once categorised, responses could be compared and conclusions drawn (Cohen et al. 2007).

Where appropriate the frequency of codes and/or categories were tallied. The facility to graphically display the data enabled the researcher to not only summarise and ‘contextualise’ individuals’ responses, it also enabled the researcher to make links between and across the responses of senior leaders. Cohen et al. (2007) point out that while some researchers might criticise the use of numerical approaches for analysing qualitative data as being positivistic, Glaser (1996), the founder of grounded theory, had maintained that “fitness for purpose” (p. 482) should be the guide. This approach provided an opportunity to analyse and compare senior leaders’ overall understanding of the term ‘appraisal’ and their perceptions of the purposes of appraisal, as well as their experiences and perceptions of the role played by their appraisers.

By combining, where appropriate, the qualitative data that had been converted to quantitative data (by calculating frequencies so that statistical analysis could be carried out) and extracting comments that had been analysed, coded and categorised (an approach used extensively to analyse the responses to questions about senior leaders' appraisal processes in Chapter 5), general and specific points could be drawn and explanations and theories for key elements or messages about senior leaders' experiences and perceptions of their appraisal processes posited (Cohen et al. 2007, pp. 482 - 483).

3.3 Research issues in this study

This section addresses the key research issues that influence this study. It outlines how issues of validity and reliability, the role of the researcher, ethical considerations, informed consent, anonymity and confidentiality and issues regarding benefit and harm were addressed. Throughout, it describes how ethical principles that underpin all aspects of the study were implemented.

3.3.1 Validity and reliability

Establishing validity and reliability within qualitative research is challenging, but key to effective research (Cohen et al., 2007). Validity is achieved by ensuring the key objectives or actual research aims are closely aligned with the concepts around which data is gathered, that is, it measures what it actually sets out to measure (Cohen et al., 2007; Davidson & Tolich, 2003; Mutch, 2005). Reliability within quantitative research is demonstrated when a test can be replicated and produces consistent results (Mutch, 2005).

The online survey, which could easily be replicated, ensured consistency in terms of the phrasing and order of questions and also enabled senior leaders to complete the survey without bias and the influence of others. Aspects of the Survey Monkey survey, which focused on collecting demographic data about senior leaders and information about their roles and responsibilities within large state primary schools, produced objective, empirical data. Where appropriate, statistical analysis was used. This added further rigour to the process and strengthened the validity and reliability of the data.

Other key aspects of the survey, such as the section that focused on gathering information regarding senior leaders' perceptions and experiences of appraisal processes, produced data of a qualitative nature. Content analysis was the main research technique used to analyse this data. While there are concerns over the reliability of this technique, particularly due to the subjectivity and interpretive nature of the coding and categorising of responses, by looking within and across categories, considering whether issues were important regardless of the number of times they were mentioned and by reporting both confirming and disconfirming evidence for statements, the technique was employed with rigour and the reliability of the data enhanced (Cohen et al., 2007).

Seidman (1998), Winter (2000) and Cohen et al. (2007) maintain that the scope, depth and richness of data (obtained by investigating the topic from more than one standpoint) and the transparency, honesty and objectivity of the researcher, all help to minimise invalidity and maximise validity. Using question formats in the online survey that enabled both quantitative and qualitative data analysis, helped to establish reliability and validity within this study.

Validity and reliability were thus considered in every aspect of the research design (Coleman & Briggs, 2002). The design of the survey, wording of the survey questions, sampling, the coding and categorising of responses and the analysis and interpretation of the both quantitative and qualitative data, were all carefully considered.

3.3.2 Ethical considerations

“The point of research is to improve the situation of human beings.... In research, both means and ends must be subjected to ethical appraisal” (Snook, 1999, p. 73). There are therefore ethical considerations for each stage of the research project (Cohen et al., 2007). In the pursuit of information, the researcher needs to maintain a relationship of trust and respect with the research participants, act with integrity and consider any factors related to the research that may potentially threaten the wellbeing of participants (Cohen et al., 2007; Creswell, 2009; 2012). These factors need to be considered in relation to quantitative, qualitative and mixed methods approaches. However, as qualitative research often intrudes more into people’s lives, ethical considerations tend to be more acute when adopting this approach (Punch, 2009).

A consideration of the ethical issues related to this research project included “informing participants of the purpose of the study, refraining from deceptive practices, sharing information with participants (including my role as researcher), using ethical research practices, maintaining confidentiality, and where necessary, collaborating with participants” (Creswell, 2012, p. 620). The process of applying for ethical approval and a formal peer review from the university ethics committee demanded that I give careful consideration to all these issues before collecting any data.

3.3.3 Informed consent

Informed consent is required in order to ensure all participants know what the research entails and what is required of each participant (Cohen et al., 2007). The earlier account of how potential participants were identified and accessed through their principals, who were also fully informed about the purposes and content of the online questionnaire, demonstrates how this ethical requirement was met. Included in the information letters (Appendices B and C) was the link to access the electronic survey, which was set up in such a way as to enable senior leaders to scroll through the survey before deciding to participate. Survey respondents could also skip a question if they did not wish to answer it. The return of the completed online survey (Appendix A) by senior leaders was taken as informed consent to participate in the study.

3.3.4 Anonymity and confidentiality

The process followed served to protect the anonymity of participants, as no names were required in regard to the Survey Monkey survey (Appendix A). Those senior leaders who were prepared to participate in an interview were asked to supply their name and contact details by emailing the researcher after completing the survey. These senior leaders, therefore, chose not to remain anonymous but their confidentiality was protected (see Appendix A and Appendix C). As the analysis of the survey data provided a rich understanding of the research question, the focus group discussions and procedures for ensuring the confidentiality of focus group participants were not required.

3.3.5 Benefit and harm

The aim of this study was to achieve a deeper understanding of how appraisal processes are perceived and experienced by senior leaders. It provided participants the opportunity to share their experiences and perceptions relating to appraisal processes with the educational community.

The potential benefit to the participants and the wider educational community is 1) an increased understanding of the nature of the roles and responsibilities of DPs and APs and 2) rich insights into DPs/APs' experiences and perceptions of appraisal processes in their large primary schools. Information related to the diverse purposes which appraisal processes are meant to fulfil and the opportunities, challenges, and at times, conflicts these create, have also emerged. A further potential benefit of this study is the indication that there may be some emerging tensions for senior leaders related to the changing educational landscape in New Zealand and the increased emphasis on the provision of data/evidence.

3.4 Conclusion

Great care was taken to ensure the authenticity and integrity of this study and that of the researcher. The study was conducted in accordance with the parameters and processes provided to obtain ethics approval (Appendix G). An examination of the data gathered, as well as the analysis and interpretation of this data, which will inform both educational research and practitioner' knowledge in a field of educational research that until now has received very little attention, follows.

Chapter 4 Research Findings

Roles and Responsibilities

4.1 Introduction

This chapter presents and discusses the findings of the online survey (Appendix A) regarding the demographics of the senior leaders (DPs/APs) who participated in this study. It also discusses their reports of their roles and responsibilities in their large state primary schools in a New Zealand city. While some links are made here to previous research study findings, discussion of significant issues will be presented in Chapter 6.

Of the 59 large primary schools (roll of 600+) with 134 senior leaders that were identified in this large city, 46 leaders engaged with the survey. Twenty-one were deputy principals, 15 were associate principals and five were assistant principals. This yielded a response rate of 34.3%. While this was a relatively low response rate, the group was representative in that they came from schools in the sample group across the metropolitan city. Most of the findings are based on the responses of 46 leaders (not all DPs/APs answered all the questions). In order to provide an accurate account, the total number of responses for each question will be provided and where possible, some possible reasons for the lower response rate to some of the questions will also be provided.

Of the original group of 134 DPs/APs, 12 were not able to respond (they were in schools where the invitation to participate was declined by the principal; one was on study leave and one was on maternity leave). Of the remaining 120 potential respondents who would have received the request to complete the

online survey, 38% of them participated. The reasons provided by principals who declined the invitation for their senior leaders to participate in this study were cited in Chapter 3.

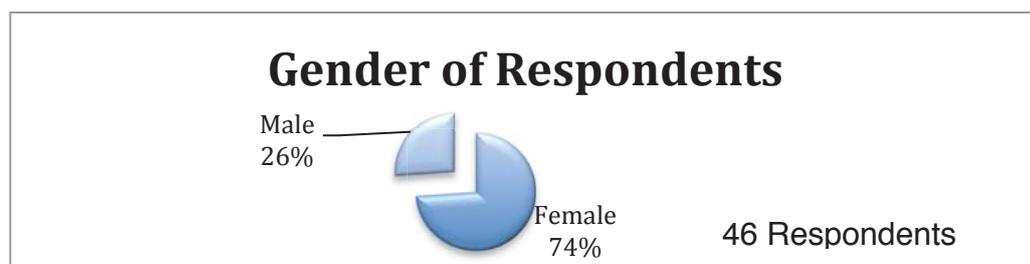
This chapter is divided into two sections. The first section provides an analysis of the demographics of the 46 DPs/APs in large state primary schools in a metropolitan New Zealand city who responded to the questions in the survey. It provides data about their gender, ethnicity, ages, school roll, school decile rating, and years of teaching and leadership experience, both in terms of their previous and current roles.

The second section reports and discusses their responses to questions about their roles and responsibilities (official and unofficial) in their schools, the time devoted to different dimensions of work and differences between the actual and ideal time spent on aspects of their work. It concludes with an analysis of the roles and responsibilities against which they were appraised.

4.2 Introducing the participants: 46 senior leaders (DPs/APs) in 59 large state primary schools in a metropolitan New Zealand city

4.2.1 Gender

Figure 1: Gender of respondents



The majority of DPs and APs in this study were female (34 females and 12 males). The much larger proportion of female to male senior leaders in this study reflected national statistics for senior leaders in primary (full, contributing and intermediate) schools as a whole (MoE, 2013b). A further analysis of the data using a Pearson chi-square test, elaborated on in Chapter 3, revealed a significance level of 0.304 and confirmed statistically that the proportion of male and female DPs/APs participating in this study was representative of the proportion of male and female leaders within New Zealand state primary schools (Appendix E). The representative nature of the sample group thus supported the reliability and validity of this study's findings.

As explained in Chapter 3, in order to put the proportions of male and female senior leaders in a national context, a further analysis of the data on males and females 1) in the teaching work force, 2) in senior leadership positions and 3) in principal positions was conducted. The findings are represented in Figure 2 and Figure 3 below. Comparisons between males and females were then drawn. A discussion of these findings follows.

Figure 2: Proportion of male principals and senior leaders in relation to the proportion of males in the teaching workforce

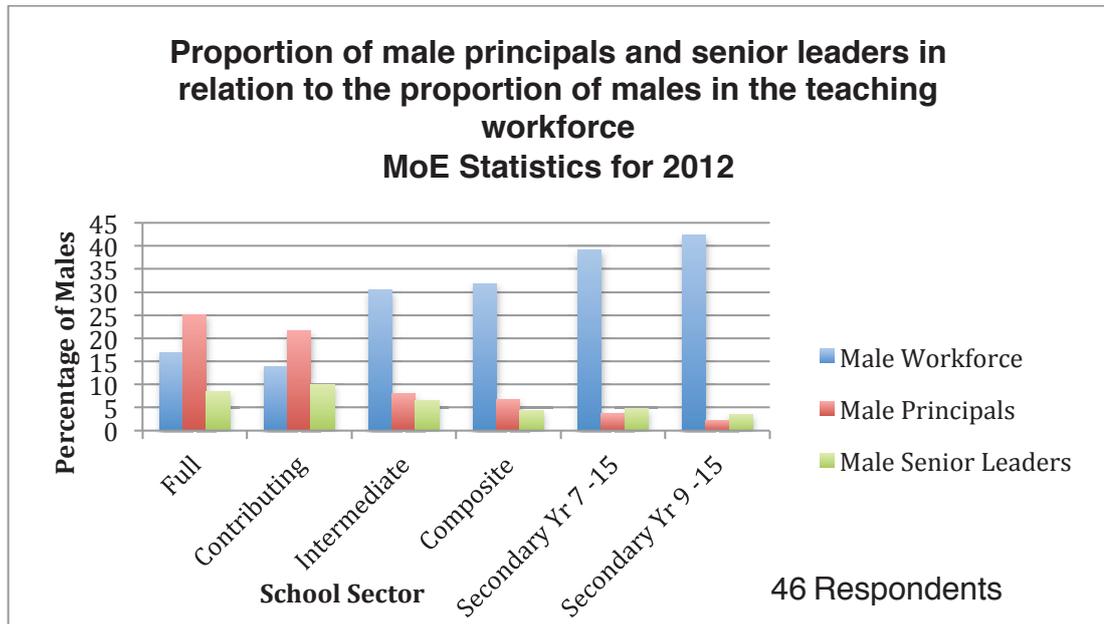
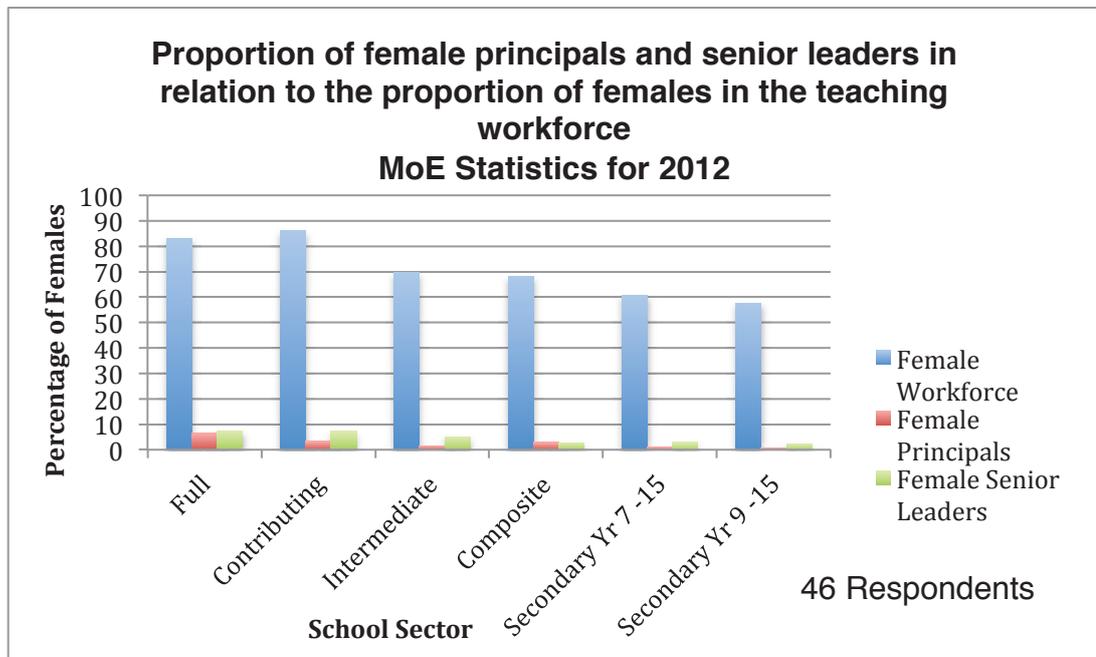


Figure 3: Proportion of female principals and senior leaders in relation to the proportion of females in the teaching workforce



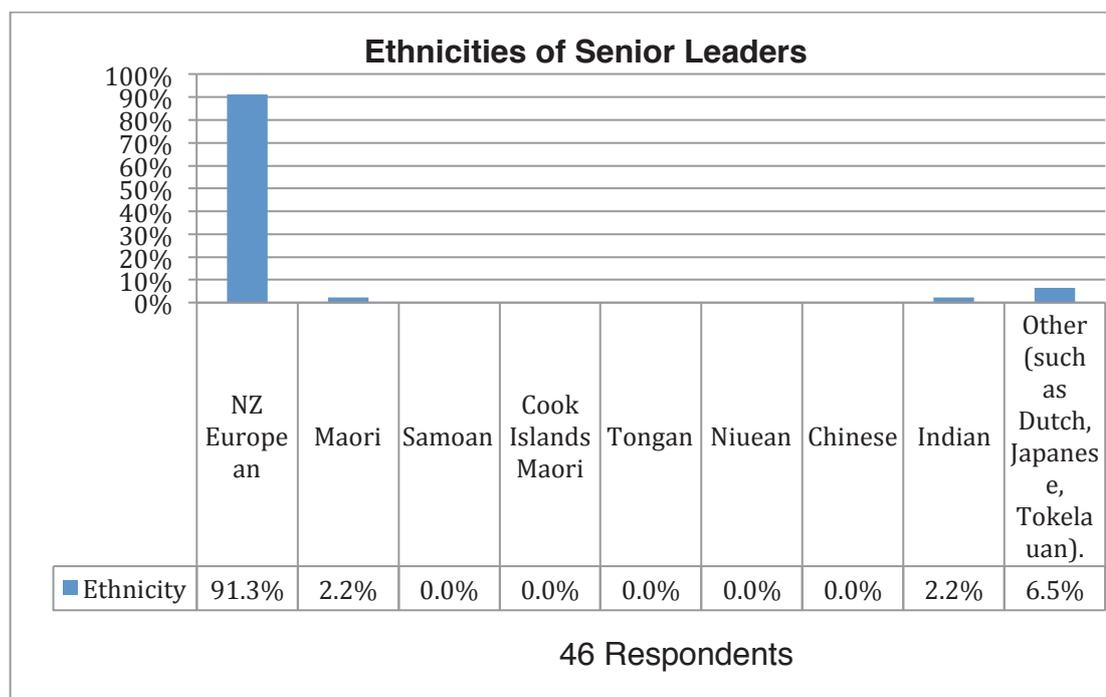
The analysis of the Ministry of Education's statistics (MoE, 2013b) clearly illustrates (Figure 2 and Figure 3) that the proportion of males who achieved senior leadership positions in relation to the total male teaching workforce was significantly greater than that for females in relation to the female teaching workforce across all school types. In earlier research by Court (1989) and Strachan (1997) the over-representation of women in the teaching workforce and their under-representation in senior management roles in New Zealand was identified. While Graham and Smith (1999) asserted in their study of newly appointed DPs/APs in secondary schools that there was evidence that schools were changing their senior management structure and females had made some ground in achieving senior management positions, the positioning of males as leaders and women as teachers was still evident in Fitzgerald's (2004) study of gender in middle management and Scott's (2008) study of newly appointed DPs and APs in secondary schools.

The statistics (MoE, 2013b) also confirm that more than a decade after Brooking's study (2003) revealed that boards of trustees displayed a preference for male primary school principals, achieving a senior leadership position, still does not seem to necessarily improve females' opportunities to advance to principalship, particularly in primary schools (see Figure 2 and Figure 3). While women account for 82.9% of the workforce in primary (full, contributing and intermediate) schools and hold 80% of senior leadership positions in these schools, they only hold 51.3% of principals' positions. That this is an improvement on the 40% of principal positions held by women in New Zealand primary schools a decade ago (Brooking, 2003), is somewhat heartening. However, there continues to be "a very large pool of well-qualified and experienced women who may be hitting the glass ceiling" (Brooking, 2003, p. 1).

In order to ascertain whether this was an accurate reflection of what was happening in this large metropolitan city, national statistics for state schools was compared with that for the region where the study was undertaken, (primary and secondary data was combined on the regional data base). While statistics for the city reflected the national picture in terms of the proportions of males and females in the teaching workforce and senior leadership group, a different picture for principals emerged. The proportion of male (49.2%) to female principals (50.8%) in this metropolitan city was less than the proportion of male (51.4%) to female principals (48.6%) nationally. These findings would suggest that females stand a greater chance of advancing to principalship in this large metropolitan city than females do nationally.

4.2.2 Ethnicity

Figure 4: Ethnicity of respondents

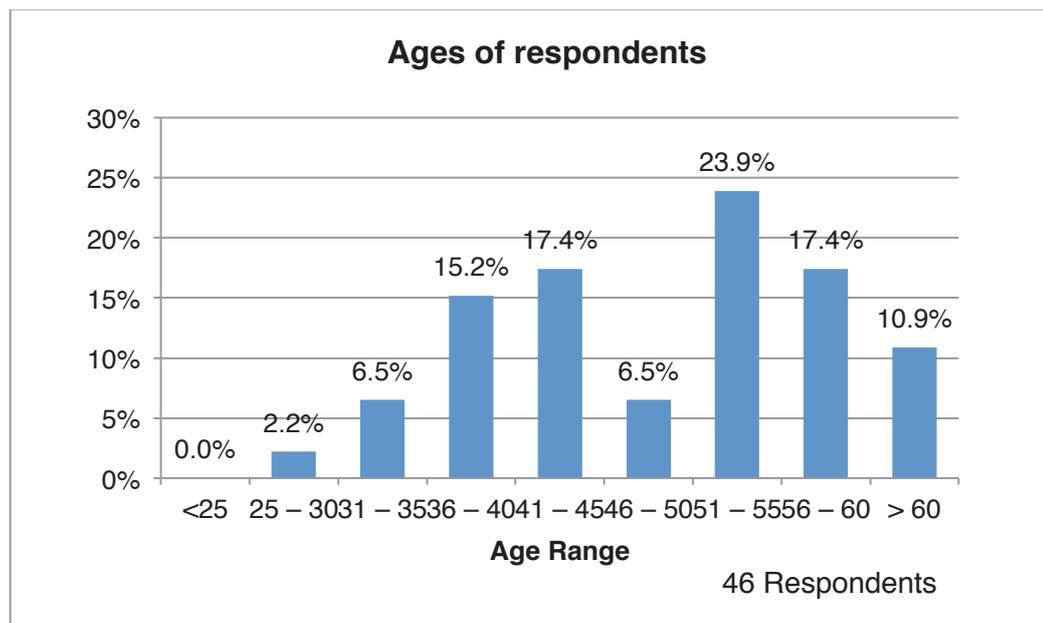


The NZ government ethnicity consensus categories were utilised to classify the ethnicities of respondents. Forty-two (91%) of the leaders who responded to this question were NZ European. Only one (2.2%) was identified as Maori (a DP in a decile 8 school). Only one leader identified as Indian and none identified as Pasifika. This low representation of ethnic minority groups in senior leadership roles is also reflected in the national data (MoE, 2013). The low number of participants from ethnic minorities in this study did not afford the opportunity to analyse how DPs/APs from ethnic minority groups perceived and experienced their roles, responsibilities and appraisal processes in their schools.

4.2.3 Ages

More than half (24 or 52%) of DPs/APs in this group were older than 50 years. Eleven percent (5) were over the age of 60. Twenty-four percent (11) were younger than 41 years old (Figure 5).

Figure 5: Ages of respondents



4.2.4 Experience in the profession

The leaders who participated in this study were experienced practitioners in both teaching and leading (Figure 6 and Figure 7).

Figure 6: Time in previous roles

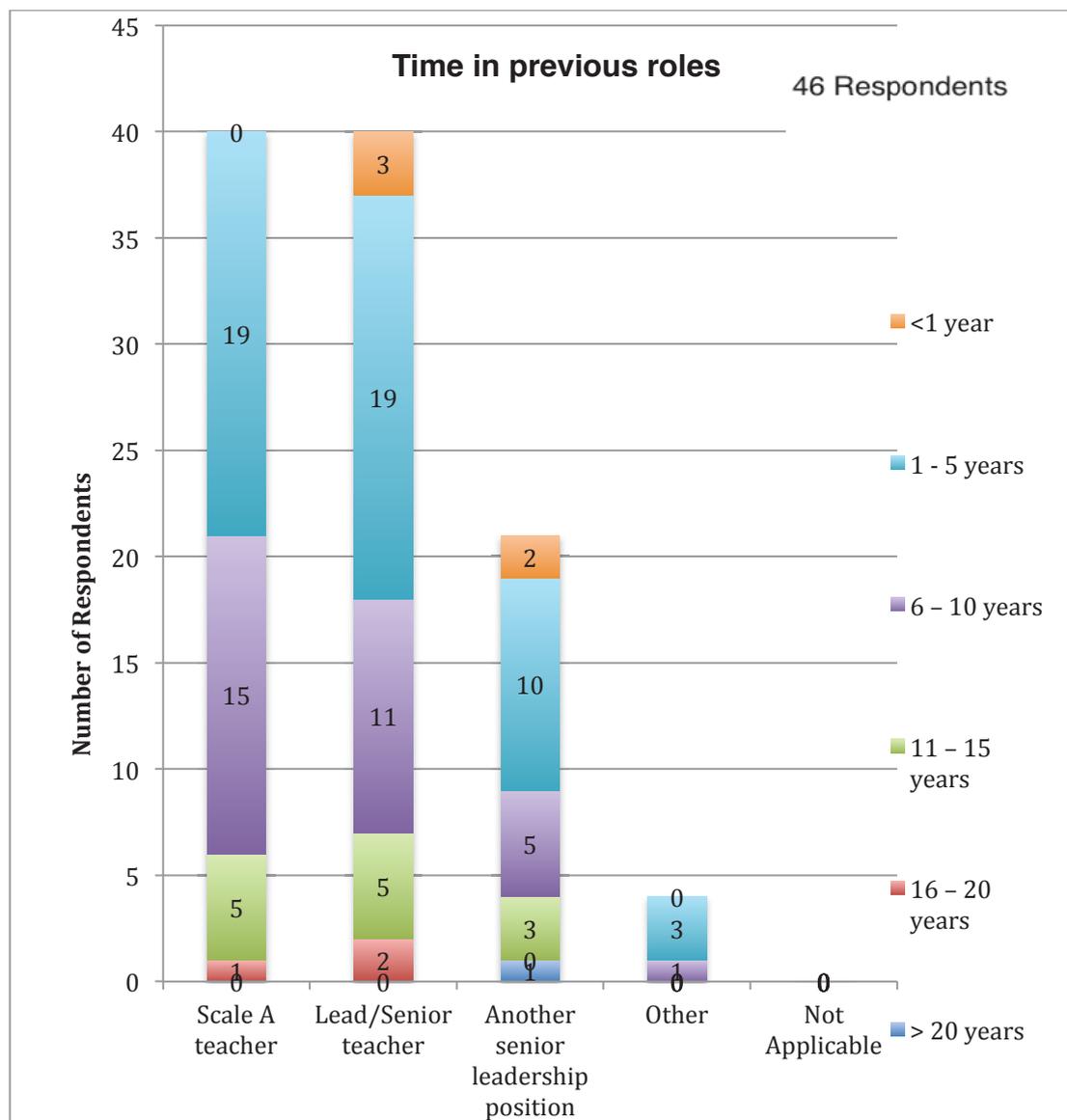
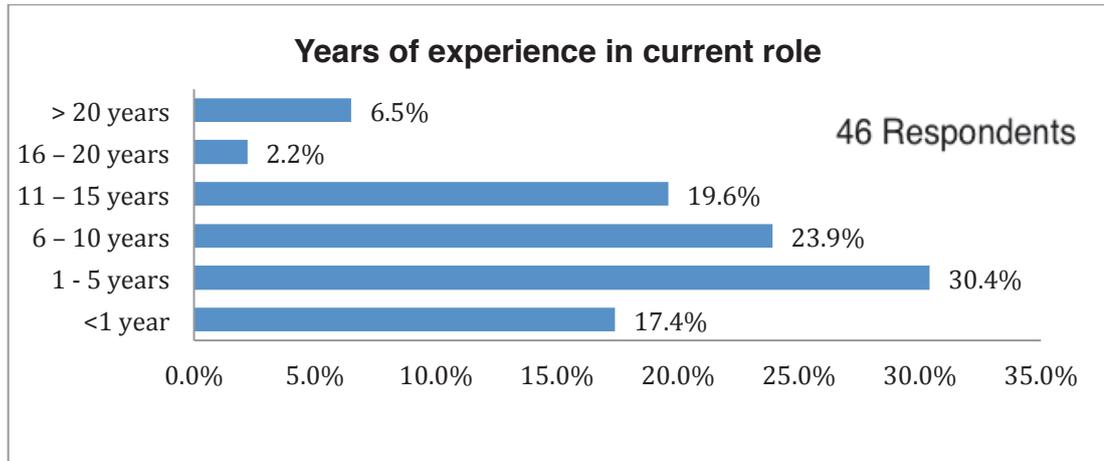


Figure 7: Years of experience in current role



4.2.5 School decile rating and size

Large state primary schools in the metropolitan city in which this study was conducted were mainly high decile schools (deciles 8 – 10). More than half (54%) of the schools were in this category. Six of the seven largest schools represented in this study were decile 8 – 10 schools (the other school was a decile 1 school).

It was interesting that four DPs/APs recorded their school roll as 600 or fewer students. According to the Ministry of Education’s Directory of Schools (MoE, 2013a) all the schools in the sample group had in excess of 600 students. Nearly 40% (23) of the 59 schools had between 600 and 700 students. The largest schools (5) in this study had a roll between 900 and 1000 students (See Figure 9).

Figure 8: Decile rating of schools

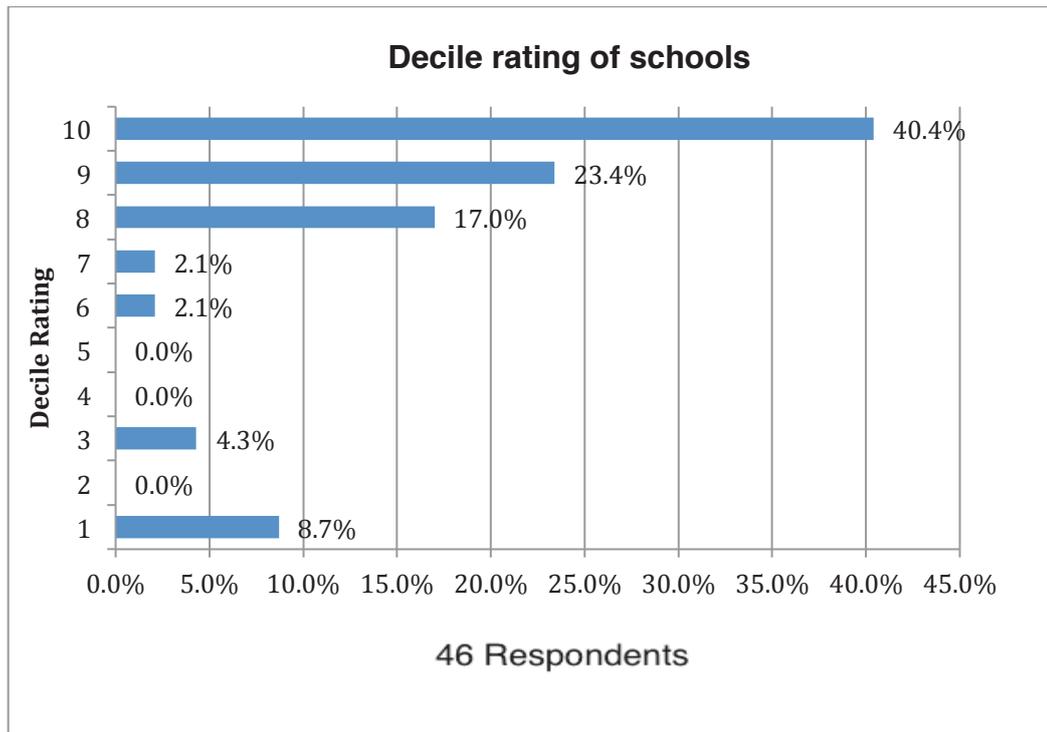
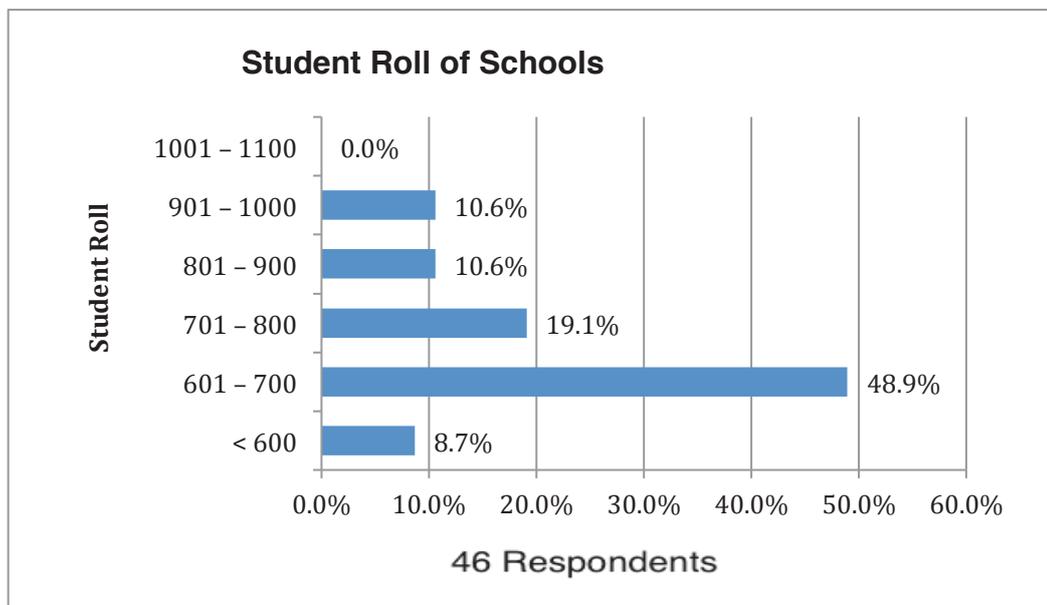


Figure 9: School size



An analysis of how this experienced group of mainly NZ European and female senior leaders perceived and experienced their roles and responsibilities in their predominantly high decile, large, metropolitan state primary schools follows.

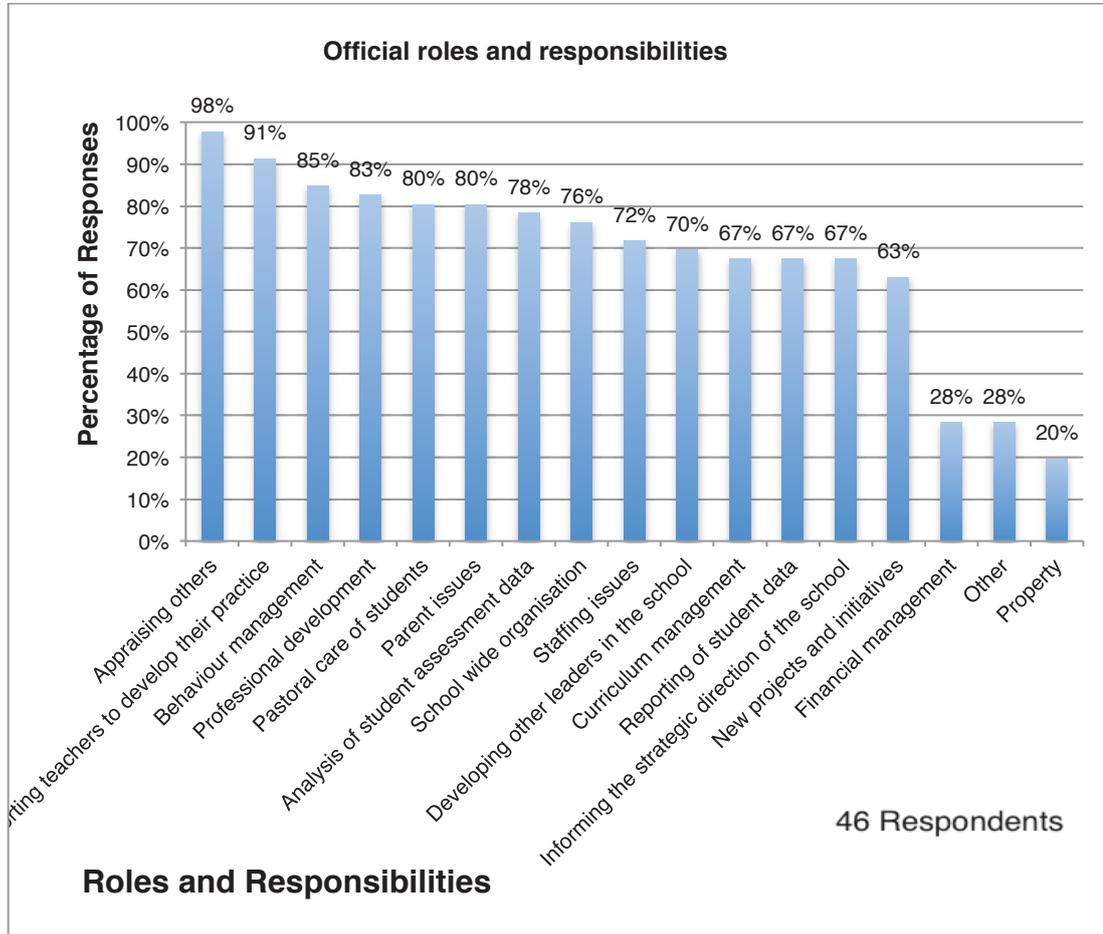
4.3 Roles and responsibilities

As explained in the literature review, there is not a great deal known about DPs/APs, particularly in primary schools. While educational research has focused on principals and teachers, this group of leaders in schools has not had much attention.

However, in my reading of albeit sparse studies of DPs/APs' work, it became evident that there were some commonly reported roles and responsibilities, which were also evident in varying ways in the policy and regulation documents for DPs/APs' work. As no one consistent list could be found across the studies, documents and guidelines, the list in Section 3.2.1.1 was generated for DPs/APs to self-report their official and unofficial roles and responsibilities. Details about the documents and guidelines that informed the list of roles and responsibilities were discussed in Chapter 3. As previously mentioned in Chapter 3, while the list was comprehensive, DPs/APs did have the opportunity to stipulate any other 'official' or 'unofficial' roles and responsibilities they fulfilled.

4.3.1 Official roles and responsibilities

Figure 10: Official roles and responsibilities



A significant finding of this study was that the key responsibility of the 46 DPs/APs who participated in this study was that of appraising others. For 97.8% of these senior leaders, that is 45 of the 46, it was an official responsibility (see Figure 10), and as such it is important to understand fully how these leaders perceive and experience it. This discussion is presented in Chapter 5. It is important to note here, however, the links that have been made by other researchers (see for example, Cranston, 2007; Famham, 2009; Robinson et al. 2008; Robinson et al. 2009; Swaffield & MacBeath, 2009) and the Ministry of Education (MoE, 2012a; MoE, 2012b) between

appraisal and the key tasks and responsibilities of educational leaders to support teachers to develop their practice so as to achieve improved outcomes for students.

The focus on promoting professional learning (and hence improving student outcomes) (MoE, 1997) was also evident in the other roles and responsibilities of DPs/APs that featured prominently. Supporting other teachers to develop their practice was the second most rated key role or responsibility. Forty-two of the 46 senior leaders (91%) fulfilled this role. The prominence that senior leaders gave to the development of others as a key aspect of the official role was also evident in the professional development role that 82.6% of the senior leaders fulfilled. Identified in Hausman et al. 2002; Robinson et al. 2009; Swaffield & MacBeath, 2009) as core aspects of pedagogical or instructional leadership, these findings collectively demonstrate the significance of 'leading learning' practices (MoE, 2008; MoE, 2012a; Robinson 2007; Robinson et al. 2009) in DPs/APs' roles. The key role that these DPs/APs also played in capacity building was evident in that 69.6% of them were responsible for developing other leaders in the school (Figure 10). Given the sharp focus on professional learning evident in these DPs/APs' roles, the likelihood that this capacity building responsibility had a strong pedagogical focus (Marks & Printy, 2003) exists. As such this feature of their work is considered by this researcher not purely as transformational leadership, but rather integrated with pedagogical leadership and thus an aspect of their 'leading learning' practice.

Other key roles included welfare and discipline responsibilities (Graham & Smith, 1999). More than 80% of the leaders listed behaviour management, the pastoral care of students and dealing with parent issues as responsibilities. The administrative responsibilities of analysis of student

assessment data and school wide organisation, were also significant aspects of the senior leadership role (78.3%).

Sixty seven percent of these leaders were responsible for: curriculum management, the reporting of student data and informing the strategic direction of the school. Attending to property matters and financial management were not key tasks assigned to these senior leaders.

As explained in Chapter 3, a further statistical analysis of gendered roles and responsibilities was conducted using the Pearson chi-square test and applied to all the roles and responsibilities of senior leaders on the list (Appendix F). Of note are the findings that relate to the following roles and responsibilities: 1) pastoral care; 2) supporting other teachers to develop their practice; 3) financial management and 4) dealing with staffing issues where either a significant statistical difference was revealed or there was an indication that there might be a significant difference (the size of the sample group being a factor).

There were 34 females and 12 males in the sample group. A statistically significant difference for 'pastoral care' of .025 was found (there was thus less than a 5% likelihood that the differences between males and females, in terms of their pastoral care role, were due to coincidence). These findings supported those from previous studies (Hausman et al., 2002; Marshall & Hooley, 2006) that reported that female DPs/APs spent a greater proportion of their time on pastoral care than male DPs/APs.

In the case of 'supporting other teachers to develop their practice', two cells (50%) had an expected count of less than 0.05. As this violated the assumption of the chi-square test the parameters of the test was increased to .10 (which would mean that there was less than 10% likelihood that the observed differences were due to coincidence, that is, there was a 90% likelihood that there was a real difference between males and females). The parameters of the test were also increased from 0.05 to 0.10 for 'financial management' and 'dealing with staffing issues' where the statistical differences were found to be .052 and 0.75 respectively (Cohen et al. 2007). While the sample group was quite small and these results could not be called 'significant' in statistical terms, the results indicated that there was a significant difference between males and females. Females were more likely and males were less likely than expected to engage in supporting teachers to develop their practice. Males were more likely and females less likely than expected to be engaged in financial management and dealing with staffing issues.

Of the 18 leaders who recorded 'other' official responsibilities, the role of Special Education Needs Coordinator (SENCO) was listed most frequently. Eight of the senior leaders considered this to be a role they fulfilled in addition to those listed. Other additional responsibilities were also mentioned by DPs/APs. Five had responsibilities for a range of health and safety programmes; four had responsibilities for sports organisation; three had responsibilities for ICT network management; three had responsibilities for gifted and talented coordination; and two had responsibilities for international students. Some individuals listed the following as 'other' official roles: overseeing the provisional registered teacher programme; pastoral care of staff; overseeing the performing arts specialists; project management and membership on the finance committee.

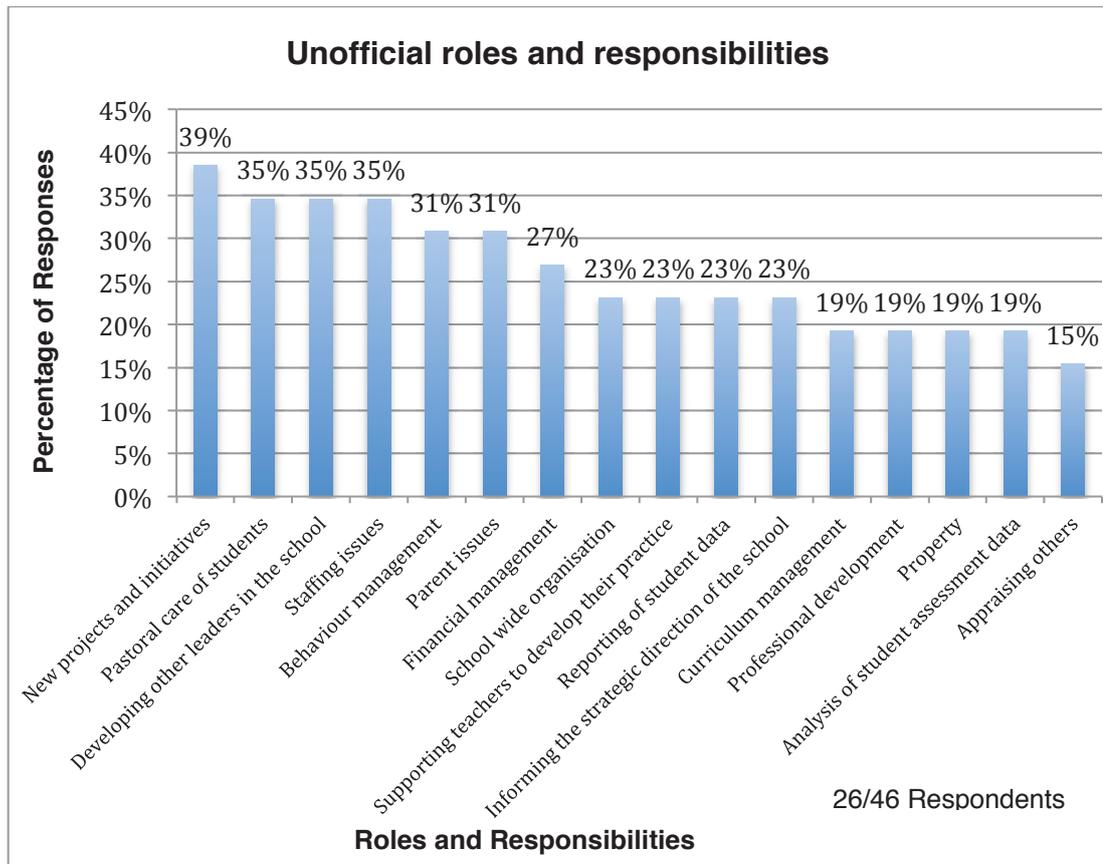
In order to provide a full analysis of DPs/APs' roles and responsibilities, an analysis of the 'unofficial' roles these senior leaders fulfilled is provided and considered in relation to their official roles.

4.3.2 Unofficial roles and responsibilities

The list used for DPs/APs' official roles and responsibilities was also used to identify DPs/APs' unofficial roles and responsibilities. Twenty of the 46 DPs/APs did not respond to this question. One possibility for this is that all their roles and responsibilities were self-reported in the section on official roles. If this is the case then this finding is significant, as it would give credence to the list created by this researcher as the most commonly shared roles and responsibilities of senior leaders in large state primary schools. Of the 26 leaders who responded to this question, several ticked more than one unofficial role. This accounts for the total number of unofficial roles indicated by DPs/APs. The difference in the response rate to the questions about senior leaders' official and unofficial / other roles is possibly encapsulated in the following comment made by one of the respondents:

"Sorry this is tricky because there is a blurry line between official and unofficial".

Figure 11: Unofficial roles and responsibilities



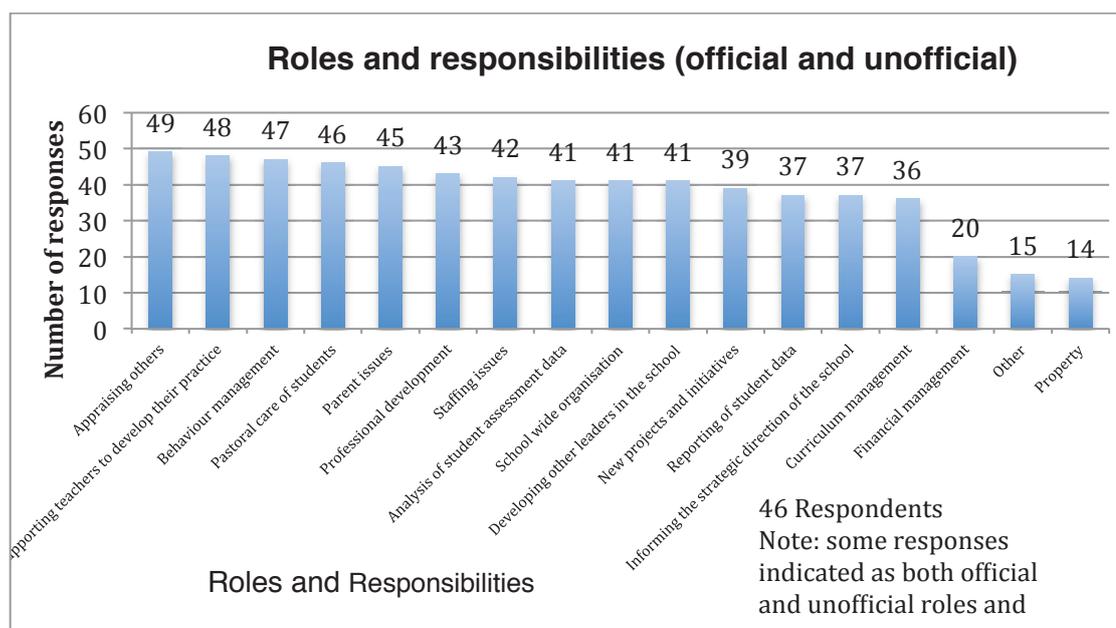
DPs/APs reported their official roles and responsibilities as: supporting teachers to develop their practice; curriculum management; professional development and appraising others - reported in the literature as pedagogical/instructional matters or linked to 'leading learning' practices (Marks & Printy, 2003; MoE, 2008; MoE, 2012a; Robinson et al., 2009). Figure 11 shows, however, that they recorded their 'unofficial' roles and responsibilities as being mainly about 1) developing other leaders in the school (linked to capacity building and transformational leadership) and 2) managerial matters, such as: school wide organisation, behaviour management, dealing with staffing issues and parent issues, financial management and new projects and initiatives. The managerial aspects of their work thus featured more prominently than those associated with 'leading

learning' practices, as mentioned above. This finding was supported by the responses from four respondents about further unofficial roles which included: coaching the netball team; attending home/school partnership meetings; attending BoT meetings in an advisory capacity; assisting the DP with responsibilities; IEP release; staff morale and fundraising (which may be linked to responsibilities for new projects and initiatives). To gain a clear picture of their work, their reports about official and unofficial roles were combined. A discussion of this follows.

4.3.3 An overall perspective of DPs/APs' roles and responsibilities

In order to gain an overall view of DPs/APs' work the responses to official and unofficial roles and responsibilities were tallied (see Figure 12 below).

Figure 12: Roles and responsibilities (official and unofficial)



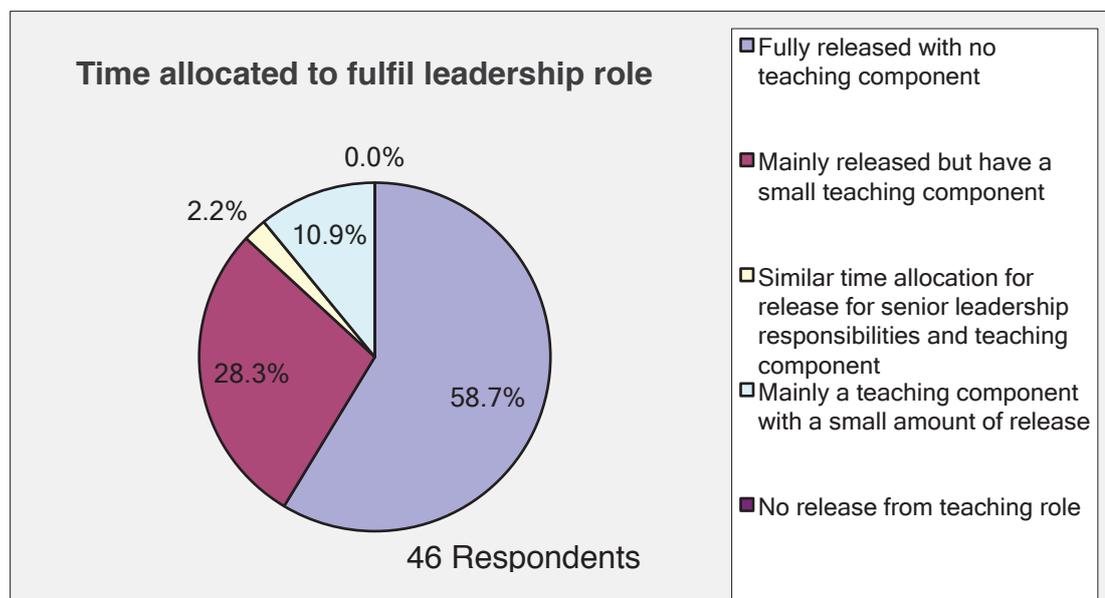
Four leaders selected appraising others as an unofficial responsibility. As it was selected by all but one of the leaders as an official responsibility, it would suggest that some DPs/APs selected this both as an official and unofficial responsibility. Similarly, supporting teachers to develop their practice was listed by six leaders as an unofficial role and responsibility. Across the 46 leaders this responsibility was selected 48 times. These findings would suggest that while some DPs/APs may have been uncertain about whether these roles and responsibilities were 'official' or 'unofficial' responsibilities, their responses highlighted the importance of these particular roles and responsibilities in their work. When taking into account all of the official and unofficial roles and responsibilities of senior leaders, 'appraising others' still emerged as the most commonly reported role or responsibility (selected 49 times), with 'supporting teachers to develop their practice' a close second (48) (Figure 12). Adding these to the prominence of 'professional development' (43s) and 'developing other leaders in the school' (41) as responsibilities highlights how these DPs/APs are reporting their responsibilities in areas associated by other researchers (Marks & Printy, 2003; MoE, 2008; MoE, 2012a; Robinson, 2007; Robinson et al., 2009; Stoll, Fink & Earl, 2003) with 'leading learning' in their schools.

Managerial matters, while not reported as the key aspect of the role, certainly featured significantly in these senior leaders' work. Like their counterparts in the reviewed studies (Cranston et al., 2004; Harris et al., 2003; Scott, 2008), managerial matters including ensuring stability, order and discipline in the school, as well as data-management and personnel management, were larger components of their role than their responsibilities for informing the strategic direction of the school or curriculum management. These findings thus support those of previous studies (Cranston et al., 2004; Cranston, 2007).

To sum up, attending to managerial matters, while not as dominant as their key 'leading learning' role, was a significant aspect of their work and superseded their role in curriculum management and their role in informing the strategic direction of the school. What follows is an exploration of DPs/APs' perceptions of time constraints and the impact of this on their ability to fulfill all the demands of their roles.

4.4 Time allocated to fulfilling leadership role

Figure 13: Time allocated to fulfilling leadership role



Of the 46 DPs/APs, 40 were either fully released or only had a small teaching component. Five respondents only had a small amount of release and they spent most of their time teaching. An analysis of the amount of release available to fulfill senior leadership responsibilities and the years of experience in the role indicated that those senior leaders with more experience in the role had more release time available to fulfil the role. Of the

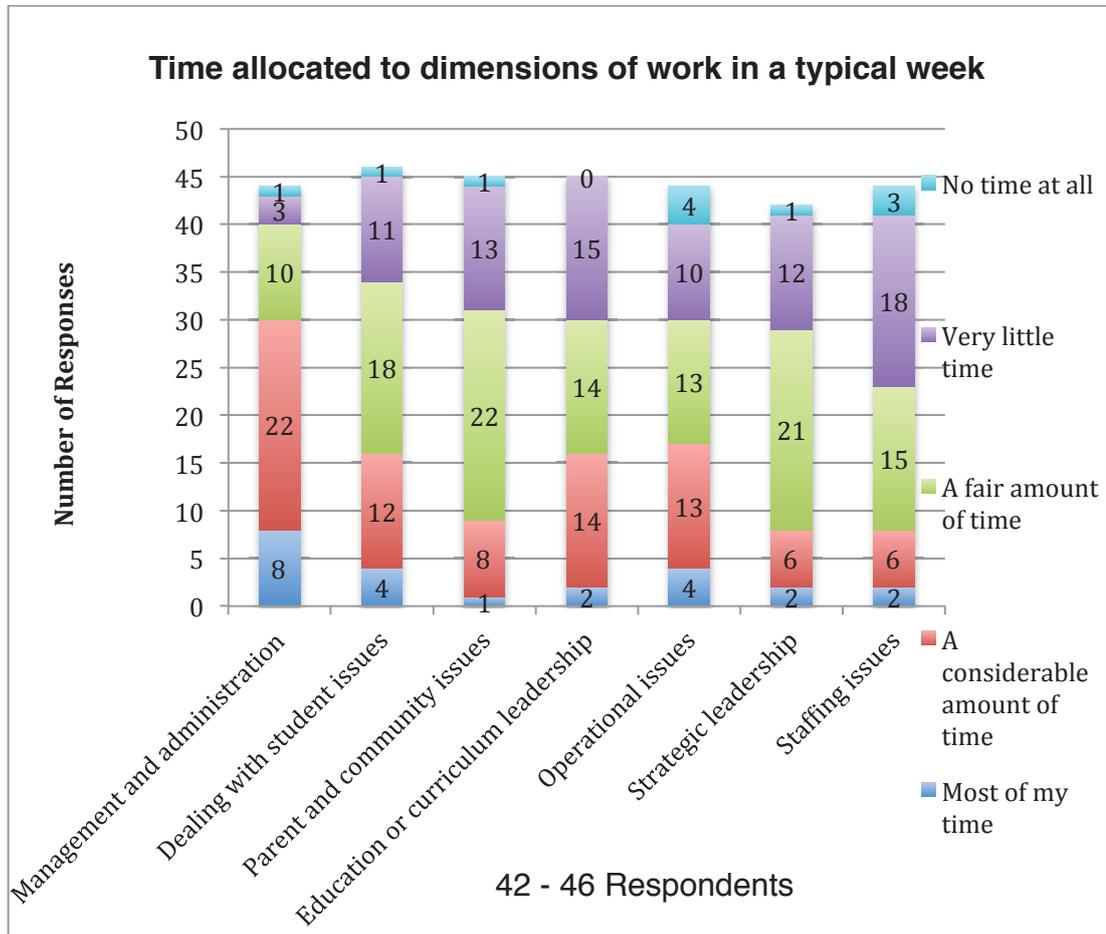
five leaders who had mainly teaching roles, four had been in the role for less than six years (one had been in the role for 11 - 15 years). Fully released leaders in the role generally spent more time than other leaders dealing with staffing issues and on strategic leadership. These findings are significant, as they indicate a distinction in DPs/APs' roles associated with experience in the role.

4.4.1 Time spent on dimensions in a typical week

Investigations of how much time DPs/APs spent on different dimensions of work, have identified seven core dimensions (broad categories) of senior leaders' work (Hausman et al. 2002), namely: management and administration; education or curriculum leadership; dealing with student issues; parent and community issues; operational issues; strategic leadership; and staffing issues. Since these dimensions had also been utilised in several international and New Zealand studies in this field of research (Cranston et al., 2004; Cranston, 2007; Kwan and Walker, 2008), they provided a basis for comparing the findings about DPs/APs' time spent on work in this study, with that of previous studies as follows.

While 46 of the DPs/APs rated all of the dimensions, some did not take the opportunity to complete them all. This could possibly be an indication that they did not consider those dimensions to be aspects of their work so skipped them altogether.

Figure 14: Time allocated to dimensions of work in a typical week



Ninety-one percent of these leaders (40/44) spent a fair amount to most of their time on management and administration matters. This was significantly more than the amount of time spent on any of the other dimensions of work. In comparison, time spent on the other dimensions of work were as follows: dealing with student issues - 74% (34/46); parent and community issues - 70% (34/46); strategic leadership - 69% (29/42); operational issues - 68% (30/44); education or curriculum leadership - 67% (30/45); and staffing issues - 52% (23/44). These findings are significant, as how these leaders spent their time in a typical week and how they recorded their key roles and responsibilities, stand in sharp contrast. While they reported their key roles

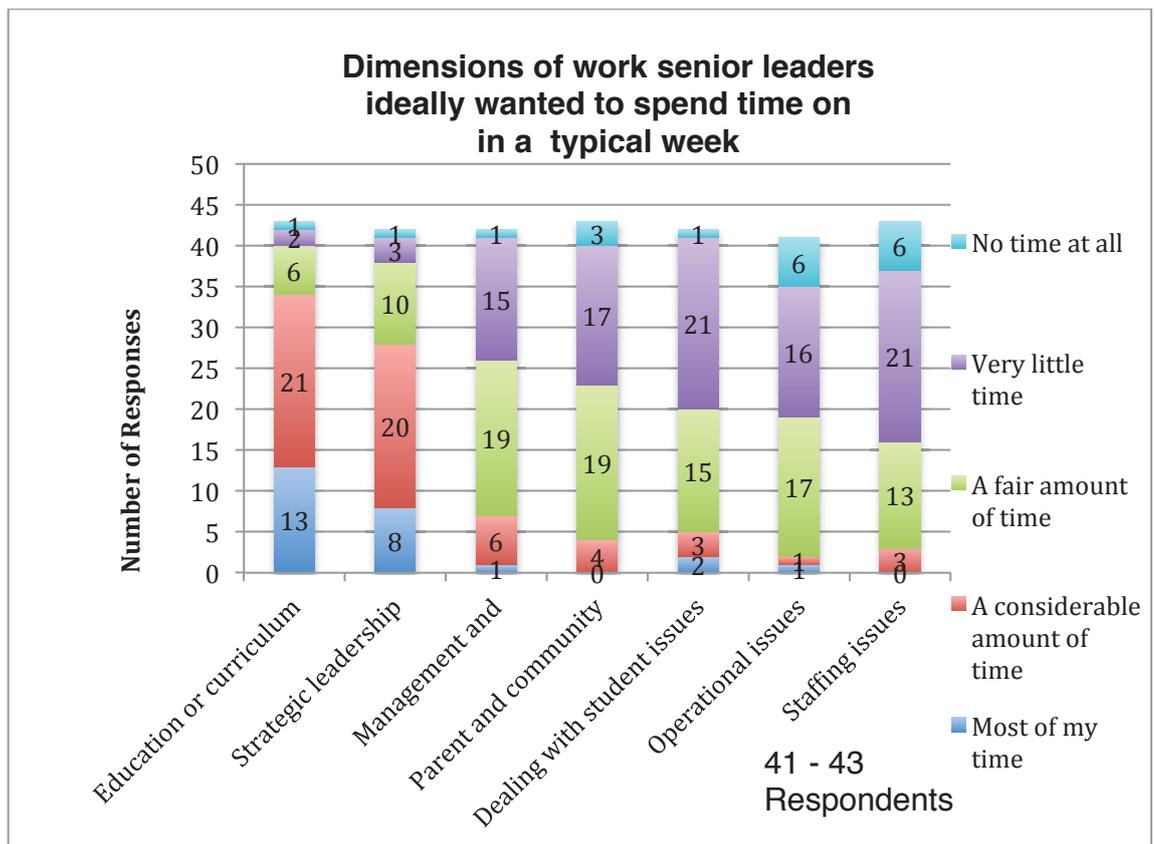
and responsibilities as pedagogical or instructional leadership (focused on learning to improve student outcomes) (Robinson, 2007; Robinson et al., 2009) integrated with transformational leadership (the capacity building of teachers and other leaders) (Elmore, 2003; Piggot-Irvine, 2003; Piggot-Irvine & Cardno, 2005), they also indicated that most of their time in a typical week was spent on management and administration matters. Indeed, more time was devoted to all the other dimensions of work, apart from staffing matters, than time spent on what Robinson et al. (2009) and the Ministry of Education (2008; 2012a) consider to be 'leading learning' practices.

These findings thus confirm that these DPs/APs in primary schools, just like their counterparts in secondary schools, spent a significant amount of time on managerial and student matters (Cranston et al., 2004; Cranston, 2007; Graham & Smith, 1999; Harris et al., 2003; Scott, 2008). Furthermore, like their secondary counterparts, the senior leaders in this study also spent a significant amount of time on parent and community issues. There is a distinction, however, between the New Zealand secondary school DPs/APs in Cranston's study (2007) and the primary school DPs/APs in this study: Cranston's secondary DPs/APs spent more time on staffing issues than they did on strategic leadership, educational or curriculum leadership or parent and community matters. This could be an indication that within the context of primary schools where there are fewer heads of departments, dealing with staffing issues is mainly the responsibility of the principal.

4.4.2 How senior leaders ideally wanted to spend their time in a week

DPs/APs were also asked how much time in an ideal week they would like to dedicate to each of these work dimensions. Once again, while most of the leaders rated all of the dimensions, some did not take the opportunity to complete them all.

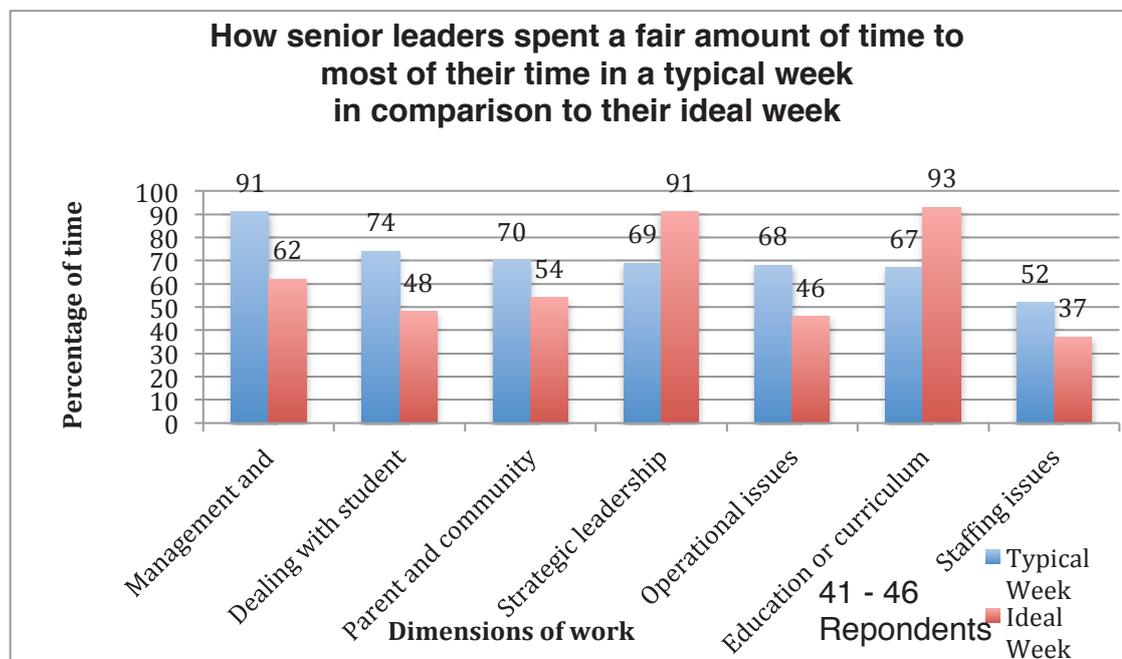
Figure 15: Dimensions of work senior leaders ideally wanted to spend time on to spend time on in typical week



Of the DPs/APs who indicated how they ideally wanted to spend their time across the week, 93% (40/43) reported that they desired to spend a “fair

amount of time” to “most of their time” on educational and curriculum leadership and 91% percent (38/42) reported that they wanted to spend this amount of time on strategic leadership. This stands in sharp contrast to the amount of time they reported actually spent on these dimensions in a typical week. Ideally, they wanted also to spend far less time on management and administration. In comparison to the 91% (40/44) of leaders who actually spent a fair amount of time to most of their time on this dimension in a typical week, only 62% (26/42) of them ideally wished to spend this amount of time on management and administration. There was also a significant disparity between time spent on the other dimensions in a typical week and what these DPs/APs ideally wanted to spend their time on (see Figures 16 and 17).

Figure 16: How senior leaders spent a fair amount of time to most of their time in a typical week in comparison to their ideal week



As in Cranston’s study (2007, p.22) of NZ secondary DPs/APs, this study revealed a significant lack of role alignment between what leaders spent their time on in a typical week and what they ideally wished to spend their time on. This finding is also clearly illustrated in Figure 17 below (what leaders ideally wanted to spend more time on is indicated by positive values and what they wished to spend less time on is indicated by negative values).

Figure 17: Role alignment between time on dimensions of work in a typical week and an ideal week

Dimensions of work	Ideal Week	Typical Week	Difference Total (Ideal - Typical)
Management and administration	62	91	-29
Dealing with student issues	48	74	-26
Parent and community issues	54	70	-16
Strategic leadership	91	69	22
Operational issues	46	68	-22
Education or curriculum leadership	93	67	26
Staffing issues	37	52	-15

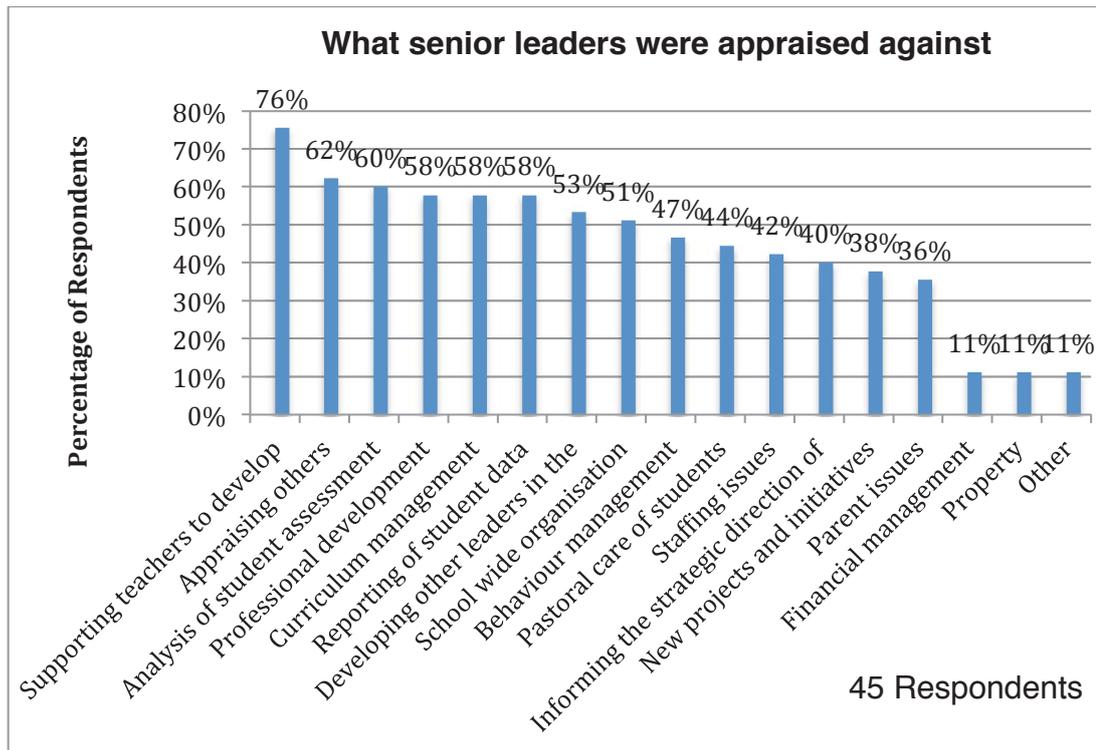
It is worth noting here that one of the respondents wondered whether the notion of the ‘ideal’ role should even be entertained when discussing responses to roles and responsibilities, and this person expressed the belief that DPs/APs needed to do whatever was required to meet the needs of students and the school.

The responses of leaders in this study thus suggest that as a group these leaders considered themselves to be engaged in improving teaching (and learning for students). Their responses to the questions in this part of the survey also suggest that these leaders ideally would like to have more time to engage in 'leading learning' practices (MoE, 2008; MoE, 2012a; Robinson, 2007; Robinson et al. 2009) and less time on other work aspects that potentially pose a barrier to that. The question of whether there are implications for how the DP/AP role is conceived and possibly reconceptualised at a systematic level so that greater role alignment is achieved is raised by these findings. This question has already been raised in previous studies in which greater role alignment was found to be associated with greater job satisfaction, confidence and aspirations of senior leaders (Cranston et al., 2004; Cranston, 2007 Marshall & Hooley, 2006; Kwan and Walker, 2008).

4.5 Official roles and responsibilities against which senior leaders were appraised

The next section explores how closely DPs/APs' roles and responsibilities were aligned with what they were appraised against.

Figure 18: What senior leaders were appraised against

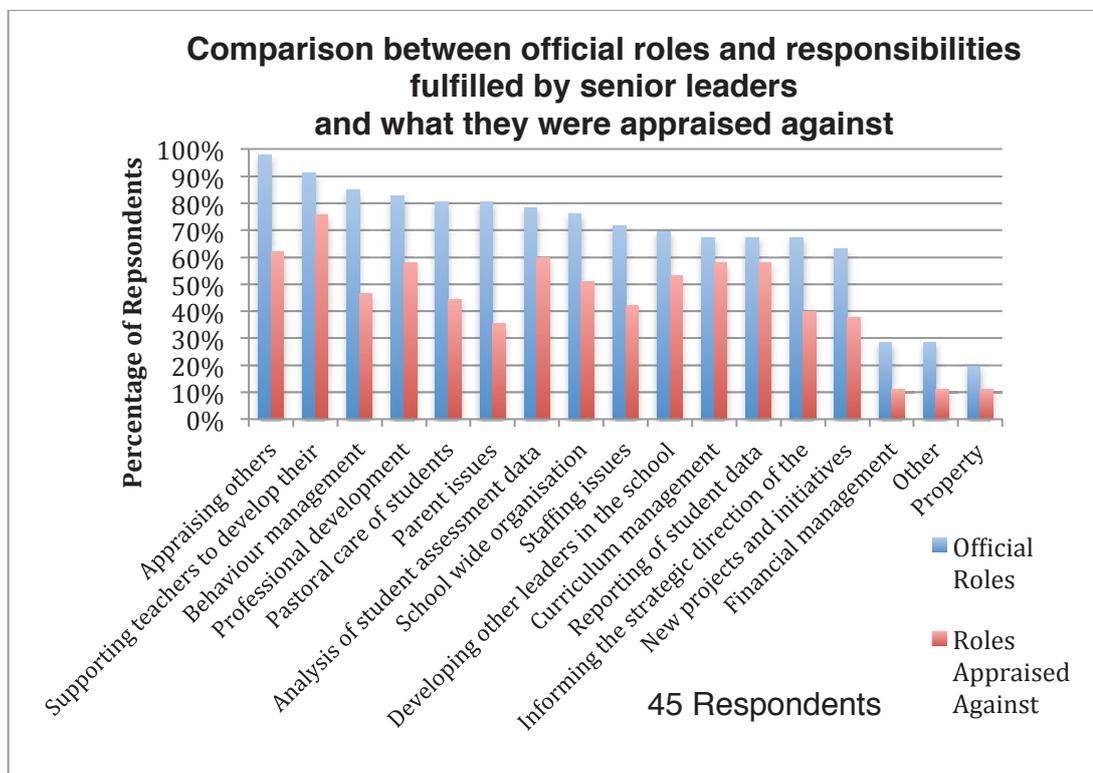


Supporting teachers to develop their practice was the aspect of work that featured most prominently in these leaders’ appraisal processes (34/45 or 76%). Their responsibility for appraising others also featured significantly (28/45 or 62%). This suggests a correlation between these two key roles and responsibilities of DPs/APs and what they were appraised against. Other roles and responsibilities that featured significantly in their appraisal processes relate to what are considered in the literature to be ‘leading learning’ practices (MoE, 2008; MoE, 2012a; Robinson et al., 2009). Sixty percent (34/45) of these leaders were appraised against their analysis of student assessment data. This featured more prominently in their appraisals than their responsibilities for professional development and curriculum management that 58% (26/45) of them were assessed against and which featured equally with their responsibilities for reporting student data. These findings would suggest that for a significant number of these leaders, their

responsibilities for the analysis and reporting of student data (usually associated with managerial tasks) are inextricably bound with their responsibilities for pedagogical/instructional leadership. Developing other leaders in the school, associated with transformational leadership (Elmore, 2003; Piggot-Irvine, 2003; Piggot-Irvine & Cardno, 2005) also featured significantly with 53% (24/45) of leaders being appraised against this.

These aspects of practice featured more significantly in appraisal processes than responsibilities for school wide organisation, behaviour management, the pastoral care of students and dealing with parent issues. That few of these leaders held responsibilities for financial management and property, was reflected in the small proportion of leaders (11% or 5/45) who were appraised against these aspects of work. How closely the roles and responsibilities of DPs/APs were aligned with what they were appraised against is summarised in Figure 19 below. It should be noted that for a significant proportion of these leaders, their role in supporting others to develop their practice (24%) and appraising others (38%) did not feature as an aspect of their appraisal processes. For these leaders then, there is a disjuncture between what they see as important (and by implication, personally valued) areas of their work and what their appraisers (possibly their principals) consider important for appraisal.

Figure 19: Comparison between official responsibilities and what senior leaders were appraised against



The areas of greatest alignment between roles and responsibilities of DPs/APs and what they were appraised against were: curriculum management; reporting of student data; supporting teachers to develop their practice; developing other leaders in the school and the analysis of student assessment data. Property, financial management and ‘other’ responsibilities, while relatively closely aligned, were only applicable to a small proportion of the DPs/APs in this group.

Also of note is the contrast between these leaders’ roles and responsibilities in informing the strategic direction of the school and the small proportion of

leaders for whom this featured as part of their appraisal processes. The concerns that were raised by leaders in previous studies about the lack of opportunity, or barriers to being involved in the strategic leadership of the school have already been mentioned. This may in part be a reflection of the expectations or perceptions of appraisers about DPs/APs' roles and responsibilities in informing the strategic direction of the school.

If what is focused on in the appraisal processes reflects what is deemed important in terms of these leadership roles, then this study suggests that 'leading learning' practices focused on improving student outcomes are core aspects of DPs/APs' roles (MoE, 2012a). The detailed analysis of DPs/APs' perceptions and experiences of their appraisal processes in the next chapter provides some further important insights.

Chapter 5 Research Findings

Perceptions and Experiences of Appraisal

5.1 Introduction

This chapter focuses on senior leaders' perceptions and experiences of appraisal processes. Beginning with their understandings of the term, appraisal and their perceptions about the purposes of appraisal, it then discusses their reports about their school's policy on appraisal and features of their school's appraisal processes, followed by accounts of their own experiences of appraisal.

An analysis of senior leaders' expectations of appraisal processes, their appraiser and how they perceived the role played by their appraiser is then provided. Insights into how they themselves were prepared for the role of appraiser and their views on the usefulness of appraisal processes in relation to their work are also explored.

Whether senior leaders have a clear and coherent understanding of appraisal based on the Ministry of Education and New Zealand Teachers Council's policy and regulations documents is considered. The chapter concludes with an analysis of senior leaders' perceptions about whether there is a relationship between appraisal and professional development.

5.2 Understandings of the term appraisal and perceptions of the purposes of appraisal

In order to gain a deeper understanding of DPs/APs' perceptions and experiences of appraisal, questions which allowed for open-ended responses, and hence qualitative data, were formulated. Senior leaders' understanding of the term, appraisal was first established. This was then compared with what they considered the purposes of appraisal to be.

There was a lot of overlap between senior leaders' understandings of the term appraisal and what they considered the purposes of appraisal to be. Typical responses such as, "attesting against criteria to ensure a teacher is meeting expectations for teaching and learning of students" were also evident in the latter question phrased, for example, as "to ensure there is quality teaching and learning happening". This kind of overlap indicated that the questions were not differentiated enough and the terminology used resulted in some senior leaders interpreting the two questions in a similar way. This was also evidenced by a comment made by one senior leader who simply stated: "See above." While uncertainty about the information being sought in response to these two questions may have been a limitation of this study, findings did demonstrate differences between how senior leaders understood the term appraisal and what they perceived the purposes of appraisal to be. This highlighted a lack of clarity or a tension for senior leaders, which will be further explored later in this chapter.

The words and phrases that occurred most frequently in senior leaders' responses were coded and categorised. How this was done was explained in Chapter 3. Three key themes emerged, namely: 1) appraisal is about professional development, 2) appraisal is about accountability and 3) appraisal is about improving students' learning.

5.3 Overall understanding of the term appraisal

5.3.1 Professional development

A clear message that came through the statements made by the 40 senior leaders who responded to this question was that they understood appraisal to be about professional development, both that of teachers and also their own professional development as leaders. As one senior leader stated, appraisal processes provide “a chance for teachers and leaders to be aware and reflect on their own practice and to upskill themselves in areas that they may not be as confident or as knowledgeable as they would like.” Comments that professional development should be facilitated in a supportive and collaborative manner were made repeatedly. For example, one described appraisal as “a process by which supervisors work together with teachers to improve their practice”. Others described it as an opportunity to work with teachers “to identify areas of development” and “to enhance growth and knowledge”. Several DPs/APs mentioned approaches such as “self-reflection”, “teaching as inquiry”, “giving feedback” and “mentoring or coaching” as ways to “establish next steps for professional development”. “True ownership of the professional learning”, as one senior leader phrased it, was deemed to be important. As will be discussed later in this chapter, the emphasis these leaders placed on professional development, as a component of appraisal processes, was also evident in how they outlined expectations of their appraisal processes and the strategies they identified as being supportive of their professional development.

5.3.2 Accountability

A further understanding, as expressed by one senior leader was that “an element of accountability” is a component of appraisal. Accountability was understood by several leaders as “compliance” and “the assessment of teachers and school leaders against a set of professional standards.” For this group of senior leaders accountability involved “gathering evidence against the professional standards”, “checking, assessing” and “evaluating a teacher”, as well as, “measuring the effectiveness of a leader”. Several viewed appraisal processes as “a time for goal setting” and listed several ways of ensuring standards are met. In addition to the Professional Standards, “the Registered Teacher Criteria”; “performance management criteria”; “the teacher’s or leader’s job description” and “designated responsibilities” were all identified by one senior leader, “as aspects of a system by which acceptable performance is measured”.

A tally of their understandings of the term appraisal revealed that overall this group of senior leaders considered professional development and accountability to be the two key components of appraisal. There were 21 responses that indicated an understanding of appraisal as including accountability and 20 responses indicating that professional development was an aspect of appraisal (see Figure 20 in Section 5.1.2 below). Some senior leaders made reference to both aspects while others made reference to one or the other. These findings and comments when drawn together are supportive of findings from previous studies (Argyris, 1996; Cardno, 1995; Timperley & Robinson, 2008). However, also evident in these senior leaders responses was the understanding that the appraisal also encapsulated student learning.

5.3.3 Student learning

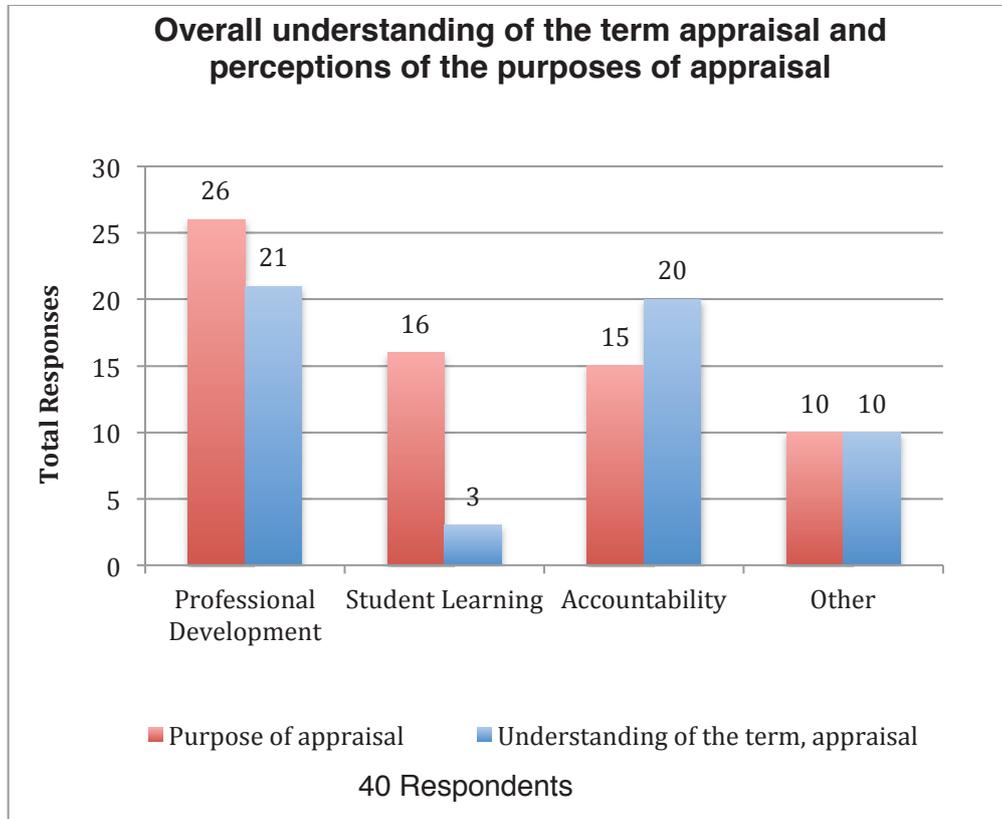
Appraisal was understood, as stated by one senior leader, as a mechanism “to improve student learning and achievement”. While several senior leaders made reference to improved “learning in the classroom”, one perceived improved student outcomes as “betterment in the broader sense, including academic, sporting, social and behavioural” outcomes. “Annual targets for students”; an understanding of “students’ leaning intentions”; an analysis of “their current data” and knowledge of “what strategies are being used and whether they are working, or not working”, were cited across this group as ways to improve student learning. The understanding was therefore, as succinctly stated by one, that appraisal is an “approach whereby teachers (and leaders) work through reflective practice to improve student learning”. Direct links were made between the development of professional practice and improved student learning outcomes. As another senior leader stated: “appraisal is about improving (teacher) practice for the betterment of our students”.

Three senior leaders understood appraisal to be about “gaining data” and viewed appraisal as “usually having data as evidence”. It was unclear as to whether these understandings were linked to improving student learning or accountability. One DP/AP stated that this evidence was used to support “school wide development” and another described the use of data or evidence as a way to “improve the efficiency of the school”.

5.4 Perceptions of the purposes of appraisal

The three key themes: professional development, accountability and student learning, also emerged in these senior leaders' perceptions of the purposes of appraisal. However, while the participants in this study made similar comments in response to the two questions, a further analysis of each theme and the tallying of categorised responses to the two questions revealed, as depicted in Figure 20 below, that they viewed the purposes of appraisal as being mainly about professional development (65%; 26/40). This finding was very significant as it was supportive of findings by Fitzgerald et al. (2003) and Gratton (2004). It also reflected this researchers' own experiences of appraisal - experiences which seemed to be at odds with a number of researchers who had found that educators experience and perceive appraisal processes as controlling and 'de-professionalising' them (see for example, Ball, 2006; Bottery, 2004; Fitzgerald, 2008; Fitzgerald et al., 2003; Gronn, 2003; Gunter, 2002; O'Neill, 1997, O'Neill & Scrivens, 2005; Strain, 2009). After professional development, these senior leaders considered student learning (40%; 16/40) to be a key purpose of appraisal and then accountability (38%; 15/40). The differences that emerged and the links senior leaders made between the different purposes of appraisal are elaborated on below.

Figure 20: Overall understanding of the term appraisal and perceptions of the purposes of appraisal



As clearly evident in Figure 20 above, in their responses to the purposes of appraisal, overall these DPs/APs perceived appraisal as being predominantly about professional development. This was expressed in various ways by senior leaders, such as “working on our own development objectives”; “to facilitate professional development”; “to grow teachers professionally” and to “provide support for ongoing personal and professional development in consultation with the appraisee – mentoring rather than a compliance model”.

Accountability, described by one senior leader, for example, as the process to “observe, attest against specific criteria” and another as “action disciplinary/competency procedures if necessary”, did not feature as significantly as professional development. Student learning was the area in which there was the greatest disparity between senior leaders’ understandings of the term appraisal and their views of the purposes of appraisal (Figure 20). Student learning featured far more significantly as a purpose of appraisal than it did when these senior leaders reported their understanding of the term appraisal. This was a very clear message. As one senior leader plainly stated: “Appraisal is about lifting student achievement”. Others echoed this perspective in statements such as: “The purpose should be to raise student achievement”, to achieve “positive student achievement outcomes” and “to ensure students are receiving the best possible learning opportunities”. There were some understandings that related appraisal to the school’s strategic direction or vision, the gathering of data or evidence and setting targets or goals. The ten responses of this nature were categorised and displayed as ‘other’ in Figure 20 above.

When further exploring these responses to the purposes of appraisal, it became evident that some had a multi-dimensional perspective, whereas others held either dual or one-dimensional perspectives. In the case of those senior leaders who recorded multi-dimensional perspectives of the purposes of appraisal, links were made in various ways between professional development, student learning, accountability, the strategic direction of the school and the gathering of data or use of evidence. For example, one senior leader stated that the purpose of appraisal is “to improve the efficiency of a school, to give teachers opportunity to improve practice for better outcomes in the classroom”. Another outlined the purpose of appraisal as that of “appraising teachers against the Registered Teacher Criteria so they can gain full registration, renew their practicing certificate and improve student

learning and achievement”, as well as, “check that all teaching staff are supported so that they can provide effective learning environments for all our students”. A very broad perspective was provided by one senior leader who summarised the purposes of appraisal as “recognising personal achievement; assessing growth towards personal and corporate objectives; facilitating professional development; channeling employee/employer communication; actioning disciplinary/competency procedures if necessary and evaluating the organisation and programmes in relation to the school’s strategic plans”.

In the case of those senior leaders who identified dual purposes of appraisal, professional development was primarily linked to student learning, then to accountability and to a lesser extent, to the strategic direction of the school. In the former responses, senior leaders conveyed, for example, the link as “improving student achievement and a teacher’s capacity”; looking “critically at teaching knowledge and practice and how we can best put this into programmes to have better outcomes for students”; as “teachers showing they are learners that are always striving to deliver best practice”, the purpose being “to raise student achievement” and ensuring “there are quality teachers and leaders in the school” to “improve student learning and outcomes for all students”.

Some senior leaders linked professional development and accountability. One made reference to “being another set of eyes in the classroom to observe, give feedback” in order to help “teachers reflect upon their teaching, setting new goals and next steps” and another stated the purpose of appraisal was “to hold teachers accountable for their practice. To monitor their ongoing learning”.

Three senior leaders only linked professional development and the strategic direction of the school. They viewed the purpose of appraisal as “ensuring quality teachers and leaders in the school following the direction of the school’s strategic plan” and “personalising development” in order “to reach the goals of the school’s vision”.

While three senior leaders referred to gathering data or evidence in their understanding of the term appraisal, only one of the senior leaders made explicit reference to gathering evidence when outlining the purposes of appraisal. This was in relation to professional development and accountability where the purpose of appraisal was stated as the “continuous improvement of teaching through goal setting, support and review and to provide evidence for registration and attestation”. However, there were some statements by DPs/APs that included phrases such as “setting targets”, “ensuring quality”, “understanding what a teacher does well”, “reaching goals” and “ensuring effectiveness” that suggested that there was an evidence base for identifying professional development needs, the impact on student learning outcomes, holding teachers and leaders accountable and informing the strategic direction of the school.

Those senior leaders who held a one-dimensional perspective of the purpose of appraisal viewed its sole purpose as supporting either professional development, accountability, student learning or the strategic direction of the school. Of the 40 participants, 25% viewed the purpose as being solely “to grow teachers professionally” and “assist teachers in developing their competence as teachers”; 13% viewed the purpose as solely for “satisfying Ministerial requirements” and “working with the staff to meet the Registered Teacher Criteria”; 10% viewed it as being solely about “improving student learning outcomes” and one senior leader viewed it as being solely about

ensuring “all of the team are aligned with the school’s expectations”. None viewed its purpose as solely for the gathering of data or evidence. That 50% (20) of the DPs/APs who participated in this study had a one-dimensional perspective of appraisal was a significant finding, as it suggested that their understanding of the purpose of appraisal was limited. Their limited understandings could be based on their own experiences of appraisal, which in turn may influence how they appraise others.

This analysis has highlighted some commonly held understandings and perceptions among the senior leaders in this study of the purposes of appraisal processes. It has also highlighted inconsistencies evident in the various perspectives that these senior leaders have shared in relation to the purposes of appraisal processes. That inconsistencies and tensions extend to appraisal policies; appraisal processes and senior leaders’ own experiences of appraisal also became evident through this study, as will be elaborated on in the following sections.

5.5 School policy on appraisal

Ninety-three percent (37 of the 40) senior leaders who responded to the question on whether or not their school had a policy on appraisal, said they did. Two senior leaders were in schools where a policy did not exist and one was uncertain. Furthermore, 88% (35) senior leaders stated that their schools had guidelines for their appraisal process. Of these, 33 said there was a rationale for the policy and 34 said that the purposes of appraisal were stated. Five of the senior leaders added that their appraisal process was either being reviewed or needed reviewing. The introduction of the Teacher Registered Criteria (RTC) which teachers are required to meet to achieve or renew their teacher registration, mandatory for all teachers since 2011, and

the trial of a professional development programme to support this (commissioned by the New Zealand Teachers Council in 2013) have created the need for schools to review, and if necessary, amend their appraisal processes. As the RTC do not replace the Ministry of Education's Professional Standards, required for attestation, schools have to develop systems that incorporate criteria from both groups and these recent developments could account for these comments by senior leaders.

5.6 Key features of appraisal processes

Generally, there appeared to be a top down approach to appraisal processes in the schools that were included in this study. The approach was outlined in various ways by senior leaders, but usually involved a process whereby “the principal (appraised) the senior leaders; senior leaders (appraised) the senior teachers and specialist teachers (and) the senior teachers (appraised) each member of their team” or as another senior leader outlined the process, “the SLT (principal and two DPs) appraise team leaders who appraise their teams”. In some schools, another ‘layer’ was added with the involvement of an external appraiser where “team leaders and specialists (were) appraised by Management (and) Management appraisal (was) done by an outside, qualified ‘expert’. The involvement of an “outside agency” or “external appraiser” as their appraiser, was mentioned by several of the senior leaders in this study. For the most part, the structure for appraisal processes in large primary state schools in this metropolitan city thus appeared to be as follows:

↓Principal or External Appraiser ↓

DPs/APs

Team/Syndicate Leaders

Teachers

The top down approach which most of the senior leaders in this study outlined reflected the hierarchical nature of schools and included the mention of accountability measures such as “observations”; “surveys”; “monitoring”; “checking”; “walk-throughs”; “job profiles”; “performance agreement plans”; the “Professional Standards”; the “Registered Teacher Criteria” and “data/evidence”. Interestingly, through these comments there was a distinctive thread of references to the approach being supportive. One senior leader mentioned having “an ongoing working relationship with the appraisee” while another referred to “partnered professional learning”. Several spoke of appraisers acting as mentors where, “team leaders act as mentors to teachers in their teams, the senior leadership team acts as mentors for the team leaders”. Support was also provided by team leaders, and “coaching” in one school, was provided on a rostered basis every Thursday. In fact, 33%, (13 of the 39 senior leaders) indicated that these kinds of support were valuable. This finding is supportive of those in earlier studies by Cardno (1999) and Youngs and Grootenboer (2003) who also found that despite the accountability purposes which their appraisal processes served, teachers viewed appraisal processes as being constructive and supportive of their development.

Three senior leaders also made mention of individuals conducting an inquiry into their practice. In one of the schools “teachers set an inquiry” which may be “around whole school professional development”. Teachers “collect reflections, videos, student voice (and other information)” as part of the inquiry. Another mentioned “teacher led inquiry goals” which teachers “work on throughout the year with support from professional learning groups (PLGs), team leaders and APs”. Teachers “talk through (the inquiry) as part of the appraisal”. The third senior leader referred to “staff self-selecting an inquiry”. This “appraisal inquiry is recorded “in a self-chosen format such as a journal or blog” which they discuss with their appraiser “twice throughout the

Only one senior leader stated that, “the school recognises that an appraisal inquiry can take the form of mini inquiries and is not necessarily completed at the end of the year”. This is in line with Ministry of Education policy, which stipulates that while it is mandatory that appraisal is carried out annually (MoE, 1997), schools can determine when within a twelve-month period, the appraisal process will start and finish. Whether adjusting the timeframe for the appraisal cycle makes a difference in terms of the amount of time available and the way senior leaders experience and perceive their appraisal processes would be worth exploring.

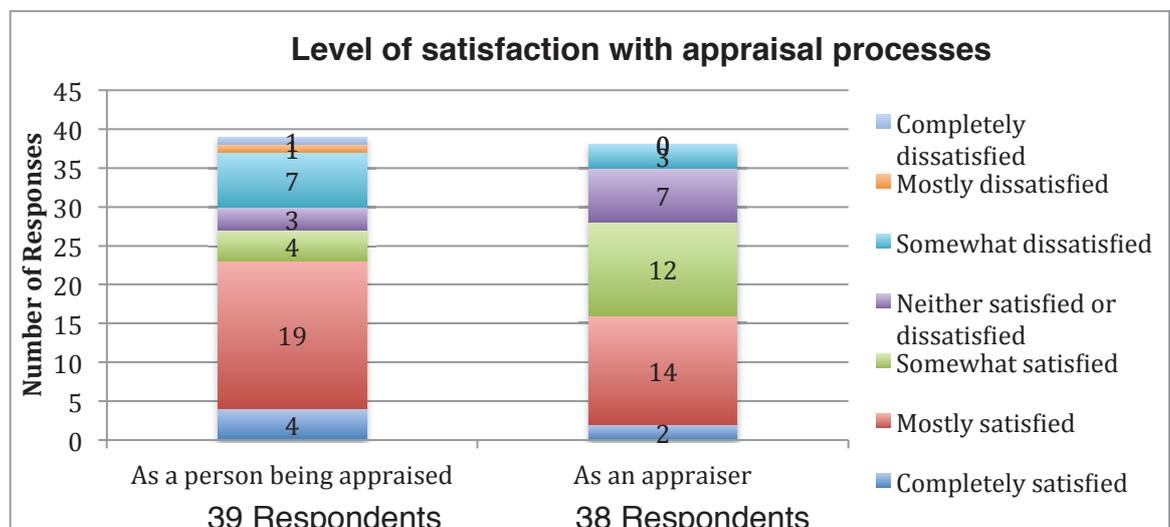
Senior leaders in this study distinguished between the attestation process, required for salary progression and based on the Ministry of Education’s ‘Professional Standards’ (MoE, 2013a), and the appraisal process, required for teacher registration and based on the New Zealand Teachers Council’s ‘Registered Teacher Criteria’ (NZTC, 2009). However, when they outlined the practice in their schools, the two processes seemed to be blended, in varying ways, as part of the appraisal process to provide evidence that teachers and senior leaders met all the criteria. That the two processes were being combined in various ways was evident in several comments by senior leaders, such as: “attestation process aligned with RTC” and “teachers work on inquiry goals throughout the year (and) APs talk through this as part of the appraisal. Teachers also look at the Registered Teacher Criteria and reflect on these a couple of times a year”. Another senior described the process of gathering evidence slightly differently as the “senior leadership team check RTC. The staff provides evidence to their appraiser for those RTC that cannot be seen during walkthroughs”. In this senior leader’s school, the “professional learning development section (was) separated out from the appraisal process”. Only one senior leader outlined a process whereby the two processes were more clearly distinguished by senior leaders “formally (checking) planning and record keeping twice yearly according to a checklist”

and “team leaders visiting teachers three times a year to observe teachers formally” and “provide feedback and feed forward” (attestation process) and teachers being “required to submit evidence over three years about how they meet the Registered Teacher Criteria and Professional Standards” (appraisal process). None of these senior leaders outlined a competency (discipline) process and this may suggest that school leaders are mindful of separating discipline processes from appraisal processes. Such an approach, Piggot-Irvine (2003) maintains, is important if appraisal is to be effective.

The responses of senior leaders clearly indicated that consistency and clarity in approaches to conducting appraisals, use of criteria and evidence gathered for appraisal were lacking across this group. While there were similar threads, senior leaders seemed to be weaving together several approaches to determine whether teachers fulfill the Registered Teacher Criteria and the Professional Standards.

5.7 Level of satisfaction with appraisal processes

Figure 21: Level of satisfaction with appraisal processes



Sixty-nine percent (27) of the 39 senior leaders who responded to this question indicated that they were more satisfied than dissatisfied with their own appraisal processes, that is, their responses were either neutral or positive in terms of satisfaction with appraisal processes. Similarly, in their role as appraiser, 74% (28) were more satisfied than dissatisfied. A limitation of this study was that this question did not provide an opportunity for senior leaders to cite reasons for their responses to each of these questions separately, and hence the reasons provided could relate to either or both roles; as the person being appraised or as the appraiser. While senior leaders were more satisfied than dissatisfied in both roles, the comments made were, for the most part, of a negative nature. Only two made positive comments: that appraisal was “a positive experience” in the school with “all appraisal linked to what (was) happening to and for students”; and that “teachers setting their own inquiry (appraisal goal) was very powerful” as it achieved “a lot more teacher buy in” with teachers wanting “to upskill and show best practice” which then raised “student achievement”. The other 16 comments were all of a negative nature, describing their appraisal processes as “mostly just going through the motions” and that there was “room for improvement” as “things were not in alignment as they should be”. Three senior leaders expressed frustration that “personal appraisal was inconsistent”. One of these said: “In the six schools I have been in, I haven’t ever really had a proper appraisal, as anything from Scale A to AP”. Another of said: “I am in my sixth year as AP. I have had one thorough appraisal in 2011 with an outside appraiser. Last year my principal did a quick round up appraisal. Otherwise I have not been appraised”.

Thus, while senior leaders in this study reported that they were more satisfied than dissatisfied both as the person being appraised and as the appraiser, a number of them indicated a level of frustration with how the processes were carried out in some of their schools. Time constraints, inconsistency, lack of

real purpose and infrequency in carrying out appraisal processes, were the most common reasons cited for dissatisfaction. In New Zealand (Fitzgerald, et al., 2003) and international (Moreland, 2009) appraisal literature, the manner in which appraisal processes are approached in a school is crucial in creating positive or negative experiences and perceptions of appraisal.

Some insights into what might provide more satisfying appraisal processes may be gleaned from responses to the next question.

5.8 Expectations of the appraisal process when appraised

One of the key messages that 40 DPs/APs conveyed here was that they wanted the process to support their professional development, indicating that these DPs/APs did not view the appraisal process predominantly as an accountability measure. There was also an indication that DPs/APs were expecting appraisal processes to make links between their own leadership and student learning. Two leaders stated this explicitly. One of these leaders commented: "That it (appraisal) develops me as a leader, but also identifies areas of improvement that will impact my role and ultimately student achievement/learning". The other leader expected "links to raising student achievement and the school strategic plan".

Several of them commented that appraisal processes needed to be "open and honest", "transparent and fair" and "of a supportive nature". One commented: "I expect to have reflective conversations that lead to increased professional knowledge and understanding of my role or aspects of my work. It should be a learning experience for me". Another senior leader commented: "I expect to have the opportunity to develop and receive

feedback. I expect to be mentored by the principal and given direction and encouragement to develop professionally so that I can move to the next step.” The expectation that the appraisal process should provide an opportunity to “reflect”, “receive feedback” and as another senior leader said, “Act as a springboard for ongoing learning” was thus a clear and recurring message. “A productive and honest process”, as one senior leader phrased it, with as others noted, “professional growth ideas”, “challenge” and support to identify “next steps in (their) professional role” were thus expectations these senior leaders had of their appraisal processes. One contrary perception was conveyed by a senior leader who commented: “I have no expectations other than that it will show that I am efficient in my work and that the appraisal is one more task completed.” How that efficiency might be shown may depend on the evidence on which it is based.

That there should be “criteria”, “evidence” and “data to support” or provide a basis for appraisal was a further message. This was illustrated in comments such as: “It should be clear to me what is being appraised” and appraisal “is a time to reflect on my practice and set realistic goals using the data and Overall Teacher Judgements (OTJs) about the students in my class.” For a number of leaders, “knowing what was being appraised”, and linking appraisal processes “to what (was) happening in the class, raising student achievement and the school strategic plan” was important. One leader stated that appraisal should “be both summative and formative” and should “provide evidence of what has been achieved” and “the next steps for improvement”. A further senior leader commented that “the data/evidence” gathered should also “be shared with at least one of the senior management team”.

This finding is significant as while these senior leaders did not necessarily perceive the gathering of data or evidence as one of the main purposes of

appraisal (as discussed in Section 5.1.2), they considered it important that their own appraisals should be based on criteria or evidence. This would suggest that clarity about the types of evidence and possibly the development of tools for the gathering of such evidence, as suggested by Sinnema (2005), would be beneficial, particularly for those senior leaders who felt that the use of criteria or evidence was lacking in their own appraisals.

Their expectations of how appraisers could support their own professional development are analysed in the next section.

5.9 Expectations of appraisers

The expectation that the appraiser would primarily support the professional development of a senior leader was explicitly stated by 50% (20/40) of the senior leaders who responded to this question and implied by others. As one put it, the appraiser's role is "to provide opportunities for personal growth and professional development" and others implied; for example, appraisers should "help me plan my next steps" and "provide constructive comments on the way forward". Twenty-eight percent (11) of them also explicitly stated that they expected their appraisers to provide "honest feedback". The ability to "be supportive and challenging through the process"; "know and understand what is required in the (senior leadership) role" and demonstrate "expertise in leadership", as well as, "time commitment to the process" and "time managed well", were other expectations held by DPs/APs. These leaders expected appraisers to carry out their roles "professionally".

Two leaders explicitly linked the expectations they held of their appraisers to student learning. One DP/AP mentioned the need for appraisers to make “links to what is happening in the class, raising student achievement”. Another leader expressed a similar expectation and said that their appraiser should “look at all aspects”, including “student learning”. These may have been the two leaders who made explicit links between their leadership and student learning in Section 5.5. One leader commented that appraisers should be “skilled to discuss and address any gaps evident in practice”. The ability to engage in “meaningful dialogue” and give “constructive advice” about “future directions” was viewed positively by other leaders. One leader stated that appraisers should have clear intentions” while another commented that appraisers should have “no hidden agendas”.

There was thus a very clear indication by the senior leaders in this study that they expected their appraisers to support their “professional development and growth”. They wanted “most aspects of performance reviewed and feedback and feed forward given” so that they could be provided with clear “direction as needed” for their own benefit, that of the students and the school.

5.10 How the role played by appraisers was described

The responses of the 37 senior leaders who described the role played by their appraisers were categorised as positive, neutral or negative and revealed the following findings:

Figure 22: How the role played by appraisers was described

Positive	Neutral	Negative	Total
26	3	8	37

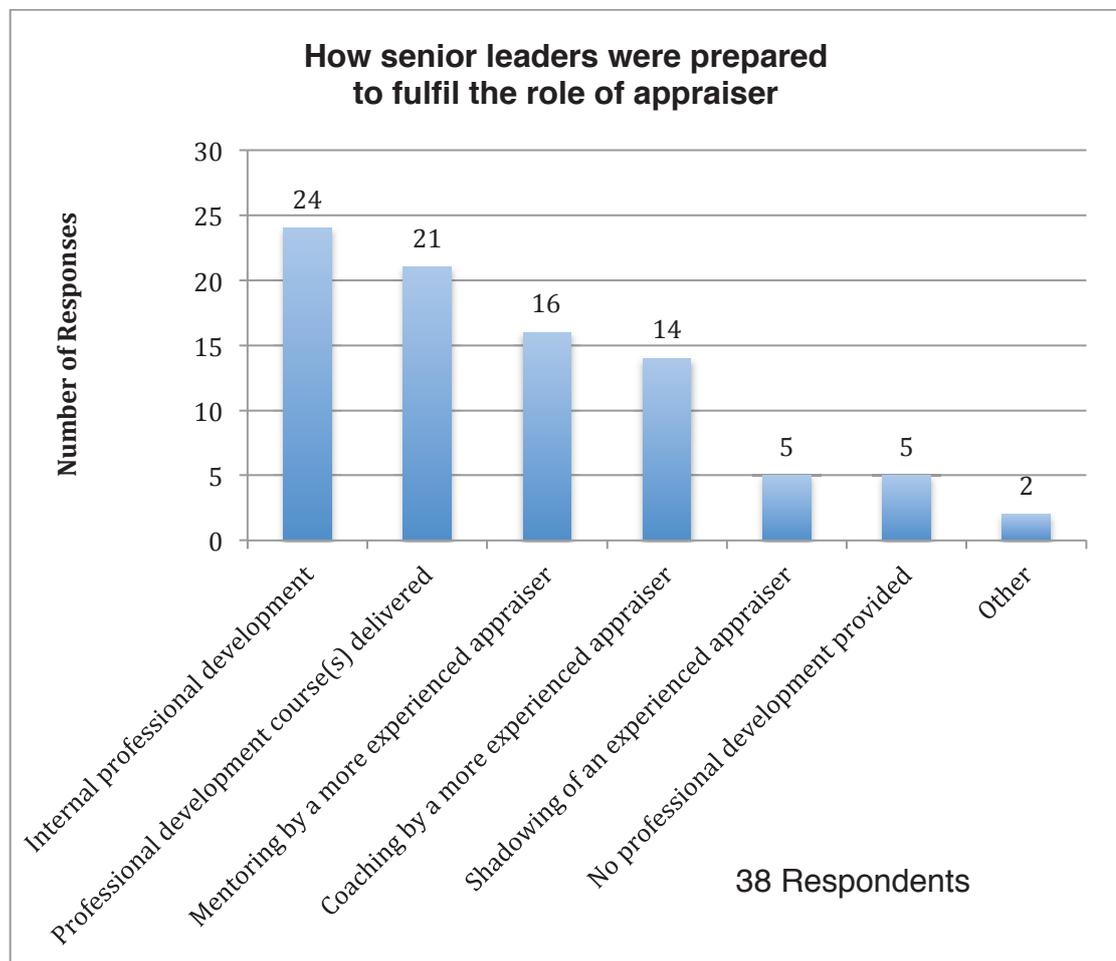
Seventy percent (26) of the 37 senior leaders who responded positively to this question described their appraisers as playing a supportive role, with terms such as “guide”, “coach”, “mentor”, “listener” and “professional” used repeatedly: for example, “My appraiser acts as a mentor and coach to support me to improve practice” and “a guide and support person”. This aligned with the overall expectations the senior leaders held of their appraisers.

In comparison, 22% (eight) of the responses were in a negative vein, with comments such as “infrequent”, “busy”, “one-dimensional”, “not consistent” and “not so clear”. As one wrote: “My experience of the appraiser so far has been very poor. The time has been rushed and there has been little feedback and certainly no mentoring”. The other three senior leaders’ comments were somewhat ambiguous. One wrote: “We have a different person appraising the management team each year. Some have just given positive feedback that is affirming but not particularly helpful for growth; others have given us readings and authentic tasks”. Another said the role played by the appraiser was to “listen and question at (the) appraisal interview” and the third commented, “an external appraiser...is hired to ensure I am developing myself in my leadership role”.

Positive or negative perceptions of those in the role of appraiser appear, in these comments, to be influenced by the manner in which their appraiser fulfilled their role or managed the appraisal process.

5.11 How senior leaders were prepared to fulfil the role of appraiser

Figure 23: How senior leaders were prepared to fulfil the role of appraiser



Senior leaders could indicate the support or training they had received to fulfil the role of appraiser from the options provided and they could also indicate any other relevant support or training they had received. Thus the question

solicited open responses and this accounts for the 82 responses related to preparation for the role of appraiser. Eighty-seven percent (33) of the 38 senior leaders, that is, by far the majority, had received some form of training and support to fulfil the role of appraiser. Sixty-three percent (24) had received some internal professional development. For one senior leader, this involved “revisiting the process, discussing and practising difficult conversations” and another commented that internal professional development “reinforced the process on a regular basis”. Another noted that internal professional development could “be used to tailor those (external professional development) for the school”, that is, “make it specific to the workplace”. Fifty-five percent (21/38) of the DPs/APs who responded to this question had been involved in professional development courses (refer to Figure 23 above), such as: “the appraisal project”; “coaching”; “hard conversations”; “legal requirements and what appraisal could look like in the school” and “a professional learning group”.

“Mentoring by a more experienced appraiser” and “coaching by someone more experienced in the role” were the most common ways in which the senior leaders in this study were prepared for the role of appraiser. These approaches have been recognised as valuable approaches for developing the capacity of leaders (Cardno, 2012; Huber, 2008; MoE, 2011; Robertson, 2005; Robinson et al., 2009) and were endorsed in comments by these senior leaders, such as: “Having a mentor and then a coach provides a lot of guidance in such an important role within the school context”; “coaching by my appraiser has been the best” and the “mentoring model is powerful for both appraiser and appraisee”. Others commented: “I would have liked to have had a mentor to support me the first time I appraised someone” and “I would like more professional development with coaching/mentoring”.

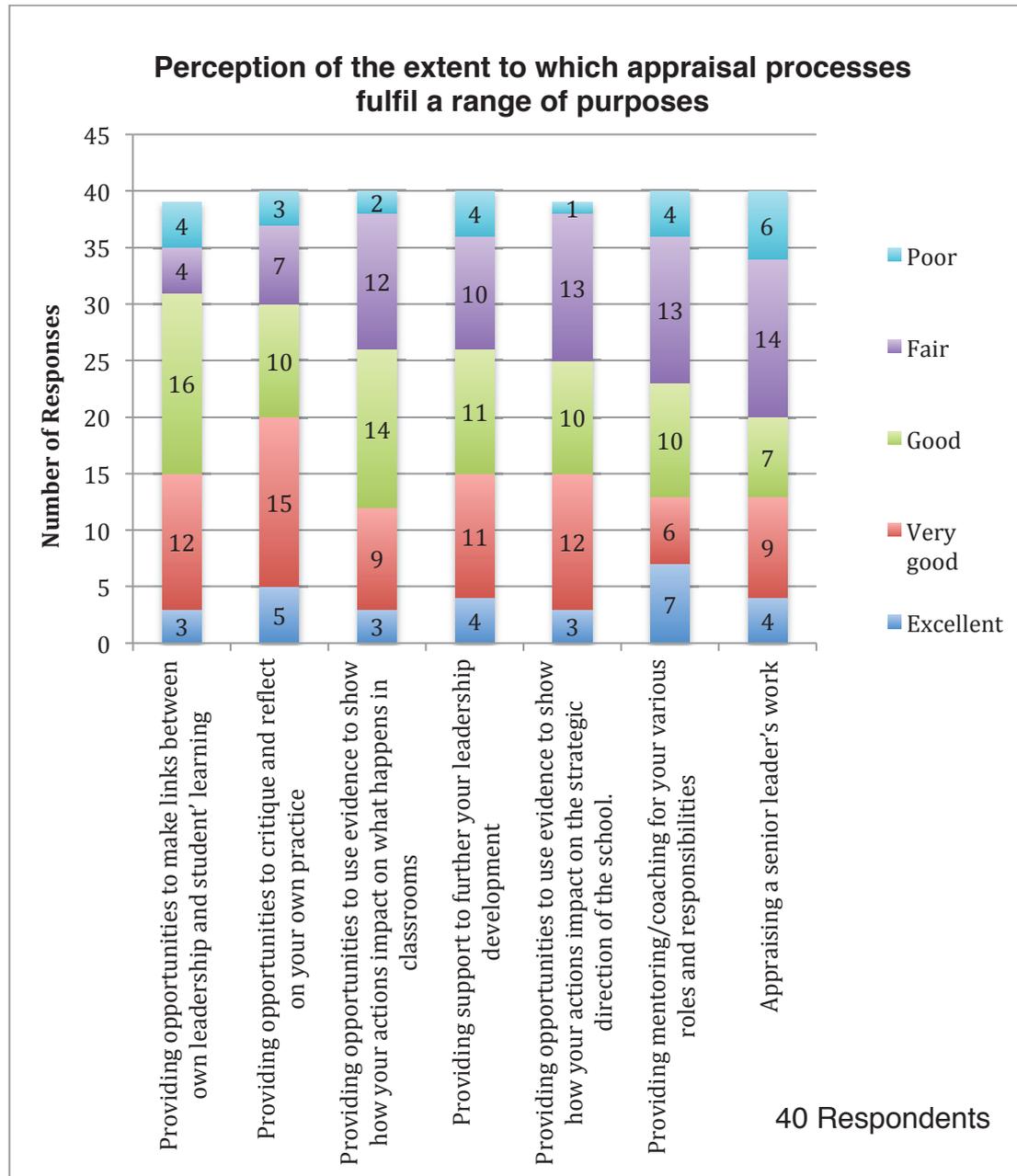
Senior leaders' own efforts and/or experiences also helped them to prepare for the role of appraiser, one commenting, "I searched out opportunities myself". This personal approach to preparation included a "post graduate diploma"; "professional readings" and "following school processes". For some, personal experiences of appraisal also influenced how they fulfilled their roles as appraisers: "I just did what my seniors did" and "Being on the receiving end first prepares you for what you will need to do to ensure the process is valuable for others". A senior leader who said: "I have read, discussed and worked things out for myself", summed up this personalised approach.

Thirteen percent (five) of the senior leaders said that no professional development had been provided.

5.12 Perceptions of the extent to which appraisal processes fulfil a range of purposes

The purpose of this question was to ascertain how beneficial DPs/APs considered appraisal processes in their school to be in terms of appraising their work, inquiring into their practice, supporting their ongoing development, gauging the impact of their leadership on learning and what happens in classrooms and their role in informing the strategic direction of the school.

Figure 24: Perception of the extent to which appraisal processes fulfil a range of purposes



The analysis of the responses of 40 senior leaders to this question (only 39 evaluated two of the descriptors) revealed a very significant finding: senior leaders in this study perceived the appraisal processes in their schools to be the most beneficial for providing opportunities to make links between their

own leadership and students' learning. Eighty percent (31/39) considered their appraisal process to provide an excellent to good opportunity to do so.

Seventy five percent (30/40) of senior leaders in this study also considered their appraisal processes to provide excellent to good opportunities to critique and reflect on their own practice. They positively rated the benefits of appraisal as providing opportunities to: use evidence to show how their actions as senior leaders were impacting what happened in classrooms; further their leadership development; and use evidence to show how their actions impacted on the strategic direction of the school. These were rated more favourably than benefits of appraisal for providing mentoring/coaching (for their various roles and responsibilities as a primary school leaders) or for appraising a senior leaders' work (the appraisal process was considered to be excellent to good by 58% (23/40) for mentoring/coaching and by 50% (20/40) for the purpose of appraising a senior leaders' work).

5.13 Perceived relationship between appraisal, attestation, the Professional Standards and Registered Teacher Criteria

The comments from the 34 DPs/APs who responded to this question indicated that they perceived appraisal, attestation, the Professional Standards and the Registered Teacher Criteria (RTC) to be interrelated in varying ways. One stated that they were "directly linked" while another made reference to "linked procedures". Clearer distinctions were drawn between the appraisal process (that most associated with ongoing professional development) and attestation (that most associated with accountability and linked to remuneration), than the measures or criteria used to assess these areas. For example, one senior leader explained that, "they are viewed as working alongside each other. However, attestation is kept separate to

appraisal and is a combination of Professional Standards and Registered Teacher Criteria. Attestation is done when a new teacher is employed/changes level within the school or when registration is due for renewal”.

Schools appeared to be amalgamating the Professional Standards (the Ministry of Education’s standards or criteria for attestation - the salary progression of teachers) and the Registered Teacher Criteria (the NZ Teachers Council’s criteria for full teacher registration, and ongoing registration which teachers need to renew every three years). While senior leaders did not elaborate at length here on how the various policy and regulation documents were incorporated into one process, a number of responses to this question provide support for earlier findings in this study (Section 5.3) about the variable ways these senior leaders were trying to incorporate all the standards and criteria. For example, “I comment on the Professional Standards and Registered Teacher Criteria. Over the year I will have commented on all criteria. The principal also does this as part of the attestation. The teacher also completes written reflections on the Professional Standards/Registered Teacher Criteria”.

These senior leaders conceptualised the pathway for competency in two different ways. The first was the understanding that the appraisal process would highlight issues about competency and that then would lead to a separate process. As one wrote: “Our current appraisal process is directly aligned to the Registered Teacher Criteria and the evidence is used by the principal for attestation. If we go down the ‘incompetent process’ we would put aside the Registered Teacher Criteria and use the Professional Standards instead”. The second understanding was that the appraisal process only commenced after it had been established that the teacher was

competent: that is, the principal first attested to the fact that a teacher was competent and met all the criteria (the Professional Standards remain the criteria for attestation) and then the teacher could focus on professional development and be appraised (attestation then became a formality). This approach was outlined by a senior leader as follows: “You need to meet the requirements of attestation, Professional Standards and Registered Teacher Criteria before you move into more formal appraisal. All teachers who do not meet these goals should be working on those goals for their appraisal”.

Thus in the schools represented by these senior leaders, the Professional Standards and the Registered Criteria were being directly linked or amalgamated (MoE, 2011). Various approaches to attestation and appraisal across their schools were also evident. One senior leader aptly described the processes, standards and criteria as all “part of the same jigsaw”. The varying ways these senior leaders were piecing the components of appraisal together, signal a lack of clarity and consistency in appraisal processes across schools.

5.14 The relationship between appraisal and professional development

Only 22 senior leaders responded to this question. The low response rate could be an indication that, as senior leaders approached the end of the survey, they disengaged or they did not perceive an explicit relationship between appraisal and their own professional development. That the latter might apply to this group of senior leaders is unlikely as one of the key messages they expressed, as outlined in Section 5.5, was that they expected their appraisal processes to support their professional development. In Section 5.5 the link between this perspective and senior leaders’ perceptions

that the purpose of appraisal was mainly professional development was also noted.

Half (11) of the 22 senior leaders explicitly mentioned professional development that was provided or accessed to support them specifically: for example, “internal and external professional development is provided as appropriate for personal goals”; “we reflect on how we have used professional development and what this means for us as leaders”; “personal professional development negotiated”; “related to information gained during the appraisal process” and “professional goals lead directly to professional development”.

These senior leaders’ comments indicated that appraisal processes were “linked to school goals” and that “schoolwide goals (provided) the focus for schoolwide professional development”. In some schools, “professional development linked to an area of teacher inquiry”. One senior leader commented that “when the school has undergone a school wide professional development programme, goals (are) included that show how we have implemented aspects of this professional development in our work”. Such comments indicate that, in their schools, “professional development opportunities were linked to the goals set at appraisal time”.

5.15 Conclusion

While the experiences and perceptions of senior leaders who participated in this study were particular to them and their schooling context, several significant findings about the appraisal processes for DPs/APs emerged from the analysis of the survey data. These significant findings, as well as those

about senior leaders' perceptions of their roles and responsibilities, which were presented in Chapter 4, are highlighted and discussed further in the next and final chapter. Then, in conclusion, the implications of this study for educational theory and practice, limitations of the study and suggestions for further research, will be discussed.

Chapter 6 Discussion and Conclusion

The purpose of this study was to achieve a deeper understanding of the roles and responsibilities of senior leaders (deputy principals, assistant principals and associate principals) in large state primary schools and how appraisal processes are perceived and experienced by them.

In this chapter, significant key findings are drawn out and links back to relevant literature are made. The implications of this study, for current practice and possible future developments in appraisal processes, are then considered. Following this recommendations are suggested for those responsible for educational policy, the Ministry of Education as well as the New Zealand Teachers Council, the School Trustees Association, the Education Review Office, and those responsible for the appraisal in schools. The chapter concludes with a discussion of the limitations of this study and suggestions for future research.

6.1 Key roles and responsibilities

A key finding of this study was that the DPs/APs perceived themselves to be primarily engaged in pedagogical or instructional leadership (MoE, 2012a; Robinson, 2007; Robinson et al. 2008; Robinson et al., 2009; Swaffield & MacBeath, 2009). As such, they considered their key roles and responsibilities to be that of appraising others, supporting teachers to develop their practice and professional development, that is, focused on improving teaching (and therefore student learning) (MoE, 1997; MoE, 2012a; Robinson et al., 2009). They also reported that developing other leaders in the school, that is, building the capacity of other practitioners (transformational leadership) (Elmore, 2003; Piggot-Irvine,

2003; Piggot-Irvine & Cardno, 2005; Southworth, 2004) was a key aspect of their role. However, while they considered themselves to be focused on these leading learning practices (MoE, 2008; MoE, 2012a; Robinson, 2007; Robinson et al., 2009), managerial tasks still demanded a considerable amount of their time.

6.1.1 Appraising others

The key responsibility reported by the 46 DPs/APs who participated in this study was that of appraising others. For 97.8% of these senior leaders (45 of the 46) it was perceived to be an official responsibility. As appraisers they reported that they were directly involved in setting and monitoring goals, observing teaching practice, providing feedback to teachers and discussing student outcomes - all aspects of pedagogical or instructional leadership that has been found to have the greatest effect on student outcomes (MoE, 2012a; Robinson, 2007; Robinson et al. 2008; Robinson et al. 2009; Timperley et al., 2007). As such, DPs/APs in this study supported the primary purpose of appraisal, which “is to provide a positive framework for improving the quality of teaching (and therefore learning) in New Zealand schools” (MoE, 1997, p. 40).

6.1.2 Involvement in professional learning and developing practice

Supporting teachers to develop their practice was the second most important responsibility that these DPs/APs held. Forty-two of the 46 senior leaders (91%) considered that they fulfilled this as an official role. The prominence that these leaders gave to developing professional practice was also evident in the professional development role that 82.6% of them fulfilled. The DPs/APs in this study thus viewed their roles and responsibilities as being

closely linked to professional learning and developing teaching practice. As already mentioned, Robinson (2007), Robinson et al. (2009) and Timperley et al. (2007) found that leaders who were actively involved in professional learning with teachers had the most impact on student outcomes.

6.1.3 Pedagogical/Instructional leaders

The findings thus suggest that the DPs/APs in the study perceived their leadership to be closely linked to improving outcomes for students in their schools. That the leaders in this study saw themselves as being primarily focused on pedagogical/instructional leadership is significant in the light of recommendations in previous studies, that the roles of DPs/APs should be 'reconceptualised' (Cranston, 2007; Famham, 2009) to provide greater opportunities for senior leaders to be involved in this type of leadership (Cranston et al., 2004; Cranston 2007; Hausman et al., 2002; MoE, 2012a; Robinson, 2007; Robinson et al., 2009; Scott, 2008). That the majority of these leaders had considerable teaching and leadership experience, may have equipped them to engage in these leading learning practices in their large primary schools, as DPs/APs' years of teaching experience was found to be associated with confidence in exercising pedagogical/instructional leadership (Hausman et al., 2002).

6.1.4 Developing other leaders

The leaders in this study also considered themselves to be responsible for building the leadership capacity of others. Sixty-nine percent of them indicated that they were responsible for developing other leaders in the school. As discussed in the review of literature, the important role that

leaders play in collaborating and building others' capacity to take action for improvement (Friedrich & Lieberman, 2010; Southworth, 2004) and their capability to sustain that improvement (Jacobson & Bezzina, 2008) has been widely recognised (Cardno, 2012; Elmore, 2003; Piggot-Irvine, 2003; Piggot-Irvine & Cardno, 2005). Southworth (2004) found that the responsibility for developing other leaders was particularly pertinent to DPs/APs, such as those in this study, who were leaders in large primary schools.

Both Elmore (2003) and Piggot-Irvine (2003) have maintained that if improvement is one of the main tasks of leadership, then school leaders need to take a hard line in terms of capacity building. That appraisers should receive training such as mentoring, coaching and learning how to have 'open-to-learning conversations' to develop educative practices that support capacity building, has also been widely promoted (Cardno, 2012; Elmore, 2003; Piggot-Irvine, 2003; Piggot-Irvine & Cardno, 2005; Robinson et al. 2009; NZTC, 2013a).

The leaders in this study appeared to value both pedagogical/instructional leadership and transformational leadership. The findings in this study would suggest that the discourse about effective leadership practices in recent years and the call to an emphasis on pedagogical/instructional leadership (MoE, 2012a; Robinson, 2007; Robinson et al., 2009) have had an impact on the way in which the DPs/APs in this study perceive their roles and responsibilities. Having said that, the theory of transformational leadership which was required to embed self-managing schools after the introduction of Tomorrow's Schools in New Zealand in 1989 (Robinson et al., 2009), appears to have been, not superseded, but integrated by leaders in this study with the theory of pedagogical/instructional leadership. Marks and Printy (2003) argue that leadership that involves the integration of collaborative-

capacity building and pedagogical/instructional leadership is indeed required. They maintain that while transformational leadership is not sufficient for pedagogical/ instructional leadership, it is a condition for it. The prominence that the DPs/APs in this study gave to pedagogical/instructional leadership would suggest that their role in developing other leaders would have a keen pedagogical focus. The finding by Marks and Printy (2003) that all schools that scored highly on pedagogical/instructional leadership also scored highly on transformational leadership would seem to support this view. The findings thus suggest that most of the DPs/APs in this study are focused on pedagogical/instructional leadership (leading learning practices) that they integrate with transformational leadership. Thus as alluded to earlier, the findings indicate that changes in educational theory are impacting and shaping the practice of senior leaders.

6.1.5 Lack of role alignment

This study supports previous findings that there is a substantial gap between the amount of time that DPs/APS spend on tasks and the key areas on which they believe they should be spending their time (Cranston, 2007; Cranston et al. 2004; Kwan and Walker, 2008; Scott, 2008).

While these DPs/APs perceived their roles and responsibilities as being mainly focused on pedagogical/instructional leadership rather than 'managerial' work, like DPs/APs in studies by Hausman et al. (2002), Cranston et al. (2004), Cranston (2007) and Scott (2008), these leaders spent more time on managerial tasks than leading learning practices in a typical week. This was the reality for 91% (40/44) leaders in this study. Dealing with student issues and parent and community issues also dominated their time, resulting in less time on education or curriculum

leadership. Whether a lack of role alignment has any implications for the workload of DPs/APs needs to be considered.

A review of the literature revealed that some of the biggest challenges experienced by DPs/APs arose from the demands placed on them to fulfil a myriad of responsibilities (both official and unofficial), while at the same time struggling with time constraints to attend to these (Bartlett et al., 2012; Cranston, 2007; Cranston et al. 2004; Scott, 2008). The concerns over workload, stress and lack of personal or family time were some of the key reasons senior leaders did not aspire to principalship (Barnett et al., 2012; Cranston et al., 2004; Harris et al., 2003; Marshall & Hooley, 2006; Scott, 2008). While overall the roles and responsibilities of these senior leaders were considered by them to be focused more on pedagogical/instructional leadership than managerial matters, their 'unofficial' roles and responsibilities were more about managerial matters. In a typical week, this meant less time to focus on the leading learning practices that they appeared to value.

This could possibly indicate that with the current emphasis on leading learning practices (see, for example, MoE, 2008; MoE, 2012a; Robinson et al., 2009) some managerial matters have been relegated to 'unofficial' responsibilities and they have become responsibilities that DPs/APs fulfil on top of their 'official' roles. This poses the question of the value attached to managerial responsibilities and the amount of recognition these leaders receive for fulfilling managerial roles. That less time for leading learning practices did not necessarily equate to less focus on it, or minimise the importance DPs/APs placed on it, emerged as their experiences and perceptions of appraisal were explored.

The areas of greatest alignment between the roles and responsibilities of senior leaders and what they were appraised against were: curriculum

management; reporting of student data; supporting teachers to develop their practice; developing other leaders in the school and the analysis of student assessment data. If what is focused on in appraisal reflects what is valued in the DP/AP role then focusing on student outcomes, improving teaching practice and building the capacity other leaders in the school are at the core of these leadership roles and responsibilities. This finding is thus very significant as it supports other findings in this study that a shift is underway from the previous emphasis given to mainly managerial roles (Cranston, 2007; Cranston et al. 2004; Scott, 2008), to a role characterised by leading learning practices and which, as discussed in Section 6.1.3 above, includes both pedagogical/instructional leadership (Robinson et al., 2009) and transformational leadership (Marks & Printy, 2003).

6.2 Appraisal: Opportunities for DPs/APs

The DPs/APs in this study generally viewed appraisal as a process that provided opportunities to focus on student learning, reflect on their leadership and further support them professionally.

The appraisal process was considered by this group of leaders as being most beneficial for making links between their leadership and student learning. Eighty percent (31/39) considered their appraisal process either excellent or good for this purpose. This finding was very significant in the light of earlier recommendations by Wragg (1996), Cardno (1999), Piggot-Irvine (2000; 2003), Piggot-Irvine and Cardno (2005) and Sinnema (2005) that appraisal needed to be more connected to student learning and achievement. This finding also provided a somewhat different perspective to the finding in Robinson and Sinnema's (2007) study and the research of Robinson et al. (2009) that in school based appraisal policies and processes "school leaders

do not use appraisal as an opportunity to inquire into and strengthen the impact of teaching on student learning” (Robinson et al., 2009, p. 138).

Robinson et al. (2009) purport that the extent to which leaders make connections between their leadership and student outcomes depends on the nature of the goals that are set. If they are specific and challenging, directly related to student learning and provide a clear indication of how the goals will be achieved then there is more likelihood that leaders will inquire into student learning. They thus maintain that evidence-based or data-informed inquiry puts leaders in a position to make links between their leadership and student learning. The DPs/APs who participated in this study made extensive references to goals, both personal and school goals. Many of them indicated that these goals were focused on the improvement of teaching and learning. Some also made reference to adopting an inquiry approach to appraisal.

These leaders also gave a positive rating to appraisal as providing opportunities to: use evidence to show how their actions were impacting what happened in classrooms; further their own leadership development and use evidence to show how their actions impacted on the strategic direction of the school. They also wanted the appraisal of their leadership to be based on agreed criteria and to be supported by evidence. The findings thus suggest that many of the DPs/APs in this study were indeed gathering data to inform an inquiry into the teaching-learning relationship (Robinson et al., 2009).

However, these leaders did not consider the key purpose of appraisal to be primarily that of gathering data or evidence. Rather, they considered that the primary purpose of appraisal was to support professional development, then student learning and thirdly, accountability. Their responsibilities for analysing

and reporting student data (managerial tasks) while important, appeared to serve what these leaders considered to be the primary purposes of appraisal, namely, professional development and student learning, characterised by Cardno (2012) as professional or leadership responsibilities. The gathering of evidence/data enabled many of them, through reflection, self-evaluation and discussion with their appraisers, to make the important links between their leadership and student learning. This use of open, evidence-based information and productive dialogue with appraisers to inform effective professional development is what Cardno (2012) refers to as “effective performance appraisal” (p. 2).

It would appear that several of the points raised in the Leadership Best Evidence Synthesis (Robinson et al., 2009) were being addressed by many of the DPs/APs in this study. The purpose for which appraisal information, that links leadership and student outcomes, is used has become a very contentious issue (see for example, Makhoul, 2012; NZTC, 2013b; Parata, 2012; Scoop Media, 2012). How the information is used has the potential to shift the focus of appraisal either on accountability or professional development. While both accountability for improving student outcomes and ongoing professional development are important, what is crucial is how these are weighted. Both Piggot-Irvine (2003) and Cardno (2012) maintain that by integrating, rather than distinguishing between these two requirements, effective appraisals are possible to achieve. Findings from this study that further illuminate this tension between accountability and professional development, as perceived by DPs/APs in this study, follows.

6.3 Appraisal: Traversing the continuum of accountability and professional development

For these senior leaders there was a lack of alignment between how they perceived the purposes of appraisal and how they understood the term appraisal. Overall, these DPs/APs understood appraisal to signify a balance between accountability and professional development. In their understanding of the term appraisal, student learning was far less significant than both professional development and accountability. An examination of appraisal within New Zealand schools earlier in this study revealed that a balance between managerial and professional accountability is difficult to achieve and can best be described as existing on a continuum - based on where the accountability and development emphases lie (Piggot-Irvine & Cardno, 2005). While the findings of this study strongly suggested that these DPs/APs valued professional accountability, viewed the purpose of appraisal as an opportunity for self-evaluation and reflective practice and considered it to be constructive and supportive of both professional development (Piggot-Irvine & Cardno, 2005) and student learning, they also understood appraisal as assessing performance outcomes and managerial accountability (a system of checks and measures).

These findings thus suggest a disjuncture between their theories about appraisal and praxis. This could be an indication that while they value professional accountability, these leaders understand the educational climate in which they work, one in which managerial accountability is receiving a significant amount of emphasis (Makhlouf, 2012; Parata, 2012) and one in which leader and school effectiveness is being more and more closely linked to student outcomes. In primary schools in New Zealand, the setting and monitoring of target goals in relation to the National Standards for reading, writing and mathematics have required that schools closely monitor student

progress and achievement in these areas. The mandatory reporting of this National Standards data that categorises students as 'above', 'at', 'below' or 'well below' expectation and the publication of this data in the public arena has been fiercely criticised by educationalists (see for example, NZPF, 2013; Scoop Media, July 2012). The validity and credibility of this student data, based on overall teacher judgements (OTJs) has been keenly contested. That the analysis and interpretation of this data can be used to compare schools and make judgements about the quality of teaching and leadership in schools is disconcerting for teachers and leaders, such as many in this study, who value professional accountability (see for example, NZPF, 2013; Sahlberg, 2013).

There are already indications that appraisal is becoming the mechanism for ensuring leaders are primarily focused on National Standards data. A recent Education Review Office (ERO) evaluation (2013) recommends that the Ministry of Education strengthen "performance management approaches to improve links between principal and teacher appraisal and school and student targets (ERO, 2013, p. 2). Using detailed information about students' achievement against the National Standards and linking this to appraisal where there is "an expectation to show that (teachers) have made a difference" (ERO, 2013, p. 9), is presented as evidence of good practice. There is thus a clear signal that principal and teacher appraisals will become focused on reading, writing and mathematics target goals and what the Ministry of Education has identified as priority groups. Appraisal, it would appear, will increasingly be based on unreliable National Standards data and have an emphasis on managerial accountability.

Already, the use of data/evidence to access professional development programmes funded by the Ministry of Education has resulted in a more

centrally controlled model (MoE, 2011). The awarding of contracts, based on data with little credibility or validity has seen the provision of professional development opportunities limited to what the Ministry of Education considers priority curriculum areas and priority groups. Thus, it could be argued, that as a result of tighter control measures by the Ministry of Education and the emphasis on student data, the ability of some schools, particularly higher decile schools such as that of this researcher, to access and target professional development to their own schooling context, has been significantly limited. Accessing professional development from Ministry of Education approved professional development providers now, for some schools, comes at an additional cost to the school.

Increased accountability measures have also seen suggestions by the Secretary to the Treasury that 'value added' data (the lack of credibility and validity of this data has already been raised), be used to measure individual teachers and link teacher appraisal and pay to student outcomes (Makhlouf, 2012). This notion was also officially proposed by the Minister of Education (Parata, 2012), despite findings from the OECD that there is no relationship between performance pay schemes and average student outcomes in a country (OECD, 2012). This analysis of developments and proposals that place an emphasis on performance outcomes and controls, and the findings from this study, suggest that the changing educational landscape may be impacting senior leaders' understanding of appraisal as being more about managerial accountability.

6.4 The complex nature of appraisal processes

A key finding of this study was that senior leaders lack a consistent and coherent approach to carrying out appraisal processes. This can mainly be

attributed to the multiple definitions of appraisal and the inconsistent use of terminology across a range of educational agencies, as well as the range of purposes which appraisal aims to serve.

An analysis of senior leaders' responses to the understanding of the term 'appraisal', their perceptions of the purposes of appraisal and their outline of appraisal processes in their schools reveal the multiple ways in which appraisal is defined and the varied ways in which terminology, associated with appraisal, are used.

This could be due to the fact that, as discussed in the review of the literature, within and across the policy and regulation documentation from the Ministry of Education, the New Zealand Teachers Council, the Education Review Office and the School Trustees Association, terminology such as 'evaluation', 'assessment' and 'appraisal' is used inconsistently (MoE, 1997) and appraisal is defined in various ways.

6.4.1 An amalgamation of appraisal and attestation

It was evident that in their appraisal processes the senior leaders in this study, both as appraisers and in their own appraisals, were attempting to meet several requirements. In particular, they were attempting to satisfy the requirements for both attestation (linked to remuneration), stipulated by the Ministry of Education, and also appraisal, required for teacher registration and the renewal of teacher registration every three years (stipulated in the Registered Teacher Criteria by the New Zealand Teachers Council). Evident in the responses of these leaders was the indication that while they separated attestations and assessments for different purposes (salary

progression, teacher registration and for improving professional practice), they drew on the same evidence to show whether standards or criteria had been met (MoE, 2011).

One senior leader aptly described the processes, standards and criteria as all “part of the same jigsaw”. This study thus supports findings in previous studies (Cardno & Piggot-Irvine, 2005; O’Neill & Scrivens, 2005; Piggot-Irvine, 2000; Piggot-Irvine, 2003; Timperley & Robinson, 2008) and more recent findings by the Ministry of Education (2011) that in practice, school management personnel amalgamate professional and registration standards.

6.4.2 A lack of clarity and consistency

That these senior leaders were piecing the components of appraisal together in various ways, signaled a lack of clarity and consistency about appraisal processes. There was evidence that the observations by Piggot-Irvine and Cardno (2005) that “the range of terms and various meanings attributed to (appraisal) create a great deal of confusion about the meaning and purpose of appraisal” (p.12), and findings by Collins (1996) that various interpretations and approaches to appraisal exist across schools, reflected what was happening in the schools represented by these senior leaders.

The implications for practice are that multiple definitions of appraisal, inconsistent use of terminology and the diverse purposes of appraisal, aimed at serving the needs of agencies such as the Ministry of Education, the New Zealand Teachers Council, the Education Review Office, the New Zealand School Trustees Association and schools themselves, all contribute to create

appraisal processes that are open to interpretation and lead to a variety of approaches.

6.5 Appraisers play a key role

Piggot-Irvine (2003) maintains that achieving the right balance between accountability and development in appraisal is difficult, but is crucial as it is closely associated with effectiveness. Moreover, she purports that trust, training, clarity, quality time, confidentiality, transparency, objective information and educative interactions are all aspects of appraisal processes. The responses of senior leaders in this study to questions about the role played by their appraisers, their expectations of the appraisal process and their expectations of their appraisers indicate that across the group, these sentiments are echoed by these practitioners.

6.5.1 The appraiser's approach makes a difference

Positive or negative experiences and perceptions of appraisal appeared to be determined by the manner in which these DPs/APs' appraisers fulfilled their role or managed the appraisal process. The majority of DPs/APs considered appraisal to support their development as leaders and were positive about the role played by their appraiser, describing them as a 'guide', 'coach' or 'mentor'. DPs/APs held expectations that their appraisers would adopt a professional approach; conduct the appraisal process thoroughly and engage in meaningful dialogue. Clear intentions, constructive feedback and direction about areas for development were valued.

That 22% of the senior leaders in this study held a negative view of the roles played by their appraisers did highlight an area of concern, however, and a possible barrier to the growth and development of the DPs/APs who hold important leadership roles in their schools. Dissatisfaction with appraisals included inconsistencies and challenges, such as a lack of clarity and time for appraisal processes to be completed thoroughly. That these essential elements of an effective appraisal (Piggot-Irvine, 2003) were compromised for some DPs/APs, is thus cause for concern.

6.5.2 Training for appraisers

In terms of their own preparation as appraisers, most DPs/APs had received some form of training. Various forms of preparation had been accessed and several approaches were found to be useful. A combination of external professional development and internal professional development and having an experienced mentor and/or coach were cited as being particularly useful. An opportunity to practise 'questioning techniques (Argyris, 1996; Piggot-Irvine & Cardno, 2005), and how to have 'open-to-learning' or 'courageous conversations' (Cardno, 2001; Piggot-Irvine, 2006; Robinson et al., 2009) were also some useful aspects of professional development for appraisers noted by these senior leaders.

While useful approaches for the training of appraisers were recognised and accessed by many of the senior leaders in this study, there was no real consistency or structure in the way they were prepared for the role. Some had not received any preparation for the role, other than their own experiences of appraisal processes. This could be attributed to the fact that in New Zealand, no special training is required or given to appraisers. No formal evaluation of appraisers or significant evidence base for the impact

and quality of appraisal processes exist (MoE, 2011). In fact, the 'Guidelines on Performance Management Systems' simply stipulate that an appraiser should be a professionally competent person (MoE, 1997). There is, however, no definition of the knowledge and skills appraisers are required to have (MoE, 2011). That the provision of training and/or consistency in the training of appraisers is lacking in New Zealand, is a concern. That it is an important issue to address, has also been highlighted by other studies where the training of appraisers to develop educative processes and build the capacity of others has been shown to be important (see for example, Crowther et al., 2002; Friedrich & Lieberman, 2010; Jacobson & Bezzina, 2008; OECD, 2012; Robinson et al., 2009).

Recently there has been some action towards addressing this concern (NZTC, 2013a). Currently, professional workshops for senior leaders are being funded and delivered by the New Zealand Teachers Council to build senior leaders' confidence and knowledge in using the Registered Teacher Criteria (RTC) for appraisal and to strengthen appraisal processes in schools. Aspects of these workshops include among other things:

- 1) Developing the ability of senior leaders to engage in appraisal conversations
- 2) Strengthening the links between appraisal, professional learning and teacher development and
- 3) Resources to collect and collate evidence of practice (evidence of learning and achievement) (NZTC, 2013a).

The expectation is that this should help to develop consistency in appraisal processes within and across schools.

This study has highlighted the need to address the issues around the lack of requirements, structure and provision for the training of appraisers. The workshops provided by the New Zealand Teachers Council, aimed at reducing the variations in the experiences and perceptions of appraisal, should go some way to address this. That more is required at a systematic level is explored in the next section, as one of the implications of this study.

6.6 Implications of the study: Pathways and challenges

This study's findings suggest that achieving consistency in appraisal processes may be challenging. This was a major consideration of The New Zealand Educational Institute (NZEI) when developing an alternative model to a performance (merit) pay system, a system which the Ministry of Education agreed to as part of the 2013 - 2015 Primary Teachers' Collective Agreement (MoE, 2013c). The Advanced Classroom Expertise Teacher (ACET) allowance, a knowledge and skills based recognition remuneration system – an alternative to a performance (merit) pay remuneration system is intended for teachers who want to stay in the classroom and not go into management. As from 2015 up to 800 classroom teachers will be in a position to receive an allowance of \$5000 per annum. They need to be able to demonstrate “creativity and innovation based on research and theory that results in positive outcomes for all learners” (MoE, 2013b) and provide a portfolio of evidence to support their application. Their principals need to attest to the fact that they are ‘expert’ teachers. While this is presented as a positive alternative to performance pay, the research, which NZEI commissioned the Australian Council for Educational Research to do, points out that “wide ranging (inconsistent) outcomes for teachers can result due to variations in interpretation and differing degrees of principal/appraiser expertise...” (OECD, 2012). The intention, therefore, is to have an independent attestation panel that will assess the teacher's practice in relation to “objective

professional standards and/or criteria” (MoE, 2013b) and so provide consistency.

How, if at all, this is reviewed and applied to the appraisal and remuneration of others in the profession remains to be determined. Whether an independent panel making decisions about remuneration makes appraisal processes even more hierarchical and potentially more ‘high-stakes’ also needs to be considered. What is evident from this study is that the changing educational landscape in New Zealand is already influencing appraisal processes and potentially the role of appraisers.

6.7 Some recommendations for action

While workshops, appraisal panels and further training for appraisers will go some way to developing greater clarity and consistency around appraisal processes, some of the key issues that have been identified in this study can only be remedied at a systematic level. These include the need for:

- 1) Clarity and cohesion in appraisal policy and regulation documentation across all stakeholders and one system or set of criteria for appraisal and attestation
- 2) A coordinated and systematic approach for the training of appraisers and the delivery of appraisal training programmes
- 3) Tools for appraisal that will support consistency and efficiency in the gathering of evidence for appraisal and attestation
- 4) Tools which will serve as evaluative frameworks to determine both the effectiveness of appraisers and appraisal processes and

- 5) Tools to support the presentation of evidence for appraisal and attestation and models of how this could be shared through the use of portfolios or other means

6.7.1 Policy and regulation documentation

As previously mentioned, DPs/APs in this study highlighted the tensions that inconsistencies in the various policy and regulation documents and guidelines create. A key recommendation from this study is that policy and regulation documentation from the Ministry of Education, New Zealand Teachers Council, the School Trustees Association and the Education Review Office, both in terms of the roles and responsibilities of senior leaders and appraisal processes, should be aligned. The terminology used needs to be consistent across the agencies, and the key understandings and approaches to appraisal need to be clear and easy to follow. Guidelines about how to address attestation and appraisal requirements, that serve different purposes in appraisal processes and which practitioners are currently trying to amalgamate, also need to be developed. One set of standards or criteria, rather than the dual system of the Professional Standards used by the Ministry of Education for attestation and the Registered Teacher Criteria used by the New Zealand Teachers Council for appraisal and professional registration would go a long way to developing a consistent and coherent approach to appraisal.

6.7.2 Training for appraisers

The provision of structured training for appraisers, that from comments of participants in this study appears to be lacking in consistency and delivery, is

a key recommendation. As previously mentioned, the need to train appraisers was found in earlier research to be important in building the capacity of others and in developing educative processes (Crowther, Kaagan, Ferguson & Hann, 2002; Friedrich & Lieberman, 2010; Jacobson & Bezzina, 2008; Robinson et al. 2009). Such training was also considered crucial in creating positive or negative experiences and perceptions of appraisal (generally dependent on where on the continuum accountability and development sit) (Fitzgerald, et al., 2003; Moreland, 2009).

6.7.2.1 Proposed models for the training of appraisers

Mentoring and coaching models, which were viewed positively by leaders in this study, would be worth considering as alternatives to the traditional, hierarchical approaches to appraisal that appeared to be a feature of most of their schools. The value of mentoring, coaching, 'questioning techniques' (Argyris, 1996; Piggot-Irvine & Cardno, 2005), and 'open-to-learning conversations' (Cardno, 2001; Piggot-Irvine, 2006; Robinson et al., 2009) have been widely promoted by those in the field of educational research. Professional development in coaching and 'open-to-learning' conversations has been incorporated in the appraisal workshops that the New Zealand Teachers Council has recently provided (NZTC, 2013b).

The importance of mentoring in developing practitioners has also recently been promoted by the New Zealand Teachers Council in their development of a framework outlining the knowledge, skills and attributes required of those in a 'mentor' teacher role (NZTC, 2011). While targeted at Provisionally Registered Teachers, mentoring is promoted by the New Zealand Teachers Council as something that should "be part of wider professional development

and learning available to all staff” (NZTC, 2011, p. 4). The recent workshops they offered (NZTC, 2013b) support the implementation of this mentoring framework. Other frameworks currently being utilised, such as the Ariki Project (Stewart, D., 2009), which incorporates ‘quality learning circles’, may also provide further insights into what is considered by some leaders to be a more collaborative approach to appraisal processes.

That a range of approaches is incorporated in professional development programmes and a coordinated, systematic approach to the delivery of these programmes be developed, is recommended. This would ensure all those in the role of appraiser receive appropriate training for the role. This would provide greater consistency in the way practitioners experience and perceive appraisal. A coordinated approach to ‘unpacking’ appraisal policy and regulation requirements would help to develop clarity and consistency among leaders.

This approach, as already mentioned, is evident in the professional development workshops that the New Zealand Teachers Council has recently started to deliver (NZTC, 2013b) to provide greater clarity and consistency in the understanding and use of the Registered Teacher Criteria (RTC). A collaborative approach to the training of appraisers by the Ministry of Education and the New Zealand Teachers Council would be even more beneficial in ensuring clarity for appraisers and consistency across schools.

6.7.3 Tools for appraisal

Sinnema (2005) and Robinson et al. (2009) have indicated that leadership tools are required to gather evidence for appraisal. From their perspective,

tools such as leadership exemplars can be used to either assess “leaders themselves or how well selected leadership tasks (such as appraisal) are performed” (Robinson et al., 2009, p. 208). The leaders in this study articulated that they wanted their appraisals to be based on evidence and agreed criteria. Robinson et al. (2009) have recommended that supporting documents, such as performance indicators and appraisal templates should be created and that all tools used for appraisal, at every level of the system, should be aligned.

Such tools have recently been developed to support the implementation of the Registered Teacher Criteria (NZTC, 2013b). The evaluative frameworks include a number of self-assessment tools and should provide support for DPs/APs, like those involved in this study. An evaluation of these tools may lead to the further development of appraisal tools. An important consideration is the time required to complete appraisal processes. The tools and frameworks need to be developed with this in mind so that appraisal processes are both efficient and effective. Providing tools and frameworks of this nature would significantly reduce the variations in leaders’ experiences and perceptions of appraisal.

6.8 Limitations of the study

This small-scale study has some limitations. The study was conducted in large state primary schools (with a roll of 600+), in a large metropolitan city. The participants were mainly females in high decile schools. While statistically the sample group was shown to be representative of senior leaders in primary schools, including participants from primary schools across New Zealand would enable more detailed comparisons and more comprehensive conclusions to be drawn about appraisal at a national level.

There was a lot of overlap between senior leaders' definitions of the term 'appraisal' and what they considered the purposes of appraisal to be. This may be an indication that the questions were not differentiated enough and the terminology used resulted in some senior leaders interpreting the two questions in the same way. Despite the overlap, some significant differences between how senior leaders defined the term 'appraisal' and what they perceived the purposes of appraisal to be emerged.

There may be some further lessons to be learned from senior leaders who conveyed a level of satisfaction with their appraisal processes. Senior leaders were asked to comment on their appraisal processes. However, while overall these leaders viewed appraisal positively, only a couple of comments relating to positive experiences were made. Had the question been formulated differently so that they were specifically asked to state the reasons why they were either satisfied or dissatisfied, it would have provided greater insight and generated further recommendations about how appraisal processes could be enhanced. A further limitation was that this question did not provide an opportunity for senior leaders to comment separately on their level of satisfaction with appraisal processes as appraisers and as those appraised. Hence the reasons provided could relate to either or both roles.

6.9 Suggestions for further research

The key role and responsibility that these DPs/APs played in pedagogical/instructional leadership in their schools and the finding that their appraisals were most beneficial for making links between their own leadership and student learning have significant implications for educational research.

The findings indicate that the roles and responsibilities of DPs/APs may be shifting from being mainly managerial roles, as has been reported in several studies (see for example, Cranston, 2007; Cranston et al., 2004; Hausman et al. 2002; Scott, 2008), to a role characterised by leading learning practices (focused on teaching and learning) and developing other leaders. Also, contrary to findings in Robinson et al. (2009), these leaders indicated that they did use their appraisal processes to make links between their own leadership and student learning. Further investigation of the contributing factors, the challenges and perspectives on how to further develop DPs/APs in this leadership role could be very valuable. Examining how DPs/APs make links between their own leadership and student outcomes would also provide valuable insights and further illuminate practices that have a significant impact on student learning.

The DPs/APs in this study perceived appraisal as a process for supporting their professional development. Exploring the links between appraisal and professional development further, and particularly how appraisal and goals (individual and school) support the professional development of leaders would be beneficial. Examining how the impact of professional development is ascertained through appraisal would also provide valuable insights that may have implications for how the appraisal of leaders is conceived and conducted.

Some of the leaders in this study raised concerns about the manner in which their appraisals were conducted. Exploring the barriers to positive appraisal experiences more fully and providing greater opportunities for DPs/APs to discuss their experiences and perceptions of appraisal processes would be beneficial. This would provide further insights and considerations for the manner in which the work of these leaders is appraised and the way in which they are supported to carry out their roles and responsibilities.

This study revealed a lack of role alignment for DPs/APs. While they were engaged in leading learning practices, managerial tasks still demanded more time than leadership tasks in a typical week. The factors around the “blurry line between official and unofficial” roles and responsibilities, noted earlier in Chapter 4, and the question of whether a focus on leading learning practices leads to work intensification for these leaders, are potentially areas for further research.

The findings of this study also suggest that, while useful approaches for the training of appraisers were recognised and accessed by DPs/APs in this study, there was no real consistency or structure for the training of appraisers. Conducting further research into effective training programmes for appraisers and evaluating the impact of these programmes may provide areas for further research. Furthermore, the impact of tools that have recently been created to support leaders in implementing the Registered Teacher Criteria to develop consistency in appraisal processes across schools, will need to be evaluated and adapted as required.

6.10 Conclusion

The findings of this study indicate that most of these DPs/APs communicated a professional approach to appraisal and made links between their own leadership and student learning. They perceived the purposes of appraisal to be mainly about professional development and student learning and they also communicated that they were focused on supporting others in their large primary schools to develop their practice.

There is a strong indication that these DPs/APs were integrating aspects of pedagogical/instructional leadership and transformational leadership, that is, in their comments about their roles and responsibilities they combined a pedagogical or instructional focus with capacity building (Marks & Printy, 2003). As such, in their view, their leadership roles appeared to be focused on student outcomes, teaching practice and developing others.

While several implications and key recommendations about how appraisal processes for senior leaders can be enhanced have emerged from this study, overall the finding is that DPs/APs in this study experienced and perceived appraisal to be supportive of their professional development. They did not perceive it predominantly as an accountability measure. That appraisal for the most part was a positive experience for these leaders, reflected this researcher's experiences and perceptions of appraisal. That appraisal is not necessarily so much about managerial accountability for some leaders, is heartening. How long this will remain so for these leaders in the current educational climate is something to be concerned about.

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Appendices

Appendix A



COLLEGE OF EDUCATION

TE KUPENGA O TE MĀTAURANGA

**An investigation into senior leaders' perceptions and experiences of
their roles, responsibilities and appraisal processes in their primary
schools**

Online Survey – Survey Monkey

MASSEY UNIVERSITY - EDUCATION RESEARCH PROJECT

TITLE:

An investigation into senior leaders' perceptions and experiences of appraisal processes in their primary schools.

Thank you for taking the time to complete this survey.

Your participation in this research project is greatly appreciated. It will make important contributions to building understandings of the current work and appraisal experiences of senior leaders in primary education.

A summary of the findings will be available on request at the completion of the research project.

Please select 'Submit' when you have completed the survey.

A. Please provide me with some details about yourself.

1. What is your gender?

Female

Male

2. What is your ethnicity?

NZ European

NZ Maori

Pasifika

Indian

South African

British

Chinese

Korean

Other (please specify)

3. What is your age?

- <25
- 25 – 30
- 31 – 35
- 36 – 40
- 41 – 45
- 46 – 50
- 51 – 55
- 56 – 60
- > 60

B. Please provide me with some details about your school.

4. What is the student roll in your current school?

- < 600
- 601 – 700
- 701 – 800
- 801 – 900
- 901 – 1000
- 1001 – 1100
- 1101 – 1200
- > 1200

5. What is the decile rating in your current school?

- 1
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10

6. For how long have you been teaching?

- <5 years
- 5 - 10 years
- 11 - 15 years
- 16 - 20 years
- 20 - 25 years
- 26 - 30 years
- 30 - 35 years
- > 35 years

7. What other positions have you held previously to your current school and please specify the length of service:

	<1 year	1 - 5 years	6 - 10 years	11 - 15 years	16 - 20 years	> 20 years
Scale A teacher	<input type="radio"/>					
Lead/Senior teacher	<input type="radio"/>					
Another senior leadership position	<input type="radio"/>					

Not Applicable or Other (please specify)

8. About how long have you been in your current position?

- <1 year
- 1 - 5 years
- 6 - 10 years
- 11 - 15 years
- 16 - 20 years
- > 20 years

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9. What positions have you previously held at this school and please specify the length of service:

	<1 year	1 - 5 years	6 - 10 years	11 - 15 years	16 - 20 years	> 20 years
Scale A teacher	<input type="radio"/>					
Lead/Senior teacher	<input type="radio"/>					
Another senior leadership position	<input type="radio"/>					

Not Applicable or Other (please specify)

10. What is your current role within the senior leadership team at this school?

- Deputy Principal
- Associate Principal
- Assistant Principal

Other (please specify)

11. What official roles/responsibilities do you currently fulfil in the school?

- | | |
|--|--|
| <input type="checkbox"/> Behaviour management | <input type="checkbox"/> Property |
| <input type="checkbox"/> Pastoral care of students | <input type="checkbox"/> New projects and initiatives |
| <input type="checkbox"/> School wide organisation | <input type="checkbox"/> Appraising others |
| <input type="checkbox"/> Curriculum management | <input type="checkbox"/> Analysis of student assessment data |
| <input type="checkbox"/> Professional development | <input type="checkbox"/> Reporting of student data |
| <input type="checkbox"/> Supporting teachers to develop their practice | <input type="checkbox"/> Staffing issues |
| <input type="checkbox"/> Developing other leaders in the school | <input type="checkbox"/> Parent issues |
| <input type="checkbox"/> Financial management | <input type="checkbox"/> Informing the strategic direction of the school |

Other (please specify)

12. What unofficial roles/responsibilities do you currently fulfil in the school?

- | | |
|--|--|
| <input type="checkbox"/> Behaviour management | <input type="checkbox"/> Property |
| <input type="checkbox"/> Pastoral care of students | <input type="checkbox"/> New projects and initiatives |
| <input type="checkbox"/> School wide organisation | <input type="checkbox"/> Appraising others |
| <input type="checkbox"/> Curriculum management | <input type="checkbox"/> Analysis of student assessment data |
| <input type="checkbox"/> Professional development | <input type="checkbox"/> Reporting of student data |
| <input type="checkbox"/> Supporting teachers to develop their practice | <input type="checkbox"/> Staffing issues |
| <input type="checkbox"/> Developing other leaders in the school | <input type="checkbox"/> Parent issues |
| <input type="checkbox"/> Financial management | <input type="checkbox"/> Informing the strategic direction of the school |

Other (please specify)

13. Which of the above key roles/responsibilities are you evaluated against as a senior leader as part of the appraisal process?

- | | |
|--|--|
| <input type="checkbox"/> Behaviour management | <input type="checkbox"/> Property |
| <input type="checkbox"/> Pastoral care of students | <input type="checkbox"/> New projects and initiatives |
| <input type="checkbox"/> School wide organisation | <input type="checkbox"/> Appraising others |
| <input type="checkbox"/> Curriculum management | <input type="checkbox"/> Analysis of student assessment data |
| <input type="checkbox"/> Professional development | <input type="checkbox"/> Reporting of student data |
| <input type="checkbox"/> Supporting teachers to develop their practice | <input type="checkbox"/> Staffing issues |
| <input type="checkbox"/> Developing other leaders in the school | <input type="checkbox"/> Parent issues |
| <input type="checkbox"/> Financial management | <input type="checkbox"/> Informing the strategic direction of the school |

Other (please specify)

14. Which of the following categories best describe the time allocated across the school week to fulfil your senior leadership roles and responsibilities:

- Fully released with no teaching component
- Mainly released but have a small teaching component
- Similar time allocation for release for senior leadership responsibilities and teaching component
- Mainly a teaching component with a small amount of release
- No release from teaching role

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15. In a typical week, how much time would you spend on each of these seven dimensions of work:

	Most of my time	A considerable amount of time	A fair amount of time	Very little time	No time at all
Strategic leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Education or curriculum leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Management and administration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Dealing with student issues	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Parent and community issues	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staffing issues	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Operational issues	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please comment if you wish:

16. In an ideal week, how much time would you prefer to spend on each of these seven dimensions of work:

	Most of my time	A considerable amount of time	A fair amount of time	Very little time	No time at all
Strategic leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Education or curriculum leadership	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Management and administration	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Dealing with student issues	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Parent and community issues	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staffing issues	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Operational issues	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please comment if you wish:

D. Please tell me about your perceptions and experiences of appraisal.

17. Thinking about the work of teachers and leaders in school, what do you understand by the term 'appraisal'?

18. What would you say is the purpose of appraisal?

19. Does your school have a policy on appraisal?

- Yes
 No
 Don't know

20. If you have answered 'Yes', to the question above does it have any of the following:

	Yes	No
Rationale	<input type="radio"/>	<input type="radio"/>
Purposes	<input type="radio"/>	<input type="radio"/>
Guidelines for the appraisal process	<input type="radio"/>	<input type="radio"/>

Please give more detail if you wish:

21. Please describe what happens in your school's appraisal process (please include the 3 - 4 key features of your school's appraisal process).

22. In your view, what is the relationship between appraisal, attestation, the Professional Standards and the Registered Teacher Criteria?

23. Have you experienced any relationship between appraisal and professional development in your current or previous schools?

- Yes
 No
 Don't know

24. If you have answered 'No' to Question 23, please comment (if you wish) on how you feel about this. If you have answered 'Yes' to Question 23, in what ways were your professional development and your appraisal related?

25. Please rate your experience of appraisal:

	Completely dissatisfied	Mostly dissatisfied	Somewhat dissatisfied	Neither satisfied or dissatisfied	Somewhat satisfied	Mostly satisfied	Completely satisfied
As a person being appraised	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
As an appraiser	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please comment if you wish:

26. How were you prepared to fulfil the role of appraiser?

- Professional development course (s) delivered by external facilitator(s)
- Mentoring by a more experienced appraiser
- Coaching by a more experienced appraiser
- Shadowing of an experienced appraiser
- Internal professional development
- No professional development provided

Other (please specify)

27. Please comment on any of the above approaches that you found particularly useful.

28. What are your expectations of the appraisal process?

29. What are your expectations of your appraiser?

30. How would you describe the role played by your appraiser?

31. To what extent do you think the appraisal process in your current school is useful for:

	Poor	Fair	Good	Very good	Excellent
Appraising a senior leader's work	<input type="radio"/>				
Providing mentoring/coaching for your various roles and responsibilities as a primary school leader	<input type="radio"/>				
Providing support to further your leadership development	<input type="radio"/>				
Providing opportunities to critique and reflect on your own practice	<input type="radio"/>				
Providing opportunities to make links between your own leadership and student' learning	<input type="radio"/>				
Providing opportunities to use evidence to show how your actions as a senior leader impact on what happens in classrooms	<input type="radio"/>				
Providing opportunities to use evidence to show how your actions as a senior leader impact on the strategic direction of the school.	<input type="radio"/>				

32. Please feel free to make any other comments about the manner in which your appraisal is conducted, and/or any other comments about your perceptions and experiences of appraisal processes.

33. Would you be prepared to participate in an interview aimed at exploring senior leaders' perceptions and experiences of appraisal?

- Yes
- No

If you have answered 'Yes' would you please provide me with your name, email address and contact details.

Appendix B



COLLEGE OF EDUCATION

TE KUPENGA O TE MĀTAURANGA

An investigation into senior leaders' perceptions and experiences of their roles, responsibilities and appraisal processes in their primary schools

INFORMATION SHEET FOR PRINCIPALS

My name is Yolande Franke. As a student of Massey University, I am writing to you to request your permission for senior leaders (deputy, assistant and associate principals) in your school to participate in this study. If you agree, I hope that you will kindly assist my study by forwarding to members of your senior leadership team the attached information and invitation letter. Forwarding this information will be taken as consent on your part for senior leaders in your school to participate in this research through an online survey and, if the senior leaders so choose, a focus group discussion.

I am undertaking this study for a thesis in partial fulfilment of a Masters in Educational Administration and Leadership. I hope this project will serve to inform both educational research and practitioner knowledge about a key group of senior leaders in primary schools who have received very little attention thus far in the field of educational leadership research.

The purpose of the project is to explore the perceptions and experiences of a sample of primary school DPs and APs of appraisal processes. Research

has suggested that the roles and responsibilities of senior leaders become more complex as the size of a school increases and as this may impact on appraisal experiences, the nature of senior leadership roles will also be explored.

All senior leaders (DPs and APs) in large state primary schools with a roll of more than six hundred students in a large city in New Zealand are being invited to participate to ensure that diverse perceptions and experiences of senior leaders will be represented in the study.

Project Procedures

A mixed methods approach will be used. Senior leaders will be invited to complete an online survey that should take approximately 20 – 25 minutes to complete. You can view the survey by following this link:

<https://www.surveymonkey.com/s/Masseyresearchproject>

People who respond to the survey can choose to remain anonymous.

Depending on the nature of the overall findings of the survey, focus group discussions may be undertaken to explore in depth any topics or issues that seem to warrant further investigation. The location of senior leaders will be the primary factor influencing the composition of the focus groups as the intention is to make participation in a focus group discussion as convenient as possible. If senior leaders are willing to participate in a focus group discussion they will be asked to email me after submitting the online survey, with their name, home address and contact telephone numbers. These senior leaders will be sent the 'Participant Consent – Focus Group Discussion' form and the 'Confidentiality Agreement' form (for their information) and informed of the meeting venue closest to them and proposed date and time for meeting. I will liaise with each group to determine a date and time agreeable to most participants. Those senior leaders who are unable to participate at the scheduled time will be thanked for offering to participate.

At the meeting, before the discussion commences, 'Participant Consent – Focus Group Discussion' and 'Confidentiality Agreement' forms will be handed out. These will be explained and participants will be requested to sign and hand the forms back to me. It is anticipated that the focus group discussions will take approximately 45 - 60 minutes. The focus group discussion will be audio taped and transcribed by myself, or by someone bound by confidentiality.

Data Management

- Data obtained will be used for the purposes of this thesis. Once published, data may be used to inform subsequent ideas of the researcher or that of other researchers and educational practitioners;
- Data will be stored in a locked cabinet and disposed of five years after publication of the thesis by shredding;
- Completing and submitting the online survey implies consent by participants;
- Survey respondents can remain anonymous;
- The confidentiality and identity of individuals who participate in a focus group discussion and their schools will be protected by not conducting focus group discussions at school sites and by conducting focus group discussions outside of school hours;
- Confidentiality will also be maintained by the use of pseudonyms and each participant's signed agreement to not disclose anything discussed in the focus group.

Participant's Rights

Should they wish to participate, they have the right to:

- decline to answer any particular question;
- withdraw from the study until the start of focus group discussions;
- provide information on the understanding that their name and the name of any school will not be used;
- be given access to the summary of the project findings when it is concluded.

Project Contacts

If you have any questions about the project that you would like to discuss, please contact either my supervisors or me, by phone or email.

Yolande Franke

Massey University

Telephone: 021 330 327

Email: yfranke@somint.school.nz

My supervisors are:

Dr Marian Court

Educational Administration and Leadership Programme, Institute of Education, Massey University, Palmerston North.

Telephone: 06 356 9099, Ext. 84450

Email: M.R.Court@massey.ac.nz

Karen Anderson

Co-ordinator, Educational Administration and Leadership Programme, Institute of Education, Massey University, Palmerston North,

Telephone: 06 3569099, Extn. 84451

Email: K.F.Anderson@massey.ac.nz

Thank you very much for reading this letter and my request for assistance with this research. I hope that you will extend my invitation to the senior leaders in your school as their participation will make important contributions to building understandings of the current work and appraisal experiences of leaders in primary education.

Yours sincerely,

Committee Approval Statement

This project has been reviewed and approved by the Massey University Human Ethics Committee: Southern B, Application 12/49. If you have any concerns about the conduct of this research, please contact Dr Nathan Matthews, Chair, Massey University Human Ethics committee: Southern B, telephone 06 350 5799 x 80877, email humanethicsouthb@massey.ac.nz.

Appendix C



COLLEGE OF EDUCATION

TE KUPENGA O TE MÂTAURANGA

An investigation into senior leaders' perceptions and experiences of their roles, responsibilities and appraisal processes in their primary schools

INFORMATION SHEET FOR SENIOR LEADERS

My name is Yolande Franke. As a student of Massey University, I am writing to you to request your participation in a study of senior leaders' (deputy, assistant and associate principals) views and experiences of appraisal processes. Research has suggested that the roles and responsibilities of senior leaders become more complex as the size of a school increases and as this may impact on appraisal experiences, the nature of senior leadership roles will also be explored.

I am undertaking this study for a thesis in partial fulfilment of a Masters in Educational Administration and Leadership. I hope this project will serve to inform both educational research and practitioner knowledge about a key group of senior leaders in primary schools (deputy principals, assistant and associate principals) who have received very little attention thus far in the field of educational leadership research.

All senior leaders (DPs and APs) in large state primary schools with a roll of more than six hundred students in a large city in New Zealand are being invited to participate to ensure that the diverse perceptions and experiences of senior leaders will be represented in the study.

Project Procedures

A mixed methods approach will be used. First senior leaders will be requested to complete an online survey , and then senior leaders will be invited to participate in a follow-up focus group discussion.

The online survey (Survey Monkey) should take approximately 20 – 25 minutes to complete. You can view the survey by following this link:
<https://www.surveymonkey.com/s/Masseyresearchproject>

If you choose to respond to the survey, you can remain anonymous. You can also choose to not answer a particular question if you wish, but I hope that you will feel free to respond to them all. Completing the survey will be taken as consent on your part to participate in this research project.

Depending on the nature of the overall findings of the survey, follow-up focus group discussions may be undertaken with a group of survey respondents. The aim here would be to explore in more depth any topics or issues that seem to warrant further investigation. The location of senior leaders will be the primary factor influencing the composition of the focus groups as the intention is to make participation in a focus group discussion as convenient as possible. If you are willing to participate in one of these focus group discussions would you please provide me with your name, home address and contact telephone numbers by emailing me, after submitting the online survey. If you do this, your identity will of course be made known to me. Be assured however, that your name and that of your school and confidential details will not be used in the thesis or any publications from it.

All senior leaders who volunteer to participate in a focus group discussion will be sent the 'Participant Consent – Focus Group Discussion' form and the 'Confidentiality Agreement' form (for their information). They will be informed of the meeting venue closest to them and the proposed date and time for meeting. I will liaise with each group to determine a date and time agreeable to most participants. Those senior leaders who are unable to participate at the scheduled time will be thanked for offering to participate.

At the meeting, before the discussion commences, 'Participant Consent – Focus Group Discussion' and 'Confidentiality Agreement' forms will be handed out. These will be explained and participants will be requested to sign and hand the forms back to me. It is anticipated that the focus group discussions will take approximately 45 - 60 minutes. The focus group

discussion will be audio taped and transcribed by myself, or by someone bound by confidentiality.

Data Management

- Data obtained will be used for the purposes of this thesis. Once published, data may be used to inform subsequent ideas of the researcher or that of other researchers and educational practitioners;
- Data will be stored in a locked cabinet and disposed of five years after publication of the thesis by shredding;
- Completing and submitting the online survey implies consent by participants;
- Survey respondents can remain anonymous;
- The confidentiality and identity of individuals who participate in a focus group discussion and their schools will be protected by not conducting focus group discussions at school sites and by conducting focus group discussions outside of school hours;
- Confidentiality will also be maintained by the use of pseudonyms and each participant's signed agreement to not disclose anything discussed in the focus group.

Participant's Rights

Should you wish to participate, you have the right to:

- decline to answer any particular question;
- withdraw from the study until the start of focus group discussions;
- provide information on the understanding that your name and the name of any school will not be used;
- be given access to the summary of the project findings when it is concluded.

Project Contacts

If you have any questions about the project that you would like to discuss, please contact either my supervisors or me, by phone or email.

Yolande Franke

Massey University

Telephone: 021 330 327

Email: yfranke@somint.school.nz

My supervisors are:

Dr Marian Court

Educational Administration and Leadership Programme, Institute of Education, Massey University, Palmerston North.

Telephone: 06 356 9099, Ext. 84450

Email: M.R.Court@massey.ac.nz

Karen Anderson

Co-ordinator, Educational Administration and Leadership Programme, Institute of Education, Massey University, Palmerston North,

Telephone: 06 3569099, Extn. 84451

Email: K.F.Anderson@massey.ac.nz

Thank you very much for reading this letter and my request for assistance with this research. I hope that you will accept my invitation, as your participation will make important contributions to building understandings of the current work and appraisal experiences of senior leaders in primary education.

Yours sincerely,

Committee Approval Statement

This project has been reviewed and approved by the Massey University Human Ethics Committee: Southern B, Application 12/49. If you have any concerns about the conduct of this research, please contact Dr Nathan Matthews, Chair, Massey University Human Ethics committee: Southern B, telephone 06 350 5799 x 80877, email humanethicsouthb@massey.ac.nz.

Appendix D



COLLEGE OF EDUCATION

TE KUPENGA O TE MÂTAURANGA

An investigation into senior leaders' perceptions and experiences of their roles, responsibilities and appraisal processes in their primary schools

FOLLOW UP REQUEST TO PRINCIPALS

Dear

I wish to thank you if you have considered my request for the senior leaders (deputy and associate principals) in your school to participate in this study of senior leaders' views of appraisal. Thank you too if you have kindly assisted my study by forwarding the information/invitation letter for senior leaders to the members of your senior leadership team.

If you have not yet had the opportunity to consider this request or have any queries regarding this study, I would really appreciate receiving in the next few days, your thoughts and any queries you may have.

All senior leaders (DPs and APs) in large state primary schools with a roll of more than six hundred students (research has suggested that the roles and responsibilities of senior leaders become more complex as the size of a

school increases), in a large city in New Zealand are being invited to participate. This will ensure that the diverse perceptions and experiences of senior leaders will be represented in the study.

I wish to once again extend the invitation to your senior leaders to participate in this project and kindly request that if you grant permission for them to be involved, that you invite them by forwarding the attached information/invitation letter to them.

Thank you for taking the time to consider my study. The purpose is to enhance the educational research and practitioner knowledge about a key group of senior leaders in primary schools (deputy principals, assistant principals and associate principals) who have received very little attention thus far. It is hoped that this study will achieve a deeper understanding of how appraisal processes are perceived and experienced by them and will make important contributions to building understandings of the current work and appraisal experiences of senior leaders in primary education.

Project Contacts

If you have any questions about the project that you would like to discuss, please contact either my supervisors or me, by phone or email.

Yolande Franke

Massey University

Telephone: 021 330 327

Email: yfranke@somint.school.nz

My supervisors are:

Dr Marian Court

Educational Administration and Leadership Programme, Institute of Education, Massey University, Palmerston North.

Telephone: 06 356 9099, Ext. 84450

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Karen Anderson

Co-ordinator, Educational Administration and Leadership Programme, Institute of Education,
Massey University, Palmerston North,

Telephone: 06 3569099, Extn. 84451

Email: K.F.Anderson@massey.ac.nz

Thank you very much for considering my request for assistance with this research.

Yours sincerely,

Committee Approval Statement

This project has been reviewed and approved by the Massey University Human Ethics Committee: Southern B, Application 12/49. If you have any concerns about the conduct of this research, please contact Dr Nathan Matthews, Chair, Massey University Human Ethics committee: Southern B, telephone 06 350 5799 x 80877, email humanethicsouthb@massey.ac.nz.

Appendix E

The males and female senior leaders who responded to the survey were representative of males and female senior leaders in the primary sector nation-wide.

Crosstabs

[DataSet0]

Case Processing Summary

	Cases					
	Valid		Missing		Total	
	N	Percent	N	Percent	N	Percent
VAR00001 * VAR00002	2066	100.0%	0	0.0%	2066	100.0%

VAR00001 * VAR00002 Crosstabulation

			VAR00002		Total
			Female	Male	
VAR00001	MOE	Count	1617	403	2020
		Expected Count	1614.2	405.8	2020.0
	Survey	Count	34	12	46
		Expected Count	36.8	9.2	46.0
Total		Count	1651	415	2066
		Expected Count	1651.0	415.0	2066.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	1.055 ^a	1	.304		
Continuity Correction ^b	.707	1	.400		
Likelihood Ratio	.989	1	.320		
Fisher's Exact Test				.350	.197
N of Valid Cases	2066				

a. 0 cells (0.0%) have expected count less than 5. The minimum expected count is 9.24.

b. Computed only for a 2x2 table

Appendix F

Chi-square test – Roles and responsibilities of senior leaders

Crosstabs - Behaviour Management

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	Behaviour Management	Count	30	9	39
		Expected Count	28.8	10.2	39.0
	No Behaviour Management	Count	4	3	7
		Expected Count	5.2	1.8	7.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	1.204 ^a	1	.272		
Continuity Correction ^b	.397	1	.529		
Likelihood Ratio	1.108	1	.292		
Fisher's Exact Test				.355	.255
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 1.83.

b. Computed only for a 2x2 table

Crosstabs - Pastoral Care

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	No Pastoral Care of Students	Count	4	5	9
		Expected Count	6.7	2.3	9.0
	Pastoral Care of Students	Count	30	7	37
		Expected Count	27.3	9.7	37.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	5.039 ^a	1	.025		
Continuity Correction ^b	3.318	1	.069		
Likelihood Ratio	4.546	1	.033		
Fisher's Exact Test				.039	.039
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 2.35.

Crosstabs - Parent Issues

VAR00002 * VAR00001 Crosstabulation

			VAR00001		
			Females	Males	Total
VAR00002	No Parent Issues	Count	7	2	9
		Expected Count	6.7	2.3	9.0
	Parent Issues	Count	27	10	37
		Expected Count	27.3	9.7	37.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.087 ^a	1	.768		
Continuity Correction ^b	.000	1	1.000		
Likelihood Ratio	.089	1	.765		
Fisher's Exact Test				1.000	.568
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 2.35.

b. Computed only for a 2x2 table

Crosstabs - Informing Strategic Direction of School

VAR00002 * VAR00001 Crosstabulation

			VAR00001		
			Females	Males	Total
VAR00002	Informing Strategic Direction of School	Count	22	9	31
		Expected Count	22.9	8.1	31.0
	No Informing Strategic Direction of School	Count	12	3	15
		Expected Count	11.1	3.9	15.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.428 ^a	1	.513		
Continuity Correction ^b	.088	1	.767		
Likelihood Ratio	.441	1	.506		
Fisher's Exact Test				.723	.392
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 3.91.

Crosstabs - Professional Development

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	No Professional Development	Count	5	3	8
		Expected Count	5.9	2.1	8.0
	Professional Development	Count	29	9	38
		Expected Count	28.1	9.9	38.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.654 ^a	1	.419		
Continuity Correction ^b	.134	1	.714		
Likelihood Ratio	.616	1	.432		
Fisher's Exact Test				.412	.343
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 2.09.

b. Computed only for a 2x2 table

Crosstabs - Supporting Teachers to Develop Practice

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	No Supporting Teachers to Develop Practice	Count	1	3	4
		Expected Count	3.0	1.0	4.0
	Supporting Teachers to Develop Practice	Count	33	9	42
		Expected Count	31.0	11.0	42.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	5.436 ^a	1	.020		
Continuity Correction ^b	3.013	1	.083		
Likelihood Ratio	4.661	1	.031		
Fisher's Exact Test				.049	.049
N of Valid Cases	46				

Crosstabs - School-wide Organisation

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	No School wide Organisation	Count	8	3	11
		Expected Count	8.1	2.9	11.0
	School wide Organisation	Count	26	9	35
		Expected Count	25.9	9.1	35.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.011 ^a	1	.918		
Continuity Correction ^b	.000	1	1.000		
Likelihood Ratio	.010	1	.918		
Fisher's Exact Test				1.000	.601
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 2.87.

b. Computed only for a 2x2 table

Crosstabs - Curriculum Management

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	Curriculum Management	Count	24	7	31
		Expected Count	22.9	8.1	31.0
	No Curriculum Management	Count	10	5	15
		Expected Count	11.1	3.9	15.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.606 ^a	1	.436		
Continuity Correction ^b	.177	1	.674		
Likelihood Ratio	.591	1	.442		
Fisher's Exact Test				.488	.332
N of Valid Cases	46				

Crosstabs - Developing Other Leaders

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	Developing other Leaders	Count	25	7	32
		Expected Count	23.7	8.3	32.0
	No Developing other Leaders	Count	9	5	14
		Expected Count	10.3	3.7	14.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.967 ^a	1	.325		
Continuity Correction ^b	.383	1	.536		
Likelihood Ratio	.935	1	.334		
Fisher's Exact Test				.467	.264
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 3.65.

b. Computed only for a 2x2 table

Crosstabs - Financial Management

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	Financial Management	Count	7	6	13
		Expected Count	9.6	3.4	13.0
	No Financial Management	Count	27	6	33
		Expected Count	24.4	8.6	33.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	3.784 ^a	1	.052		
Continuity Correction ^b	2.473	1	.116		
Likelihood Ratio	3.567	1	.059		
Fisher's Exact Test				.070	.061
N of Valid Cases	46				

Crosstabs - Property

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	No Property	Count	29	8	37
		Expected Count	27.3	9.7	37.0
	Property	Count	5	4	9
		Expected Count	6.7	2.3	9.0
Total	Count		34	12	46
	Expected Count		34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	1.956 ^a	1	.162		
Continuity Correction ^b	.951	1	.329		
Likelihood Ratio	1.806	1	.179		
Fisher's Exact Test				.211	.164
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 2.35.

b. Computed only for a 2x2 table

Crosstabs - New Projects & Initiatives

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	New Projects & Initiatives	Count	19	8	27
		Expected Count	20.0	7.0	27.0
	No New Projects & Initiatives	Count	15	4	19
		Expected Count	14.0	5.0	19.0
Total	Count		34	12	46
	Expected Count		34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.425 ^a	1	.514		
Continuity Correction ^b	.097	1	.756		
Likelihood Ratio	.432	1	.511		
Fisher's Exact Test				.735	.382
N of Valid Cases	46				

Crosstabs - Appraising Others

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	Appraising Others	Count	33	12	45
		Expected Count	33.3	11.7	45.0
	No Appraising Others	Count	1	0	1
		Expected Count	.7	.3	1.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.361 ^a	1	.548		
Continuity Correction ^b	.000	1	1.000		
Likelihood Ratio	.612	1	.434		
Fisher's Exact Test				1.000	.739
N of Valid Cases	46				

a. 2 cells (50.0%) have expected count less than 5. The minimum expected count is .26.

b. Computed only for a 2x2 table

Crosstabs - Analysis of Student Assessment Data

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	Analysis of Student Assessment Data	Count	28	8	36
		Expected Count	26.6	9.4	36.0
	No Analysis of Student Assessment Data	Count	6	4	10
		Expected Count	7.4	2.6	10.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	1.283 ^a	1	.257		
Continuity Correction ^b	.526	1	.468		
Likelihood Ratio	1.206	1	.272		
Fisher's Exact Test				.416	.229
N of Valid Cases	46				

Crosstabs - Reporting of Student Data

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	No Reporting of Student Data	Count	10	5	15
		Expected Count	11.1	3.9	15.0
	Reporting of Student Data	Count	24	7	31
		Expected Count	22.9	8.1	31.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	.606 ^a	1	.436		
Continuity Correction ^b	.177	1	.674		
Likelihood Ratio	.591	1	.442		
Fisher's Exact Test				.488	.332
N of Valid Cases	46				

a. 1 cells (25.0%) have expected count less than 5. The minimum expected count is 3.91.

b. Computed only for a 2x2 table

Crosstabs - Staffing Issues

VAR00002 * VAR00001 Crosstabulation

			VAR00001		Total
			Females	Males	
VAR00002	No Staffing Issues	Count	12	1	13
		Expected Count	9.6	3.4	13.0
	Staffing Issues	Count	22	11	33
		Expected Count	24.4	8.6	33.0
Total		Count	34	12	46
		Expected Count	34.0	12.0	46.0

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	3.180 ^a	1	.075		
Continuity Correction ^b	1.989	1	.158		
Likelihood Ratio	3.744	1	.053		
Fisher's Exact Test				.135	.074
N of Valid Cases	46				

Appendix G

Ethics approval



MASSEY UNIVERSITY
TE KUNENGA KI PŪREHUROA

13 March 2013

Yolande Franke
7 Malvina Place
Bucklands Beach
AUCKLAND 2014

Dear Yolande

Re: HEC: Southern B Application – 12/49
An investigation into senior leaders' perceptions and experiences of their roles, responsibilities and appraisal processes in their primary schools

Thank you for your letter received 8 March 2013.

On behalf of the Massey University Human Ethics Committee: Southern B I am pleased to advise you that the ethics of your application are now approved. Approval is for three years. If this project has not been completed within three years from the date of this letter, reapproval must be requested.

If the nature, content, location, procedures or personnel of your approved application change, please advise the Secretary of the Committee.

Yours sincerely

A handwritten signature in black ink, appearing to read 'N. Matthews'.

Dr Nathan Matthews, Chair
Massey University Human Ethics Committee: Southern B

cc Dr Marian Court
School of Educational Studies
PN900

Ms Karen Anderson
School of Educational Studies
PN900

Prof Howard Lee, HoS
School of Educational Studies
PN900

Mrs Roseanne MacGillivray
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Massey University Human Ethics Committee
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