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**PERFORMANCE APPRAISAL: A POTENTIAL SITE OF CONFLICT?**

**A Case Study of the Implementation and Development of  
Performance Appraisal in Four New Zealand Primary Schools**

A thesis presented in partial fulfilment of the requirements for the degree of  
Master of Educational Administration

at

Massey University

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**1994**

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## ABSTRACT

*This thesis was motivated by a minor conflict over a teacher's performance appraisal in the researcher's own school. The introduction details how this minor conflict—within a school might reflect, as (Bates 1988, 35) claimed, a wider conflict in society. In this research, that wider conflict is considered to be whether education is seen as a public good, where teachers are treated as professionals, or as a market commodity, where teachers are treated merely as workers.*

*A case study of four New Zealand primary schools was undertaken, to describe how their performance appraisal systems were implemented and developed. The research is undertaken from a critical-theoretical perspective so the review of the literature is widened to include the changes to educational administration, both internationally and in New Zealand. The legal requirement for performance appraisal is examined and the critical stages of the process established. Questions of accountability and control, teachers' professionalism and different types of performance appraisal are examined and linked to the wider conflict in society stated above.*

*In setting out the research design, the research objective and questions are followed by a detailed description of the selection of the participant schools, how access was negotiated, the fieldwork (questionnaires and sample interviews), the analysis of the results and the writing of the report. The analysis of the results includes charts and figures to reflect the quantitative data collected and quotes from the questionnaires and interviews are used to substantiate this data.*

*In the discussion of the results, the researcher acknowledges that although the schools in this small survey were just starting their performance appraisal schemes, there was a small percentage of teachers who had concerns about aspects of these schemes. These concerns indicate a potential for conflict. Reasons are discussed for this conflict and the main points of the discussions are then listed to show how they reflect the wider debate about the place of education as a public good or a market commodity. These points were:*

1. *there were concerns about the true purposes of performance appraisal;*
2. *there is evidence that teachers were insufficiently trained for performance appraisal and are, therefore, disempowered;*
3. *some teachers are reasserting their rights as professionals, by using self-evaluation and peer appraisal, to improve their teaching;*
4. *teachers were willing to be professionally accountable, rather than contractually accountable.*

*Recommendations are given which it is hoped will help all schools who are implementing and/or developing their performance appraisal schemes and suggestions made for further research which could be undertaken on this topic.*

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1.

## INTRODUCTION

This thesis began in a primary school classroom after school on a Friday afternoon in the winter of 1992. As the Assistant Principal (Junior Classes) in a large urban primary school in Palmerston North, the researcher was responsible for appraising eight teachers each year and was herself appraised by the Principal. The teacher being appraised on this particular occasion burst into tears at the start of the interview and claimed she felt her job in the school was under threat.

The performance appraisal process in the researcher's school was drawn up using guidelines from a variety of sources. Seminars run by the local Principals' Association, one course for senior managers in schools early in 1990 by Metanoics Ltd., a consultancy firm which was holding management training courses, and a series of evening seminars organised for senior staff by the Palmerston North College of Education were all attended by one or other of the senior staff. The researcher's studies at Massey University for a Master of Educational Administration degree also proved valuable and the staff consulted a variety of books and journals which might help define a satisfactory process for their school.

The first attempts in 1990 concentrated on confidence building in the procedure itself. These were entirely successful. Later attempts directed teachers towards a self-assessment of their needs for development and again proved uncontroversial. The latest attempts, in that July 1992 round, tried to identify some areas of concern noted by the appraiser. This change in the process, away from total self-evaluation to partial assessment by the appraiser, was met with mixed reactions by the appraisees. Some teachers were very positive and took the concerns of the appraiser as a challenge. Others, understandably, were surprised and shaken by what they perceived to be criticism of their performance. The researcher's school was able to resolve the conflict, due mainly to the respect and trust they had built up as part of the culture of their school. It became obvious that the future direction of performance appraisal in the school would need careful research and reference to the literature, if further conflict was to be avoided or used productively when it did occur.



### The potential for conflict in performance appraisal

The potential for conflict over performance appraisal, which manifested itself in such a small way in the researcher's school, became the dominant theme when a review of the literature (Chapter 2) was carried out. Folger and Poole (1984, 4) quote Frost and Wilmot (1978) when they define conflict as being the "interaction of interdependent people who perceive incompatible goals and interference from each other in achieving those goals". This definition has two key points;

- (a) conflict involves interaction, and
- (b) the parties *perceive* they have incompatible goals, regardless of whether they actually are so.

Bates (1988, 35), looking at conflict within the school situation, took a broader perspective when he wrote:

While some of the conflicts that arise in schools are due to their particular characteristics as worksites, many of them are the result of conflicts within the wider society. In many respects schools can be seen as arenas in which the struggles of society are partially fought out.

It became necessary, therefore, to undertake this research from a critical theoretical perspective, so that it takes into account the "historical-ideological moment we live in and the influence it has on us" (Soltis, 1984, 7). The literature review was broadened to include the changes to educational administration over the past two decades both in New Zealand and overseas, to examine the ideology behind them and how performance appraisal in the schools reflects this. The research which began in such a small way took on, therefore, a much wider perspective as the researcher "dug deeper" for a better understanding.

### **Research into performance appraisal**

Unlike other countries, such as Australia and Britain, which introduced similar reforms of educational administration, the New Zealand Government did not fund pilot studies or research in New Zealand schools *before* introducing major changes in the way schools are administered. For example, only now, four years after "Tomorrow's Schools", is information, from the small amount of *centrally funded* research into setting up performance appraisal schemes trickling down to schools. The research undertaken by the Educational Leadership Centre at the University of Waikato (1992) is an example. Schools can now, if they wish and have sufficient funds, purchase an appraisal kit and video developed as a result of the Development Contract the Educational Leadership Centre implemented in 1992, which "outlines the process of implementing formative appraisal processes in schools" (Educational Leadership Centre, 1992, 10). If they have more funds, they may send their staff to seminars organised by the Educational Leadership Centre to support their kit.

In most schools, performance appraisals were either put in the "too hard basket" or undertaken with little or no training available for either appraiser or appraisee. More importantly, there is often no clear understanding of the meaning of performance appraisal or the purposes for which it is undertaken.

### **The introduction of performance appraisal into New Zealand schools**

The last five years have seen momentous changes in education in New Zealand. Principals, teachers and the communities they serve are still trying to cope fully with the increased burden of administration which has devolved to the local level of the school since 1 October 1989, when "Tomorrow's Schools" (Lange, 1988), the Government's statement of its policies for the change of educational administration, came into operation. The first year or so of these tumultuous times found the Boards of Trustees, principals and staff focusing on their Charters and Mission Statements and setting up financial accounting systems to cope with the day to day running of their schools.

But the Board of Trustees found they had also acquired legal obligations as employers. They were required, among other tasks, to carry out performance appraisals. Before the introduction of "Tomorrow's Schools" in October 1989, decisions regarding primary teachers' competence and development were made by the Department of Education inspectors. Since that date, these decisions have been the responsibility of the school.

What is performance appraisal in an educational setting? Battersby (1991, 15) considers it to be "a school-wide programme by which qualitative judgements are made about an individual's job performance". Bollington et al. (1990, 4) query such a "narrow" definition as raising a number of issues, the most important being "to what end?"

Bell (1988, 238) attempts to define performance appraisal in the context of the primary school.

Simply stated appraisal is an opportunity for both the appraisee and the appraiser to stand back and take stock of performance over, say, the last year, to examine how far targets which were agreed at the last appraisal have been realised, and to identify new targets for the next year.

The Principals' Implementation Task Force (1990, 31) defined appraisal as "a developmental, supervisory, and evaluative activity". These three characteristics of appraisal are challenged by Fidler and Cooper (1988, 2) when they differentiate between staff appraisal and staff development:

Staff appraisal is the term used in this book for the process by which an employee and his or her subordinate meet to discuss the work performance of the employee .... Staff development, on the other hand, as the name implies, is wholly concerned with the increase of knowledge, skill or experience without the evaluative connotation associated with appraisal.

### **The purposes of performance appraisal**

It appears, therefore, that difficulties arise in defining performance appraisal because the purpose of the process controls, to some extent, its meaning. A report by the OECD

(1988, 19) of the appraisal systems of the public service in some two dozen countries identified three main categories of reasons underlying those systems:

- to provide information for personnel management decisions, e.g. promotions, discipline, rewards;
- to improve performance in the current job; and
- to assist staff development, training and career planning.

Teachers themselves would see performance appraisal as being only for the last two reasons mentioned by the OECD. In fact, the New Zealand Educational Institute states

The purpose of appraisal is to improve teaching and learning in schools through a structured professional approach of shared reflection and collaborative planning within the school's organisational goals.

(NZEI Rourou, Vol.2, No.13, 1991)

This conflict between the purposes of appraisal became relevant during the dispute between the Minister of Education and the teacher unions during 1991 and 1992 concerning the introduction of bulk funding for schools, with its implications of merit pay and dismissal of staff. It also became of concern when the Primary Teachers Collective Employment Contract 1992/1994 and the Primary Principals', Deputy and Assistant Principals' Collective Employment Contract 1992/94 were signed in September 1992. In the former, the progression of basic scale teachers on steps 01-09 of their basic scale of remuneration is "dependent on competent performance as attested by the *principal*" (Section 5.4.2, p.15). In the latter, salary rates are dependent upon annual performance reviews (in accordance with Section 5.11.1). (Appendix E.)

### **The conflicting roles of principals**

But under "Tomorrow's Schools" principals, as members of the Boards of Trustees, found themselves facing a conflict of roles; that of professional leader working in collaboration with the staff of the school and that of manager of a business. The Picot Committee, the Government Taskforce which began the formal review of the

administration of New Zealand schools, saw the principal as both a collaborative manager and leader (Administering for Excellence: Effective Administration in Education, 1988, pp.45-53).

However, when the Picot Committee's report was translated into Government policy with the publication of "Tomorrow's Schools", these ideas of collaboration were dropped. As Codd (1990, 6) noted

It is stated in "Tomorrow's Schools" that the "principal will be the professional leader of the institution" and that "principals will be expected to work in a collaborative relationship with their staff" (pp.10-11), but all the clauses that define what principals are to actually do, emphasise their managerial functions. As board members, principals will be legal employers of staff, involved in appraisal, salary determinations, and decisions relating to conditions of employment.

This emphasis on managerialism was further stressed by the "Lough Report" (1990, 18). This report was produced by a Committee set up by the Government to review the progress, after six months, of the reforms advocated in "Tomorrow's Schools". Its report, entitled "Today's Schools" bemoaned the fact that principals primarily identified themselves as "professional leaders rather than managers".

The discussion thus far has briefly introduced the issues and conflicts surrounding performance appraisal in schools as identified during this research. The final section of this Introduction outlines the research process and the structure of this thesis.

### **Research process**

The researcher began by conducting a review of the literature on performance appraisal, beginning with the changes to educational administration both overseas and in New Zealand. As the details of this review, in Chapter 2, will show, the New Zealand changes paralleled those in other countries, only at a greater speed. The literature on the performance appraisal process itself established that there were critical stages in introducing a system into a school, and particularly in deciding the purposes it was to

serve. Conflict could arise over the purposes for which it was to be used and the questions of accountability and control, teachers' professionalism and different types of performance appraisal are examined in this chapter. The links are then made between these questions and a wider conflict in society, over whether education is to be seen as a "public good", where teachers were treated as professionals, or as a "market commodity" with teachers treated simply as workers. The literature on the introduction to, and the training of, the staff for performance appraisal and the development of the process is also reviewed in this chapter. These aspects of performance appraisal form the basis of the fieldwork in this research.

This review of the literature then led to the construction of a research design, which is detailed in Chapter 3. It was decided that case study would be undertaken for this research and the reasons for this choice are discussed in that chapter. The research objective of this study was to describe the implementation and development of performance appraisal in four New Zealand primary schools, and the relevant stages of the study are detailed; selecting the participant schools, negotiating access, the fieldwork, the organisation of the results, and, finally, the writing of the report.

The results of the research are analysed in Chapter 4, which begins with a description of the performance appraisal systems operating in each of the four schools in the study and details of how they were introduced to the staff. The questionnaires are then analysed question by question, with the quantitative results being supplemented by quotations from the interviews and questionnaires.

From these results, the researcher was able to conclude, in the final chapter of this thesis, that this survey in fact showed that in only one school was performance appraisal recognised as a cause for concern and conflict by the school itself. But the research did show that there was a potential for conflict in all four schools. Furthermore, this conflict over performance appraisal is linked in this research to the fundamental conflict in society itself; that is, is education a "commodity in the market place" where teachers are merely workers, or is it a "public good", provided by teachers who are treated as professionals? It was concluded that:



1. There were concerns about the true purposes of performance appraisal in schools. Are they to help the teacher as a professional improve her/his performance, working in a collegial relationship with the principal or are they to control the teachers as workers, where the principal is a manager employed by the Board of Trustees to manage the business of the school?
2. There was evidence that teachers are insufficiently trained for performance appraisal, so that they are unable to understand what performance appraisal is about and are unable then to assert their role in the process. This lack of training stems from a basic lack of funding by the state, so teachers are disempowered.
3. Some teachers indicated they were re-asserting their rights as professionals. They not only claimed they had not changed their teaching performance as a result of performance appraisal (30%) but cited other means by which they had improved their performance, such as self-evaluation and working with their peers.
4. Although the staff were generally positive towards performance appraisal and were willing to be accountable, the type of accountability they were proposing was professional accountability, rather than contractual accountability.

The researcher has made recommendations both for the implementation and development of performance appraisal into primary schools and for further research into this topic. It is hoped that this research and these recommendations will not only help the researcher's own school, which initiated the study, but more importantly, all other schools which have to develop worthwhile schemes for performance appraisal.

Between February and June 1993, the researcher was undertaking a project for the Ministry of Education under the Research Affiliateship Scheme administered by Massey University. This project (Irons, 1993) was also based on the fieldwork used in this thesis but, as required by the Ministry, was only a brief summary of results. This thesis has been a comprehensive analysis of the research results, from a critical theoretical viewpoint. It is therefore, substantially different from the research project.

2.

## REVIEW OF THE LITERATURE

*This review of the literature begins with the changes to educational administration internationally and the parallel changes in New Zealand. The legal requirement for performance appraisal is outlined and the process is discussed. The critical stages of performance appraisal (deciding its purposes, how it is introduced to staff, what training is given and how the system develops) are detailed, both from overseas literature and the New Zealand experience. Questions of accountability and control, teachers' professionalism and different types of performance appraisal are examined to show how they are linked to conflict in the school and the broader controversy of whether education is a public good, where teachers are professionals, or a market commodity where teachers are workers.*

### CHANGES TO EDUCATIONAL ADMINISTRATION

#### The International Scene

Teachers are part of a public sector which is reeling from the radical changes effected by the last Labour and National governments. New Zealand is not alone in introducing such massive reforms into its government agencies. Worldwide, governments are committed to the introduction of a corporate management style into the administration of their state sectors. Teachers, along with doctors and nurses and all other public servants, have been confronted with management techniques and phrases such as "managing by objectives", "outcomes and outputs", "performance indicators" and of course, "performance appraisals".

These changes have been identified, by these governments, mainly as a cost cutting measure because of extreme monetary problems. But it is also claimed (OECD, 1988, 9) that a change to a more managerial style for the human resource management of the public sector will make it more efficient and effective. The common perception of the



public service, and that includes teachers, has been of a workforce resisting change and lacking the motivation and drive necessary to meet the challenges of the changing world environment. There is seen to be a need to stimulate and motivate staff and the introduction of performance appraisal techniques has formed an integral part of the changes.

Schools in Australia, Canada, USA, the Netherlands, Belgium and Britain, as well as New Zealand, have been changed into units self-managed as businesses at the local level in the belief that the community can increase the efficiency and effectiveness of its own local institution. It can be seen that New Zealand's reforms to educational administration have paralleled those in other countries.

In the United Kingdom, the process of change began earlier than in New Zealand, and took longer to effect; the appraisal of teachers played a large part in the development process. Back in October 1976, the then Labour Prime Minister, James Callaghan, started what has become known as the "Great Debate". Day et al. (1987, 2) report that Callaghan "asserted that the public's interest and concern in education was legitimate in view of the financial investment made in education and that it would be to the advantage of all involved in the education field if these concerns were aired and the shortcomings righted or the fears put to rest". From then on debate about standards, accountability and curriculum took centre stage.

The devolution of central management to local schools was spread during the 1980s as different LEAs (Local Education Authorities) pioneered different initiatives. The two earliest, in 1981, were in Cambridgeshire and Solihull, but in 1988, the Government took up the reins with the Education Reform Act. The Act included arrangements for the introduction of a National Curriculum and National Assessment, maximum delegation of financial and managerial responsibilities to governing bodies and the opportunity for maintained schools to opt out of local authority control.

In Australia, different processes for change have been implemented in the six states and two territories, but Hill et al. (1990, 13) note a remarkable commonality of reforms

across the country. In New South Wales for example, the "Scott Report" of 1989 was set up with the aim of "making schools more educationally effective and efficient organisations". Macpherson (1993, 41) confirms that this report recommended that Government schools be empowered by decentralising administrative functions and discretion over resources, by giving them new support structures and encouraging the development of School Councils. He notes that "they are phasing in merit based selection and performance appraisal".

In Queensland, a similar report published in October 1990 was titled "Focus on Schools". Bennett (1992, 25) reflects apropos this Queensland report,

The approach to the implementation of these recommendations is remarkable by its speed and lack of consultation, which exceeds even that experienced in New Zealand.

Hill et al. (1990, 14) report that the political desire to devolve responsibility to the school level is strongest in the Northern Territory, where schools have a high degree of control over resources including hiring of staff.

In Tasmania, the Effective Resource Allocation in Schools Project (ERASP) began in December 1982 by trying to identify the effective school. One of the purposes of the project was to identify examples of effective resource allocation with a view to establishing a training programme that would enable others to gain similar skills. The "winner" of the project was Rosebery District High School and its principal, Jim Spinks, became the torch bearer for introducing the New Zealand system, being brought here by Government to publicise the devolution of schools to local management.

In the USA the management of schools has traditionally been at local district level, rather than at site (school) management level, but Johnstone (1990, 113) reports a greater move to more self management for schools as the cry for educational improvement grows louder in that country too. Caldwell and Spinks (1988, 17) report that this renewal of interest in school-site management has been generated by reports

such as that of the National Governors' Association which believed that such management would give schools "a major incentive to improve".

The stated intention of all these governments, in undertaking these massive reforms of education, was to devolve management and control of education from central government to the local communities served by the various educational institutions, thereby improving efficiency and effectiveness. It is very important to note that critics of the process dispute these intentions. They claim that whereas management of the resource is handed over to local communities, the control of resources and policies remain firmly with central government. Evans and Davies (1990, 65) warn

But these freedoms will be exercised only within the parameters set by the curriculum guidelines, objectives, systems of testing (in the UK), and financial allocations and they will be subject to considerable scrutiny, monitoring and control by central government.

Bennett (1992, 27), writing of the changes in Australia, writes

In summary these have resulted in greater central control of schools through increased power of Ministers over funding and policy making while at the same time school management at local level becomes more responsible for keeping schools functional within these constraints.

Caldwell, Smilanich and Spinks (1988, 1) writing in the "Canadian Administrator" also noted that control is still located with central government.

There have been simultaneous shifts in the centralization/decentralization continuum in many countries in recent years. In a centralizing trend, governments at the national, state/province, and local levels have adopted a more powerful role in formulating policies, setting priorities, specifying outcomes, and establishing frameworks for accountability. At the same time, major responsibility for achieving these outcomes, including authority to make decisions on the deployment of allocated resources, is shifting to schools.

Smyth (1989, 53) believes the reforms of the education system have been made to harness schools to the economy by ensuring that what goes on inside schools is directly responsive to economic needs. He claims

In part this has meant deliberately constructing the MISCHIEVOUS MYTHOLOGY that somehow schools and teachers are the 'cause' of the economic failure, but that if certain narrowly prescribed forms of action are adopted, then schools can be magically restored to their rightful role as servants of the economy.

Gordon and Pearce (1993, 177) claim that these changes worldwide have really "little or nothing to do with education, despite being made to appear as though they do". In fact, they claim that the educational reforms occur across nations within "a larger shift from Keynesian to neo-liberal state forms" whereby the state has a minimalist role. They claim that, under this neo-liberal policy, new management theories have been introduced into the state sector and have been used to "make many state workers redundant, reduce state services, sell off parts of the state to the private sector and contract state services out to the private sector".

### The New Zealand Experience

Concerns about the real reasons for the changes to educational administration internationally were echoed by critics of the New Zealand reforms. Grace (1990, 27) stated

In New Zealand, as in the United Kingdom and elsewhere, there is a major cultural, ideological, and political struggle in progress, a central element of which revolves around the question, is education a public good which should be mediated through a publicly provided service or is it a commodity in the market-place which should be mediated by the normal operation of market forces?

Codd (1990, 191) wrote that the reforms were not only the result of the economic crisis besetting the New Zealand governments in the 1970s and 1980s, but also a political legitimisation crisis, where there is a "tendency of state institutions to lose popular

political support and sometimes provoke widespread opposition and resistance". Schools are "blamed for youth unemployment, higher crimes and other signs of social unrest". He summarised the concerns about the reforms when he wrote:

The New Zealand school system has recently undergone the most radical restructuring in one hundred years. This has involved a decentralisation of certain decision-making functions combined with increased self management at the school level. The legitimating rhetoric proclaimed that these reforms would produce greater flexibility and responsiveness but in reality they have produced a structure in which decisions are more effectively controlled.

(Codd, 1992, 1)

Until the 1960s, the New Zealand education system had been based on what Beeby (1986, xvi) called the 'myth' of equality based on Peter Fraser's famous statement of 1939.

The Government's objective, broadly expressed, is that every person, whatever his level of academic ability, whether he be rich or poor, whether he live in town or country, has a right as a citizen, to a free education of the kind for which he is best fitted, and to the fullest extent of his powers.

But research in the 1970s and 1980s had brought attack from left wing critics that education in fact reproduced social inequalities and structures, and public confidence in the education system began to decline. Another attack, from the direction of the New Right, arose in the 1980s. It followed overseas tendencies for claims for quality and excellence in education and coincided with the rise of the influence of Treasury on all aspects of government spending and policy. The Treasury paper to the incoming government in 1987 (Government Management: Brief to the In-coming Government Vol 11: Education Issues) was an example of this. Teachers were under attack from all sides with demands for more accountability and claims of provider capture.

Whereas the changes to the structure of educational administration in the United Kingdom took over a decade to come into legislation, in New Zealand the reforms were effected with, what most educationalists protested was, indecent haste. In fact, Holdaway (1990, 8) wrote that "New Zealand has taken the "earthquake approach" to

its radical changes, as all have been introduced within one year"! In October 1987, David Lange, the then Prime Minister, who had also appointed himself as Minister of Education, set up a taskforce under the chairmanship of Brian Picot to review the administration of education. The taskforce produced its report "Administering for Excellence: Effective Administration in Education" in April 1988. The Government allowed eight weeks for submissions to be made on this document and then in, August 1988, published "Tomorrow's Schools", setting out the Government's policies for change. The reforms took place from 1 October 1989, so that schools were self managing ready for the school year beginning in January 1990.

The schools became self managing as from 1 October 1989 and the Boards of Trustees were elected by local communities to govern the school through the manager, the principal. They were not responsible for the salaries of teachers, even though they became the legal employers of the staff in their schools. As employers they are bound by the State Sector Act of 1988 and acquired a legal responsibility to undertake performance appraisals.

Section 79 of the State Sector Act 1988 states:

Every employer in the education service shall operate a personnel policy that complies with the principles of being a good employer.

The definition of "good employer" contained in Section 77A of the Act included provisions for employers to provide "opportunities for the enhancement of the abilities of individual employees". In order to meet this requirement the employer would require an appraisal process which enables the identification of the current and future needs of the employee.

Furthermore the State Sector Amendment Act 1989, Section 77c, stated that the Ministry of Education may, with the agreement of the State Services Commission, "prescribe matters to be taken into consideration by employers in assessing the performance of teachers". The Ministry established a working party to fulfil its legal obligation to



consult with the Teachers' Registration Board, the Education Review Office, the School Trustees Association and the teacher unions. The working party has met and produced a report, but it has not, at this time, been published.

This legal requirement for performance appraisal, under the State Section Act 1988, is in line with the thinking of the Picot Committee, the Government Taskforce, which began the formal review of the administration of New Zealand schools. Their Report, "Administering for Excellence: Effective Administration in Education" (1988) defined the role of the Principal.

The allocation of duties and detailed objectives among the staff, and the development of performance objectives and measures to assess that performance, are also the principal's responsibility.

(5.3.1 Administering for Excellence)

However, this Report was really ambiguous concerning the role of the principal, as it also emphasises the collaborative nature of successful educational leadership.

... the teachers and the principal participate regularly in reviewing the quality of the institution's educational performance. The process is a collaborative one which almost invariably generates high levels of enthusiasm and commitment - and high levels of learner success.

(5.3.5 Administering for Excellence)

As was explained in the Introduction to this thesis, these ideas of collaborative management and leadership were later lost in the publication of "Tomorrow's Schools" and the "Lough Report". There, the principal became a business manager.

This conflict of roles was an early warning of the conflict that could arise over performance appraisal. As a result of the "Lough Report", the Minister of Education established a taskforce of seven experienced practising principals to develop administrative models in key areas of management, which would "offer assistance to those principals who feel they would benefit from additional guidance". The members of the taskforce addressed the question of staff appraisal which they saw (A Guide to

Personnel Management, 1990, 31) as a "developmental, supervisory and evaluative activity, which is the responsibility of the principal".

Finally, performance appraisal appeared, in the Primary Teachers' Collective Employment Contract for 1992/4 and the Primary Principals, Deputy and Assistant Principals Collective Employment Contract 1992/4 (Appendix E). Under these amendments to the previous contracts, which were agreed between the New Zealand Educational Institute and the Government with little public debate by the members of the union, a summative performance appraisal becomes a necessity for all teachers in their first 9 years of employment, for all assistant and deputy principals and for all principals.

Therefore, as Cardno (1990, 51) states

... the responsibility the principal owns for appraising and supervising the performance of staff is non-negotiable ....

The performance appraisal process itself will be discussed in the next section.



## **THE PERFORMANCE APPRAISAL PROCESS**

The review of the literature on performance appraisal both overseas and in New Zealand indicates there are two critical stages to the *implementation* of the process;

- (a) deciding the purposes of the process,
- (b) the introduction to, and training of, the staff.

The *development* of the process is dependent upon the decisions taken during these critical stages. The literature suggests that the process itself poses three important questions:

- (a) Who does the appraisal?
- (b) How is it carried out?
- (c) How is it followed up?

## **THE IMPLEMENTATION OF THE PROCESS**

### **(a) Deciding the purposes of performance appraisal**

Performance appraisals have been a management tool in private organisations for many years. Zepke (1991, 34) commented

Performance appraisals: nobody likes them, everybody does them and few are confident of the results.

Long (1986) surveyed 306 business organisations, 82% of which carried out performance appraisals. Only 40% of these linked performance appraisal with the assessment of salary increases. Everard (1986, 143) in his review of the Institute of Personnel Management surveys of practice in the 1970s reported that the most frequently mentioned purpose of appraisal (96%) was to assess training and development needs.

He noted that whereas 92% of employers reported appraisals were also to help improve current performance, only 39% used them to assess new levels of salary.

The OECD (1988, 19) Survey of the Public Service appraisal schemes in nine different countries cited a variety of purposes, which fall into three main categories:

1. Provision of information for personnel management needs, including promotions, reassignments, salary increases, disciplinary actions, etc;
2. Improvement of performance in the current job;
3. Staff development, training and career planning.

Category 1 makes performance appraisal a summative, judgemental exercise, where performance is assessed and evaluated. Categories 2 and 3 make the appraisal a formative process, and the appraiser needs to take a counselling role, working with the employee to improve their performance. It is this conflict between the summative and formative purposes of performance appraisal which can not only cause controversy but apprehension and, sometimes, resistance to schemes put in place.

### **The purposes of performance appraisal in overseas education systems**

The purpose of teacher appraisal became a contentious issue in Britain throughout the "Great Debate". Bell (1988, 233) reports

... One of the most damaging of the justifications (for performance appraisal) was its proposed use to identify incompetent teachers .... The most outstanding example of this position can be found in Sir Keith Joseph's speech at the North of England Education Conference in January 1984 in which he argued that it was vital for incompetent teachers in our schools to be identified and moved.

Marland (1986, 169) stresses that although Sir Keith Joseph, the Secretary of State for Education, later withdrew "the inexorable link between pay and appraisal .... the earlier message had its priorities clear, and has persisted beyond Sir Keith Joseph's period of office".

Day et al. (1987, 5) stress the conflict which existed between Government and teachers in England when they say:

The publication of the Government White Paper "Teaching Quality (DES 1984)" added a significant dimension to the "Great Debate" for this first gave the Government's view that "formal assessment of teacher performance is necessary and should be based on classroom visiting by the teacher's head or head of department and an appraisal of both pupils' work and the teacher's contribution to the life of the school". The walls surrounding the 'secret garden' of the teacher's classroom were about to be breached. The more recent White Paper "Better Schools" reaffirmed the Government's view that "... all teachers need help in assessing their own professional performance in building on their strengths and working on their limitations so identified" (DES 1985).

Bollington et al. (1990, 2) cite the reasons for the introduction of performance appraisal into schools in Britain as:

1. a desire by the government and public for more accountability,
2. to improve the professional development of teachers,
3. to develop the management of schools.

These reasons parallel the OECD criteria and the call for more accountability was given further weight in the DES (1985) White Paper "Better Schools". It called for

"systematic performance appraisal, designed to bring about a better relationship between pay, responsibilities and performance, especially teaching performance in the classroom".

Bennett (1992, 2), in fact, claimed that two different routes to appraisal were developing in Britain, which gave rise to two "philosophically different models of appraisal; the control model and the development model".

In Britain, the question of appraisal became enmeshed in the negotiations between Government and teachers for pay and conditions. Despite this, the Government funded a pilot study carried out by the Suffolk LEA, the results being published as "Those

Having Torches" (1985) and "In the Light of Torches" (1987). These studies and an investigation of overseas developments, particularly in North America, enabled the Suffolk team to make recommendations to the next group looking at performance appraisal in the UK. This was the Appraisal/Training Working Group set up by the ACAS (the Advisory Conciliation and Arbitration Service). The first report of this working group, made up of representatives of the teacher unions, the DES and the LEAs, was published in June 1986 and presented the principles and practicalities of a good appraisal scheme. Hewton (1988, 63) listed their main points:

Appraisal should be a continuous and systematic process intended to help individual teachers with their professional development and career planning and also ensure that the inservice training and deployment of teachers matches the complementary needs of individuals and their schools.

The Working Party, therefore, had definitely taken a formative, developmental approach to appraisal rather than a 'summative' judgemental one. It recommended the setting up of a pilot study and the DES funded the study in which six LEAs took part - Croydon, Cumbria, Newcastle, Salford, Somerset and Suffolk. The report of this pilot study was made to the successor of the ACAS Appraisal/Training Working Group, the National Steering Group (NSG).

The NSG produced their report in the Autumn of 1989 (School Teacher Appraisal - a National Framework). West and Bollington (1990, 7) claim the NSG report endorsed the aims and purposes put forward by the ACAS (apart from including the induction of new teachers in the process) and in particular, singled out the following seven aims for any teacher appraisal scheme:

- improving the confidence and morale level of teachers,
- improving communications and professional relations within schools,
- improving the planning and delivery of the curriculum,
- increasing participation in in-service training,
- improving the targeting of inservice training,
- helping teachers with career planning,

- contributing to better informed references.

They finally quote a report released in 1989 by HMI, "Developments in the Appraisal of Teachers" which identified three major aims for teacher appraisal

- the professional development of teachers
- improving the management of the school or college
- improving classroom performance.

West and Bollington (1990, 8) claim "there are significant areas of agreement within these reports. The appraisal of teachers is seen as essentially a developmental process, not a narrow checking activity ....".

However, in an abridged version of the last report (Moon, Isaac and Powney 1990, 129) the DES itself puts a different interpretation upon the identified purposes of appraisal:

There is general agreement in both the pilot and non-pilot authorities that two principal aims of appraisal are to facilitate the professional growth of the individual teacher and to effect institutional improvement. These broad aims subsume a wide range of other more specific purposes, which include the deployment of staff; institutional and curriculum change; implementation of policy; and career development. Essentially, however, appraisal is about the judgement of performance. Consequently, one aim of a national system of appraisal might be to use such judgements to measure the performance of individual teachers against what is expected of them, and to inform decisions about what action is appropriate to meet their needs. Inevitably, a spectrum of teacher performance will emerge from any such activity and poor as well as exceptionally good performance will be identified. It is not clear how far such judgements might be used also to inform decisions about rewards or measures affecting teachers experiencing difficulties. The effective operation of a national system will require clarity about such matters.

The British do not appear to have advanced over the six years! This was illustrated even more clearly when the "The Education (School Teacher Appraisal) Regulations (1991)" came into force on 14 August 1991. Regulation 4 lists the Aims of Appraisal, and whilst sub-sections 1 to 3 concentrate on the development and career planning of teachers and the improved management of schools, Regulation 4.4 is different. It states:

Appraisal procedures shall not form any part of any disciplinary or dismissal procedures, but appraisal statements may be used for the purposes specified in Regulation 14.

Regulation 14 then states:

14 - (1) Relevant information from appraisal records may be taken into account by head teachers, Chief Education Officers or any officers or advisers specifically designated by a Chief Education Officer under Regulation 13 (1) (b) or (2) (a) in advising those responsible for taking decisions on the promotion, dismissal or discipline of school teachers or on the use of any discretion in relation to pay.

Furthermore, the DES circular, No.12/91, "School Teacher Appraisal", sent to all schools to give guidance on the Regulations, specifically states in paragraph 56:

The Regulations permit those who have access to appraisal statements to draw on relevant information from them in talking, or advising others on, decisions about pay, promotion or disciplinary matters. The head teacher in grant-maintained schools or in schools with delegated budgets, to the CEO (or designated officer or adviser) in all other cases may therefore draw on relevant information from statements in making their own decisions or in advising the LEA or governing body as appropriate. The regulations do not confer on LEA members or members of governing bodies (other than the chairman) a right of access to appraisal statements themselves.

Bennett (1992, 6) claimed that Regulation 14 (a) was "presumably designed by a civil servant on the way to work on a train making surprisingly good time, (and) manages to make catch 22 appear stark raving sane"! Many LEAs did, in fact, emphasise that appraisal is not to be used for performance-related pay. Nottinghamshire, for example, stated on their "Scheme for the Appraisal of Teachers" (1992):

The Regulations and DES Circular make it clear that the Scheme to be introduced is for appraisal and not performance related pay. The Education Committee supports this view and performance related pay will not be a feature of the Nottinghamshire Appraisal scheme in any of the schools it maintains.



However, Leech (1991, 13), a member of the National Steering Group on Teacher Appraisal, warned in a letter to the "Times Educational Supplement" that the new regulations would "make it (performance appraisal) a much more negative, punitive and menacing innovation in schools".

The many manuals and guides which have been written in Britain to assist schools in setting up appraisal systems appear to agree with Marland (1986, 175) who says "Teacher appraisal is a tool of in-school planning and individual career development. I doubt its practicality for salary purposes". Bollington et al. (1990, 10) in their manual "An Introduction to Teacher Appraisal" examined in depth the numerous pilot studies and the American literature on appraisal and concluded that among the six key principles in performance appraisal was the "need for the scheme to be developmental, constructive and positive". Day, Whitaker and Wren (1987, 13) stresses that "appraisal must be centred upon professional development if it is to achieve success". Hewton (1988, 69) reported that as most schools with performance appraisal schemes in place put "staff development as the main aim of the scheme, he preferred to call the formal appraisal staff development review instead".

Everard (1986, 145) reminds us that while some business firms have tried to link judgements about performances with salary decisions, it is "an unpromising avenue for the education service to explore". Instead, he believes the most important purpose is to "balance the needs of the organisation against the contributions of the people in it". Paisey and Paisey (1988, 81) and Bell (1988, 235) also recommend a developmental, formative approach in their school management manuals.

Conflict over the purposes of appraisal was not restricted to Britain. Smyth (1989, 54) quotes an Australian example:

In New South Wales in 1985 government bureaucrats produced (without consultation) a report on "Teacher Efficiency" (Nay 1985) which was to dramatically alter the manner in which teachers were to be evaluated, with a view to purging the system of allegedly incompetent and malcontent teachers. It was such a naive attempt that its perpetrators were forced to beat a hasty

retreat in the face of vigorous and widespread teacher and community reaction against it, particularly because of the absence of consultation in its formulation.

Much of the suspicion attached to the introduction of performance appraisal has been due to the perceptions, true or otherwise, of the American experience. It has been seen, particularly outside of the USA, as a device for judging teachers using lists of the criteria of effective teaching. There has been considerable work on the purposes of performance appraisal in America, but Bollington et al. (1990, 109) urge caution when using the American literature, as they feel it represents a "story of what not to do"! They state:

A number of North American writers, in particular Arthur Wise and Milbey McLaughlin (Wise and Darlington-Hammond, 1984; Wise et al., 1985; McLaughlin, 1986, 1988) and the contributors to the edition of "Educational Leadership" (44, 7) devoted to teacher appraisal, drew attention to the failure of many appraisal schemes to lead to school or individual development. These writers present a critique of schemes designed to provide checklists to assess minimum competence. They argue that such accountability models of performance appraisal quickly degenerate into bureaucratic rituals.

Milner (1991, 464) condemns that use by many American districts of teacher evaluation instruments. He maintains that:

"An "objective" instrument cannot measure the "subjective" dimension of a classroom - that dimension which gives teaching its creative force. Teachers generally feel that mandates from national, state or local authorities undermine, rather than promote, high quality education.

McLaughlin (1986, 164) also supports the developmental model for performance appraisal in America, noting that the traditional (summative) approaches have often been seen as "a waste of time and resources". As Bollington et al. (1990, 5) sum it up "In other words, the contemporary advice from North America is to go for a developmental appraisal system".



This emphasis on a developmental model was also supported by the WCOTP (World Confederation of Organisations of the Teaching Profession) European Conference meeting in Dublin in 1988 which defined appraisal as follows:

- (a) For the clarity of this Recommendation, the term "appraisal" means a continuous process of analysis of the teaching system, enabling its operation to be constantly reviewed.
- (b) Its purpose is to improve the overall quality of the educational system and to make it more responsive to the needs of all pupils, in particular by assisting the process of staff development.
- (c) The appraisal of teachers is accordingly only one element in the appraisal of the efficiency and quality of teaching.
- (d) Appraisal should not be used as a means of encouraging competition between teachers nor lead to a reduction in each individual teacher's independence and responsibility in the classroom. It must on no account be linked with disciplinary measures which might lead to the reduction of status or salary of the individual teacher. Similarly, appraisal should not lead to the classification of schools.

### **The purposes of performance appraisal in New Zealand education**

The massive changes to the education system in New Zealand have happened in a relatively short time, just over three years. Despite seeming at times to be sinking under a sea of paper as policies, memos, guidelines, Acts etc flooded into their offices, schools have realised that detailed guidelines or directions for setting up appraisal systems have not been easy to find. Schools were obliged to spend their first self-managing year drawing up their Charters, developing policies and setting up financial systems to enable them to function under the new regulations. Alcorn (1990, 8) reported that, one year on from October 1989:

Few schools appear to have implemented formal schemes of staff appraisal since last October though some had already incorporated peer supervision or classroom monitoring. Most principals report that they have shelved the issue for the time being or that they are sending key staff to courses to absorb or get used to the concept. In justifying this they cite the volume of change and staff

suspicion of the idea, their fear that staff appraisal will become tied to salaries and promotion.

The New Zealand Educational Institute had, at their 1989 Annual Meeting, addressed the question of performance appraisal, which they saw as a professional activity and agreed to specific activities being pursued within NZEI policy. These activities included:

- That appraisal should reinforce the idea of teaching as a profession, in which there needs to be collaboration between teachers and administrators to develop a common understanding of evaluation.
- That appraisal schemes should take account of the subtlety and complexity of the teaching and learning process.
- That appraisal should dovetail with the whole school review to the enhancement of both. It should enable schools to improve the motivation of staff to match talents and tasks more effectively.
- That appraisal must be an integral part of the process of professional development. Where it identifies training needs or alternative professional experience it must be able to provide it.
- That appraisal must be properly resourced.
- That the credibility of appraisal depends upon everyone within the service being appraised. Any scheme must apply, and must be seen to apply, fairly to everyone involved.
- That appraisal must be non-threatening. Disciplinary and dismissal procedures must be separated from it completely.
- That appraisal shall not lead to merit pay for it is unlikely that teachers will admit to problems or constraints or engage in constructive criticism of their management of their schools if their financial prospects are at stake.

(Rourou, Volume 2, No.13, 1991)

The Institute was clearly taking the view that performance appraisal was a formative process, and an article "Appraisal for Effective Teaching" in the above journal began with the statement:

The purpose of appraisal is to improve teaching and learning in schools through a structured professional approach of shared reflection and collaborative planning within the school's organisational goals.

This view was also endorsed in the Ministry of Education's "Report of the Ministerial Working Party on the Assessment for Better Learning" (1990, 61) which stated:

Teacher appraisal is the on-going peer monitoring of classroom performance. It takes place within the context of the school's professional development programme, is the internal responsibility of school managements, and a vital part of school development plans. Procedures for the appraisal and professional development of teachers must be supportive and continuous.

However, the suggestion of conflict inherent in differing perceptions of the purposes of performance appraisal is seen when the "Guide to Personnel Management" (1990, 31), produced by the taskforce set up by the Ministry of Education in 1990 to develop management models for principals, is examined. The Guide covered performance appraisal and identified its two main purposes:

- professional development - this includes goal achievement; individual development and growth; and improvement of the institution;
- a management function - appraisal relates directly to the school's accountability in terms of individual performance, and its achievement of its charter objectives.

Other help and guidance for schools as they sought to establish the purpose and appropriate process for appraisal was fragmented. Local teacher centres organised workshops, run either by their own staff or by management consultants, such as Metanoics Associates Ltd, but they too emphasised, in their training manuals (1990, 2), the formative, developmental aspect of appraisal. Teachers and principals seeking help, in implementing performance appraisal, from the literature were reliant mainly on the overseas experience, although Cardno (1990) did produce a small book "to share workable ideas and theories with colleagues who are determined to make a collaborative commitment to improve the learning teaching process which is, and must be, central to any undertaking to improve the institution and its management".

Research into performance appraisal systems in schools is sparse, unlike the British scene, and the results are not well disseminated. Battersby (1991, 15) researched school-based appraisal at an Auckland primary school for a thesis submitted in partial fulfilment of the requirements for the degree of Master of Arts in Education. She defined staff appraisal as a term "to denote a school-wide programme by which qualitative judgements are made about an individuals job performance".

Her study revealed that when the purposes of performance appraisal were discussed (with the teachers) more emphasis was placed upon its professional development goals than upon its accountability goals. This concept of accountability will be discussed later, but Battersby reported that:

... the work (word?) accountability appeared to be regarded with some distaste. Principals may need to help their teachers to overcome such perceptions and to analyse carefully precisely for what and to whom they are accountable.

(Battersby, 1991, 205)

In August 1991 the Educational Leadership Centre at the University of Waikato won a contract with the Ministry of Education for a programme that "would support principal and senior management development and curriculum leadership in primary and secondary schools". One strand of their research was using an outside consultant to facilitate the development of a full-school system of appraisal. They identified the "ultimate goal of this process is enhanced teaching and learning through curriculum development". The research showed that one of the major tasks in getting an appraisal scheme started in a school was ensuring that the teachers realised the link between the appraisal process and the delivery of professional development. The Educational Leadership Centre's final report to the Ministry (1992, 10) also notes that a comprehensive kit is being compiled that "outlines the process of implementing formative appraisal processes in schools". This kit can now be purchased by schools who can afford it.

Bailey (1992) undertook a study of appraisal with 110 teachers in the Waikato entitled "Teacher Appraisal: the Awareness of and Attitudes Towards Teacher Appraisal and the

Development of Appraisal Schemes amongst Primary and Intermediate Teachers'. He found that there were:

... gaps in teacher understanding of the real purpose of appraisal and this is reflected in statements by teachers which indicate anxiety. Material sent to New Zealand schools from official sources has presented a formative approach to appraisal with an emphasis on staff development with the aim of improving children's learning through an improvement in the quality of teaching. There is evidence that teachers believe there are other agendas. While the number of teachers expressing these anxieties are in the minority, such a group cannot be ignored.

### **Accountability or control?**

Teachers did have good reason to be apprehensive about the reasons for performance appraisal, particularly during 1991 and 1992 when they were under pressure to accept the bulk funding of teachers' salaries. As stated earlier, the changes to their collective employment contract for 1992/4 did nothing to lessen this apprehension. The British experience of connecting performance appraisal with pay/promotion and discipline was not reassuring.

Critics of the purely developmental, formative approach highlighted a major point of controversy, that of accountability. Hewton (1988, 66) quotes Eraut's (1986) view that there should be a distinction between teacher appraisal and teacher development, with the former being:

... associated with accountability and demands a major review of performance every five years. This should provide an agreed appraisal of performance for the file which would note the achievements of the previous five years and provide an explicit demonstration of the teacher's and the school's commitment to teaching quality and their continuing desire to improve it.

Accountability, in a broad sense, means being answerable for one's actions to a particular person or persons. In an educational sense, Clift, Nuttal and McCormick (1987) gave three dimensions to accountability:

- moral accountability, where the teacher is answerable to the students and the community
- professional accountability, where the teachers are answerable to themselves and professional colleagues
- contractual accountability, where the teacher is answerable to the employer, the political masters or funders.

Kogan (1986, 25) defines educational accountability as "a condition in which individual role holders are liable to review and the application of sanctions if their actions fail to satisfy those with whom they are in an accountability relationship". It is just such a contractual accountability which is receiving so much public support and legal justification. Caldwell and Spinks (1993, 141) refer to this accountability as "a right to know" by individuals, groups, organisations and levels of government.

Codd (1990, 23), in his examinations of the reforms to the New Zealand education system and what he termed "the Cult of Efficiency", wrote:

The cult of managerialism and efficiency, with its emphasis on role definition, planning and control, treats teacher as workers rather than professionals and thereby diminishes their commitment to the values and principles which define the field of educational practice.

Teachers consider themselves to be professionals, a group which Trim (1991, ) defines as

... individuals whose choice of work requires at least tertiary education giving them specific knowledge and skills to be applied under supervision for a period of time at the end of which they are entitled to a label which carries credentials for independent activity.

Teachers, as professionals, were used to working under what Child (1984, 163) identified as a cultural strategy of control, and the idea of being assessed on their perceived ability to be "good teachers" can cause conflict. The extensive research on



what constitutes a "good teacher" is not relevant in this research. The point at issue is whether performance appraisal should even attempt to make any such judgement.

The concept of teacher professionalism returns us to the question of control inherent in any appraisal scheme. Gordon (1992, 23) argues that the reforms of the education system have, in fact:

... aimed to remove teachers from their professional role in all aspects of the education system, and to proletarianise them into a reduced role, merely as classroom teachers.

In a detailed analysis of the changes to the reforms in New Zealand education, Gordon concludes that whereas teachers, through the two large unions, the NZEI and the PPTA, were previously in the forefront of educational change of policy, under the recent reforms they have been excluded from the decision making process. Therefore, they have been cast as workers, employees of the Boards of Trustees. Gordon claims this is particularly so in the document "Today's Schools" or "The Lough Report" as it was called (1990) and in the State Services Commission report on the education sector to the incoming Minister of State Services (1990).

Gitlin and Smythe (1989, ix) link this exclusion of teachers from policy changes in teacher evaluation to a way of "deliberately reproducing existing social relations and cultural capital". Apple (1986, 32) calls the decreasing professionalism of teachers "proletarianization" and sees it as a way for the state of extending its control of the work of teachers.

Ker (1992, 32) maintains the "appraisal systems are one of the means by which management power is exercised". He argues that both summative and formative appraisal systems at present disempower teachers. He pleads, too, for teachers to be given the opportunity to engage in critical thinking, examining their practice within its historical, social and political context.

Other researchers are developing this theme of self-reflection being needed for the true improvement of teachers. Smyth (1989, 57) advocates that teachers themselves must "critically interrogate our own teaching by locating ourselves in that teaching historically, theoretically and politically". He suggests that teachers describe their actions, question the meanings behind their actions, confront these actions by asking how did they develop, and, finally, reflect and reconstruct to decide whether different actions might be appropriate.

Sergiovanni (1992, 41) now also recommends a change of management style from the hierarchical to the collegial. He rests his case on the professionalism of teachers. Professionalism is defined by Sergiovanni as "competence plus virtue", where professional virtue is made up of four dimensions:

- a commitment to practice in an exemplary way,
- a commitment to practice toward valued social ends,
- a commitment not only to one's own practice but to the practice itself,
- a commitment to the ethic of caring.

In Sergiovanni's terms, schools are communities where self management is practised by professionals (1992, 45), where "people get things done without direct leadership, without close supervision and without external rewards". Teachers, according to Sergiovanni, are professionals who "don't need anyone to check on them, to push them, to lead them. They are compelled from within".

Brownie (1992, 34) answered these claims by asserting that a total reliance on self-criticism entails an "ideal degree of professionalism" which most teachers are still working towards. She argues:

Historically, then, it can be demonstrated that the act of professionals engaging in their own evaluation has experienced some difficulties. It seems unwise therefore, to suggest that because educators are professional they can take care of their own evaluation and have no need for formalised systems of evaluation. Rather, educators should view the development of, and involvement in, such



systems as a professional responsibility with the added potential benefit of supporting legitimacy and increasing the credibility of the profession".

Marland (1986, 175) also saw a need for teachers to "meet this legitimate demand to be open and accountable: direct appraisal of the key professional tasks is essential and will be insisted upon". He took the view that appraisal can provide the convincing arguments against any attack on a school or any part of it. Bollington et al. (1990, 2) also take this approach when they claim:

... our argument is that a properly constructed and managed professional appraisal scheme can enhance the development of teachers and, at the same time, provide reassurance to the general public that measures are in hand to improve the quality of education.

Renwick (1979, 12) had accepted the notion that the ideals of professionalism (which includes service, possession of expert knowledge, autonomy and self regulation) have changed as professionals become increasingly employed by the state. Teachers in particular, he claimed, will need to accept that the community has a growing expectation to be involved in the schools and he exhorted them to "accept(s) this growing public interest as a healthy development and one to be encouraged".

It has become clear, therefore, that the literature on the purposes of performance appraisal highlights not only the potential for conflict inherent in the process but also this conflict is reflecting the larger issues dominating the reforms in New Zealand as a whole. Is education to be seen as a public good run by professionals or will the cult of managerialism and private gain mean that teachers are treated as workers, with no control over their own commitment to equity and equality?

The research should reveal therefore the views of this sample of New Zealand teachers on the purposes for which they think performance appraisal should be undertaken and the purposes for which they believe performance appraisal is currently undertaken in their school.

The second critical stage of the implementation of the performance appraisal process was:

(b) **Introduction and training**

The changes in the administration of New Zealand's education system have proceeded at a fast rate. This is no less true of performance appraisal than of any other aspect. However, the literature suggests that this is, in fact, one of the most important and crucial areas in which to proceed cautiously, over time. The OECD Report (1988, 48) in analyzing the results of the study of performance appraisal in the public service in nine countries noted:

Experience in both the public and private sectors suggests that implementation of a new performance appraisal system is a major undertaking for an organisation. Experts agree that the way in which a scheme is introduced is as important as the design and that even a well-designed system will ultimately prove a failure unless it is accepted and supported by those who have to use it. Those who have implemented new systems stress the importance of extensive testing and evaluation and it is generally accepted that it can take five to ten years to develop a satisfactory system.

In some New Zealand schools, five months would be considered a generous time span, but that staff in school should be given sufficient time to come to develop and accept a system of appraisal is highlighted by Wragg (1987, v) when he writes

For most professionals the job they do and the competence they believe they have are central pillars in their daily lives. Without these much of the purpose of their existence as well as their self confidence would evaporate. The act of appraisal can force them to confront themselves in a way they would normally wish to avoid.

It is not only the individual teacher who is concerned when appraisal is introduced into a school. Sayer (1989, 81) felt that the ethos of the school community as a whole is at risk.

Paisey and Paisey (1988, 82) consider:

Appraisal is a classic example of the possibility that well-intentioned and worthwhile schemes can fail or work imperfectly in practice because those who have to work them do not understand them, have no sympathy with them or do not identify with them.

Bollington et al. (1990, 9) were able to conclude, as a result of their involvement with the School Teacher Appraisal Pilot Study project in the United Kingdom, that the key principles in appraisal are:

1. the need for commitment to the process and credibility in those presenting and introducing the scheme;
2. the need to consult with and involve all interested parties in planning for appraisal;
3. the need for the scheme to be developmental, constructive and positive;
4. the need to provide adequate training for those involved in appraisal;
5. the need actively to involve teachers not only in the design of the process but also in discussing criteria used and the areas chosen for appraisal;
6. the need for the process to be two-way and related to the individual school context and the appraisee's own stage of development.

Three of these six key principles stress the importance of the involvement of all participants in setting up the process and this is reflected in the New Zealand literature. The Principal's Implementation Taskforce (1990, 32) emphasised that any appraisal scheme must be "consultative, negotiated and subject to agreed procedures" because "Appraisal will work if staff own it, believe in it, and are committed to it". Battersby (1991, 15) as a result of her research found that "The initiation stage, when a school prepares to devise its own model for appraisal, is a critical one. Here the tone is set for consequent discussion, planning and action". The New Zealand Educational Institute (Rourou, 1991) also felt that "The first precondition for successful implementation of staff appraisal has to be "ownership" by the staff".

The literature suggests that successful implementation of performance appraisal requires not only the total involvement of all staff, over sufficient time, but this should happen in a climate of collegiality or collaboration.

The literature is not too helpful on how a school is to develop this collaboration or even what it is. Cardno (1991, 1) defined collaboration as:

... the term employed to express partnership, cooperation, agreement, consent and working in combination to accomplish institutional objectives. It is bound to notions of consultation, involvement and participation; shared goals and shared vision, openness, trust and democratic ideals.

Bell (1988, 130) in writing of collegial management writes of the need for teamwork, which he defines as "playing from the same sheet of music", where people work together with shared perceptions, common purpose, agreed procedures, commitment, cooperation and resolving disagreements openly by discussion. He notes that it does not happen automatically but has to be managed if it is to be effective.

Bollington et al. (1990, 8) quotes Nuttal's (1986) research which identified the features of a good appraisal scheme. Among these features was the importance of involving those who will be appraised in the development of the process.

Bollington et al. suggests that Nuttal's findings tie in with those from other British studies and many North American sources. They cite Conley's (1987) review of the American literature and maintain that all these sources suggest that "care must be taken over developing a suitable climate for appraisal and for involving those affected by the scheme". In fact, Bollington et al. (1990, 15) suggest that appraisal should be delayed until a school has developed the necessary climate or readiness. Day, Whitaker and Wren (1987, 27) defined this readiness as being when:

Relationships among colleagues need to be open; there needs to be an ethos of trust and sharing in an activity which involves, as we have already suggested, not only disclosure of self but also opening up self to the possibility of feedback.

Performance appraisal is a new concept in the teaching profession. Its successful implementation requires not only full commitment from staff but adequate training to enable them to acquire the knowledge about, the skills for and the attitudes to appraisal. Bollington et al. (1990, 84) in detailing the experiences of LEAs in the pilot studies on appraisal in Britain, emphasised the need for both appraisees and appraisers to receive equal training, which they termed "whole-school and school-specific".

Cooper and West-Burnham (1988, 142) considered that appraisal skills are complex "involving as they do interpersonal factors .... listening and questioning skills, knowledge of factors influencing attitudes in the interview, negotiating skills and knowledge of motivation". Teachers are trained for and used to working with their students. They need training to acquire the skills to interact professionally with other professional adults. For example, Diffey (1988, 149) listed the variations which need to be made in the interview:

- (a) The relative amount of talking done by each participant,
- (b) the tempo of the interview,
- (c) the degree of freedom allowed to the appraisee,
- (d) the degree to which digressions are allowed,
- (e) the emotional tension or relaxation.

Cardno (1990, 82) noted that "New Zealand schools have a history of supplementing inadequate provisioning for the continuing education of teachers with a range of ad hoc and ingenious modes of professional development". She called for the increasing use of consultants in this process but noted that adequate funding will be needed.

The success of a performance appraisal scheme is dependent upon the extent to which schools involve and train their staff. The research should indicate how the staff in this study were involved in the introduction of performance appraisals into their schools and the training given in the schools to aid the implementation of performance appraisals.

The decisions made during the setting up of the performance appraisal process will influence the development of the process.

### THE DEVELOPMENT OF THE APPRAISAL SCHEME

As was shown earlier in this chapter, the British education system has funded an extensive and costly programme of trial appraisal schemes across many LEAs over the last decade. As a result, there is a wealth of British literature and manuals addressing appraisal in schools (Bollington et al., (1990), Fidler and Cooper (1988), Everard (1986), Paisey and Paisey (1988) and Wragg (1987) for example). There have been no centrally funded trials of performance appraisal in this country but more resources are becoming available, such as the resource kit being developed by the University of the Waikato, a handbook developed by Welbourn School in New Plymouth (Shaw, 1991) and another resource kit developed and marketed by User Friendly resources in Christchurch. The British research shows that the appraisal process can take many forms but the basic model is generally accepted to be a cyclical one.

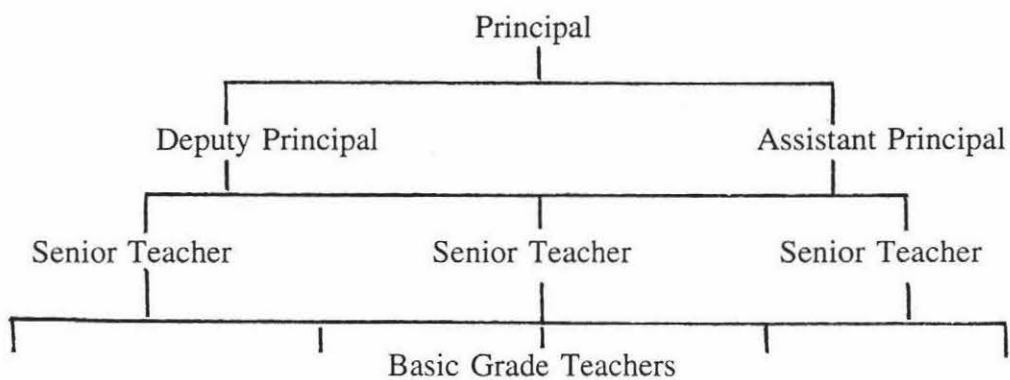


This model would be particularly relevant where a formative/developmental approach is taken and is the model advocated by the New Zealand Educational Institute to its members (Rourou, 1991, v.2, no.13) and by the Principal's Implementation Taskforce (1990).

Before, however, planning its own model, the staff must decide who carries out the performance appraisal in their school. There are several alternatives available.

### The hierarchical model

This is the generic model in New Zealand primary schools, the majority of which operate on a system of



In these schools, the principal takes on the responsibility of appraising the senior staff, whilst delegating the appraisal of the basic grade staff among the senior staff members. Wragg (1987, 15) also reminds us that within this structure, there ought to be appraisal "from the bottom up", but acknowledges the difficulties this could entail.

Gitlin and Smyth (1989, 24) take issue with this arrangement, believing that the problem lies with the notion of technocratic rationality, which assumes that there are "experts" (the supervisors) and the "inexperts" (the teachers). They say:

Teachers as a group are no more nor less "expert" than administrators; rather it depends on the individual case. In this way hierarchical arrangements actually misrepresent reality and become the linchpin for narrow views of teacher evaluation which diagnose and portray the deficiencies of teachers according to some arbitrarily determined standards of what determines "effective" teaching.



### Peer Appraisal

Wragg (1987, 14) reported on research at the Universities of Nottingham, Leicester and Exeter where successful peer appraisal was trialled with both beginners and experienced teachers. He did caution, however, that it does need very strong structure built into the process. Prebble and Stewart (1981, 20) developed this idea of in-class support through peer appraisal and although, as Stewart remarks (1991, 1) this was not very successful in its time, it is now gaining support again as the climate changes in our schools. In fact Prebble and Stewart are again giving the lead and setting up trials in New Zealand of Quality Learning Circles (NZEI Rourou, 1993, no.6).

Prebble and Stewart are advocating the adoption of Deming's ideas on Total Quality Management for improvement or increased quality of education (Walton, 1991). W Edwards Deming and his fellow Americans, Joseph M Juran and Armand Feigenbaum, are credited with turning the Japanese economy around in the 1950s by emphasising quality production at every stage of the manufacturing process. It meant a change from the hierarchical transactional process, where an employee's improvement was conditional on the reward offered, to the transformational style where every employee must be dedicated to the continuing improvement of the product. The Japanese call this ethos "Kaizen". In the Japanese companies, this involved setting up quality circles where employees met regularly to discuss ways to do their work better (Bonstingl, 1992, 6). He reports that many American schools are also setting aside valuable time for "Kaizen" discussions that foster the collaborative development of a true learning environment. It would seem to be the same vision that Retallick (1983, 4) had when he:

Envisage(d) a situation where groups of teachers and student teachers in schools can form "critical communities" for the purpose of taking control over their professional development by the detailed investigation of and reflection upon their teaching practices. In so doing they will be committed to a search for alternatives and improvements to their existing approaches.



Retallick considered this was a "tall order" back in 1983, but the changes to the administrative structures in New Zealand education have maybe brought his vision nearer.

### **Self appraisal**

As has been noted earlier, Ker (1992), Smyth (1989) and Sergiovanni (1992) argue that self appraisal is the only truly professional approach for appraisal, where teachers engage in critical self reflection. Even those who are working from a hierarchical structure advocate that self appraisal is an important part of that process. (Bollington et al. (1990) and Principal's Implementation Taskforce (1990) for example,) Day, Whitaker and Wren (1987, 64) encourage the use of school self reviews in order to make staff feel more comfortable with personal self reflection. West and Bollington (1990, 21) not only recommend self evaluation, but consider a variety of approaches which can help teachers to engage in this activity - ranging from "free writing to working through detailed prompt lists to thought/ reflection which was not recorded in any way".

### **Summative and formative appraisals**

The question of who carries out the appraisal is linked, as most questions about performance appraisal seem to be, with the question of the purposes of that appraisal. If the appraisal is both for summative and formative appraisal, the difficulty arises as to whether the same person can act as appraiser for both functions. Edwards (1991, 4) at first agreed with Popham (1988, 271) who maintained that formative and summative performance appraisals were a "dysfunctional marriage":

The reason that formative and summative teacher evaluation cannot cavort together congenially is that their end results are so dramatically different. The decisions riding on formative evaluations involve a host of choices focused on "How can I do better?" .... Summative evaluation, in contrast, can lead to identification of weak teachers who may, if unremediable, be dismissed. In essence, the distinction is between "fixing" and "firing" .... A key shortcoming

then, with today's teacher evaluation practice, is that its formative function contaminates its summative function, and vice versa.

In a later paper, however, Edwards (1992, 5) claimed that personal experience had changed this thinking; the same people could undertake formative and summative appraisals, although the interview would need to be at different times, with different agenda.

As was stated earlier, in the discussion on accountability, the American research would indicate that summative and formative appraisal should not be undertaken together (Bollington et al., 1990). The difficulties arise in the dual role of the appraiser, as counsellor and judge. Not only do they require different skills but they elicit a different response from the appraisee. The problem is whether these differences are too big to be reconciled.

### **The form of the appraisal process**

The appraisal process must be unique to each school, set up by that school to meet its own needs. Fidler and Cooper (1988, viii) wrote that:

The subject of staff appraisal is too complex and the context of individual schools and colleges is too varied to suggest that there is a "right" way to design a staff appraisal system.

The form of the appraisal process must also consider how the structure fits within the time constraints, culture, and the finances of the school. Paisey and Paisey (1988, 82) in reviewing the options decided that an appraisal scheme in a primary school needs to be "simple in conception and operation". However, within this need for simplicity, there remains a necessity for procedures to be in place to ensure mutual trust, accuracy and confidentiality are all maintained.

### **Follow-up**

Appraisal for its own sake is a useless innovation in an already overworked teaching force. In a developmental model, the follow-up stage is critical to its success. Not only must targets be identified for future growth but resources must be allocated to ensure they are attainable and monitored. Researchers Bollington, Hopkins and West (1990), working with the School Teacher Appraisal Pilot Study in England, considered that the credibility of appraisal depends on success in the follow-up stage. Wragg (1987, 66) wrote:

If appraisal is to have a proper cutting edge, if it is to be a genuine evaluation of what takes place with a view to improving the quality of teachers and therefore of pupil learning and opportunities, then there must be a properly conceived structure for aftercare.

The literature has revealed many different forms of appraisal systems, so this research should indicate how the performance appraisal process operates in each school.

### **IS THE SYSTEM EFFECTIVE AND WORTHWHILE?**

The review of literature has suggested that performance appraisal is a new concept in a reformed educational administration system and has the potential to cause conflict if it is not implemented and developed with care and caution. This conflict, which may occur at the school/site level, in fact may be traced back to the fundamental conflict which is dividing New Zealand society today. Is education a commodity in a market economy, where each school becomes a business run by the manager/principal under contract from the Board of Trustees who in turn are firmly controlled by the government or is it seen as a public good, operated by professionals who work in collaboration with the principal as professional leader?

The New Zealand literature on performance appraisal is sparse, but already indicates this conflict can arise here. The literature review has shown that appraisal was piloted extensively in the United Kingdom. In New Zealand, the schools have been forced to make their own trials, with no special funding allocations. Whether the schemes they have established are satisfactory and more particularly worthwhile, is yet to be evaluated. The success of this innovation will depend on whether the teachers see it as being worthwhile and effective. The Principals' Implementation Taskforce (1990, 32) recognised this when it highlighted the fact that "Appraisal will work if staff own it, believe in it, and are committed to it". By the same token, it might be said that it will not work if teachers do not own it, do not believe in it, or are not committed to it.

This research aims to establish whether the teachers in this study consider the performance appraisal process to be worthwhile and how has it affected their performance as teachers.

3.

## RESEARCH DESIGN

*A discussion of the choice of case study for this survey is followed by a statement of the research objective and the research questions. The Methodology begins by outlining the planning of the research and then full descriptions are given of the five aspects of the study; selecting the participants, negotiating access, the fieldwork, organisation of the records and the writing of the report. Finally, examples are given of how triangulation was achieved.*

### Case Study

Case study can incorporate several research methods, both quantitative and qualitative. Methods used can include questionnaires, surveys, observations, history, interviews and possibly the use of video taping and/or recording. The range of methods used come under the three main paradigms used in educational research.

Researchers in the social sciences began by copying the methods used in the natural sciences. Comte, in the nineteenth century, proclaimed this positivist view and Hughes (1990, 19) states:

Of all Comte's claims, perhaps the most important is his assertion that society, including values and beliefs, could be studied using the same logic of enquiry as that employed by natural science.

Positivists such as Mill, Spencer and Durkheim followed this belief that all reality consists of what is available to the senses. In educational terms, all research is said to be value-free, observable and worth measuring. It led to the development of behavioural objectives as a method of measuring the end product of teaching, an emphasis on ends rather than on means, product rather than process.

Reaction to this view came from people such as Weber and Wittgenstein. These researchers, using the interpretist or phenomenological approach, tried to get to the meaning of human activity by using anthropological and ethnographic tools. They rejected positivists' quantitative methods in favour of the qualitative because "they believe the empiricist has too narrow a view of the concepts of objectivity and evidence and therefore fails to investigate what is distinctly human in our publicly shared world" (Soltis, 1984, 7).

Critical theory, the third paradigm used in educational research (and in this study), reflects the concerns of researchers such as Habermas, who look to social science research as being emancipatory, value-laden and leading to action or praxis. They believe in "digging deep" to free our educational practices and systems from the ideologies of the past. Because case study is field-based and uses techniques such as observation and interview, it can look for meanings that the interpretists are seeking and so provide qualitative analysis. At the same time it can encompass the positivist paradigm, by using questionnaires, surveys etc to give quantitative data, although it challenges the emphases and interpretations of this data given by positivists.

Case study, as a research design, is a fairly new concept within education. In fact, in 1975, in Cambridge England, a conference was held to consider "Methods of case study in educational research and evaluation". Case study is concerned with practice and the results can be interpreted and put to use by examining the system within its political framework. It can lead to action by those being studied and is therefore a tool for critical theorists and the research design used in this study.

Adelman et al. (1976, 40) stated that case study research could initially be set up in two ways; either as "an issue or hypothesis is given, and a bounded system (the case) is selected as an instance drawn from a class;" or "a "bounded system" (the case) is given, within which issues are indicated, discovered or studied so that a tolerably full understanding of the case is possible". The first way enables the researcher to "make generalisations about the class", and in fact parallels Stenhouse's definition of evaluative case study:

... a single case or collection of cases is studied in depth with the purpose of providing educational actors or decision makers (administrators, teachers, parents, pupils etc) with information that will help them to judge the merit and worth of policies, programmes or institutions. ... Evaluative case studies are caught in the time scale of the programmes they are evaluating and the decisions they are informing and this has led to the development of "condensed fieldwork" in which interview typically dominates participant observation, since the latter is essentially a long-term, in-depth technique. In evaluation, the case to be evaluated is commonly a programme or policy expressed in a number of institutions or settings and the evaluator is thus concerned with multiple case studies in a number of sites: hence multisite case study. (Stenhouse, 1988, 50)

In this case study, the "class" was to be Grade 4 primary schools.

### **RESEARCH OBJECTIVES AND RESEARCH QUESTIONS**

The time allowed for this research was one year, which set certain limits on the extent of the research. It was decided, therefore, the research objective would be:

To describe the implementation and development of performance appraisal in four New Zealand primary schools.

The *research questions* which were to be addressed by the research were suggested not only by the researcher's experiences with performance appraisal development in her school, but by the extensive review of the literature carried out before the research was started. The five questions were:

1. For what purposes do teachers think performance appraisals SHOULD BE, and ARE, undertaken in their schools?
2. How were the staff involved in the introduction of performance appraisals into their schools?
3. What training was given in the schools to aid the implementation of performance appraisals?



4. How does the performance appraisal process operate in each school?
5. Do the teachers consider the performance appraisal process to be worthwhile and how has it affected their performance as teachers?

## **METHODOLOGY**

### **Planning the research**

Dixon et al. (1991, 107) state that "the aim of case study is description. What is going on here?" The original intention of the study was to select four Grade 4 primary schools as the "class". This would be what Dixon et al. (1991, 140) termed "purposive sampling", to give correspondence with the researcher's own school, to limit the variables of size and type of school and give a sample of approximately 100 teachers, with similar distributions of management, senior and less experienced staff.

An added consideration was that the researcher has taught for over 20 years in Palmerston North city and knows many of the teachers and principals there very well. Performance appraisal is a very sensitive issue and the researcher considered it would be advisable to undertake the research outside of the city, to try to maximise the objectivity of the research and to protect the feelings of her friends and colleagues.

The researcher planned to spend approximately four days in each school. The research would be based on:

- a taped interview with the principal to establish how the procedure was set up, what documents are involved and how the procedure has developed. Guideline questions for the interviews are in Appendix B, but it was generally found that principals covered most points during the course of the discussions.
- a questionnaire (Appendix C) to all staff who had had a performance appraisal during 1992 in that school.



- taped interviews with four members of staff, on a stratified random selection basis. The staff would be divided into four groups:

senior staff

teachers with less than five years experience

teachers with between six and ten years experience

teachers with more than eleven years experience.

One teacher from each group would be randomly selected by ballot for interview, so that the views of teachers of varying experience and seniority would be canvassed.

The researcher is very concerned that staff in schools have been subjected to a great deal of research during this period of great change to the New Zealand education system. They work extremely long hours in connection with their teaching commitments and their own professional development and should not be expected to answer research questionnaires and take part in interviews in their own time. The questionnaires were to be completed by teachers whilst the researcher taught their classes.

The questionnaire had four sections, but the teachers would be assured that they could omit any part(s) if they wished to do so. The cover page contained statistical details of experience and teaching roles.

*Part A* covered the staff perceptions of the purposes of performance appraisal, their involvement in its introduction, and training received.

*Part B* dealt with the preparation for appraisal, the interview itself and the follow-up action taken. It also sought the opinions of staff on the effectiveness and worth of performance appraisal.

*Part C* sought the opinions of staff on how they see performance appraisal now and how it could be improved. They were finally asked to attempt a definition of performance appraisal.

*Part D* asked those who had also acted as appraisers to consider their views on appraisal from that perspective. Two principals also filled in Section D but the other two were unavailable at the time.

The questionnaires were trialled three times, using three different groups of staff from the researcher's own school.

The interviews were to be conducted during school time, each teacher being released by a relieving teacher funded by the researcher. The interview question schedules for teachers and teacher/appraisers are in Appendix B.

Researchers, having decided upon their research design and selected their case studies, then have to consider five aspects of their research:

1. selecting the participants,
2. negotiating access,
3. the fieldwork,
4. the organisation of the records,
5. writing the report.

(Stenhouse, 1988, 50)

#### 1. Selecting the participant schools

Unfortunately selecting four Grade 4 schools to take part in this study proved impossible because:

- not all Grade 4 schools within travelling distance of Palmerston North had performance appraisals in operation;
- many schools are already involved in research or development contracts through Massey or Palmerston North College of Education and were unwilling to commit their staff further.

Therefore, the research was carried out with:

- One Grade 3 primary school;
- One Grade 4 primary school;
- Two Grade 5 primary schools.

This was because all these schools had:

- appraisal systems which had been operating for three years,
- had ten or more staff,
- were in towns within daily commuting distance of Palmerston North,
- were not known by the researcher, and, most importantly,
- were willing to take part in the research.

Only two teachers in the sample were known "well" by the researcher, and about four were acquaintances.

The fieldwork in the schools had to be undertaken in early March/April of 1993, which meant that only those teachers who had been appraised in the school in 1992 were available for the research. This meant, therefore, that the numbers were considerably reduced because many staff were new to the schools in 1993, and some had left at the end of 1992.

The final number of teachers, excluding principals, who took part in the study was 55.

The composition of the staff was as follows:

	<b>Male</b>	<b>Female</b>
Deputy principals	4	0
Assistant principals	1	3
Senior teachers	1	8
Scale A teachers	4	34
Totals	10	45
Total participants	55	

The teaching experience of the staff is shown in Figure 3.1 below.

Years	<2	2-5	6-10	11-20	20+
Total teaching experience	5	5	9	19	17
Teaching service at this school	10	18	16	6	4

## 2. Negotiating access

The four schools were contacted first by telephone to ask for their cooperation with the research, and this was followed by a formal letter of explanation (Appendix A). Schools Two and Four invited the researcher to talk briefly at their normal after-school staff meetings and the staff then gave their agreement to be involved in the research. The principals of the other two schools consulted their staff and agreed to participate without meeting with the researcher. This did, in fact, have some bearing on the way in which the researcher was received by the staff.

After the introductory meetings, the staff in Schools 2 and 4 were comfortable and willing to participate in the research, with only one teacher opting out of an interview.

In School 1, the principal had not made it clear that the research was on the *process* of the appraisal system only. The first person introduced to the researcher had her own performance appraisal notes ready "for examination"! It took some time to win the confidence of that staff and assure them of the researcher's respect for confidentiality.

The staff of Schools 2 and 4 were informed at the introductory staff meetings, and those in Schools 1 and 3, as they met the researcher for the first time, of:

- (a) the research proposal and the research questions,
- (b) how they would be asked to participate and their right to decline participation,
- (c) the high degree of confidentiality which would be maintained, particularly within their schools. The completed questionnaires were to be given to the researcher personally.

It was agreed between the school and the researcher that the draft Project prepared for the Ministry of Education would be sent to each school for comment and that these results would later be used by the researcher for a thesis as part completion of her Master of Educational Administration degree at Massey University.

### 3. The fieldwork

The researcher spent approximately four days in each school. In three schools, the first visit included a taped interview with the principal, to gain details of the performance appraisal system operating within the school and to examine the relevant documents. In School Four, the principal was not available until the third day of the researcher's visit.

Each school then provided a schedule of convenient times for the researcher to release teachers to complete the questionnaires whilst she taught their classes. (Grateful thanks to Eric Carle, author of "The Very Hungry Caterpillar" and Paul Jennings for his splendid book "Teacher Eater"!)

This not only ensured that teachers were not asked to

give more of their precious spare time, but also ensured a 100% return of the questionnaires.

The questionnaire had four sections, but the teachers were assured that they could omit any part(s) if they wished to do so. Some, in fact, preferred to omit their names, but none were worried about putting their age!

The researcher returned to the school approximately three weeks later to interview four teachers selected for interview. The teacher was released from teaching by a relieving teacher funded by the researcher.

Only one teacher declined to participate in an interview. The allocated time for that interview was spent in a profitable exchange of educational ideas, to ensure that no other staff nor the principal knew of the refusal to be involved. One teacher selected for interview was on sick leave so did not participate.

#### 4. The organisation of the records

##### (a) Documents

There were very few documents concerning performance appraisals, apart from the written records of individual appraisal interviews which were not sighted by the researcher. One school provided a copy of its Performance Appraisal Policy for 1990, another a "Statement on Staff Appraisal Procedures", and two schools provided sample job descriptions, which form the basis of the appraisal interviews.

##### (b) Questionnaires

The data from the questionnaires was entered onto a database using Microsoft Works. Each teacher and school was listed, together with details of gender, age, length of teaching service, time at the present school, position, class level and their role in the school. Responses to the questions were dealt with in four ways:

- i simple yes/no answers were recorded as such;
- ii multi-choice answers were alphabetically coded for recording;
- iii responses made on a continuum were considered as a measured length, therefore given a number value for recording purposes.

Comments on each individual item were listed from all questionnaires.

(c) The Interviews

The interviews were recorded and transcripts made from each recording. The questionnaire information and interview transcripts from each school were examined together. Summaries were made of the main interview points.

5. Writing of the Report

One difficulty with writing up case study reports is the interpretation the researcher brings to the research. Every researcher is influenced by their own experiences, attitudes and beliefs, but it is their responsibility to constantly re-examine their own criteria for making sense of the research reports. This was particularly important in this study because the researcher spent several days in each school, sharing morning tea and lunchtime breaks with staff, as well as carrying out the research. This was useful for building up trust between the researcher and the participants, who appeared to be able to talk comfortably at the interviews and make honest comments on their questionnaires. In fact, one wrote "Thank you for *your* interest" at the end of the questionnaire. But, as the staff had been told the research consisted of interviews and questionnaires, it was important that the researcher only use quotations and comments from those. The researcher was very aware that during her four days in each school, her perceptions of the school culture and informal conversations with fellow professionals could influence her attitude to the research. Triangulation became very important.

## TRIANGULATION

Triangulation is the requirement in good research practice for researchers to use multiple methods and data sources to enhance the validity of research findings. Mathison (1988, 13) clarified this point when she stated

Regardless of which philosophical, epistemological, or methodological perspectives an evaluator is working from, it is necessary to use multiple methods and sources of data in the execution of a study in order to withstand critique by colleagues. The experimentally inclined are enjoined to use qualitative research methods to help conceptualise their studies and ethnographers are often expected to conduct surveys to corroborate observational data.

In this research, triangulation was obtained by using the interviews to substantiate, or confirm, information as given on the questionnaires. For this reason, the interviews were conducted approximately three weeks after the completion of the questionnaires, so that the interviews could include questions from the researcher to confirm results already identified in the questionnaire responses. For example, in one school a staff member wrote:

We (all three), are able to work co-operatively together, all three of us fulfilling leadership and follower roles at different times.

In a later interview, another member of this trio confirmed this collegial approach, stating:

... so basically we're looking at what we were doing, setting up our own professional development. And then, from that, appraising, coming together as a group and appraising ourselves and each other.

In another example, a teacher's perception that a staff member had been dismissed using the appraisal process was not confirmed by the senior staff member involved, thereby indicating the need for schools to clarify their actions to all staff.



This was a small study, limited by time and finance and consideration for the workloads of the teacher participants. It was, therefore, not possible to interview all staff, nor to hold discussion groups among staff to further validate the research. In at least two schools, their staff meetings were already booked for the whole term.

As stated in the Introduction to this thesis, the fieldwork of the research also provided the basis for a report to the Ministry of Education (Irons, 1993), under the Research Affiliate Scheme. A draft copy of each Project Report was sent to all schools for their comments (see Appendix G). Only one school asked for any amendments to the draft, and these small adjustments were made as requested. The other three schools did not reply to the researcher's letter requesting comment, but were contacted by telephone and confirmed the draft project was acceptable.

4.

## ANALYSIS OF RESULTS

*The appraisal system in each school is described, including details of how it was introduced and implemented. The results of parts A, B and C of the questionnaire are given, quantitative results for each question being supplemented by relevant comments made on the questionnaires, given at the interviews or made in part D of the questionnaires. Summaries are made of the results of each part of the questionnaire.*

It is important to note that, although the researcher spent several days in each school, the information used in this analysis of results is derived from the responses to the questionnaires completed by the teachers in the schools and the interviews with principals and selected teachers, as arranged with the schools at the start of the research. Informal conversations between the researcher and staff during her visits to the school were not quoted.

Any quotations used were taken from transcripts of the interview tapes or from written comments on the questionnaires. No distinction is made between written or oral comments to preserve confidentiality.

Performance appraisal is a very sensitive, personal and important part of any teacher's life. The teachers in the survey were guaranteed complete confidentiality. The researcher trusts they will consider she has preserved it. To do so, she has had to rely, at times, on percentage comparisons, rather than deal with actual numbers of teachers and some comments have been omitted from the discussion or appendices.

## APPRAISAL SYSTEMS IN OPERATION

### School One

The appraisal process in this school was set up early in 1990. The principal had read widely and the deputy principal was studying an ASTU paper on the subject. The assistant principal attended a short course which covered appraisals, at the Palmerston North College of Education. The principal then introduced a policy on appraisal to the staff. The separate syndicates then took over discussions to alleviate the apprehension which existed. One staff member commented:

The only time I really sort of felt a bit concerned was when we saw the first sort of written format of what an appraisal might look like, which was a bit frightening.

The staff were given ample time to discuss the proposals and in that first year were able to choose any area of the curriculum for appraisal. The first year was what one staff member called "a dummy run" to get people comfortable with the system. The staff were allowed to develop their own methods within the policy to see what worked for them. The principal seems to have made later changes to the process and also decided which areas staff should 'choose' for development, without as much consultation with the staff as some would have liked. It was acknowledged by staff the principal did this to meet the perceived needs of the school. The principal noted:

... the staff here are very busy. They work very long hours here, they come to school early, they don't go home early. They work hard, they go to meetings, have lots of meetings and things in work for the good of the kids. They put a lot of time into their children and we've got it sort of worked out that they're happy with me drawing up draft things and then they pick them to bits or do what they're going to do or comment on them, and we can change them or do them.

The system set up by this school was unlike any of the other three.

- Early in the year the teacher determines the area for professional development, has a meeting with the appraiser to set the terms of reference or criteria to be appraised and determines the professional development needed in that area.
- The teacher then has that development, which may be observation in other schools, visits by the regional advisers or help within the school.
- Later in the year, after a period to enable the teacher to benefit from the professional development, the formal appraisal is undertaken. The appraiser observes specific lessons, incorporating the appraisal criteria, and writes up a report of their observations. Further development may be recommended after that.

The process does, therefore, seem to be a combination of an early formative phase, with a final summative appraisal at the end. This was recognised by the staff.

I think you've still got that little feeling like the inspector coming round still. It hasn't really gone away. Instead of being just a developmental type process, it's still a bit threatening.

and

It is like the axe falling ... this is the day we find out we are not doing our job.

It was even suggested that there should be a network team to come in after appraisal interviews to give support and raise the teacher's self esteem again.

However, the staff in this school were becoming more comfortable with the process and more assertive in their own role, particularly as more of them are acting as both appraisers and appraisees.

The appraiser is not necessarily the immediate supervisor of the person being involved, but can be the person recognised as having expertise in that area in the school. Therefore, in this school, Scale A teachers can and do act as appraisers.

## School Two

This school also started its appraisal system in 1990. The principal had read widely on the topic, two senior staff had been to the College of Education course and one senior staff member had taken a Massey paper which included performance appraisal. They too began with the senior staff, and in fact the senior staff had the first trial run to set the system up. They then took it back to their own syndicates to operate. It was begun very positively, as the principal noted:.

But I guess if you're got a staff that performs confidently, such as I have, and that's not a reflection of me, it's a reflection of them, it's pretty easy isn't it? ..... For each staff member we actually spent a lot of time giving them a lot of positive feedback on their performance in the school, in the classroom, in the school as a whole.

The system is based on the job description:

*Term 1* negotiate the job description.

*Term 2* carry out appraisal after teacher has had about six to seven months to work to job description. Set objectives for the following year.

*Term 3* develop the professional development programme for the following year.

The principal appraises the senior staff, who in turn are responsible for the teachers in their syndicates.

The professional development funding in this school is allocated in two parts, school-based needs and syndicate needs. Some of the personal professional development needs, as established by the appraisals, must be met by the syndicate resources (unless they are the same as the school-based needs). This is perceived by some teachers as causing some difficulty, as the syndicate has to be seen to be meeting everyone's needs. However, personal development of teachers does occur outside syndicate and school

based development and courses undertaken by staff, e.g. vacation courses, ASTU papers, are subsidised 50% by the Board of Trustees.

The appraiser is charged with follow-up of the appraisal. The senior staff did try to bring their performance appraisal cycle forward, as they have a very stable staff, so that the job description is done in term three ready for the new year, but pressure of commitments made this impossible.

The performance appraisal system has remained basically unchanged since its introduction, but has been reviewed since this research with minor streamlining only.

### School Three

In this school, the principal was adamant that they were operating a personal professional development system, a modified Prebble and Stewart (1981, 45) PDC cycle. In fact, the teachers had some difficulty in relating to the questionnaire on "appraisal" at all.

The principal had operated PDC at his previous school, had been on courses about appraisal and "ended up not liking the term at all". He therefore introduced PDC into School Three, working only with the senior staff for the first year.

They began by setting up job descriptions for each teacher but don't use those necessarily for appraisal/development. The system is in three interviews.

*Beginning of the year:* determine what they wish to achieve during the year, under three headings:

- objectives,
- methods, and
- performance indicators.

*Mid-year:* progress report on professional development.

*End of year:* final report on professional development.

The teachers choose their area/s for professional development, which in many cases are outside courses such as ASTU or Massey papers. The principal appraises all senior staff, who in turn appraise their own syndicate.

The professional development operates alongside the school development programme which is based on a school effectiveness review which is undertaken every year.

This principal was strongly against a summative performance appraisal, seeing it "as a moral concern, in that you get two roles where you are the advocate and also the judge and executioner".

The school also had a policy of having senior staff released for working with teachers throughout the year and the principal took responsibility for "skilling senior staff".

#### **School Four**

It must be emphasised that this school is in the middle of redesigning their performance appraisal process, having already acknowledged, before my research began, that their present system did not meet their needs.

In 1990, they rushed into a system as they thought they should establish a process in the light of a probable ERO (Education Review Office) visit. The principal described it as "summative nonsense". It involved a summative six-monthly check. After one year they realised this was not appropriate for their school and they "went back to the drawing board". They then made a very close connection between job descriptions, personal development plans and appraisal.



The principal is very proud of their job descriptions, which they brainstormed as a staff to put together. The job descriptions are conceptually-based rather than task-oriented.

They came up with a scheme similar to School Two.

*Beginning of year (after about six weeks):*

meet with senior teacher to set objectives based on job description, identify key tasks, expected outcomes etc.

*After six months:* a meeting with senior teacher for appraisal.

They found that they were unable to cope with appraisals every six months so ended up doing them once a year. The principal appraises the senior staff, who in turn are responsible for their syndicates.

The school was also sidetracked in 1992. They expected bulk funding of teacher salaries would be introduced to all schools so decided to pre-empt the issue by establishing an appraisal system that would work for them under the (expected) new system. This proved a counterproductive exercise which was abandoned. The school is now involved in rethinking their whole performance appraisal system, and have organised a working party of staff to examine the concept.

As will be shown later, this process has caused some confusion among the staff. In fact, some syndicates decided to work on a collegial basis and did the appraisals as a peer-group exercise.

## RESPONSES TO PART A OF QUESTIONNAIRE

The review of the literature established that deciding the purposes of the performance appraisal process was a critical first stage in its implementation. Part A of the questionnaire addressed, therefore, the following questions:

- For what reasons do teachers think performance appraisal should be carried out in schools?
- For what reasons do teachers think performance appraisal is undertaken in their school NOW?

Teachers generally see performance appraisal to be a developmental, formative process. Figure 4.1 shows that:

- 90.9% of the sample of teachers in the four schools, believe it SHOULD be carried out to improve teacher performance in the current job,
- 94.5% to help with staff development, planning and training, and,
- 90.9% to improve the learning and teaching in the school.

Only a very small minority of staff believed the performance appraisal should be used summatively for providing information to management for rewards and promotions (9.1%) and to provide information to discipline teachers (5.4%).

However, these figures change when the staff were asked how they thought performance appraisal WAS being used at the present time in their school. Figure 4.1 will show that there was a slight decrease in the perceived formative uses:

- 87.2% to improve a teacher's performance in the current job
- 85% to help with staff development, planning and training

83.6% to improve the learning and teaching in the school.

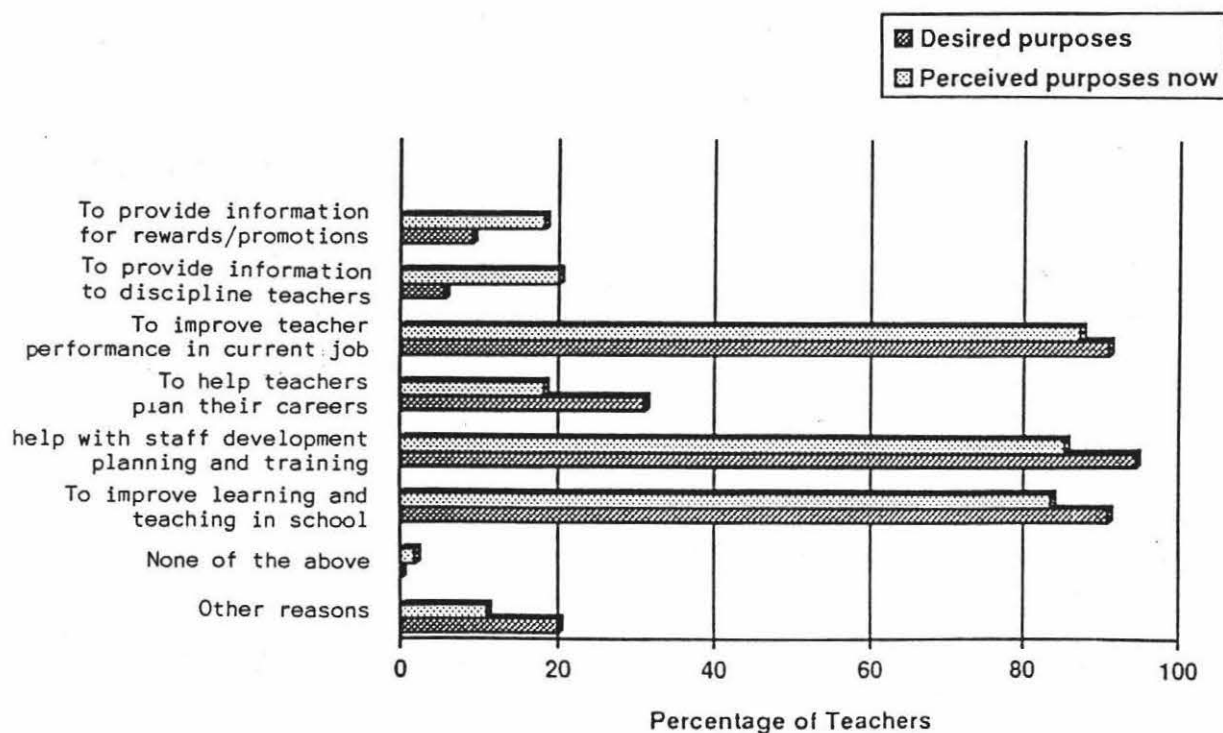
There was a noticeable rise in the percentage of staff who saw performance appraisal being used in a summative manner in their school at present:

18.1% to provide information to management for rewards and promotions

20% to provide information to discipline teachers

**Figure 4.1**

TEACHERS' VIEWS OF PURPOSES OF PERFORMANCE APPRAISAL



If performance appraisal is seen as a summative exercise, there is concern as to the uses to which the results are put. Comments include:

I am concerned that appraisals are not used as a discipline stand, they should be non-threatening and teacher should have positives listed and points that need attention.

And:

I am aware of a very negative attitude to the whole procedure - not just by me. (Unfortunately at least two staff have been "moved out" of the school in recent times, which has created a threatening climate - naturally.)

Although all schools had some concerned staff, most of the concerns about the summative uses of performance appraisal related to one school, School Four, where the process was changed considerably over the past three years.

The acknowledged hasty implementations and change of purpose appears to have caused confusion and doubt among the staff.

In that school, 43.75% of staff believe that the performance appraisal is used to provide information to management for promotions and rewards and 43.75% believe it is also used to provide information to discipline teachers.

Comments of the staff in that school also reflect the confusion existing as to the purposes of the system. One member of staff wrote:

Many teachers rightly or wrongly see a hidden agenda because of the way it was developed - it seemed politically motivated.

This is hardly surprising when the connection was made with bulk funding of teachers' salaries.

Another staff member commented:

What we did was I suspect a pat on the back for most people. (Principal) also changed the procedure many times so I think most of us ran with it thinking that at a later date the model would be changed.

And another:

Our principal believes in performance pay. Some teachers have received negative comments about their teaching.

But another staff member from that school took a totally different stand.

\*\*\* School does not have a hierarchical structure (top-down) in which teachers need to feel threatened if they are seeking professional development actively and effectively. Therefore performance appraisal is a supportive and constructive system.

One group of teachers in fact reported that their appraisal process was carried out collaboratively, as they had already established themselves as a strong collegial group. They felt extremely positive about performance appraisal, one commenting:

We (all three) are able to work cooperatively together, all three of us fulfilling leadership and follower roles at different times. It was great receiving serious feedback from my colleagues in a formal situation. The three of us have a lot of respect for each other and feel very comfortable about learning from each other, and we are all able to accept constructive criticism from each other.

It is important to note that despite this lack of agreement as the purposes of appraisal, 73.3% of teachers felt that their performance appraisal had positively affected their performance as a teacher in that school and 75% felt it had been worthwhile.

In Schools Two and Three, the principals saw the performance appraisal systems as being totally formative in their purpose. In School Three, which calls its process a PDC cycle, only 5% of staff saw performance appraisal being used for promotions and rewards and 11% for use in disciplining teachers. Comments in that school, however, showed both confidence and concern:

Performance appraisal in this school is separated from the more formal situation of discipline of teachers and requests from teachers for appraisal regarding career moves/promotion.

But:

Not concerned on a personal level, i.e. "facing weaknesses, but slightly apprehensive *how* the results are used".

73.7% of staff felt that their performance as a teacher in that school had improved as a result of the performance appraisal, and 89.5% thought the procedure had been worthwhile.

In School Two, none of the staff thought the system was being used in their school for providing information to discipline teachers, and only 7.6% considered it was being used to help with rewards and promotions. However, although none of these teachers were feeling threatened by their performance appraisals, their comments showed they were not very clear as to the reasons for appraisals:

Appraisals are completed as a task and that is all. There is no school based follow-up.

I really don't know!

Possibly the appraisal could be a working document, not just a pat on the back and then filed away.

Performance appraisal as I have heard about it could certainly be used as a weapon, but it also sorts out the slugs from the butterflies. Overdone it would be a major discipline implement. Our way is not threatening, but it doesn't mean a fantastic amount.

In fact, in this school only 53.8% felt that their performance appraisal had positively affected their teaching performance in the school to some degree or another, and 69.2% felt it had been worthwhile.

The principal in School One had a quite different approach, stating:

All we are looking for is staff development, and there's no way we want to ... it's not like a test. We want people to pass the test, so they had opportunities to find the answers. We want them to locate what the possible answers were, go out and find them and put them into place, and then have your appraisal.

The actual appraisal interview then takes on a summative position as the formative part of the process has preceded the appraisal itself. It was seen by some teachers as a summative process, where 72% got positive feedback at their interview, 57% got negative feedback and a surprising 28% got no positive feedback. One person who was satisfied with the process summed up the reason for appraisal in that school now as:

To inform teacher of expectations and the current level of performance.

However, it must be said that 85% of the staff thought that their last appraisal had been worthwhile, although only 42.8% felt that it had positively affected their performance.

(This was the smallest staff and percentage comparisons, needed for confidentiality may be misleading.)

This concern by teachers that performance appraisal is/might be used in the schools for disciplining teachers or used to provide rewards and promotions is a very real one, and at 18/20% is quite large. The principals themselves were quite clear that incompetency should be kept distinct and separate from performance appraisal, according to the Primary Teachers Collective Employment Contract 1992/4 (Appendix E), but there seems to be a blurring in some schools as to when this distinction/separation should be made. One principal was quite clear and commented:

Competency to me is a set of procedures set out or set by the Award or Contract which you follow. One goes in and helps with that. That's why it needs to be separate (from appraisal), and I say, you can't have somebody sharing everything with you, I couldn't anyway, saying that they feel they are doing this very well or they are not doing this very well and then giving you all this information and then you turn around and you be judge and executioner.

On the other hand, two principals used the structures built into the appraisal process for use with teachers who are not performing well. One explained:



And so all the structures that are in there for the normal appraisal, as far as fairness goes, we've built in.

The other's position is explained by the following quote:

Researcher: This is separate from their senior person doing the appraisal/professional development, whatever you call it?

Principal: No. The senior person will be in here, having actually observed in the classrooms of these (non-performing) teachers. And they will be in here with me and the three of us will be together and we'll tell these teachers.

Researcher: So the appraisal then does become part of the disciplinary process?

Principal: Yes. But only then. And they know definitely when it's happening.

Furthermore, a senior staff member noted:

Teacher: That's how it first began. A need to give collegial support, a need to help each other. But at the same time, there was another message coming through that was actually being articulated, and that was that we no longer have inspectors, we no longer had inspections and grading, and we needed to cover that aspect as well. So that in actual fact by going through this process that I've described earlier, the senior teachers would be able to report to the Principal or to have that knowledge of how that teacher was performing.

Researcher: So it was formative and summative?

Teacher: Yes. And for some teachers threatening because we had great difficulty coming to terms with the assessment part and the support part of appraisal. I'd seen appraisal defined, taking out the middle, bit as praise. That it should be entirely supportive, that you go in there to look for the good things and support the teacher, and you do it sensitively and carefully. Fine, but we were also being given this idea that we were acting as inspectors too, that we've got to discover the incompetency in teachers if it's there, that we may be part of the process of getting rid of incompetent teachers.

Although therefore, the principals take over the performance appraisals for competency cases, this initial linkage could understandably cause concern to teachers.

Several teachers noted reasons for Performance Appraisal in addition to the lists provided in the questionnaire, and these are contained in Appendix D.

### Introduction and Training of Staff

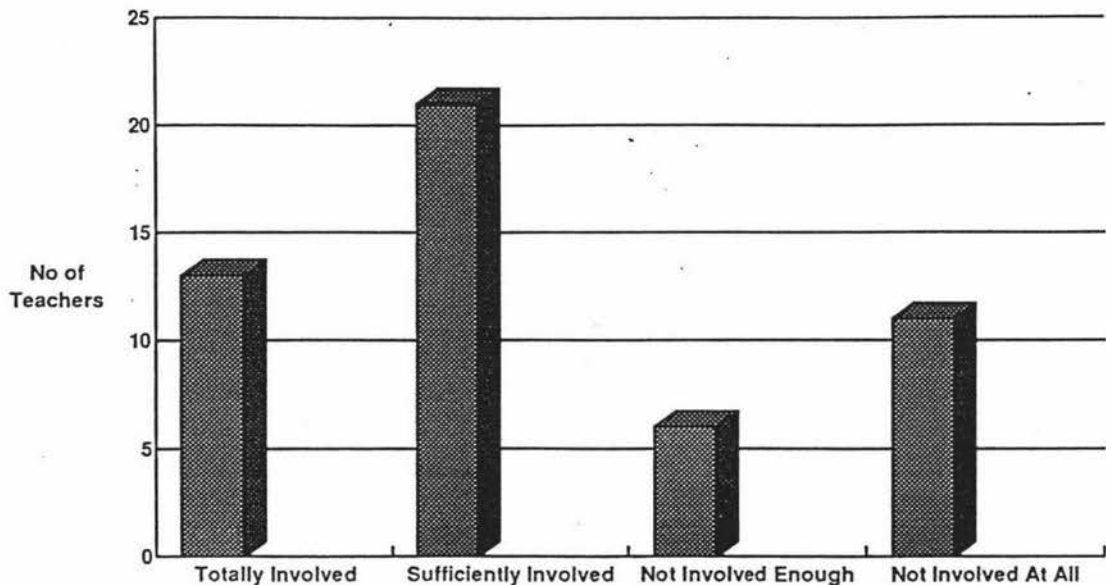
The literature review established that the second critical stage of the implementation of performance appraisal is the introduction to, and training of, the staff. The following three questions examined next were designed to survey this stage.

1. How do teachers rate their involvement in setting up the appraisal systems in their schools?

Three schools all adopted a very gradual approach to the introduction of performance appraisal, with two of them using the senior staff as "guinea pigs" in trialling the system. School Four has acknowledged that their haste to implement a scheme caused problems. The schemes were in fact introduced to all the schools by the principals and senior staff, but the scale A staff generally felt totally or sufficiently involved with the introduction (figure 4.2).

**Figure 4.2**

#### TEACHERS' INVOLVEMENT IN SETTING UP THEIR SCHOOL APPRAISAL SYSTEM



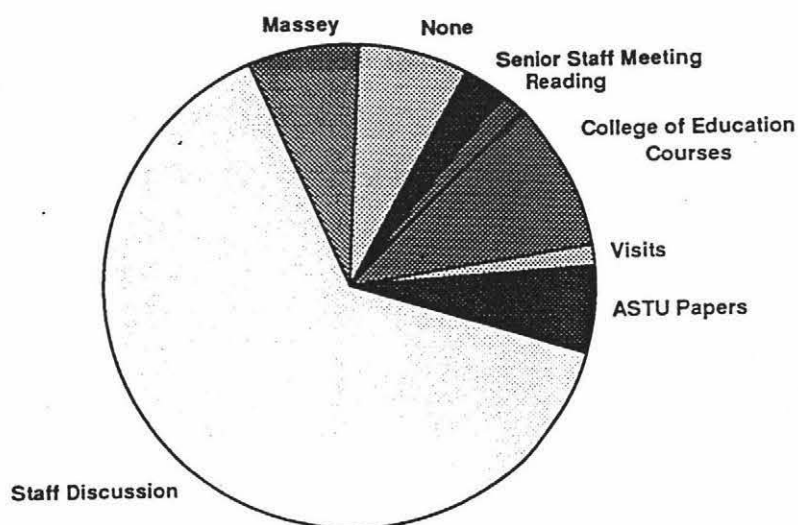
Only six of the 55 teachers surveyed (10.9%) felt they were not involved enough and of the 20% who stated they were not involved at all, some were not in the school at the time of introduction of the performance appraisals.

2. What training for performance appraisal did the teachers receive before their first interview?

None of the schools involved used outside consultants for training their staff for performance appraisals. The training the staff did receive was distributed according to Figure 4.3.

Figure 4.3

TRAINING RECEIVED BY TEACHERS FOR PERFORMANCE APPRAISALS



Training from agencies outside the school was limited to senior staff and Year 2 teachers (that is, teachers who would still have been undergoing training at the College of Education or University). This outside training can be divided as follows:

*Massey University papers taken by:*

- 1 deputy principal
- 1 senior teacher
- 3 year 2 teachers

*ASTU (Advanced Studies for Teachers Units) taken by:*

- 1 deputy principal
- 1 senior teacher
- 2 Scale A teachers

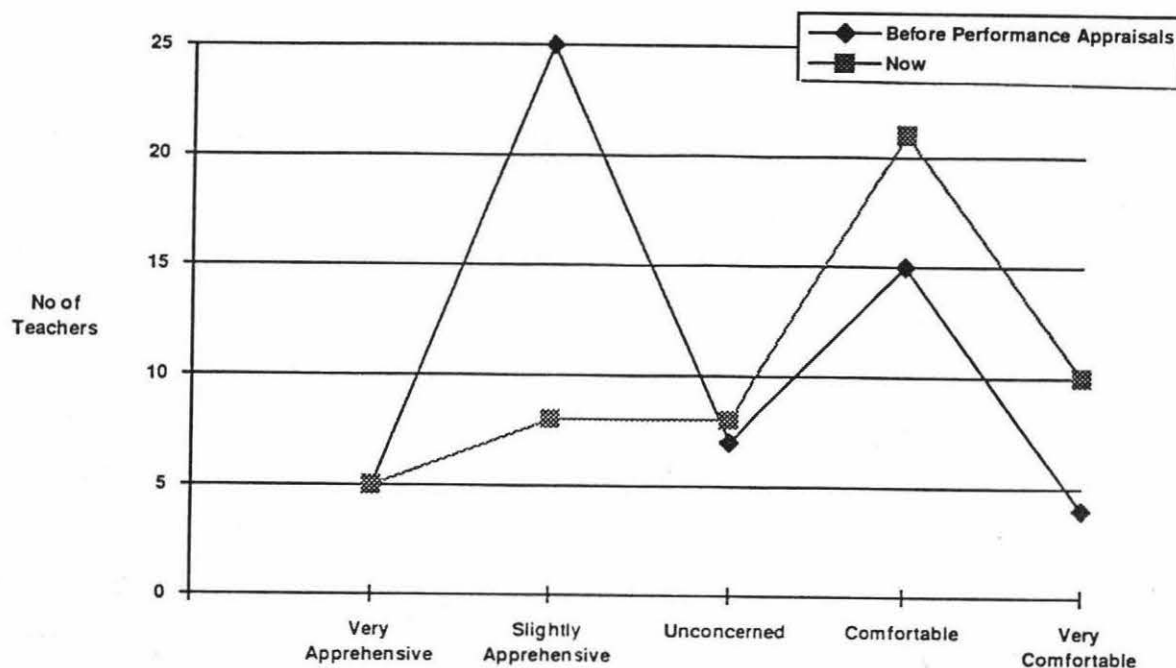
*College of Education short course taken by:*

- 2 assistant principals
- 1 deputy principal
- 4 senior teachers

3. How did teachers feel prior to their first experience of performance appraisal?

Many teachers understandably felt slightly apprehensive before their first performance appraisal interview, Figure 4.4.

Figure 4.4

TEACHERS' FEELINGS ABOUT PERFORMANCE APPRAISAL

This apprehension does not appear to be linked to the quality or kind of pre-training they received. For example, of the 25 teachers who noted they were slightly apprehensive at the start, 8 (32%) had taken ASTU or Massey papers, or attended College of Education short courses or had visits to other schools. Of the 15 teachers who rated themselves as quite comfortable approaching their first interview, five (33%) had had similar training.

Figure 4.4 also indicates that this apprehension decreases after the teachers have experienced performance appraisal.

SUMMARY OF THE ANALYSIS OF PART A RESPONSES

The majority of teachers (90% or more) feel that performance appraisal should be undertaken for developmental reasons, but a surprising proportion (20%) believe that it

is also serving a summative purpose, being used to discipline teachers and/or give rewards. The point at which performance appraisal is separated from competency procedures may be a factor which contributes to this confusion. In one school, many teachers were really unsure of the purposes for which performance appraisals were undertaken and the reason for this uncertainty will be discussed later.

The training of teachers for performance appraisal was limited to staff discussions for the majority of teachers. Massey and ASTU papers were undertaken and a short course at Palmerston North College of Education was attended by a small number of mainly senior staff and Year 2 teachers during their teacher training.

The performance appraisal schemes were introduced to staff by the principal and/or senior staff but despite this, and the general lack of outside training, the teachers on the whole considered they were sufficiently involved in the implementation of the system in their schools. More than half of the teachers felt slightly apprehensive before their first appraisal but this fraction reduced to a quarter when they became familiar with the process.



## **RESPONSES TO PART B OF THE QUESTIONNAIRE**

Part B of the questionnaire covered the performance appraisal process itself and was divided into three parts:

- before the interview,
- the interview,
- the follow-up to the interview.

In three of the schools the appraisals are undertaken under their hierarchically organised systems; the principal appraises the senior staff who in turn appraise the teachers in their syndicates or teams. In School One the appraisal can be by any member of staff who is considered to have expertise in the topic chosen for development, so it can be the principal, a senior staff member or a Scale A teachers.

No school had any set documents for use before, during or after the appraisal. The only requirement in each school was a written report of the appraisal, prepared by either the appraisee or the appraiser. Each party retains a copy, and one copy is given to the principal. All four principals reported the progress of the appraisal process in their schools to their Boards of Trustees but individual appraisal reports were not made available to the Boards.

## **PREPARING FOR THE INTERVIEW**

### **Choosing the Appraiser**

Only two of the 55 teachers surveyed indicated that they had chosen their appraiser. These two teachers were from a group of three teachers in School Four who had operated the process on a collegial basis, taking turns at the leadership role.

Of the other teachers, seven (12.7%) spread across all four schools, would have preferred another appraiser. Three of these staff members had been appraised by the

principal, four by senior staff. Of these seven teachers who would have preferred another appraiser, six were women and one male. The overall ratio between men and women in the survey is 1 to 4.5, so there is a slight bias towards more women who would prefer another appraiser, but the figures here are too small to be significant. It would, though, be worth further research.

### **Agreeing the Agenda for the Meeting**

Whereas 42 (76%) of teachers agreed the agenda/discussion topics/plan for the meeting verbally, only 21 (38%) did so in writing. This differs somewhat from the appraisers' views of the proceedings (Section D of the questionnaire), where 89% confirmed a verbal agenda was agreed and 73% thought a written agenda had been prepared.

### **Collecting Data for the Appraisal**

The survey revealed that 85% of teachers reviewed their own achievements before their appraisal, but only 50.9% collected data about their performance beforehand. This data consisted, in the main, of evaluations, planning notes, unit plans, children's records, minutes of team and syndicate meetings and anecdotal records. In School Three where the PDC operated, teachers also collected data relevant to the personal development undertaken, for example assignments completed for Massey papers, examinations passed.

Much more surprising however, was the fact that only 38% of appraisees felt that their appraisers had collected data about their performance before the meeting and only 14.5% acknowledged having seen any data. This view conflicts with that given by the appraisers in Section D of the questionnaire. Here, 78.9% of the appraisers said that they had collected data about the appraisee before the meeting and 57.8% claimed that the appraisee had, in fact, seen this data.

The appraisees considered that the appraisers had relied a great deal on informal classroom observation, what Crane (1975, 4) calls "Merry Pop Ins"; supervisors "popped in on friendly visits to see how things were going". They also thought they had used

children's work, records of student achievement, syndicate or tutor teaching meeting minutes and unit evaluations. In School One data was collected formally in in-class supervision sessions looking at the criteria set at the first meeting.

The appraisers listed similar data, both informal and formal observations or "sensitive teacher observations", observing teachers at staff meetings and courses. One appraiser had decided that "I intend doing a little more homework this time around".

## THE INTERVIEW

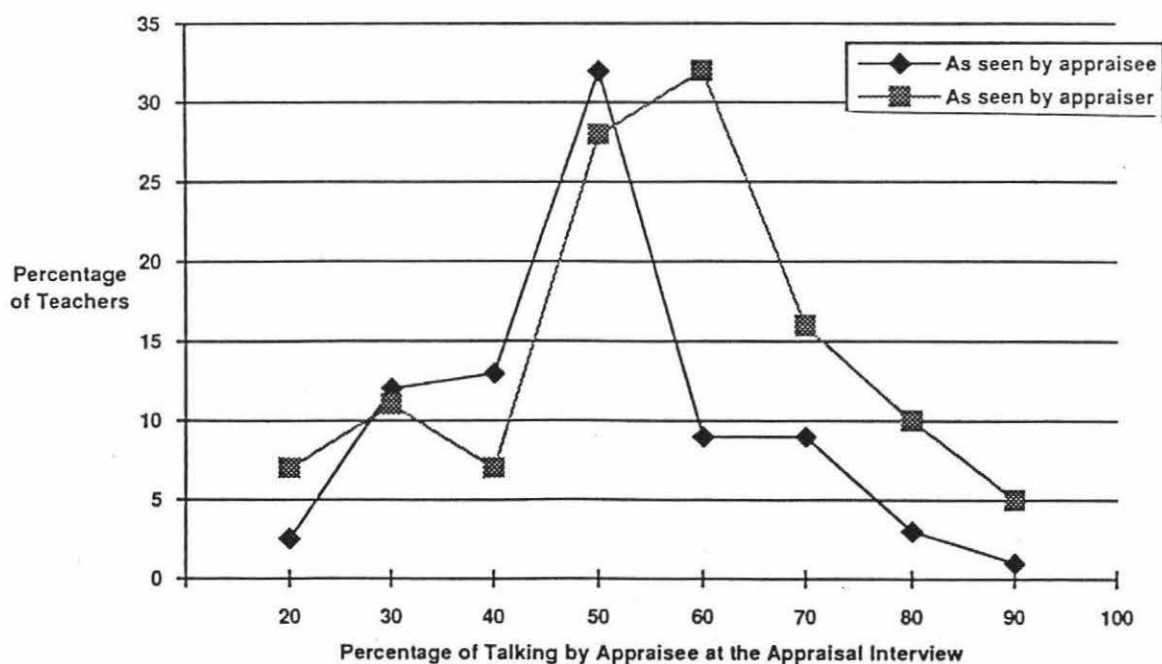
### The Environment and the Conduct of the Interview

Overall, the appraisees had no problems with the performance appraisal interviews themselves. 90.9% were comfortable with the interview environment, although one appraisee said that a classroom after school was not the best place, as they were disturbed a lot. 87.3% of appraisees felt able to put their point of view and 87% felt there was sufficient time for the interviews. It must be noted, however, that most of these appraisal interviews are carried out after school closes, some even at weekends in the homes of some teachers. The funding does not stretch to release teachers for the interviews in school hours, in most cases.

The figures given for the estimates of the percentage of talking done by each party at the interview were most surprising.

Figure 4.5

#### PERCENTAGE OF TALKING BY APPRAISEE DURING INTERVIEW



This indicates that 72.7% (40 out of 55) of the appraisees involved did 50% or less of the talking at the interview. This figure could also be interpreted as indicating they listened more than they talked! This contrasts with the views of the appraisers, collected in Section D (see Figure 4.5). They considered the interview was balanced much more in favour of the appraisee.

### **Feedback Given at the Interview**

Responses to the questions regarding feedback given to appraisees generally indicated little surprise or controversy. 90.9% were given positive feedback, and 25.4% received some negative feedback, but only 9.1% of teachers expressed surprise at this negative feedback.

There was general agreement between appraisers and their appraisees as to the professional development needs of the teacher concerned. 83.6% of teachers considered their own requests for professional development were accepted and only 5.4% were not in agreement with professional development suggested for them.

These figures correspond with the appraisers' views of the interviews (Section D of questionnaire), where 84.2% felt they had given positive feedback to everyone. One appraiser who said they gave no positive feedback qualified this by explaining that the appraisal was carried out and written up jointly.

36.8% of the appraisers said they gave no-one negative feedback, 31.6% gave negative feedback to some teachers and 15.8% gave some negative feedback to everyone. The distinction was made by some appraisers that this was either "constructive criticism" or "given in a positive way". One enthusiastic appraiser wrote regarding negative feedback:

There was no need. I found the team to be totally professional. All members were aware of shortcomings in relation to meeting self-set objectives and the reasons for not achieving them, and how to rectify and develop to the next stage.

He was not alone in acknowledging that appraisees usually recognised their own needs.

### AFTER THE INTERVIEW

#### Were Written Reports Prepared?

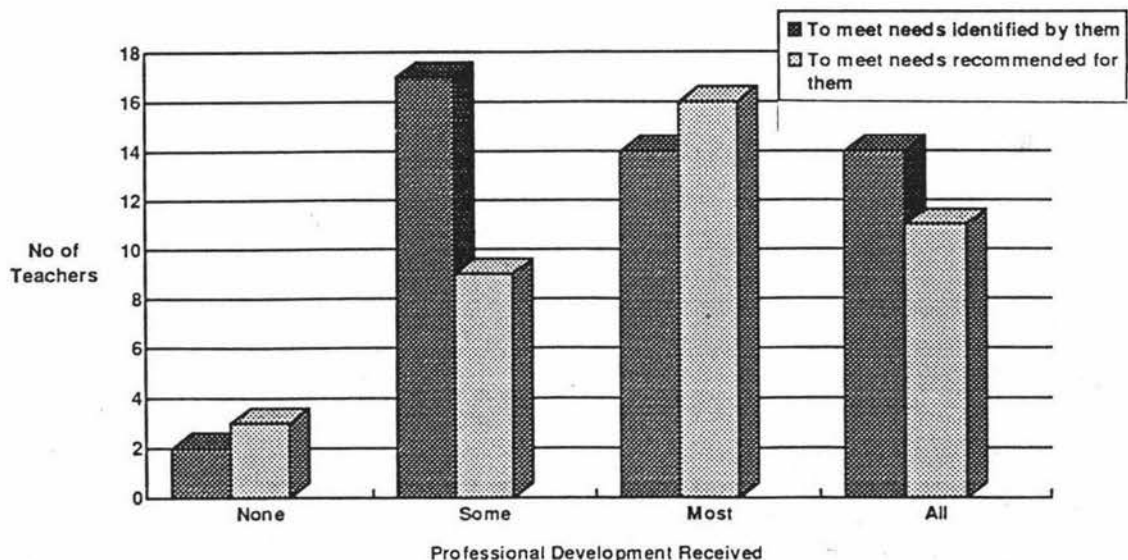
The teachers were generally confident that written reports were prepared of their appraisal interviews (92.7%), but comments indicated that teachers were not always sure what happened to these reports. Most "assumed" the principal kept a copy and the concept of confidentiality was not a concern.

#### Professional Development Received as a Result of the Appraisal

Figure 4.6 shows that only a very small number of teachers had none of their needs met. There was little difference between the opinions of the appraisees and appraisers on this question.

**Figure 4.6**

#### AMOUNT OF PROFESSIONAL DEVELOPMENT RECEIVED BY TEACHERS



The teachers who felt that their needs had not been met came from School Two which allocated funding for professional development on a syndicate basis. The trend in that school was that personal professional development needs were not perceived by the staff as having been met as well as school or syndicate needs. This was part of the explanation for the fact that this staff does not consider their performance appraisals to have been particularly worthwhile nor have affected their teaching.

Comments included:

... it's just a task that is completed each year as part of the running of the school ... I have seen no action (as a result of my appraisal).

... I don't think it did anything to help me or improve anything. It was just done and that was it.

It was felt by some teachers in School Three that there is some "persuasion" for staff to undertake Massey study or ASTU papers for their professional development. One staff member suggested that whereas the ASTU paper for computers, which was taken by a large number of staff, was paid for by the school, other papers chosen by staff themselves are funded by them. The suggestion was it would give a good impression for future ERO visits. Another person commented:

I believe there is subtle pressure applied to make staff take on extra study (Massey, ASTU papers) because the principal believes it to be the most important "measure" of competency.

### **The Form of Professional Development Received by Staff**

Figures 4.7 and 4.8 show the different types of professional development received by staff.



Figure 4.7

PROFESSIONAL DEVELOPMENT RECEIVED  
TO MEET NEEDS IDENTIFIED BY APPRAISEES

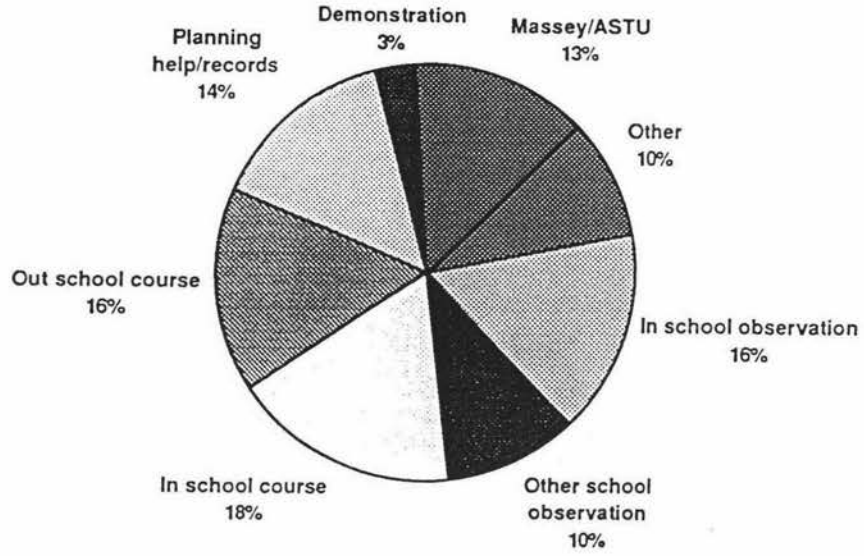
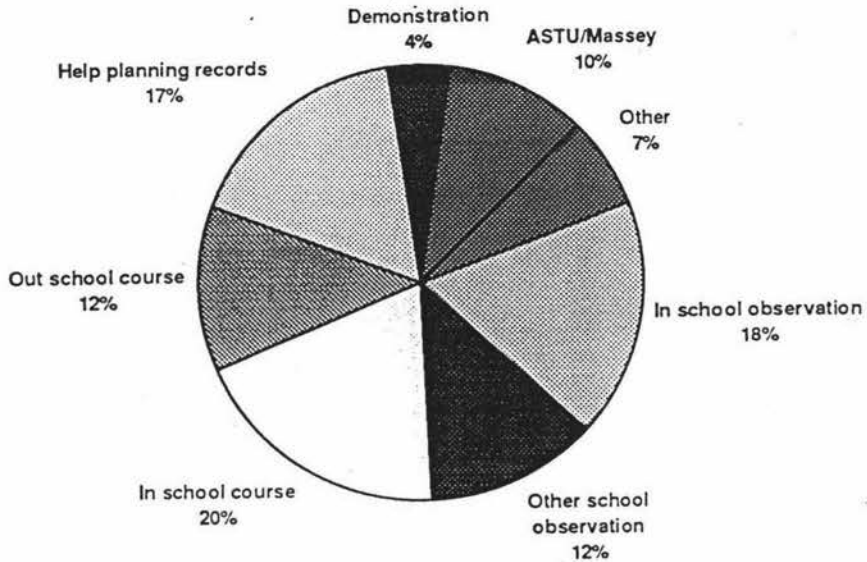


Figure 4.8

PROFESSIONAL DEVELOPMENT RECEIVED TO MEET  
NEEDS IDENTIFIED BY APPRAISERS



These figures show similarity of professional development received by teachers to meet their own identified needs, and those specified by their appraisers. Nearly half (47%) of professional development involved courses or University/College of Education study.

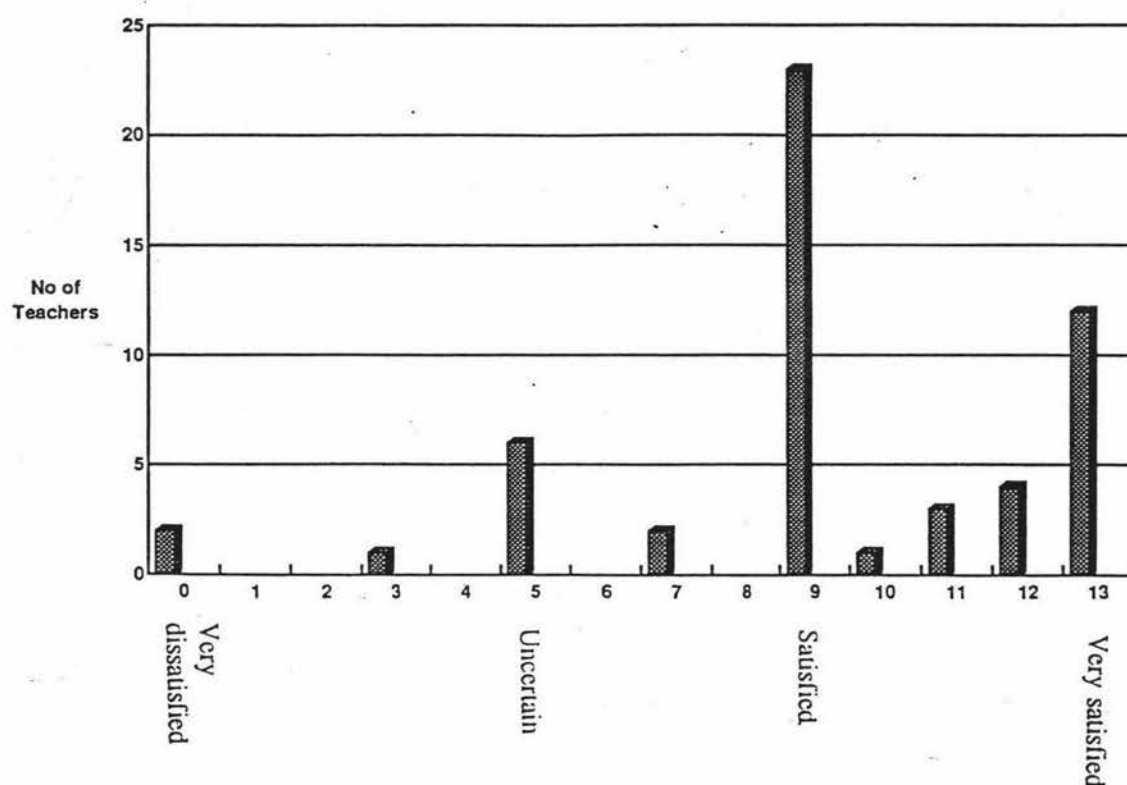
Other types of personal professional development received by teachers included discussions and sharing information and ideas/resources with other staff, visits by district advisers or outside "experts" and visits to the library or being given reading material relevant to their needs.

### Teachers' Feelings After the Appraisal

Figure 4.9 indicates that the majority of teachers felt satisfied after their last performance appraisal, but 20% felt less than satisfied.

Figure 4.9

#### TEACHER'S FEELINGS AFTER THE APPRAISAL



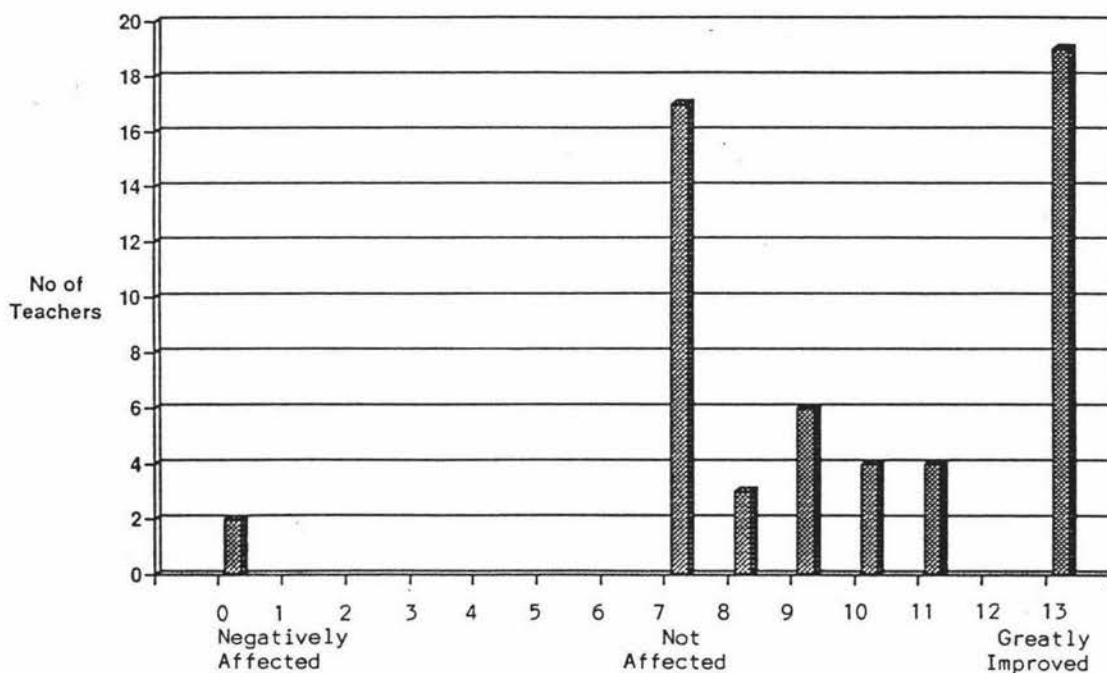
These figures correlate well with the teachers' views on whether they felt that their performance appraisals had been worthwhile, which showed that:

- 44 (80%) felt they had been worthwhile
- 6 (10.9%) felt they had not been worthwhile
- 2 (3.6%) said yes and no
- 3 (5.5%) gave no opinion

However, these figures do not show such positive feelings when teachers were asked how performance appraisals had affected their performances as teachers.

**Figure 4.10**

**HOW PERFORMANCE APPRAISAL HAS  
AFFECTED YOUR PERFORMANCE AS A TEACHER**



This shows that a surprising 17/55 (30.9%) of teachers felt that their performance appraisals had not affected or negatively affected their teaching, which is of concern when one considers that this was considered by 90.9% of staff to be a primary reason for carrying out the process.

Comments made by the staff indicate some reasons why they do not consider their performance to have been positively affected by the appraisal. Firstly, some staff considered that the appraisal threw up little that was new or that their appraiser knew too little about them to have effect.

No real need to change my programme as everything was satisfactory.

Appraiser indicated she felt inadequate in appraising my performance.  
(Appraisee was very experienced, older person.)

I just continued to implement a class programme.

I don't feel my appraiser knows how I teach or how I do my job.

(Name) had only positive things to say about me so I continued in the same vein.

Secondly, there were those teachers who felt that the course or study papers they had chosen to take, had had more effect than the appraisal.

Mine have been basically out of school development, paid by me, therefore my own choice.

The appraisal didn't really affect my performance, but the course did.

I don't feel my actual appraisal has affected my performance greatly. The appraisal was very supportive. Other factors such as inservice courses etc have had a far greater effect. I felt positive about the written appraisal.

The third group of teachers felt that the self evaluation they engaged in was of more importance than the actual appraisal itself.

I did some self evaluation and decided to continue with self improvement I had begun since I arrived in this school.

It's a good time to sit, reflect, evaluate and set goals as to where one wants to go next. It's a 'self-improving system'.

Self motivation more. The appraisal was more "What am I doing?" not "Where are you going?"

This identification of the worth of self-evaluation in the appraisal process is a noticeable trend which emerges from teachers' comments as to whether the appraisal was worthwhile. It would also account to some degree for the discrepancy between effectiveness and worth of the system.

(It was worthwhile) for the self evaluation. I had become complacent. I now realise this.

Made me stand back and take a really long look at myself and my effectiveness in a leadership role. Made me conscious of being more assertive and confident in what I believed in and not to back off just because my opinion differed from my appraiser.

I always respond to criticism thoughtfully. I reflected on the comments and responded in those areas that had some validity.

The other major factor which emerged from the comments concerning the worth of appraisal was that it increased the appraisee's self esteem. Teachers know the value of building up the self esteem of their students, but in the past have had very little acknowledgement of their own achievements. Performance appraisals gave them positive feedback, which they enjoyed.

Major piece of positive feedback for the year, in fact the eight years I've been here.

Good for the self esteem, knowing that my performance was worthwhile and appreciated. Non-threatening suggestions for minor improvements.

Made me feel good to receive feedback on my achievements.

I feel more confidence in myself as a teacher with the positive feedback and the constructive suggestions have helped me "grow" and develop more skills. This in turn benefits the children.

I felt I had achieved something practical and worthwhile for myself. I know my class benefited.

The appraisers all felt that the appraisals had been worthwhile.

Because people appreciate tangible feedback.

Yes, because our object was to look closely at ourselves in order to become better teachers, children's needs first and foremost. We became a better team professionally. We capitalised on strengths of others and shared work together.

Gave an opportunity to formally recognise efforts of worth, gave an opportunity for syndicate members to clarify matters big and small. Honest exchange of views.

Some appraisers acknowledged the worth of the appraisal to them as well as to the appraisee.

Made me look at the subject in a much more in-depth light and see other people's thoughts and ideas. I feel more comfortable with the subject and I have grown in my knowledge. A very worthwhile experience.

They give us the time/opportunity to put ourselves and team members under a microscope for a short period - it's healthy to do a self appraisal and I think this happened before and after each appraisal session, me and them.

Appraisers were generally positive in their responses to the question whether the teacher's performance had been affected by the appraisal:

They have improved. They are all very self-motivated people anyway.

Encouraged - independence, self analysis and reflection, a collaborative climate.

However, some appraisers cautioned that some teachers are resistant to change, especially in their attitudes.

From unchanged to significant attitudinal change.

Positive to development in one case. Some but not much development progress in the other.

Some have taken the ideas and worked hard. Attitudes have changed in some teachers.

### **The Effect of Appraisals on Relationships**

A very strong feature of the schools I visited was the very close collegial spirit in all of them. Performance appraisals would have the potential to damage these relationships if mishandled. However, the questionnaire showed that 41 out of 55 teachers (74.5%) considered that their relationships had not changed, and in fact 9.1% thought the relationships had improved.

My respect for his professionalism continued to increase.

An easy person to relate to, who listened well and gave pertinent advice.

Only 9.1% considered the relationship had been damaged by the appraisal and cited a lack of trust as the cause.

I don't *trust* my appraiser. Aware of hidden agendas. Feel he has preconceived ideas of what he wants to happen.

Seemed to set a barrier between us.

A bit more cautious now. I felt let down by someone I had previously respected a great deal. I felt I was unfairly treated.

(This teacher felt the appraisal by a senior staff member had been over-ruled by the Principal.)

### SUMMARY OF ANALYSIS PART B RESPONSES

Although the majority of teachers were satisfied with their performance appraisals, there were three major areas which, in light of the research, indicate concern:

- (a) Only 38% of teachers felt that their appraisers had collected data about their performance before the interview and only 14.5% acknowledged having seen this data. Consequently concern was expressed that appraisers did not have sufficient knowledge of the appraisee's performance to carry out the task of appraisal.
- (b) Of the teachers in the survey, 72.7% felt that they had done 50% or less of the talking at the interview, whereas the research (Day et al., 1987, 132) is clear that the appraiser should adopt the listening role in the interview. This would indicate more training is required for both parties, for the appraiser to develop listening skills and the appraisees to feel able to assert their roles.
- (c) Research (Bollington et al., 1990) also shows that the performance appraisal process is only successful if appropriate follow-up is given and the teacher's needs for professional development filled. Although the majority of staff received at least some of their targeted professional development, in one school the personal needs were perceived as being lost in the demands for school and syndicate needs. Some of the staff of that school were, therefore, unsure why they had performance appraisals.

Although 80% of teachers felt that performance appraisals had been worthwhile, 30.9% considered that the process had not positively affected their teaching performance, which is disturbing when 90% of teachers felt this to be a primary function of performance appraisal. The aspects of performance appraisal which were identified as contributing to its worth were the *self-evaluation* involved and the increase in *self-esteem* when achievements were recognised.



## RESPONSES TO PART C OF QUESTIONNAIRE

### Teachers' Suggestions for Improving the Performance Appraisal Systems in their own Schools

The major plea from staff was for more time to undertake appraisals within schools already drowning under a flood of administrative duties. Although the schools do try to set aside some release time for observations, it is minimal compared to the time which would be required to collect the necessary data and interview staff according to the research recommendations. Both appraisees and appraisers recognise this, without "blaming" each other. They commented:

I think that the time factor works against teachers appraising each other within a school.

More time available without having to have half a mind on other pressures - in school time pressures a no-no!

Time to fit in interviews around all the other happenings in the school.

*Time* to really reflect!!

Another noticeable trend was the recognition by many teachers that having a choice of appraiser, and setting up collegial groups, rather than being appraised in a "top-down" manner would be more fulfilling:

Having the choice of appraiser rather than having the choice made for me.

Yes - if people could negotiate who they worked with and why.

I feel peer and self appraisal should play a much larger role.

Self appraisal is for me more professionally fulfilling. Peer support, self analysis check lists, parent child feedback is most worthwhile.

Implement appraisal between teachers, not just top-down. We "visit" now but don't appraise.

Setting up teachers with like objectives so they can work together and share findings.

The effectiveness of small groups working in a collaborative fashion was borne out by the group which had already instituted this idea. They were totally positive of the worth and effectiveness of such a system. Where Scale A teachers had been involved as appraisers in School One, the process had proved beneficial to both parties and strengthened relationships between them.

The third point teachers recommended for improving their systems was the need for appraisers to have a better knowledge of their work (collect data) and the whole process should be more ongoing:

To be an "ongoing" activity - anecdotal and written in such a way that continual reference can easily be made to the "document" to assist with changes the teacher chooses to undertake.

This point is given added weight when the responses to the questionnaires by the Year 2 teachers are examined. They were in their first year of teaching when they had their performance appraisals and would have been appraised by their tutor teachers. They all agreed with the worth of their appraisals and cited the growth of a very strong professional relationship with their tutor over the course of the year. Admittedly, as new teachers they were very receptive to advice and support, but the relationship grew over the year.

#### Teachers Comments and Concerns about Performance Appraisals Generally

Generally teachers feel quite positive to this new concept of performance appraisal:

They're a positive part of the profession. The school as a whole benefits - very easy just to roll over from one year to the other - self evaluation very valuable before and after the interview.

It is an excellent way of making me set my objectives and set my responsibilities.

For me I think it's great. I think that the personal relationship between the appraiser and appraisee is vital. They have to feel really comfortable with each other. Trust is another big factor. I like it because it gives me the opportunity to question what I am doing to learn new ideas and methods about teaching from other people.

However, there were concerns about how the systems were likely to develop in the future and significantly these concerns return to the initial point of the survey, the reasons appraisals are undertaken:

I am concerned that appraisals are not used as a discipline stand, they should be non-threatening and teacher should have positives listed and points that need attention.

Some appraisals have been excellent but I feel personal feelings may come into school appraisal.

That it may evolve at some time into an unmanageable monster. At present it is (for me) an ideal balance between non-threatening achievability and an incentive to develop.

Concern about establishing baselines or benchmarks for teacher performance - compared to what? The need for "collective understanding" of what we are on about - common goals, shared vision.

### **Teachers' Definitions of Performance Appraisal**

The final request of teachers in the questionnaire was for a definition of performance appraisal. Their responses are in Appendix F and clearly indicate:

1. Teachers want to be told how well they are performing, with more than half the responses citing feedback as part of the appraisal process.
2. The appraisal must be carried out in a positive, supportive manner.
3. They want support for setting goals for personal professional growth.

The teachers in School Three, who called their system PDC rather than appraisal, tended to focus on their professional development, without any feedback on their overall performance.

The following definition of performance appraisal has been selected as perhaps best supporting the findings of this research:

A confidential, professional, interactive review of one's work and where one can go from there to best suit and develop needs of children in the school.  
A statement which should improve one's performance.

### **SUMMARY OF PART C RESPONSES**

Teachers in this study regarded performance appraisals as a positive experience which would help their professional development. They expressed genuine concern at the lack of time available to enable both parties, appraiser and appraisee, to undertake the task properly.

More emphasis should be given to self and peer appraisal, in preference to "top-down" appraisal.

Teachers in the study do have concerns that the purposes of performance appraisal are not sufficiently established and the future development could involve using the system in disciplinary matters.

5.

## DISCUSSION AND CONCLUSIONS

*The discussion of the results of this study acknowledges that the performance appraisal schemes in these four schools are still very much in the developmental stage, but the small percentage of their teachers who now have concerns about aspects of their systems indicate a potential for conflict. Reasons for this conflict are shown to be confusion over the role of the principal as collaborative leader or manager, the lack of clear guidelines on performance appraisal to schools and the lack of training for all staff, which is considered to disempower teachers. Discussion of the failure of performance appraisal to affect the teaching practices of a significant minority of the teachers in the survey is followed by examination of their more positive opinions of the worth of the system. Teachers indicated they valued the system because of their self-evaluation and peer support. The researcher suggests this would indicate teachers were reclaiming their professionalism, a point which is further supported by the fact that the teachers in this survey were willing to be professionally accountable to their principals or peers, rather than contractually accountable to their Boards of Trustees. The main points are listed to show how this research has supported Bates' (1988, 35) statement about conflict. Finally, recommendations are made, as a result of this study, to maintain performance appraisal as a useful management tool, and suggestions made for further research.*

Performance appraisal is a new management tool which has been introduced to New Zealand schools under the reforms to the administration systems of education undertaken in the last five years. There has been little funding set aside for either research or training to enable schools to cope with this very important procedure. A prescription of matters to be taken into consideration by employers (Boards of Trustees) in assessing the performance of teachers, which has been prepared for the Ministry of Education

under the State Sector Amendment Act of 1989 has not, at the time of writing (November 1993) been released to schools.

Although the legal obligation to undertake performance appraisal is part of the Board of Trustees' responsibility, like so many other parts of the educational reforms, the actual task of carrying this out sits with the principals and the teachers in the schools.

Life in today's schools is so busy, stressful and demanding for teachers that they do not often have time to reflect upon the changes they have made under "Tomorrow's Schools", to consider their worth or effectiveness. When the researcher appeared in the schools with a questionnaire, and took their classes for thirty minutes, the teachers were given an unexpected opportunity to think about the performance appraisal systems they had set up and developed.

In doing so they demonstrated their integrity, their knowledge and their professionalism. Many teachers told the researcher they had never before taken time to consider their feelings on appraisal. In fact, one very senior member of staff wanted:

More time to reflect with staff as to how we go about appraisal and decide as a school on Professional Development. With 24 staff it is harder to get the whole picture without these times.

The OECD (1988) report on performance appraisal considered it took between five and ten years to establish a satisfactory system. All the schools consider their schemes to be developing and they are all trying to establish the right climate and culture to enable this development to continue. It would seem therefore that this research has taken place at an opportune time, both for the schools in the study and schools generally. Their schemes are sufficiently developed to show useful features, but not so far advanced that damage may have been caused by instituting ineffective and counterproductive systems.

## THE IMPLEMENTATION OF PERFORMANCE APPRAISAL

The review of the literature on performance appraisal indicated there were two critical stages to the *implementation* of performance appraisal and this study looked at each stage.

### (a) Deciding the purposes of performance appraisal

The teachers in the study generally saw performance appraisal as being a developmental, formative process:

90.9% of teachers in the survey believed it should be carried out to improve their performance in the current job;  
 94.5% to help with the staff development, planning and training, and  
 90.9% to improve the learning and teaching in the school.

Only 9.1% of staff in the survey felt that performance appraisal should be used for providing information to management for rewards and promotions, and 5.4 to provide information to discipline teachers.

This would be in line with the recommendations of their union, the New Zealand Educational Institute (see page 27) and with the recommendations of the World Confederation of Organisations of the Teaching Professional Conference in 1988 (see page 26). It would also be supported by much of the overseas research quoted in chapter 2.

However, there was a noticeable change in these figures when the staff were asked how performance appraisal was being used in their school (page 67). There was a slight decrease in the percentage of teachers who saw it being used formatively, but more importantly there was a noticeable rise in those who saw it being used to discipline teachers or used for merit purposes. A very surprising 20% of staff felt it was being



used in this way. One fifth of teachers in this small survey felt that performance appraisal may be used against them or their colleagues in the continuance of their careers. They felt threatened by the process.

Such a high percentage of teachers who identify a conflict between their desired purposes of performance appraisal and their perceptions of the actual uses of the process is cause for concern. One reason for this conflict is highlighted by this research. The researcher began in each school with an interview with the principal to ask for an explanation of the scheme that their school is operating and how it was introduced. The staff who felt most threatened by performance appraisal came from Schools One and Four. In these schools the principals, whilst stating they were able to differentiate clearly between the incompetency procedures agreed in the Primary Teachers' Collective Employment Contract, in fact did not seem to be making that distinction clear, either to themselves or to their staff.

In School One, the principal began performance appraisal by allowing the teachers to develop their own methods, to see what worked for them. Later, the staff considered the principal made changes without consultation with them. Comments by the principal did in fact confirm a change in view of performance appraisal.

I think personally that only now this year and next year will people really start to realise that appraisal's getting a bit more serious. I think that, this is what's my personal viewpoint, that everyone's been playing around with it for two or three years and the ERO visits that are happening now are really going back to the old inspections. That's my view from what I can tell about it. I'm looking at accountability of teachers.

Not only is performance appraisal being used in the preliminary stages of incompetency in this school but the principal stated

But there would have to be a warning written in if there weren't developments by the end of March.



In fact, in that school, the teachers were already feeling that "This is the day the axe falls" (page 61) when they had their appraisal, and "a lot of staff were paranoid about heading to the (Principal's) office at that stage". By developing more peer appraisals and support networks among themselves this staff are trying to overcome this threatening side of the process. This will be discussed more fully later.

This linkage of performance appraisal with incompetency proceedings was also made by the principal of School Four (page 72). This school had the greatest percentage (43.75%) of staff who felt that performance appraisal was being used for discipline or merit purposes. The principal there was seen as favouring merit pay (page 69) and, in fact, stated in regard to a senior teacher doing a good job

"There are a lot of benefits from it aren't there? And the satisfaction of the kind of job she is doing. But I mean it would be nice to give her a few thousand a year as well."

They had also initiated an unproductive experiment to try to work out a performance appraisal scheme in anticipation of bulk funding and the repercussions of the arguments which ensued from that were still seen (see pages 68 and 69).

The principals in Schools Two and Three were strongly of the opinion that performance appraisal was a developmental, formative process. They had made a clear distinction between incompetency and appraisal. In School Three, although it was perceived by one staff member as being used to "move out" teachers (page 68), an appraiser in that school confirmed that the matter was taken out of her hands when it became a competency concern. The principals in these two schools appeared to be working in a collegial fashion with their colleagues.

The principals in Schools One and Four, however, have become "pig in the middle" as Alcorn (1989) predicted. They are using performance appraisals for both summative and formative reasons, and, as the literature review indicated, even business organisations find this an unproductive process. These principals have difficulty in discriminating clearly how they see their teachers; as professionals working in a cultural strategy of

control or as workers, to be judged and rewarded and/or disciplined in a business organisation.

It is not surprising that these principals have this confusion. The British experience, over regulation 14 (see page 23) should have been a salutary warning but instead there was no centrally funded research in New Zealand in the early years of "Tomorrow's Schools". It is not only principals who are receiving mixed messages about performance appraisal and its purposes. Teachers, too, need clearer guidelines from their unions and the government. Furthermore, the prescription for performance appraisal contained in the State Sector Amendment Act of 1989 has still not been released by the Ministry, although the parties consulted have submitted a report to the Ministry of Education. It would indicate a politically motivated agenda paralleling the British experience.

The second critical stage of the implementation process was

(b) **The introduction to, and the training of, the staff**

Although the schools all took time to introduce the process into their schools, the training undertaken, apart from in-school discussions, was on the whole confined to the senior staff who were to carry out the appraisals (see page 76). There has never been any specific funding allowance made to schools to cover performance appraisals and the schools, which were all hierarchically organised, took the approach that by sending their senior staff on courses, they would then be able to begin the appraisal process with them and allow the information so gained to permeate through to the basic grade staff. Bollington et al. (1990, 9) were emphatic that the British studies had shown the need for equal training of all staff. The schools were not given specific funds for performance appraisal and as Cardno (1990, 82) said, tend to do things on an ad hoc basis. Although the majority of staff thought they had been sufficiently involved in the initial stages of the process, they were in fact disempowered by this lack of training. This manifested itself in several ways, although the apprehension felt prior to their first appraisal could not be correlated with the amount of training. It was evident, however,

when three aspects of the actual performance appraisal process were examined in Part B of the questionnaire. These three aspects were:

i Estimated percentage of talking by appraisees

Teachers were asked to estimate the amount of talking they did at their interviews. A surprising 72.7% of teachers felt that they had done 50% or less of the talking at the interview. This would indicate that neither appraisee nor appraiser is really sure of their relative roles and both need to acquire more skills of listening, questioning and interviewing. Day et al. (1987, 132) devoted nearly a whole chapter of their book "Appraisal and Professional Development in Primary Schools" to the listening skills needed by the appraiser in the appraisal interview. Commenting that teachers generally "spend more time talking to pupils than listening to them", they emphasise that:

For the interview to be successful there is increased responsibility on the appraiser to display effective listening behaviour. While improved listening skills will benefit all human interactions they are particularly essential in the sort of professional relationship where it is important for one of the partners to share perceptions, concerns, worries and frustrations, and for the other to be the helper, listening to and encouraging the other to explore the issues and concerns.

(Day et al., 1987, 132)

ii Preparation for appraisal interviews

This lack of training is also evident when staff responded to the questions concerning the preparation for the interviews. Only 38% of teachers felt that the appraisers had really collected (or had the time to collect) sufficient data to make a knowledgeable assessment of their performance. The availability of release time for appraisers, who usually have large teaching commitments themselves, is at a premium. Schools readily acknowledge the need for this release time, but claim that budgets do not stretch that far. Without it, however, the process loses its value, as teachers lose confidence in the ability of their appraisers to help them improve their performance. Equally important is the fact that teachers themselves did not realise the importance of an appraisal based

on fact. Only 50.9% considered they had collected data about themselves before the meeting.

### iii The time and place of appraisal interviews

A third point that indicates a lack of training is evident when one looks at the interviews themselves. In most cases the interviews were held at the end of the teaching day, and in some cases in the weekend or in the evenings. They were held in busy classrooms with too many interruptions, or in staff rooms. Again, a lack of funding would be cited for this situation, but to treat their staff as professionals able to take part effectively in a valued and valuable process, schools must have funds for training and release time. With sufficient training, teachers themselves would have recognised and asked for sufficient time to carry out the process. In fact, this research has raised the awareness of staff in these four schools sufficiently to enable them to question the future direction of performance appraisal (see page 96).

### The effectiveness and worth of performance appraisal

The final part of the literature review (page 45) concluded that performance appraisal would only work if teachers owned it, believed in it, and were committed to it. Perhaps the most surprising aspect of the research was the staff views on performance appraisal, its effectiveness and worth.

Although teachers in this survey were generally satisfied with their performance appraisals, 20% of staff reported that they felt less than satisfied after their last appraisal. This is of concern, particularly when a surprising 30.9% of staff felt that their teaching performance had not been affected by their appraisal. This, despite the fact that one of the primary reasons for performance appraisal had been identified as improving individual performance!

This perception of failure to improve performance can be linked to several factors. Firstly, the lack of skill by appraisers to help teachers see the need for any change was

noted as a reason teaching performance was unchanged. In some cases teachers felt the appraiser had a lack of knowledge of the appraisee's performance, but other staff felt that everything had been "too positive" and they were given no directions for change. Secondly, the need for aftercare or follow-up was noted as being crucial in effecting a change in performance. In one school, where the personal professional development was included in the syndicate and school needs, only 53.8% of teachers felt their performance had been affected. Bollington, Hopkins and West (1990) considered that the credibility of the process depended on the aftercare policies. Thirdly, other staff, in other schools, felt that their self-evaluation and their own choice of courses for professional development had been more effective at bringing about change in their performance than the appraisal process itself. 80% of teachers felt that the performance appraisal had been worthwhile, particularly because of the self-evaluation they had undertaken for the appraisal.

This trend to value self-evaluation more highly ties in with the thinking of Ker (1992, 32), Smyth (1989, 57) and Sergiovanni (1992, 41) quoted on page 42 of this thesis, where teachers are considered as professionals who must critically examine their own practices rather than be hierarchically judged. In this small survey a significant minority are already claiming this right by using the appraisal processes as an opportunity for self appraisal, rather than be judged by others. One teacher commented

And therefore I tend now to accept what's being given to me and find my strengths in my own assessment and in my own evaluation. And I think, well that's only an opinion, don't get uptight about it, you know where you are going. You know, continue along your lines.

They are attributing the benefit to their teaching to come from this self appraisal rather than the appraisal interviews or processes themselves.

Finally, there was a noticeable trend for staff to suggest a different type of appraisal would have more effect on their performance. Three of the four schools in the research operated their appraisal schemes on a hierarchically based (top-down) model, where the principal appraised the senior staff who were then responsible for their syndicate/team

teachers. It was this organisation that Gitlin and Smyth (1989, 24) took issue with (page 40). Although only a very small minority (12.7%) of teachers claimed they would have chosen another appraiser, given the choice, there was a noticeable trend in the responses of staff to identify peer/collegial support as being of greater value in improving teaching performance. As professionals, they are willing to be professionally accountable to their peers. The value of peer appraisal was recognised in cases where it was already operating in small groups, or as in School One, where basic scale teachers act as appraisers. In School Four, where so many staff disagreed with the main appraisal scheme, because of the purposes they perceived it was serving, a small group of teachers had operated a collegial-peer system, which they found highly successful and rewarding. They had, in fact, formed "a critical community" as Retallick (1983, 4) desired, to improve their own teaching practices. One teacher commented

I think there might be room for a one-to-one, but I think a collegial approach, to me I sort of feel that everyone brings something to the discussion. And it might be from a different slant, and that helps me to build up a whole picture. Because what one person might see as maybe something constructive for you to work on, somebody else might see it from a different point of view. And I just sort of think that if you've got more heads working you're going to come up with something that's going to be really worthwhile in the end.

The staff in the schools I surveyed were generally very positive towards performance appraisals. They valued the increase in self-esteem they received when their hard work was recognised and their achievements acknowledged. Their definitions of appraisal showed clearly that they are willing and wish to be accountable for the jobs they do. More than half of the teachers in the survey wanted to be told how well they are performing (page 96). But it is important to recognise that the type of accountability teachers are identifying is in fact what Clift, Nuttal and McCormick (1987) called "professional accountability". The teachers are referring to the feedback they received from their professional colleagues and themselves, rather than being contractually accountable to their employers. This is further emphasised when one remembers that none of the schools revealed their appraisal results to the Boards of Trustees, only reporting that the appraisals had been carried out. One principal reported having told the Chairman of the Board of Trustees:



And in terms of performance appraisals, those are strictly confidential documents to the teachers concerned. I will notify you when the procedure is done ... You will be told where we are in the cycle, but I want to assure you, you will not in fact ever know what is written in those performance appraisal documents.

Teachers in this survey did express concern for the manner in which performance appraisals might be used in the future. There is a need for further research, either funded by central government or by the teacher unions, to ensure that all our schools develop workable and useful systems. Performance appraisals have a high cost, in training, resources, teacher time and energy. Systems which bring about no improvement in the learning and teaching in the schools are wasteful and damaging.

### **Is education a public good or a commodity in the market place?**

This has been a small scale survey, limited by time and finance, to four schools and in only one of these has performance appraisal been recognised as being a cause for concern and conflict by the school itself. But the survey has shown that there is a potential for conflict and concern in all four schools, and as Bates (1988, 35) noted, this potential for conflict in the school can be linked to a fundamental conflict in society. Is education a "commodity in the market place", where teachers are merely workers or is it a "public good" and provided by teachers who are treated as professionals? The main points in this debate from this research are:

1. There are concerns about the true purposes of performance appraisal in schools. Are they to help the teacher as a professional improve her/his performance, working in a collegial relationship with the principal or are they to control the teachers as workers, where the principal is a manager employed by the Board of Trustees to manage the business of the school?
2. There is evidence that teachers are insufficiently trained for performance appraisal, so that they are unable to understand what performance appraisal is about and are

unable then to assert their role in the process. This lack of training stems from a basic lack of funding by the state, so teachers are disempowered.

3. Some teachers indicated they were re-asserting their rights as professionals. They not only claimed they had not changed their teaching performance as a result of performance appraisal (30%) but cited other means by which they had improved their performance, such as self-evaluation and working with their peers.
4. Although the staff were generally positive towards performance appraisal and were willing to be accountable, the type of accountability they were proposing was professional accountability, rather than contractual accountability.

Teachers in primary schools in New Zealand, like their counterparts in many other countries, have faced a challenge to their professionalism over the past five years, and an ever-increasing administrative workload. Performance appraisal is a small part of that challenge, but an important part, as it holds the potential for conflict within the school. Most teachers in this survey welcomed this new management tool of performance appraisal, but noted they were concerned for its development in the future. A teacher in School Three was concerned:

... that it may evolve at some time into an unmanageable monster. At *present* it is (for me) an ideal balance between non-threatening achievability and an incentive to develop.

It is hoped that this research may help in some way to retain that ideal balance. To that end, the researcher makes the following recommendations and suggestions for further research.

#### 1. Recommendations

The following recommendations can be supported by the results of this study:



1. The prescription by the Ministry of Education of matters to be taken into consideration by employers in assessing the performance of teachers, required under the State Sector Amendment Act (1989, Section 77c) should be released to schools.
2. Schools should decide, as a whole staff, the purposes their performance appraisals are to serve before introducing or developing their systems. They must then regularly evaluate the systems in operation to ensure these agreed purposes remain unchanged, or changes which are introduced and agreed to by everyone.
3. Performance appraisal must be adequately funded and/or time provided in schools. This funding must cover:
  - time for whole school consultation on the system to be used;
  - training for all staff in appraisal skills;
  - release time for appraisers to gather data before appraisal and monitor aftercare;
  - release time for appraisal interviews;
  - the personal professional development needs identified in the appraisal;
  - time for regular evaluation by the whole staff of the performance appraisal system in operation.
4. Schools should consider different models of performance appraisal, in order to develop models which are consistent with their circumstances and purposes.

### **Suggestions for further research**

Further centrally-funded research should be undertaken to:

1. study the development of performance appraisal schemes in other types and sizes of schools (for example, rural, two- and three-teacher schools and Bulk Funding Trial schools) as a comparison with these Grade 3, 4 and 5 schools;

2. to consider and monitor the different types of peer appraisal schemes which are developing in New Zealand schools; to assess their advantages, if any, over the mainly hierarchical models operating in this survey;
3. to consider how the culture of a school is affected by and/or affects the performance appraisal system operating in that school.

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## APPENDICES

### APPENDIX A

3 February 1993

\_\_\_\_\_  
Principal  
\_\_\_\_\_  
School  
\_\_\_\_\_  
\_\_\_\_\_

Dear \_\_\_\_\_

I am writing to confirm my telephone request for the assistance of you and your staff with the research into the Implementation of Performance Appraisal in Schools. I am carrying out this research for the first six months of the year under the Research Affiliateship Scheme of the Education Department at Massey University.

The research will include a questionnaire to be completed by all staff and personal interviews with a sample group of teachers. As Assistant Principal (Junior Classes) at Roslyn School in Palmerston North I realise that teachers have a very high workload, so I would offer:

- (a) to personally release each teacher for 30 to 45 minutes to enable them to complete the questionnaire:
- (b) to provide a relieving teacher to cover the sample group of teachers for interviews with me. The interviews would be for approximately one hour.

I should also like to discuss the school policies/procedures with you and if possible, see the recording systems you operate and any other relevant resources.

I realise that Performance Appraisal is a very personal and sensitive subject and can guarantee confidentiality and respect for the privacy of everyone involved.

If you and your staff are willing to help with this research, I would be glad to explain the process in greater detail at a staff meeting. Thank you for your help.

Yours sincerely

Betty Irons  
Research Affiliate, Department of Education

Supervisor: Dr Wayne Edwards

APPENDIX B**GUIDELINES FOR PRINCIPAL INTERVIEW QUESTIONS**

1. Please describe briefly how you began the process.

How did you get your information about performance appraisal?

How was it introduced to staff?

What training did you/senior staff/teachers get?

How involved were staff?

- Were they given a choice as to whether to start?
- What kind of discussions did you have with staff?
- Did you use any outside consultants/facilitators?

2. How is performance appraisal carried out now.

Are any guidelines/policies set down?

Is any funding set aside for it?

How often?

Who does it?

- Any choice given as to appraiser?
- Is any release time given for it?
- What kind of paper work is involved?
- What happens to report? Who has access?
- How is information from performance appraisal used?
- What follow-up/evaluation is done?

3. How do people prepare for performance appraisal?

Do they collect data? How?

Is an agenda set and agreed?

4. Tell me about the interviews themselves.

Are special considerations given to time/place?

What do you envisage would be the role of the appraiser at the interview?

5. What happens after the interview?

Who writes up report?

who has access to the report?

What happens to report?

What follow-up is done: monitoring/providing development agreed etc?

What is the report used for?

Have you ever used it for disciplinary purposes?

6. What lessons have you learnt from implementing performance appraisal?
7. What changes have you made along the way to the process?
8. Do you envisage any more changes?
9. How has it affected the learning and teaching in your school?
10. How do you think teachers feel about performance appraisal?
11. How do you feel about performance appraisal?

## GUIDELINES FOR APPRAISER INTERVIEW QUESTIONS

1. Please describe briefly how the process began.

How did you get information about performance appraisal?  
 How was it introduced to staff?  
 What training did you get?  
 How involved were you in setting it up?  
 Were you given a choice as to whether you wanted to start?  
 What kind of discussions were held about it?

2. How is performance appraisal carried out now?

Are any guidelines/policies set down?  
 Is any funding set aside for it?  
 How often?  
 Who does it?  
 Did you choose your appraiser?  
 Were you happy with your appraiser? Why/why not?  
 Were you given release time for it?  
 What did you think of the paper work you had to do for it?  
 What happens to the report? Who has access?  
 How is the information from the performance appraisal used?  
 What follow-up evaluation is done?

3. How do you prepare for it?

Is an agenda set/agreed?  
 Do you collect data about yourself? How?  
 Does your appraiser collect data about you? How?  
 Do you think your appraiser is qualified to appraise you? Why?

As an appraiser, how do you collect data?  
 Did you feel qualified to appraise these people?

4. Tell me about the interviews themselves.

What special considerations were given to time and space?  
 How was the meeting conducted? Who talks most?  
 How did you feel at the end?

As an appraiser, how would you compare the interviews with the successful teachers and the ones you consider not so successful?

5. What happens after the interview?

Who writes up the report?

Who has access to the report?

What happens to it?

What follow-up is done: monitoring/providing agree development?

What is the report used for?

Did you get your professional development?

As an appraiser, have you ever used the performance appraisal in support of disciplinary matters?

6. How has it affected the learning and teaching in your class?
7. As an appraiser, how has performance appraisal affected the teachers you appraise?
8. How do you feel about performance appraisal?



## GUIDELINES FOR TEACHER INTERVIEW QUESTIONS

1. Please describe briefly how the process began.

How did you get the information about performance appraisal?  
How was it introduced to staff?  
What training did you get?  
How involved were you in setting it up?  
Were you given a choice as to whether you wanted to start?  
What kind of discussions were held about it?

2. How is performance appraisal carried out now?

Are any guidelines/policies set down?  
Is any funding set aside for it?  
How often?  
Who does it?  
Did you choose your appraiser?  
Were you happy with your appraiser? Why/why not?  
Were you given release time for it?  
What did you think of the paper work you had to do for it?  
What happens to the report? Who has access?  
How is the information from the performance appraisal used?  
What follow-up/evaluation is done?

3. How do you prepare for it?

Is an agenda set/agreed?  
Do you collect data about yourself? How?  
Does your appraiser collect data about you? How?  
Do you think your appraiser is qualified to appraise you? Why?

4. Tell me about the interviews themselves.

What special considerations are given to time and place?  
How is the meeting conducted? Who talks most?  
How did you feel at the end?

5. What happens after the interview?

Who writes up report?  
Who has access to the report?  
What happens to it?  
What follow-up is done: monitoring/providing agreed development?  
What is the report used for?  
Did you get your professional development?

6. How has it affected the learning and teaching in your class?
7. How do you feel about performance appraisal?

RESEARCH QUESTIONNAIRE ON  
PERFORMANCE APPRAISAL

ALL INFORMATION SUPPLIED IS CONFIDENTIAL.

NAME \_\_\_\_\_

AGE GROUP

25 and under       26-30       31-40       41-50       51+

LENGTH OF TEACHING SERVICE

Under 2 yrs       2-5 yrs       6-10 yrs       11-20 yrs       20+ yrs

YEARS AT THIS SCHOOL

Under 2 yrs       2-5 yrs       6-10 yrs       11-20 yrs       20+ yrs

POSITION IN SCHOOL \_\_\_\_\_

Do you have a class?                      Yes/No

If not, what is your role? \_\_\_\_\_

What level of the school do you teach? \_\_\_\_\_

Who was your appraiser at your last appraisal interview in this school?

\_\_\_\_\_

*Your help with this research is greatly appreciated*

SECTION A
-----------

1. For what reasons do you think Performance Appraisals should be carried out in schools? (You may tick (✓) more than one box.)

- To provide information to management for promotion/rewards.
- To provide information to discipline teachers.
- To improve teacher performance in the current job.
- To help teachers plan their careers.
- To help with staff development planning and training.
- To improve the learning and teaching in the school.
- None of the above.
- Other reasons (please state) \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

2. How would you rate your involvement in setting up the appraisal system in this school?

- totally involved
- sufficiently involved
- not involved enough
- not involved at all

3. How did you feel about performance appraisal prior to your first experience of the process?

- very apprehensive
- slightly apprehensive
- unconcerned
- comfortable
- very comfortable

4. What training for performance appraisal did you receive before your first interview? (e.g. staff discussions, courses, ASTU/Massey papers, etc).

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5. How do you believe performance appraisal is used in THIS school NOW? (You may tick (✓) more than one box.)

- To provide information to management for promotions/rewards.
- To provide information to discipline teachers.
- To improve a teacher's performance in the current job.
- To help teachers plan their careers.
- To help with staff development, planning and training.
- To improve the learning and teaching in the school.
- None of the above.
- Other reasons (please state) \_\_\_\_\_

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SECTION B
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Please answer these questions in relation to your last performance appraisal.

1. Preparing for the interview

i I chose my appraiser. Yes/No

ii I would have preferred another appraiser. Yes/No

iii We agreed the agenda/discussion topics/plan for the meeting:

(a) verbally Yes/No

(b) in writing Yes/No

iv I reviewed my own achievements/needs before the meeting. Yes/No

v I collected data about my performance before the meeting. Yes/No

If yes, please note nature of data, e.g. test results, books, etc:

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vi My appraiser collected data about my performance before the interview.

Yes/No

If yes, please note nature of data \_\_\_\_\_

---

vii I saw the appraiser's data before the interview.

Yes/No

2. The Interview

i Were you comfortable with the interview environment? Yes/No

If no, please state reasons: \_\_\_\_\_

\_\_\_\_\_

ii Did you feel able to put your point of view? Yes/No

If no, please state reasons: \_\_\_\_\_

\_\_\_\_\_

iii Did you receive positive feedback on your performance? Yes/No

iv Did you receive any negative feedback on your performance? Yes/No

v Were you surprised by any part of the negative feedback? Yes/No

vi Were YOUR needs for professional development accepted? Yes/No

vii Were you in agreement with the professional development suggested for you?

Yes/No

viii What percentage of the talking did you do at the interview? %

ix Was there sufficient time for the interview? Yes/No

3. After the interview

i How did you feel after the interview?

\_\_\_\_\_

very dissatisfied                      uncertain                      satisfied                      very satisfied

ii Was a written report of the interview prepared? Yes/No

iii How much of the professional development YOU asked for did you receive?

none
  some
  most
  all

iv What form did it take?

in-school observation  
 other school observation  
 in school course  
 out-school course  
 help with planning/records  
 demonstration lessons  
 ASTU/Massey papers  
 other (please state) \_\_\_\_\_

v How much of the professional development recommended by your appraiser did you receive?

none
  some
  most
  all

vii What form did it take?

in-school observation  
 other school observation  
 in school course  
 out-school course  
 help with planning/records  
 demonstration lessons  
 ASTU/Massey papers  
 other (please state): \_\_\_\_\_

viii Were other requests made by you dealt with?

Yes/No



- ix Please indicate how your appraisal has affected your performance as a teacher in this school.

\_\_\_\_\_ | \_\_\_\_\_ | \_\_\_\_\_  
 negatively affected                      not affected                      greatly improved

Can you indicate briefly reasons for this judgement? \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_

- x Was your relationship with your appraiser affected in any way by the appraisal?

Yes/No

Please state how: \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_

- xi Was your performance appraisal worthwhile? Yes/No

Can you indicate briefly reasons for this judgement? \_\_\_\_\_

\_\_\_\_\_  
 \_\_\_\_\_

SECTION C
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1. How do you feel about Performance Appraisal now?

	very apprehensive
	slightly apprehensive
	unconcerned
	comfortable
	very comfortable

2. Do you have any suggestions for improving Performance Appraisal in this school?

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3. Any comments or concerns you may have about Performance Appraisal generally, or in this school particularly, are most welcome.

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4. Finally (and this is not a test!), what do you mean by Performance Appraisal?

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*Many thanks for all your efforts*

Kia kaha!

IF YOU HAVE ACTED AS AN APPRAISER,  
PLEASE COMPLETE THIS SECTION

SECTION D

Please answer these questions in relation to your last round of performance appraisals.

1. Preparing for the interviews

- |     |   |        |
|-----|---|--------|
| i   | The appraisees were in my syndicate/supervision group.        | Yes/No |
| ii  | We agreed the agenda/discussion topics/plans for the meeting: |        |
|     | (a) verbally  | Yes/No |
|     | (b) in writing  | Yes/No |
| iii | I collected data about their performances before the meeting. | Yes/No |

If yes, please note nature of data, e.g. test results, observations, etc:

---



---

- |    |   |        |
|----|---|--------|
| iv | The appraisees saw my data before the interviews. | Yes/No |
|----|---|--------|

2. The Interview

- |   |  |        |
|---|--|--------|
| i | Were you comfortable with the interview environment? | Yes/No |
|---|--|--------|

If not, please state reasons \_\_\_\_\_

---



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ii Did you feel able to put your point of view? Yes/No

If no, please state reasons: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

iii Did you give positive feedback on their performance?

\_\_\_\_\_

To no-one

To everyone

iv Did you give any negative feedback on their performance?

\_\_\_\_\_

To no-one

To everyone

v Please comment on their responses to negative feedback: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

vi How did they respond to your suggestions for their professional development?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

vii How did you respond to the professional development they suggested?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- ix What percentage of the talking did you do at the interview(s)? %
- x Was there sufficient time for the interview(s)? Yes/No

3. After the interviews

- i How did you feel after the interview(s)?

\_\_\_\_\_

very dissatisfied      uncertain      satisfied      very satisfied

- ii Were written reports of the interviews prepared? Yes/No

- iii Did the appraisee(s) receive the professional development they asked for?

\_\_\_\_\_

none of them      some      most      all of them

- iv What form did it take?

<input type="checkbox"/>	in-school observation
<input type="checkbox"/>	other school observation
<input type="checkbox"/>	in-school course
<input type="checkbox"/>	out of school course
<input type="checkbox"/>	help with planning/records
<input type="checkbox"/>	demonstration lessons
<input type="checkbox"/>	ASTU/Massey papers
<input type="checkbox"/>	other (please state) _____

\_\_\_\_\_

v Did they receive the professional development recommended by you?

None	some	most	all of them

vi What form did it take?

<input type="checkbox"/>	in-school observation
<input type="checkbox"/>	other-school observation
<input type="checkbox"/>	in-school course
<input type="checkbox"/>	out of school course
<input type="checkbox"/>	help with planning/records
<input type="checkbox"/>	demonstration lessons
<input type="checkbox"/>	ASTU/Massey papers
<input type="checkbox"/>	other (please state) _____

viii What follow-up/evaluations/monitoring did you do after the interviews?

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ix How have the appraisals affected their performances as teachers?

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x Were your relationships with your appraisees affected by the appraisals?

Yes/No

If yes, please state how: \_\_\_\_\_

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xi      Were the appraisals worthwhile?      Yes/No

Why? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## APPENDIX D

### REASONS FOR PERFORMANCE APPRAISAL AND COMMENTS

To provide a support net post-appraisal to lift self esteem of teacher and ensure ongoing progress.

To evaluate teacher performance and inform teacher of progress and expectations.

To provide information for *teachers* to use for promotion/rewards.

To develop teacher's self esteem.

As a guarantee that you are satisfied the teacher is meeting the needs of the pupils. To ensure you provide an honest summation of the person's ability (accountability is important).

To set goals for the teacher.

To encourage teachers who may feel inadequate in some way, by helping them to see the positives. This is extra to "teacher performance".

To improve teacher awareness of how they do their own job.

To help teachers continue growth (learning) from each individual's perspective, i.e. I choose to develop where I feel I need growth, or would like growth.

Personal professional development.

To enable teachers with particular strengths to share their knowledge/experience with others. Should not always be a senior teacher, sometimes it would be better not.

### NOW REASONS IN THIS SCHOOL

To inform the teacher of expectations and the current level of performance.

Appraisals are completely as a task and that is all. There is no school based follow up. I personally have used them only to include in a CV.

To set teacher goals.

I really don't know!

We choose to develop an area(s) we feel we wish to for each teachers own growth.



To improve own individual learning/development.

Used to "impose" school professional development/in-service. As a pressure to get some teachers to "toe the line". (Not really as a personal growth/development process.) Motives are suspect (and suspected by many staff). (To be used *against* them - incompetence etc.) A real shame. Could be so good for us all.

Our principal believes in performance pay. Some teachers have received negative comments about their teaching.

Depends on who you are. I suspect some are not even looked at by \*\*\*.

APPENDIX E

**PRIMARY TEACHERS' COLLECTIVE EMPLOYMENT CONTRACT 1992/94**

**3.4 Teacher Competency**

Where there are matters of competency which are causing concern in respect of any employee, the principal shall put in place appropriate assistance and personal guidance to assist that employee. When this assistance and guidance has not remedied the situation, the following provisions should govern the action to be taken.

- (a) the employee must be advised in writing of the specific matter(s) causing concern and of the corrective action required, and the timeframe allowed. This timeframe should be determined by the principal and be relevant to the matters causing concern;
- (b) the process and results of any evaluation are to be recorded in writing, sighted and signed by the employee;
- (c) a copy of any report made by the principal to the employer or to the Teacher Registration Board, shall be given to the employee;
- (d) no action shall be taken on a report until the employee has had a reasonable time to comment (in writing or orally or both);
- (e) if the above steps (a-d) fail to resolve the matter of concern, the employer may, where justified, dismiss the employee without the need to follow the provisions of 3.1 above.

**5.4.2 Progression (SLT Scale)**

- (3) Step 1.01 - 1.09 shall be on an annual basis from the date of appointment, dependent on competent performance, as attested by the principal.
- (b) Notwithstanding subclause 5.4.2(a), non-graduate speech-language therapists shall progress, subject to competent performance as attested by the principal, after two years on SLT 1.08 to SLT 1.09.

**PRIMARY PRINCIPALS', DEPUTY AND ASSISTANT PRINCIPALS'  
COLLECTIVE EMPLOYMENT CONTRACT 1992/94**

**5.11.1** An employer shall prepare an annual performance agreement with each employee that details:

- (i) the objectives of the employee's position for that year; and
- (ii) the process and criteria by which the employee's performance is to be assessed for that year.

APPENDIX F**TEACHERS' DEFINITIONS OF PERFORMANCE APPRAISAL**

Looking closely at how you are performing in a selected area of school curriculum and paying particular attention to areas which are well done and should be built on, and areas that need improvement and help.

Performance appraisal contributes to improved school/teacher/principal relationships because it focuses on performance and not personality. It motivates teachers and ensures that they are clear in what is expected of them. It also provides feedback on how well they are doing. It focuses more on the positive than on the negative.

Where I am at as a teacher and how I can improve my skills and knowledge.

Equating the standards of achievement set in my job description with the standards actually achieved in my class.

A method of supplying information to the teacher according to school policy about their performance in teaching and the expectation of the appraiser. All this from another point of view than that of the teacher.

To me it should be selecting the points teachers are doing well in teaching areas. Providing support for future development.

A method of assessing somebody's performance in a manner to create positive change.

We sat and talked and agreed on how well I am performing in all aspects of my job, one by one. It was very positive and flattering but not very searching or informative for the appraiser.

An assessment using a specified set of categories, guidelines and data to help to find "weak" spots then help them overcome these and to encourage performing things to continue their development.

A positive evaluation of work achieved and an opportunity to set goals for personal and professional development.

Am I doing my job, upholding the mission statement and following the guidelines expected of staff at this school. If I am I want to be told that I am and if my performance has a few flaws how they can be fixed in a positive supportive way.

A confidential, professional, interactive review of one's work and where one can go from there to best suit and develop needs of children in the school. A statement which should improve one's performance.

Looking at the overall teaching/learning taking place in the area I am responsible for.

Through this school's performance appraisal I believe it is a summary and comments of your work in the school and class with reference to your job description.

Judging your actual teaching performance and methods according to the needs of the children.

A good hard look at what is going on, what is being taught, how I shape up, give assistance where necessary, help to set goals for professional development.

Focusing on your strengths and looking at areas where you may need more work. Constructive criticism rather than negative.

*Time* spent listening, observing challenging - setting goals, working towards them - altering if not working *after* discussing why etc. It's got to be workable, not a *model* for a *model's* sake. To say "At my school I ..."

Given the opportunity to assess one's professional development and being able to receive advice and encouragement - a supportive listening ear.

Professional development. Discussing what you would like to improve or look into and then doing this. Evaluating at end how you went.

Professional discussion to enable teachers to improve the quality of the delivery of programmes to meet the needs of pupils.

In our school it takes the form of a professional development conference. Three main goals, set jointly by senior teacher and self. Emphasis on the practical, this is as it should be.

With the system in use in our school at present performance appraisal relates to the understandings made by the teachers in their professional development cycles. The focus of it is on the attaining of the objectives set for that cycle. The areas undertaken for development are very wide and varied to meet the needs of the individuals.

Teacher decided on two to three main areas of focus for a year. Appraisers and teacher formulate a plan of attack and set up a review time (one, two terms hence). Regular reporting of performance - interview. Interview at agreed time to establish if objectives have been met. (Depending on objectives, data and observations may need to be collected.)

Having someone looking at what you are doing and commenting constructively on it.

Teacher training development and how it affects the teachers class as well as the school as a whole.

It's this thing that helps me to grow in many areas, I choose, to be a better teacher. (It's in there somewhere!)

A "conference" between teachers and senior staff member as to the effectiveness of the teachers class programme and personal professional development. This would include both

positive aspects and so called "negative" aspects. I prefer to call them constructive advice/suggestions.

Are you teaching in a modern positive manner and truly meeting the needs of the children and obtaining satisfaction with this?

Setting a goal for personal performance in a particular area and evaluating performance along the way.

Personal development within your own teaching career. Keeping current and effective as a class/teacher. We should be always learning and growing.

Time to go over your job and assess and evaluate the tasks, consider the outcomes thus far. The \_\_\_\_\_ I've undertaken to work on especially, and in general my job in terms of my job description. Setting of next goals following and time span to the next appraisal interview.

Yourself and a colleague of your choice observe and discuss programmes, professional development - highlight and look at next step of development.

They are a good idea - helps develop teachers abilities in a wider area (curriculum wise). Adds confidence. Develops one's inner satisfaction, self esteem, worth. I like our present system where both appraiser and teachers are consulted.

Goal setting and then the monitoring of whether or not these/these goals are achieved after a period of time. It should be an individual, self improvement scheme, not a grandiose school imposed system.

How well you are achieving as a teacher and what areas need improving upon.

Information to tell me how I am doing in my job - how effective/efficient/productive I am. Also honing up interpersonal skills.

Identification of areas requiring improvement in the learning and teaching, providing constructive criticism and positive comment.

Having a close look at how I am teaching, my programmes, the children etc and looking for ways to improve it.

How you are functioning as a teacher and ways that you can seek assistance and can plan your professional development.

Guidance and evaluation of what has been achieved in terms of set goals and objectives. The assessment by one person of another's performance in the classroom. Should be a mutual choice on focus of assessment with specific objectives to be met. Cannot be threatening if it is to succeed.

Where my ability as a teacher is observed and positive and negative comments made and a plan devised to change the negative into strengths.

Where teachers actually self select objectives (areas) to work on to better their teaching performance and to improve the learning for the children.

I feel performance appraisal should be constructive - giving positive feedback where deserved and constructive suggestions for improved performance. The teacher must feel supported.

Reflecting on and analysing one's performance to see if it can be improved, empowered in a manageable way, given time constraints (e.g. planning teaching marking meetings, teaching, developing a room environment, family, personal development).

Appraisal of me as a professional person, not only of the way I teach by also how I interact with both children and staff through appraisal on is able to improve performance and grow.

Performance appraisal is a positive and constructive feedback on my current level of teaching ability in relation to my personal professional development plan in which I have identified the aspects of my teaching which require improvement through inservice, class observations, attending courses, leading to the practice and evaluation of changes which occur.

**APPENDIX G**

30 June 1993

Name  
Principal  
School  
Address

Dear (Principal)

As promised, I enclose the draft of my report on performance appraisal for you and your staff to comment upon before it is printed.

Please feel free to write on it and/or telephone me (collect) about any point. I will be back at school ((name of school, telephone number) after today. My home telephone number is (telephone number) if staff prefer to call me in the evening. I would be more than happy to come to the school to discuss the report with you all, but it would need to be after 3.30pm, as I will be back in the real world again.

My own thesis, based on the research, will not be completed until much later in the year, but I will send you a copy of that later on.

The results of the survey have been really interesting and I have appreciated the honesty and sincerity of everyone involved. It has given me such a lot to think about and I am going back to school to consult with our staff (with the Principal's blessing!) about how we need to develop our own system of appraisal.

Thank you all again for your help. Have a good and well-earned break.

Yours sincerely

Betty Irons  
Research Affiliate