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♦ **TEACHER APPRAISAL** ♦

CONTROL OR EMPOWERMENT

Responses from New Zealand Secondary 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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1996

Acknowledgments

The completion of this research became possible because of the help and encouragement of a number of people.

In particular, I would like to thank my supervisor, Dr Wayne Edwards, for the detailed and constructive feedback he has provided during the writing of this thesis.

I would also like to thank Ms Jan Lewis, who was responsible for the compilation of the thesis and whose competence and typing ability made my work so much easier.

Finally, sincere thanks to the staff of the six schools who participated in the research. I felt it a privilege to work with such professional people.

Abstract

As a result of recent legislative changes, Boards of Trustees and, through them, the principal, are now responsible for the appraisal and professional development of their staff.

This research aimed to contribute towards an evaluation of current teacher appraisal programmes by:

1. Providing an overview of teacher appraisal programmes which currently exist in Auckland secondary schools, in particular to find out what percentage of secondary schools in the Auckland region have current on-going teacher appraisal programmes and, where these schools, which have a current teacher appraisal programme rank on summative - formative dimensions. The answers to these questions were obtained from a questionnaire which was sent to all Auckland Secondary Schools.
2. Providing an in-depth study of six schools which have an on-going teacher appraisal programme with elements of both summative and formative appraisal. A focused interview with selected staff from each of the six schools was used to enable the writer to ascertain why and how each appraisal programme was developed. The interview was also used to identify any problems which had been encountered in developing the programme and to ascertain how the school had attempted to meet both legislative requirements and teacher development needs.
3. Providing as an action component, a description of the appraisal programme which the writer is currently trialling in his school and, which is a direct result of the research undertaken for this thesis.

The major findings of this research were:

Section One

Seventy three percent of secondary schools in the Auckland region were trialling or using appraisal programmes and, while there was a huge diversity of appraisal systems in operation, the majority involved more formative than summative

dimensions. In particular, all schools saw appraisal in terms of helping to improve teacher standards through increased professional development.

Section Two

The common reason given by the six schools for developing a teacher appraisal programme was to give staff an opportunity for professional development. Four of the six schools which participated in the second part of the research had experienced problems in attempting to introduce teacher appraisal programmes, while other problems which the six schools experienced centred around lack of time and staff resentment about "yet another" administrative requirement. Teacher suspicion about the 'real' nature of appraisal, although mentioned, was not a major factor.

Self appraisal was the dominant method of teacher assessment as it was seen to be a crucial factor in four schools and desirable in the other two. Only one school produced any evidence of staff training in appraisal techniques.

All six schools had developed two appraisal systems; one in which all staff participated and which was largely formative; another which was used when necessary and which involved competency procedures. The teachers interviewed were adamant that the two systems were and had to be kept completely separate.

Section Three

While a teacher appraisal programme has been operating in the writer's school since 1990, the results of this research have caused the programme to be modified to include: a focus on self rather than external appraisal; the inclusion of senior management and non-teaching staff in the appraisal process and; an emphasis on training in appraisal procedures and techniques for all staff.

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CHAPTER ONE

INTRODUCTION

Background to the Thesis

During a recent educational review team visit, one of the reviewing team visited my classroom. This event made me aware that he was the first person to formally observe my teaching since I was certificated almost twenty years ago. Since that time, I have progressed to my current position as a secondary school principal and, presumably, have performed as a reasonably successful teacher.

The visit of the Educational Review Office team coincided with my attempts to modify and upgrade our school-wide appraisal system. This task involved convincing a fairly sceptical staff that, while an appraisal system inevitably involves judgements and some type of accountability, appraisal should be seen in a positive light as something which would enhance the staff's professional development.

As a result of staff discussions, the potential conflict between, "appraisal for accountability versus appraisal for professional development" was seen as an issue which could prove to be a major stumbling block in implementing meaningful appraisal programmes; especially, as in the past, most secondary teachers have experienced relative autonomy.

However, even more importantly, I felt that the way this conflict was resolved would be crucial in defining the way in which teachers were viewed and how they saw themselves in terms of their status and the nature of their task. These ideas formed the starting point for my thesis and, from this, I developed the following aims.

Aims of the Thesis

1. To survey all Auckland secondary schools to determine the percentage of schools which had introduced appraisal systems.
2. To provide an overview of the teacher appraisal programmes which currently exist in Auckland secondary schools, in terms of summative/formative dimensions.
3. To focus on six schools which had on-going appraisal programmes containing both summative and formative elements. This would involve interviewing a range of staff from these schools in order to gain an in-depth understanding of the current appraisal system and, in particular, to ascertain how the school dealt with the potential summative/formative conflict.
4. To critically examine the teacher appraisal programme operating in the writer's school, in light of findings from recent appraisal research literature and, in particular, the results obtained from this thesis.

Legislative changes and outcomes of the Tomorrow's Schools' educational reforms

The background to the development of formal programmes of teacher appraisal came from the advent of the "Tomorrow's Schools' educational reforms which resulted in schools being required to assume many of the management functions previously undertaken by the former Department of Education. Boards of Trustees and principals, as the school managers or chief executives, faced new responsibilities and challenges, not the least of which was in the area of personnel management. For example, in Tomorrow's Schools (1988: 11) the principal's role was expanded to include:

- The allocations of duties and detailed objectives amongst staff,
- The development of performance objectives and measures to assess that performance,
- The recommendation of beginning teachers for registration

These responsibilities are reinforced in the following non-negotiable sections of all school charters (ibid: 12):

Goal C: To develop sound personnel policies, which treat staff fairly, protect students and promote staff performance and the effective use of resources.

Objectives: (a) Comply with appointment, appraisal, discipline and dismissal procedures established in the relevant awards and regulations for all teaching and non-teaching staff.

Goal D: To approve and support a staff development programme to enhance the educational opportunities of students and improve the capabilities of all staff.

Objectives: (a) Every year adopt, on the advice of the principal, a staff development programme which specifies clear outcomes and methods for achieving them.

The legislative basis for the personnel management role, including the specific requirement to evaluate staff performance, is given in Section 77 (a) and (c) of the State Sector Amendment Act 1989 as well as in the 1989 Education Act.

This requirement is reiterated in the principal's Implementation Task Force document, A Guide to Personnel Management (1990: 31-32) which states that:

As a professional leader of the school, the principal is responsible for the appraisal of all staff. However, appraisal may be delegated to senior staff or colleagues who have the necessary professional credibility and expertise to undertake this task.

The necessity for appraisal systems has recently been reinforced as schools wishing to teach New Zealand Qualifications Authority (N.Z.Q.A.) units are required to go through an accreditation process. This means that each school must have a quality management system, of which an appraisal process is an integral part, as outlined in, The New Zealand Curriculum Framework (1993) document.

While schools and, specifically, the principal are now responsible for the appraisal of their staff, Battersby (1991: 15) claims, "schools have been given the obligation of accepting this responsibility with no precedents to go by and no guidelines to follow. They must achieve an objective for which they may not have knowledge or skills."

This lack of direction or input by central agencies such as the Ministry of Education or the Education Review Office is further noted by Irons (1993: 3) who claims that, unlike countries such as Britain and Australia which introduced similar reforms of educational administration, the New Zealand Government did not fund pilot studies or research before introducing the changes inherent in Tomorrow's Schools, "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."

One example of this "trickle down" effect is the research undertaken by the Educational Leadership Centre of the University of Waikato (1992) whose staff produced an appraisal kit and video which schools can purchase and which outlines the process of implementing formative appraisal processes in schools.

However, as schools have worked to attempt to implement the new legislative requirements, assistance and advice has become available from a range of sources. Some schools have hired private consultants (for example, 'Metanoics Associates' have produced do-it-yourself kits), while others (for example, Nae Nae College whose staff produced a Teacher Directed Self Appraisal Model (1992) which is being used by a number of schools), have undertaken 'in-house' projects..

In fact, since Battersby's comments in 1991, considerably more information and help has become available and courses are also offered by university departments, colleges of education and technical institutes for individuals, groups and schools interested in teacher appraisal systems.

At present, it is not clear what percentage of New Zealand schools have introduced teacher appraisal programmes. While this is an area which this research will explore, possible reasons for not developing appraisal programmes could include the large number of other changes which schools were expected to implement

within a short time span, coupled with the perceived difficulties of developing an appraisal system capable of meeting the needs of the school management, teachers and students.

Even when schools have attempted to introduce appraisal systems, these have sometimes been implemented with little or no training being made available for either the appraiser or appraisee. In fact, according to Irons, (1993: 3) (although she only studied four schools), "there is often no clear understanding of the meaning of performance appraisal or the purposes for which it is undertaken".

Peel, (1992) in his survey of New Zealand secondary schools, also found that the focus was on "how to do it" and he quotes Pollitt, (1988: 7) who claims:

There are plenty of articles concerning the reliability and validity of various appraisal techniques, and a good number dealing with the niceties of appraisal interviews. However, what one might call the political philosophy of staff appraisal is only infrequently addressed.

It could be suggested, which this research will investigate, that a lack of informed discussion, appropriate consultation or pilot studies prior to the legislative requirement for appraisal has caused confusion and a lack of information about the philosophical bases of appraisal systems. As a result, questions about the purposes of appraisal, the ethical concerns to be met and whom the appraisal system serves, are often overshadowed by questions of procedure.

Unfortunately, as researchers have indicated, (Darling Hammond 1983: 298, Peel 1993: 186) unless such fundamental questions are discussed in depth, it is likely that the appraisal process will be undermined by distrust and avoidance and the very real potential benefits for both the individual and the organisation are unlikely to eventuate.

In this chapter, the writer has briefly examined the reasons for his interest in the area of teacher appraisal. That is, through developing an appraisal system in his own school, he became aware of the potential conflict between appraisal for

accountability and appraisal for professional development and felt that the way this conflict was resolved would be crucial in defining the status of teachers and the nature of their task.

As a background to this research, an outline was provided of the legislative requirements to develop teacher appraisal systems, as well as reactions and problems which this created in New Zealand secondary schools. As indicated, this thesis will explore some of these reactions and problems. A brief chapter outline of the rest of the thesis is as follows.

Chapter two provides the reader with information, from both New Zealand and overseas, on teacher appraisal, as it relates to the development of this thesis, while Chapter three describes the methodology used by the writer, including the research techniques, procedures and ethical safeguards.

Chapter four presents the results gained from; a survey of appraisal systems operating in Auckland secondary schools and, a detailed examination of the appraisal systems in six Auckland secondary schools.

Chapter five analyses the results reported in Chapter four, by comparing and contrasting them with findings from appraisal literature, concentrating on recent New Zealand studies.

Chapter six outlines the development of the appraisal system in the writer's school and, identifies changes and proposed future developments which have resulted from the writer's research.

In Chapter seven, the writer reiterates what he feels are the salient findings from his research, while suggestions for future research and what, in the writer's opinion, are the key issues in developing a "successful" appraisal programme, form a conclusion to the thesis.

CHAPTER TWO

REVIEW OF THE LITERATURE

Introduction

The first section of this chapter presents definitions of teacher appraisal, concluding with the one the writer used to underpin this research. This is followed by an examination of the purposes underlying teacher appraisal.

The next section provides important background information for the current research as it outlines, compares and contrasts summative versus formative appraisal systems. This involves an examination of the purposes underlying the two approaches and discusses the possibility of combining summative and formative approaches within the same appraisal system. The section concludes with a list, from the research literature, of critical attributes of 'successful' teacher appraisal systems.

The last section of this chapter focuses on recent New Zealand teacher appraisal research, starting from 1989 to the present and, identifies trends and themes which seem to be emerging and which will be compared and contrasted to the current research.

The opinions and research findings presented in this chapter will be examined in Chapter Five, 'Discussion of Results', by being contrasted and compared with the findings of this study.

A Definition of Teacher Appraisal

While it may be true that good teachers have always appraised their own performance, it was noted in the preceding chapter that there is now a legal requirement for all teachers' performances to be appraised.

As this research focuses on teacher appraisal, it is important that the concept of teacher appraisal is discussed and clarified, so that the reader is fully aware of the writer's understanding and his definition of this concept.

Baxter (1985: 12) defines teacher appraisal, "as the process of collecting information about a teacher's performance in a systematic, valid and reliable way so as to make informed educational decisions that will lead to the achievement of shared personal and institutional goals."

Although the aim of collecting systematic, valid and reliable information about a teacher's performance is laudable, it is also important to remember that any appraisal involves, as Robinson (1990: 10) explains:

A judgement which is based on an interpersonal process in which two or more staff members share their beliefs about the performance of one of the participants. Furthermore, appraisal involves an attempt to reach agreement about these judgements and then about ways to enhance future performance or development.

From the above suggestions, it is the writer's opinion that a definition of teacher appraisal involves four major factors:-

1. *The development of a relationship between two professional colleagues.*
While this may seem obvious, the development of an appropriate relationship underpins the whole appraisal process and can be fraught with difficulties. For example, Baxter (1985: 14) discusses the problems created

by "a philosophical split between task and people-orientated teachers, which may not be recognised but could have a high impact on the appraisal results."

2. *Collecting information in a variety of ways about the teaching performance of one of the participants.*

Robinson's (1990: 10) claim, that any appraisal involves judgements followed by an attempt to reach agreement about these judgements, would seem particularly apt as researchers such as Berliner (1990: 58) and Baxter (1985: 12) claim that the criteria used in most appraisal processes is inadequate and hard to quantify and as yet, we do not know enough about what happens during the learning process to say with certainty which ways of teaching are best. This may make the results of any appraisal system problematic and certainly needs to be taken into account, particularly if decisions on teacher competency are going to be made as a result of an appraisal process.

3. *Sharing that information on the prior understanding that it is to be used for professional development purposes to enhance future performance.*

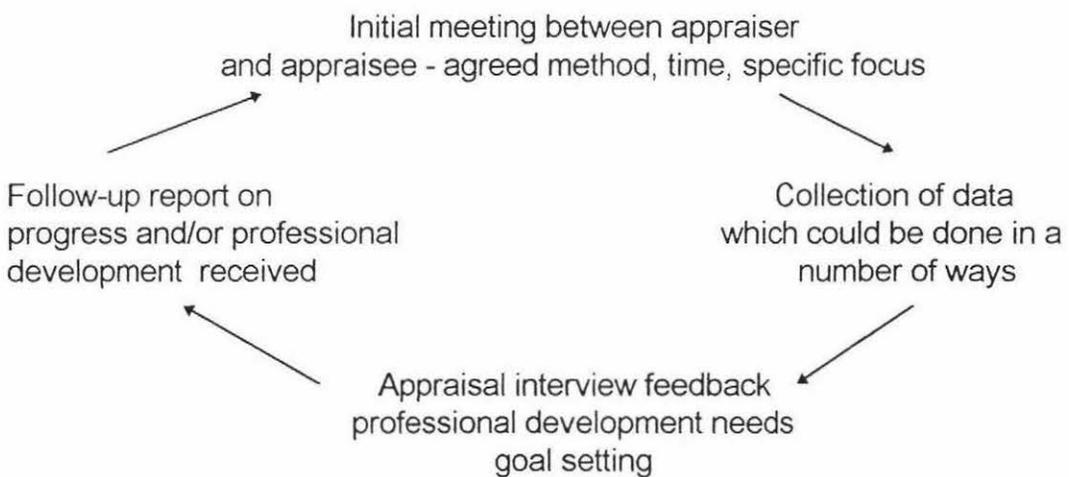
It is the writer's contention that both the appraiser and appraisee need to have a clear understanding of the purpose of appraisal. If, as the writer suggests, appraisal should focus on professional development, then part of this process should involve self appraisal as this reinforces the concept of the teacher as a professional who is capable of monitoring his/her own performance.

4. *Establishing an on-going developmental process which continues throughout a teacher's career.*

This emphasises that appraisal is not a 'one-off' activity, or an examination to be passed but, "rather an evolving, developing process leading to enhanced professional competence and an improvement in learning outcomes." Whyte (1986: 137)

The writer's definition of teacher appraisal is: the development of a professional relationship between two colleagues, which involves collecting information, in a variety of ways, about the teaching performance of one of the participants. The information is used to enhance future teaching performance as an on-going developmental process.

An appraisal model which would follow from this definition and which has been suggested by the Principals Implementation Task Force (1990) involves :-



Purposes of Teacher Appraisal

A report by the Organisation for Economic Co-operation & Development (1988: 19) on the appraisal systems of the public service in twelve countries identified three main purposes for this activity:

- To provide information for personnel management decisions, for example, promotions, discipline,
- To improve performance in the current job,
- To assist staff development, training and career planning.

This view was reinforced in the Principal's Implementation Task Force - A Guide to Personnel Management (1990: 31-32) which states that the main purposes of teacher appraisal are:

Professional development, including individual development and growth as well as improvement of the institution. A management function in that appraisal

relates directly to the school's accountability in terms of individual performance and its achievement of charter objectives.

While few people would question the school and community's right to expect certain standards of teaching, the way this expectation is met has widespread implications for teachers in terms of their status and the perceived nature of their work.

As a response to legislated teacher appraisal, the teacher unions, New Zealand Education Institute (N.Z.E.I.) and New Zealand Post Primary Teachers' Association (P.P.T.A.), have emphasised the collegial professional nature of appraisal. For example, the P.P.T.A. stated at their 1991 Annual Conference that, "The Association believes that appraisal should begin at the level of individual teachers so as to reaffirm their professional self concept such appraisal will be owned by and serve the needs of classroom teachers."

Similarly, N.Z.E.I. 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 organisation goals." (Rourou 1991)

The writer's earlier research, Thompson (1993: 4), found that one view which was reasonably well accepted is that "appraisal is linked with improving the quality of teaching and learning outcomes achieved by schools and the people in them" or, simply, that the underlying purpose of appraisal **must** be to improve the teaching and learning processes in the school.

If Thompson's view can be accepted as the underlying purposes of teacher appraisal, then it is important to ascertain which type of appraisal procedures and policies are best suited to improving the teaching and learning processes in schools.

Formative/Summative Appraisal

Prior to 1989, appraisal in secondary schools was in the form of a "fitness to teach" test which, in many ways, was analogous to gaining a drivers' licence. Beginning teachers were given a test which involved being observed by an officer of the Department of Education and, once they passed the test for which they were allowed three attempts, they then had a licence to teach. The teacher did not need to resit the test and in fact, kept their licence until they left teaching, or, in rare occasions were proved unsuited to teaching.

The thrust of the new reforms has been to place the responsibility for teacher appraisal within the schools, thus changing from a highly centralised to a locally controlled system. Specifically, the onus has been placed on the Board of Trustees to ensure the principal oversees the implementation of an appraisal process for all staff.

This requirement has the potential to encourage the development of on-going teacher appraisal processes, resulting in professional development programmes which could give all teachers opportunities to improve their performance. Unfortunately, in the writer's experience, teachers often link the term appraisal with the formal inspectoral system, which they now see operating within the school rather than emanating from an outside agency. Teachers have also seen, especially in arguments over the bulk funding of salaries, the possibility of appraisal being linked to merit pay with the autonomy and professionalism of teachers being downgraded. This reaction perhaps illustrates what Hickcox, Lawton, Leithwood and Musella (1988) see as the potential for tension or conflict between two kinds of appraisal: appraisal for judgement and appraisal for improvement.

These two approaches are described by Stewart (1991), among others, as the summative and formative approach. The summative approach involves the formal assessment of teachers and the monitoring of their performance to maintain competency, to assist in promotion decisions and to develop procedures for dealing with inadequate performance. The formative approach is characterised by on-going peer monitoring of classroom performance taking place within the context of the school's professional development programme.

Edwards (1991) contrasts the two approaches as "firing" versus "fixing" the first involving end point judgements which determine competency and address complaints; the second involving constructive professional discussion aimed at improving the individual and, as a result, the organisation.

Literature from New Zealand and overseas from writers such as Conley (1989), Hickcox (1988) and Stewart (1991), indicates that four major questions can be identified, the answers to which separate summative from formative appraisal systems. The questions are:

1. How was the appraisal system developed? (Was it a result of consensus decision-making by the people involved, or was it imposed by management or an outside authority?)
2. Who appraises whom? (Is it hierarchical, or does a peer/buddy system operate?)
3. What is done with the information? (Is it confidential to the appraisee, or is it available to the Principal and Board of Trustees?)
4. For what purpose is the information used? (Is it used to set goals for professional development or can it be used for teacher discipline and future promotion?)

In this research, these questions will be used as a basis for developing the four major dimensions which will identify the summative/formative features of teacher appraisal systems operating in Auckland secondary schools.

The Formative/Summative Debate

With the development of teacher appraisal programmes in New Zealand, a potential for conflict arises because, in New Zealand over the last decade, registered teachers have been used to exercising considerable autonomy, including being largely self monitoring in terms of accountability. However, they are also salaried employees of public organisations and, therefore, it could be argued that they need to be accountable to their employers.

As a result, teacher appraisal could be seen as helping the teacher improve his/her performance through professional development and, in consultation with his/her teaching colleagues. Or it could be seen as a mechanism to control the teacher as a worker, while the principal, aided by the senior management team, manages the business of the school.

In arguing for a formative approach to teacher appraisal, Stiggins and Duke, (1988) suggest that accountability systems have been developed to protect students from incompetent teachers. However, they claim that, since most teachers are at least minimally competent, the accountability system affects only a very few teachers. Berliner, (1990: 52) develops this theme further in that he "believes the formal evaluation system has no useful role to play with teachers that are regarded as good or expert". The kind of checklist and category systems that strive for precision in their definitions may even be harmful if they undermine the professionalism of these teachers. Berliner (Ibid: 53) also suggests that, "growth orientated formative systems have the potential of positively affecting all teachers, even those who are having problems."

Although "there is a demand that appraisal be a powerful cleansing agent which will rid society of the incompetent teacher", (Bunnell 1987: 62) a number of researchers do not feel that the appraisal process can or should deal with this type of teacher. As Newton (1985: 155) argues, "Appraisal should not be seen as the way of dealing with unsatisfactory teacher performance. Problems of this type should be dealt with separately from appraisal using the existing machinery for disciplining staff." In a New Zealand context, this would involve the competency procedures as set out in the Teachers' Award agreement.

A number of writers, such as Ker in New Zealand, (1992: 32) and Sergiovanni, (1992: 41) stress that teachers need to be considered as professionals who must critically examine their own performances and practices rather than being hierarchically judged. Retallick, (1983: 4) looks towards "the formation of a critical community whose purpose will be to constantly improve their teaching

practices.” Berliner (1990) feels that, with experienced teachers, no formal evaluation system can capture the wisdom about practice which they possess, and the provision of feedback from unstructured observations from other skilled teachers is the only appropriate form of appraisal.

Whereas writers such as Stiggins and Duke (1988) and Berliner (1990) have criticised current appraisal programmes as focusing on minimum standards and teacher incompetency, Marland (1987: 57) makes the point that appraisal is:

not sneaking out to spy for nasty bits. Good practice is the norm, incompetency, indifference and idleness very much the exception. Monitoring therefore should be seen as a powerful force for the encouragement and support of teachers.

Robinson and Absolum (1990) feel that, as the appraisal literature has stressed the importance of developing programmes which are not accountability driven and emphasised the need for developmental rather than judgemental outcomes, the result has been that the literature has failed to acknowledge the inevitability of judgements. They claim that any appraisal process involves a judgement and, while accepting that there may be differences in the type of judgement made in a summative versus formative system, they feel that the result has been that any notion of judgement has been driven underground.

Or as Peel (1992) maintains, evaluation for administrative purposes is not necessarily bad as long as it is “upfront”, equitable and honest; the danger is that administrative evaluation is often masked by the espoused purpose of development, which is seen to be much more acceptable, non-threatening and non-judgemental!

Peel, (1993: 22-23) claims that a “look at the literature concerning evaluation schemes in the U.S.A. is enough to make the politically aware teacher nervous, in that several states have rigid and formal systems of evaluation.” While that may be true of some state schemes, including the Florida Performance Measurement System as reported by Smith et al (1987) and the North Carolina Teacher

Appraisal Scheme reported by Holdzkorn (1987), other models such as those developed by McGreal (1983), Wise et al (1984) and Conley (1987) and implemented in a number of states, show considerable flexibility and a focus on formative evaluation. In fact, the major feature of American appraisal systems seems to be their considerable diversity.

Although generalised statements may be able to be made about "good" and "bad" appraisal systems, it seems that of overriding importance is how well the system "fits" with the organisation. As Conley (1989) found in his own research and in drawing from studies by Wise et al (1984) and McGreal (1983), all participants must accept the validity of the system in that, the purpose of the system must match the values, goals and culture of the organisation.

The use of both Formative and Summative appraisal systems

Edwards (1991: 11) maintains that "the reason that formative and summative teacher evaluation systems cannot cavort together congenially is that their end results are so dramatically different". By this he means that the decisions riding on formative teacher evaluation involve a host of choices focused on, "How can I do better?" Summative teacher evaluation, in contrast, focuses on attaining minimum standards and may become part of the dismissal process.

However, in a later publication, Edwards (1992: 2) said "the trick for administrators is enabling staff members to meet the requirements of the organisation while at the same time allowing, individuals freedom to work in ways that are meaningful and rewarding for them." Or as Valentine, (1992: 1) maintains:

If an appraisal system is going to contribute towards providing the best quality educational experiences for all students, it must promote the professional development of each staff member as well as ensuring certain minimum standards are met.

The possibility of developing different types of appraisal systems for different situations may be a way of acknowledging both summative and formative aspects

of appraisal. As Hickcox (1988) has suggested, appraisal systems can be expected to go through stages of evolution in that, no one design can be expected to remain in force indefinitely. Therefore, different types of appraisal could be used for different stages of individual concerns, experience and different levels in the school's organisational hierarchy.

Walker (1990: 2) suggests:

An appraisal system which is inflexible and limited to a single method for all teachers risks being problematic and even divisive. To meet the diverse needs of each teacher, a system of differentiated appraisal may need to be considered.

An example of differentiated teacher evaluation is the programme developed by schools in Calvert County, Maryland and described by Glatthorn (1986) as consisting of two types of systems. The first system is an intensive rating for probationary teachers and any tenured teacher who, in the previous school year, was judged unsatisfactory in one or more of the essential skills of teaching. This system provides for frequent observations, careful planning, assessment and systematic coaching and, while similar in concept, is much more formal and rigorous than the beginning teacher programme operating in New Zealand. The second, or standard, system is used for the rest of the staff and places less emphasis on rating performance and more on professional growth and development, through peer observations and the development of contracts between groups of teachers.

Another model, developed by McGreal (1983) and refined by Tesch (1986), involves the principal dividing the staff into three groups. Track A is the goal setting group which consists of satisfactory teachers who, in consultation with the principal or a senior teacher, set two to three instructional goals which is felt will really make a difference in the classroom. These teachers receive intensive observation and conferencing to help them reach their objectives.

Track B are satisfactory teachers who are given a minimal appraisal to ensure that they are continuing to meet the necessary standards. The next year the groups change so that teachers from track B move into track A and vice versa. McGreal says that 98% of teachers will fit into the above programme. For the remaining 2%, he has designed a track C programme involving an attempt to help those teachers reach minimum standards, through clear behavioural specifications of changes needed in teacher performance and the development of individual remediation plans as developed by Bridges (1986).

McLellan and Ramsey (1993), working in a New Zealand setting, produced a three stage model. Stage I is a "novice" phase in which the teacher is concerned with meeting minimum teaching standards and receives help in terms of in-class supervision. Stage II is a technician phase involving assisted self evaluation which, when successfully completed, allows the teacher to move on to Stage III, an "extended professional" phase where professional development is achieved through peer counselling.

While problems such as time, cost and the management complexities of such programmes cannot be discounted, the approaches outlined above have merit as they seem to provide some possibilities of combining summative and formative aspects of appraisal, both of which have an important part to play in the on-going improvement of teacher quality and performance.

Critical attributes of "successful" summative/formative appraisal systems

As a result of extensive research, Conley (1989) has generated a list of critical attributes which he claims are likely to help a school develop an appraisal system to address the often conflicting needs of summative/formative systems.

- I All participants accept the validity of the system.
 - (a) The purpose of the system must match the values, goals and culture of the organisation.

- (b) The system collects, analyses and feeds back information in a manner that accurately reflects their view of reality.
 - (c) To increase the validity, there needs to be an increase in the number of participants involved in designing the system.
- II All participants must thoroughly understand the mechanics and procedures of the system.
 - III Evaluatees know that the performance criteria have a clear consistent rationale.
 - IV Evaluators are properly trained in the procedural and substantive use of the system.
 - V Levels of evaluation are employed, each with a different goal, e.g. differentiating between beginning/experienced teachers.
 - VI The evaluation distinguishes between the formative and summative portion of the evaluation. Glatthorn (1986), for example, suggests that the summative portion needs to be undertaken very early in the cycle so that the remainder of the cycle is clearly formative.
 - VII A variety of evaluation methods are used.
 - VIII Evaluation is a district (school) priority.

A similar list has been drawn up by Bollington et al (1990) as a result of their involvement with the School Teacher Appraisal pilot study project which operated in England from 1987 to 1989. As well as including most of the above points, they stressed the need for any scheme to be developmental, constructive and positive. They also felt that there was a need for the process to be two-way, that is related to the individual school context and the appraisee's own stage of professional development.

In terms of this thesis, the conclusions reached by both Conley (1989) and Bollington et al (1990) will be referred to in Chapter Five, when the participants' perceptions of the appraisal systems in the six schools selected for intensive study are discussed.

Appraisal in the New Zealand scene

The 1980s and 1990s have seen an increased emphasis on teacher accountability in both Britain and America, which led to the development of teacher appraisal systems in these countries.

Some writers, such as Pollitt (1988) in Britain and Apple (1990) in America, view the push for the evaluation of teachers as a continuation of the managerialist philosophy of conservative governments. Apple maintains that the attempt to define teaching as a collection of competencies can be seen as a direct attack on the autonomy of teachers. According to Pollitt, the reason for this attack is the suspicion of professional monopolies and the desire of top management to assert control. Walsh (1987) maintains the potential for control of teaching is limited and one of the few ways control can be established is through performance evaluation.

Writing in 1990, Codd (p.23) felt that the new Zealand education system was following a similar trend to that evidenced in Britain and America:

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

This view is also supported by Gordon (1993: 22). If, as these writers suggest, the major thrust of the recent educational reforms is an attempt to reduce the professionalism and relative autonomy of teachers, then one way of doing this could be through the introduction of a largely summative appraisal system. While this research will attempt to examine that assumption by surveying what type, in terms of formative/summative appraisal systems are currently operating, there is a relative sparsity of other New Zealand based research into appraisal systems. One very obvious reason for this is that, within the New Zealand context, performance appraisal on a formal basis is a very recent innovation. However, a brief summary of the research will allow us to identify some trends and themes which seem to be emerging.

Recent research

Research conducted by Lorrigan and Penton (1991) involved selecting ten schools in which they interviewed staff members about their school's appraisal and staff development policy. From this data, they were able to conclude that, while most schools had made moves towards developing teacher appraisal programmes, their progress was limited by teacher suspicion. The importance of staff support was further documented by Battersby's (1991) research on the introduction of an appraisal system in a New Zealand school. She found that the creation of an appropriate climate, in which all staff were able to share in and contribute to the development of the programme, was crucial to the success of a teacher appraisal system.

Research by Peel, (1992: 80) which surveyed Auckland secondary school principals about the type of appraisal process currently operating in their schools, revealed, "that a certain amount of ambiguity and contradiction is evident in some of the appraisal systems in use and in the principals' attitudes towards them." He noted, "there was some evidence that teachers are being sold a developmental model and for this reason, serious questions should be asked about the underlying purposes of evaluation." Peel felt that the danger with evaluation or appraisal systems was that administrative evaluation was often masked by the espoused purpose of development and, while he thought evaluation for administrative purposes was not inherently bad, there needed to be open and frank discussion between the staff, the administrators and the board about the exact purpose of teacher evaluation in their particular school.

Peel's research conclusions are supported by Bailey (1992) who investigated the awareness of, and, attitudes towards, teacher appraisal of 110 Waikato intermediate and primary teachers. He found that material sent to New Zealand schools from official sources has presented a formative approach to appraisal, emphasising staff development with the aim of improving children's learning through an improvement in the quality of teaching. He also found that some

teachers believe there are other agendas and, while the number of teachers expressing these anxieties were in the minority, it was his recommendation that such a group could not be ignored.

In 1991, the Educational Leadership Centre at the University of Waikato won a contract with the Ministry of Education for a programme which would support principal, senior management development and curriculum leadership in primary and secondary schools. One result was the publication in 1992 of a paper which detailed the implementation of staff development and teacher appraisal policies in the 15 schools (primary and secondary) which were involved in the "Monitoring Today's Schools project." (Educational Leadership Centre 1992).

Major findings of this research were that time and staff suspicions were identified as the main difficulties in implementing an appraisal programme. The problem of time was mentioned by all the principals, as often staff had to be released from teaching to take part in the appraisal process, thus putting pressures on the relief budget or the goodwill of other staff to supervise extra classes. Most principals also cited staff suspicion about the "real" purpose of appraisal as being a difficulty which had to be overcome. According to those principals, many staff felt the system would be used in making judgements about them and that appraisal data could be used for hiring and firing. However:

Suspicion as to the true purpose of appraisal did not loom nearly so large in the responses from teachers as the principals suggested it might. Only 16% of the responses indicated suspicion as to the ulterior motives behind appraisal and, all except one of these were from secondary teachers. (p.21)

Another revealing finding was that, "when asked what appraisal meant to them, principals were unanimous in affirming that appraisal was a means of identifying teachers' needs for the purpose of focusing staff development" (p.23). However, when asked what they **felt** were the **reasons** for the introduction of a formal appraisal system, only half the principals said the purpose was to improve

teaching. The remainder said it was for accountability purposes or it was "just a requirement."

The majority of principals and teachers were against the notion that appraisal should be linked to promotion or performance pay because such use was incompatible with the generally accepted aims of teacher appraisal - the improvement of teaching and learning through the identification of staff needs providing a focus for staff development. It was also felt by many that such use of appraisal data would lead to unhealthy competition and rivalry among teachers and, that it would be open to bias and abuse.

In terms of staff acceptance of appraisal programmes, it was found that:

In schools where the appraisal programme was viewed positively by staff, there had been a lengthy preparatory period of consultation, talking through issues and generally focusing on the understanding that appraisal was primarily a means of improving teaching. (p.36).

Recent research by Capper, (1994) involves a comprehensive survey conducted in twelve New Zealand schools during the period October 1992 to April 1993. The main purpose of the research (undertaken by the N.Z.P.P.T.A.) was to provide baseline data to assist in carrying out an action research project known as the "Shared Decision-making project". In the section on appraisal, the conclusion reached was that teachers are still very nervous about the introduction of appraisal procedures, firstly because they are afraid that such procedures might be used to determine their salaries, their tenure or other aspects of their conditions of service and secondly, they did not believe that fair procedures for such purposes could be developed. It seems that from this study, although there was widespread concern over the issue of poorly performing teachers, there was little school-generated energy to consider appraisal. As Capper stated:

The reaction can best be described as one in which a central government demand was being met by some schools in the spirit of making the best of a bad job. For most part, respondents seemed to think that the objectives of appraisal systems had been and continued to be met adequately by informal processes. (p.2)

Research by Irons (1993) which this thesis will attempt to build on, involved her studying the implementation and development of performance appraisal in four New Zealand primary schools. The conclusions she reached included that while all staff surveyed felt appraisal should be formative, 20% felt that the appraisal process operating in their school was to some degree summative. While 80% of the teachers felt that performance appraisal had been worthwhile, particularly because of the self-evaluation undertaken as part of the programme, 31% felt their teaching performance had not been affected; the major reasons being a perceived lack of skill of the appraiser and, a lack of aftercare or follow-up. Irons (p.105) stipulates that, "performance appraisal will only work if teachers owned it, believed in it and were committed to it."

Irons, like Peel, recommended that schools must decide the purposes which appraisal is to serve before implementing any programme. She also indicated that different methods of appraisal may be necessary and that programmes must be adequately funded and/or time provided in schools.

Investigating the results of the research literature

Although research into teacher appraisal in New Zealand is still very much in its infancy, there are already some results emerging which this thesis will attempt to investigate. One of these is that there seems to be a generalised suspicion from both teachers and principals about the real purpose behind legislated teacher appraisal. While the strength of this suspicion varies, it would seem that some agree with Codd's (1990) and Gordon's (1993) assertion that teacher appraisal may be used to deal with competency issues and/or merit pay, with the motive being to control teachers and reduce their status to that of workers.

However, as is indicated by the recent research literature, from both overseas and New Zealand, teachers and principals do not want appraisal to deal with issues such as competency or pay rates. They want appraisal to be formative and aimed at developing better teachers through enhanced and increased professional development.

In this research, the concerns expressed by educationalists about the real purpose behind legislated teacher appraisal are analysed by the questionnaire, which ranks all secondary schools in the Auckland region which have current teacher appraisal programmes, on four summative/formative dimensions. A further focus is provided by the first research question in section two, by asking respondents from the six selected schools to explain the reasons which they felt were behind the development of their school's teacher appraisal programme.

Given the possible mismatch of "legislative vs professional" concerns, the New Zealand literature clearly indicates that the way appraisal is introduced in the school will make the difference between a successful and unsuccessful programme. If teachers feel they have been consulted during the design and implementation of the programme, then they are more likely to feel ownership and want it to succeed. If the programme has been imposed on staff from either the management or an outside agency, then it could generate resentment, suspicion and the expectation of failure.

The way appraisal is introduced into the school is considered in the second research question in section two, in which respondents are asked to trace the development of the appraisal system within their school. This leads to the third research question, which looks at problems created by introducing teacher appraisal into schools. While the reasons for legislated teacher appraisal and the way it is introduced have been identified as potential problems, the research literature also mentions a lack of time and inadequate training. (Educational Leadership Centre, Waikato University, 1992).

The fourth and final research question investigates how the six schools balance legislative (summative) and professional (formative) aspects of teacher appraisal. This has been discussed in the literature review in the section outlining The use of both formative and summative appraisal systems and the suggestions of Hickcox (1988), McGreal (1987) and Conley (1989) will be compared and contrasted with the six selected New Zealand schools.

In this chapter, the writer provided an overview of relevant teacher appraisal literature, including a summary of recent research undertaken in New Zealand. The next chapter outlines the research questions which have been generated by the literature survey and will also describe the methodology used to implement the study.

CHAPTER THREE

Methodology

Introduction

This chapter will introduce the reader to the research questions and the reasons underlying the selection of these questions. This will be followed by an outline and discussion of the research techniques used. The next section focuses on how the research was implemented, which will include a detailed outline of procedures used and ethical safeguards employed. To give the reader an idea of the research process, a brief timeline from topic identification to thesis submission is included as a final part of this chapter.

Research Questions

This research aims to contribute towards determining the current state of teacher appraisal programmes by:

1. Providing an overview of teacher appraisal programmes which currently exist in Auckland secondary schools.

The research questions generated for this section are:-

- (a) ***What percentage of secondary schools in the Auckland region have current on-going teacher appraisal programmes?***

As far as the writer could ascertain, this is the first attempt to identify the percentage of New Zealand secondary schools, within a specific geographical area, which had developed teacher appraisal programmes. The reason for this question was, firstly, to check the response of a selection of New Zealand secondary schools to a legislative requirement which had been in place for five years and, secondly to determine the percentage of schools which had an appraisal programme and, therefore, would be able to respond to the second research question.

- (b) ***Where do schools with a current teacher appraisal programme rank on summative-formative dimensions?*** (What percentage of schools have largely formative programmes, what percentage are summative and what percentage combine elements of both dimensions?). Some writers, such as Pollitt (1988) in Britain and Apple (1990) in America, view the push for the evaluation of teachers as a continuation of the managerialist philosophy of conservative governments. Apple maintains that the attempt to define teaching as a collection of competencies can be seen as a direct attack on the autonomy of teachers. According to Pollitt, the reason for this attack is the suspicion of professional monopolies and the desire of top management to assert control.

Gordon (1993: 22) and Codd (1990: 23) have suggested that the New Zealand education system is following overseas trends as they see a major thrust of the (1989) educational reforms being an attempt to reduce the professionalism and relative autonomy of teachers. They maintain that one method of doing this would be through the introduction of a largely summative teacher appraisal system.

The second research question will test Gordon and Codd's contentions by ranking all schools which have a current teacher appraisal programme on four formative/summative dimensions.

2. The second part of this research provides an in-depth study of six schools which have an on-going teacher appraisal programme with elements of both summative and formative appraisal. The research questions generated for this section are:-

- (a) ***What are the reasons given for the development of teacher appraisal programmes?***

While it can be claimed that appraisal programmes have been legislated into existence, research by Bollington, Hopkins and West

(1990) and Wragg (1987) suggests that the perceived reasons for developing an appraisal programme may be the deciding factor in governing staff reactions, procedures adopted and expected outcomes.

According to the Principals' Implementation Task Force - A Guide to Personnel Management (1990: 31-32), there are two main reasons for the development of teacher appraisal programmes:

Professional development, including individual development and growth, as well as improvement of the institution. A management function in that appraisal relates directly to the school's accountability in terms of individual performance and its achievement of charter objectives.

The reasoning behind the development of teacher appraisal programmes forms an important part of this research, as it has widespread implications for teachers in terms of their status and the perceived nature of their work.

(b) ***How was the appraisal programme developed?***

Writers such as Conley (1989), Hickcox (1988) and Stewart (1990) indicate that one of the major factors which can be used to separate formative from summative appraisal systems is the way in which the system is developed. Examples of a formative system could include appraisal developed as a result of consensus decision-making by the people involved, while a summative system could be one which is imposed on teachers by the management or an outside agency. If Conley, Hickcox and Stewart are correct, then the information gained from this research question will also have implications for the status of teachers and how their work is perceived.

(c) ***Had any problems been encountered in developing appraisal programmes?***

New Zealand literature focusing on teacher appraisal systems has reported varying amounts of staff resistance to the development of these programmes. In particular, writers such as Lonnigan and

Penton (1991), Battersby (1991), Bailey (1992) and Capper (1994) have indicated that staff resistance and suspicion is created because some teachers feel that, rather than attempting to provide increased professional development opportunities, the real reason for introducing teacher appraisal programmes could be to determine their salaries, tenure and other conditions of service.

Another major problem, according to the research undertaken by the Education Leadership Centre (Waikato University 1992) was time, in that teachers felt that participation in an appraisal programme was yet another requirement which they had to fulfil.

This research question will examine what teachers from six secondary schools perceived to be problems associated with the development of their teacher appraisal programme. The answers will be compared and contrasted with the results of other research literature, in particular, how the perceived problems relate to formative/summative aspects of the appraisal systems.

(d) ***How do schools attempt to meet both legislative requirements and teacher professional development needs?***

The potential for conflict with teacher appraisal systems arises because, over the last decade, registered teachers in New Zealand have been used to exercising considerable autonomy, including being largely self-monitoring in terms of accountability. However, they are also salaried employees of public organisations and, therefore, it could be argued that they need to be accountable to their employers.

This research question will attempt to discover if and how the six selected schools met individual needs for professional development and organisational needs for accountability, as outlined by Edwards (1992: 1) and Valentine (1992: 2). An important part of this

investigation will involve attempting to ascertain if formative /summative dimensions can successfully co-exist within the same teacher appraisal programme.

3. As an action component, the writer will discuss the appraisal programme which is currently being trialled in his school and which is a direct result of the research undertaken for this thesis. As this is a descriptive account of a process which is just beginning, there have been no research questions generated by this section.

Research Techniques

Survey methodology is the framework used in this study, based on the assumption that surveys are essentially data gathering techniques, which are used to measure or find out something about a particular group of people.

This research involves what Harker (1992: 3) has termed a "staged survey" with the inclusion of more qualitative data as the survey progresses. The specific research techniques used are questionnaires and interviews. These techniques make it possible to measure a person's knowledge, values, attitudes and beliefs. However, according to Tuckman (1978: 197):

The self report approach incorporated in questionnaires and interviews does present certain problems because (a) respondents must co-operate when completing a questionnaire or interview, (b) they must tell what is - rather than what they think ought to be or what they think the researcher would like to hear, and (c) they must know what they feel and think in order to report it.

To minimise these problems, the writer has attempted to design questions which are clear and concise so as to avoid frustration and possible non-co-operation. Care was also taken to present or ask the questions in a non-judgmental, easily understood manner.

Stage One

The first stage of this research seeks to ascertain background information about the number (in terms of a percentage) and type (in terms of formative/summative dimensions) of teacher appraisal programmes currently operating in Auckland secondary schools.

As a result of the number of schools involved, the type of information required, which is largely factual and not personally sensitive or revealing, plus the need to compare the school's responses to a set of criteria, a **written questionnaire** was chosen as the preferred survey technique.

While questionnaires may have certain advantages over interviews in that they are more economical in terms of time, resources and costs and also have the structure to provide readily comparable responses, the methods literature indicates that using questionnaires can create serious disadvantages. According to Sax (1979: 246), the use of a questionnaire means that the motivation of the respondents is very hard to check, while an interview permits rapport to be established. Without knowing how motivated the respondents are and also having no control of the conditions under which the questionnaire was completed, the validity or accuracy of the subjects' responses is hard to ascertain.

It is also difficult to check the respondents' degree of understanding of the purpose of the questionnaire and whether the questions were unambiguous and easily understood. As Dixon, Bourne and Atkinson (1991: 81) point out, most questionnaires beyond the "simple tick the box variety" require fairly good reading and comprehension skills and, while in this research it is hoped/assumed that teachers have these skills, the particular interpretation they may draw from a question may be very different from what the writer intended.

Another potential problem identified by Sax (1979) is the percentage of people who will reply to a questionnaire, as each questionnaire that is not returned increases the likelihood of biased sampling. As Kerlinger (1986) has noted, the percentage of such returns depends upon a number of factors including the length of the

questionnaire, the quality and design and the relative importance of the study to the respondent. However, the bottom line is that once the questionnaire is sent, the researcher has no further control over it.

Stage Two

The second stage of this research involves an in-depth study of the teacher appraisal systems operating in six selected secondary schools. The research technique used could best be described as a **'focused' interview**, in which the interviewer has a list of questions with the amount of probing or additional questions being at the interviewer's discretion. The reason for using an interview was that the writer wanted to obtain detailed, sometimes personal information, from a small number of people. The methods literature, for example, Dixon et al (1991), Gross (1994) and Harker, (1992) provides a great deal of information on the advantages of using the interview as a research technique. A summary of this information indicates that the interview is seen as a flexible research technique as the interviewer may change the mode of questioning if the occasion demands. The interview also allows flexibility for the respondent as it gives them a chance to enlarge upon, retract or question items presented to them. The interview allows the researcher to observe both what has been said and the way in which it was said. It is also useful in ascertaining personal information, attitudes or beliefs, as it allows the researcher to probe for additional information and to question vague or inconsistent replies.

The strengths of the interview process, namely its flexibility and personal nature, also create potential weaknesses or disadvantages. For example, in a focused interview, as is used in this research, the interviewer may probe or ask additional questions to elicit a fuller response or to clarify a certain point. Problems may arise when an attempt is made to summarise, categorise and evaluate responses to often unstructured questions which may be different for each interview.

The development of a strong empathetic relationship between participants, while important to motivate the respondent and gain frank and open answers, can create problems in that the interviewer may quite unintentionally, through body language

or tone of voice, influence the respondent so that they respond more to what they think the interviewer wants to hear rather than what the respondent really thinks. Influencing the respondent in a number of subtle ways is very hard to control as researchers, as people, are invariably influenced by their own personality, cultural background, as well as their theoretical and philosophical orientation. Or as Orme (1993: 31) predicts, "The demand characteristics of the research instrument will often result in producing the kind of behaviour you wish to prove exists." This could be particularly relevant if there is a perceived difference in status and power between the researcher and the respondents. In other words, "by defining the world for others, the expert is enjoining these people to perceive and accept the world the way the expert ordains." (Hughes 1990: 56).

Other problems in the interview situation may involve the type of questioning techniques used; for example, using closed rather than open questions, or problems may occur when the researcher does not allow the respondent sufficient time to respond and anticipates responses or fails to clarify ambiguous responses.

Problems will also occur if the researcher fails to motivate the respondent. Cannell and Axelrod (1966) found that respondents enjoy being interviewed if they perceive the interviewer as one who is friendly and sincerely interested in them and their beliefs.

Finally, the recording of responses during an interview may pose some special difficulties. At one extreme is the attempt to write the report from memory after the interview has terminated; at the other, the attempt to record the entire interview. While tape recordings achieve the most complete record, they may have an adverse effect on the respondent, although Kahn and Cannell (1967: 255) have suggested that, "a recorder may make the interviewer more nervous than the respondent." Another problem with tape recording is the necessity to transcribe reports which can be expensive and time-consuming. According to Sax (1979: 238), one way to reduce errors in recording is to take brief notes during the

interview as most respondents will not object to note-taking. It is suggested that, "rather than taking verbatim notes, interviewers should develop their own form of shorthand notes and then transcribe these into standard English."

When outlining how the research process was implemented, the writer will describe the attempts made in this research to minimise the potential problems caused by using questionnaires and interviews as research techniques.

Action Component

The action component of this research involves the teacher appraisal programme operating in the writer's school. Although a teacher appraisal programme has been in operation for a number of years, the results of this research have caused the system to be substantially modified. This section will be presented in the form of a **case study** because, as Dixon et al (1991: 107) point out, "the case study can answer the question - what is going on?" Or as Adelman, Jenkins and Kemmis (1976: 140) suggest, "case study research seeks to observe, probe and understand what is going on within a bounded system," which means that a particular group is focused on and no comparison is made with another group.

The advantages claimed for the case study method are that, as the research is conducted in real situations, case studies are strong on realism and materialism, recognising the complexities of social situations. Kemmis (1980) claims that the results obtained through case study research are more accessible to the non-researcher, as they are more easily comprehended, allowing more people to gain benefits and insights, thus possibly contributing to the democratisation of decision making.

The major disadvantage associated with case study research is identified by Atkinson et al (1988) who claim that theoretical and methodological development has been neglected and, as a result, findings are based on meaning centred qualitative data collection and analysis, which substitutes literary style for theory or method.

The case study method seems particularly well suited as a method of reporting the action component section of this research, as the writer is describing the development and modification of a teacher appraisal system within a particular institution. While no comparison is attempted with any other institutions, the description of Dixon et al (1991: 35) of the case study, "as the building blocks of research from which others may progress" is relevant to this research, as information gathered by a number of case studies in a particular area can build up an archive of descriptive material sufficiently rich to admit subsequent interpretation and the possibility of generalisation.

Implementing the research

The Questionnaire

In designing the questionnaire, the first step was to decide exactly what information was required as this would determine both the number and type of questions. While a simple "Yes/No" answer would cover the first research question - What percentage of secondary schools have a current appraisal programme? - any attempt to rank schools on formative/summative dimensions would require information from the four areas which had been identified through the appraisal literature as differentiating between formative and summative systems.

Once the initial questionnaire was designed, the writer followed Dixon et al's (1991: 83) advice:

It is always a good idea to test your questionnaire. Give it to some people who are not in your sample, but are like the people you plan to study. Their response will help ensure that your questionnaire gives you the information you want.

The writer selected, at random, a group of eight teachers from his school, asked them to answer the questionnaire and then make comments as to any inconsistencies or ambiguities. They were also asked to comment on the covering letter that the writer proposed to send out within each questionnaire, explaining the nature and purpose of the research.

After some minor modifications resulting from the pilot study, a letter and questionnaire, (see Appendices I and II) were sent at the beginning of 1994 to principals of all private and state secondary schools in the Auckland region, which encompassed the area from Warkworth in the north to Te Kauwhata in the south, a total of sixty schools. The letter gave an outline of the research proposal and asked the principal or a delegated staff member to complete the questionnaire and return it in the provided stamped addressed envelope. If the questionnaire had not been returned by a certain date, another letter (see Appendix III) containing another stamped addressed envelope, was sent out. If there was still no response, the writer rang the principal to find out if and when, the questionnaire was going to be returned. In the end, 55 of the 60 schools, or 92%, replied to the questionnaire and, while a full return would have been appreciated, it was felt that the sample was large enough, in percentage terms, to give statistically significant data.

The Interview

From the returns to the initial questionnaire, six schools were selected for in-depth analysis. The choice was made on the basis that each selected school:

- (i) Had a current on-going appraisal programme, which had been in existence for at least two years, so that staff had had time to work through, reflect on and possibly modify the system.
- (ii) Had in their programme elements of both formative and summative appraisal processes.

Before starting the research, it was not known how many schools would meet these criteria. However, once the results of the initial questionnaire were returned, it was found that more than six schools qualified. Consequently, a further selection was made in an attempt to select a representative range of New Zealand schools in terms of ethnic composition, size, geographic locality, gender and source of

funding. Unfortunately, no private or rural schools met the initial criteria in terms of their appraisal system.

After consideration of the additional criteria, the number of schools which could have been chosen still exceeded the number required. Consequently, in one case, the selection came down to convenience in terms of easier access to a particular school, which is an important consideration when you live on an off-shore island!

Once the six schools had been selected, the principals were contacted by telephone and asked if they would be prepared to allow the writer to visit the school to interview them and selected staff members about the school's teacher appraisal programme. As in all cases the answer was "Yes", the writer suggested a possible time to visit the school and discussed the method of selecting the staff to be interviewed. A letter was then sent thanking the principal and his staff for agreeing to take part in further research. The time for the visit was confirmed, and the writer reiterated the selection process to be used (see Appendix IV). Also included were copies of the participant information sheet and consent form to be completed by each of the participants (see Appendix V), plus a copy of the interview questions (see Appendix VI).

The staff interviewed in each school were the principal, the teacher in charge of the appraisal system (in no school was this the principal), one Head of Department, and an assistant teacher. The writer felt it was important to obtain a range of views within each school, as according to Adelman et al (1976: 143):

It is vital that the researcher respond to the multiplicity of perspectives present in a social situation and represent fairly, those differing and sometimes conflicting viewpoints.

Or to put it another way, only interviewing the principal could result in a somewhat distorted picture!

While the principal and teacher in charge of the appraisal system selected themselves, the head of department and the assistant teacher were selected on a

random basis from those teachers who had non-contact periods on the day that the writer had arranged to visit the school. In all but one case, in which the task was delegated to the teacher in charge of appraisal, this was organised by the principal.

The procedure literally involved the name of the selected teacher or H.O.D. being drawn out of a 'hat', which contained the names of all those eligible; that is those teachers who had non-contact periods on the day the writer visited the school.

While a random sample selected from all staff would have been better in terms of research validity, discussions with the principals indicated that, because of timetable constraints, the approach used was a preferable option. Therefore, to generate co-operation and goodwill towards his and future research, the writer was prepared to work within the constraints suggested by the schools.

In all but two cases involving two different schools, these arrangements proved satisfactory. The first problem involved a teacher who was ill on the day the writer visited, while, in the second case, the teacher was attending a course, which was rather annoying as prior arrangements could have been made.

Consequently, two substitutions were made from teachers who had non-contact periods and while the interviews proceeded satisfactorily, the conditions were far from ideal as the teachers had no chance to read and think about the questions and were interrupted with little warning during their "free" periods. In hindsight, it would have been a good idea to have selected two extra people (one H.O.D., one teacher) from each school as 'stand-ins' should the original interviewee have been unable to be interviewed.

The initial interview questions were trialled with members of the writer's senior management team, plus two principals, one primary, one intermediate, as a pilot study to check for ambiguities, loaded or obscure questions. After the pilot study had been conducted, the final interview questions were constructed. As a generalisation, the writer followed the advice given by Dixon et al (1991) by putting

the factual questions first, followed by the more subjective, with 'sensitive' questions coming at the end. Most questions were open-ended and it was the interviewer's decision of how much to probe and/or ask for clarification.

Some writers (Orme 1993, Hughes 1990) have suggested that the perceived inequalities in status between the interviewer and the respondent may lead to the respondent answering the way he/she thinks the interviewer wants. The writer was very conscious of this possibility in terms of the respondents, as teachers, knowing that he was a school principal. The writer ensured that the ethical safeguards which had been set up were explained to all the respondents and that it was emphasised how important their contribution was to the research.

In terms of conducting an interview, the writer is a registered psychologist who has worked in both private practice and the school system for a number of years and, felt reasonably confident of his interviewing skills and ability to create an empathetic relationship. His background in psychology and counselling was one of the reasons why this type of research technique was chosen.

The interviews were conducted in the six schools during the 1994 winter term. In all of the schools, the writer was provided with an office which allowed privacy and freed both the interviewer and respondent from interruptions. The interviews ranged from between 40 to 60 minutes. Following Sax's (1979) recommendation, the interviewer, after gaining permission from the respondent, took his own form of shorthand notes which were transcribed into standard English as soon as possible after the interview. While the writer's original reason for doing this was to avoid creating an adverse effect on the respondent, Kahn and Connell's comment that, "a recorder may make the interviewer more nervous than the respondent" is fully accepted and in hindsight, it would be fair to say that the taking of notes helped the writer feel more confident and focused on his task.

The information obtained from the interviews will be reported in a descriptive rather than statistical manner and, as introduction, six short summaries will detail the appraisal system currently operating in each school. In answering the four

research questions contained in this section, the aim is to provide a systematic, focused examination of how six schools dealt with, or are still dealing with, key issues in the initial and/or on-going development of teacher appraisal systems. To this end, the data gained from each school will be compared and contrasted to data gained from the other schools. An analysis will be made of similarities and differences and where possible, tentative conclusions will be made which, in the discussion of results section, will be re-examined in the light of other research findings.

Implementing the action component

Implementing the action component of this research involves a critical relook at the teacher appraisal programme currently operating in the writer's school. The programme which has been operating for a number of years is re-examined in light of; a staff questionnaire, the literature review undertaken for this thesis and, the insight gained from the survey and in-depth study of appraisal programmes operating in other Auckland secondary schools.

The results of those factors, including the development of the writer's own theory of appraisal, have seen changes introduced to the writer's appraisal system, some immediate and some which will happen over time. The reasons for these changes are examined and discussed in the action component section.

Ethical Safeguards

According to Dixon et al (1991: 166):

The responsible researcher is considerate, does nothing to injure, harm or disturb the subjects of the research, keeps data collected on individuals and groups confidential and accurately records information and reports the findings of the research in a public manner.

The Code of Ethical Conduct for Research and Teaching involving Human Subjects developed by Massey University (1990) outlines five principles which need to be followed to provide adequate ethical safeguards. These are:

1. Informed consent of the participants, preferably in writing,
2. Confidentiality of the data and the individual providing it, with the person being given the option if they want to be identified or acknowledged,
3. Minimising of harm to the participants,
4. Avoiding of any unnecessary deception,
5. Being sensitive to the age, gender, cultural, religion or social class of the participants.

In order to ensure that these principles are upheld, the following procedures were implemented.

The first stage of the research involved sending a questionnaire to all the secondary schools in the Auckland region. A letter was sent with the questionnaire outlining exactly what the research involved and why it was being undertaken. The principal's permission was sought for the school to participate in the initial survey. This was with the provision that the results would be confidential and that individual schools would not be able to be identified from the publication of the results.

Permission in writing was sought from all participants in the six schools which had been chosen to participate in the second stage of the research, that is an in-depth study of the school's appraisal system. All the participants read and then signed a participant consent form (see Appendix V), which gave details of the research and the type of interview in which they would be participating, including their right to withdraw from the research at any time. Confidentiality in terms of the school and the individual was also stressed, in that schools would be identified by broad headings, such as rural, urban or co-ed/single sex, while teachers would be identified by their status; for example, head of department, assistant teacher.

The importance of confidentiality was reinforced when the researcher met with the participants, in that they were assured that the writer would not discuss what they had said with anyone unless the respondent had specifically given permission for this to happen. The issue of confidentiality was seen by the writer as especially important as it was common knowledge that he was a colleague of their principal

and as a result, this could have made the participants hesitant of being critical of school policy. The writer felt the best way to deal with this was to raise the issue and acknowledge the possibility of bias, but to stress that, in this situation, he was attempting to gain as accurate and complete a picture as possible and this could only be done if he remained neutral and the respondents felt free to say what they really thought. It was interesting that on two occasions, principals did ask the writer "How did it go?", to which he made brief non-committal answers.

At the same time as the potential participants received their information and consent forms, they were also provided with a copy of the interview schedule so that they could see exactly what sort of questions they would be asked before they signed the consent form and, had a chance to think about their answers before the interview.

After the research was completed, the principal of each school was provided with a copy of the summary of their school's appraisal programme, as outlined in Chapter Four, so they could ascertain if they had been reported accurately and were satisfied with the measures to ensure confidentiality. Each of the six schools will be sent a copy of the finished published research.

By following these procedures, the writer is confident that the five principles outlined by Massey University (1990) to provide adequate ethical safeguards have been followed, in that all participants were provided with written information about the research and all gave written consent to participate, on the understanding that they could withdraw from the project at any time.

The writer was, at all times, completely open about the purpose of the research and the reason for interviewing selected teachers and ensured that, prior to each interview, the participant was again informed as to the purpose of the research.

Confidentiality, in terms of the school and the individual, was stressed in both the written material given to potential participants and by the writer, prior to each interview. The writer felt this was particularly important to ensure that the

participants were not in any way harmed by critical comments which they may have made about the principal or other members of the school administration.

The final principle, that is, being sensitive to the age, gender, cultural, religion or social class of the participants, was not a major issue in this research. However, as a part of gaining empathy and rapport with the participants, the writer ensured that all were treated with respect, as professionals who had valuable information to share.

Timeline

In order to give the reader some idea of the research process, a brief timeline has been constructed from topic identification to thesis submission:

- (i) The research area of teacher appraisal was identified in 1992 when the writer completed the Master of Educational Administration paper 36.412 "Education Research Methods". Expertise in this area was further developed by the writer implementing an appraisal process in his own school and through his gaining in Term 2 1993 a research affiliateship with University of Auckland in which he studied the appraisal process. The thesis proposal was formalised at the end of 1993 and submitted in January 1994.
- (ii) The literature survey was first started in 1992 for the Education Research Methods paper and, was continued in 1993 as part of the research affiliateship. Reading for the specific thesis proposal started during the 1993/1994 Christmas holidays and continued during Term 1 1994.
- (iii) The initial questionnaire to all secondary schools in the Auckland region was sent out at the beginning of April 1994. By the end of Term 1, replies had been obtained from 55 of the 60 schools contacted. This had involved a follow-up letter and a phone call to recalcitrant principals.

- (iv) During the 1994 May holidays, the writer attended Massey University and discussed his progress with his supervisor. He also analysed the results of the first questionnaire and made a tentative selection of the six schools for further study.
- (v) In the first half of Term 2, the writer designed the interview and started writing up the introduction and literature review.
- (vi) The six schools were contacted just prior to mid-term break and the writer spend just over a week from the end of July, for which he took leave of absence, visiting the schools and interviewing the teachers.
- (vii) The August holidays involved finalising the literature review and writing up the research findings from the initial questionnaire.
- (viii) Term 3 involved writing up the case studies, answering the research questions, discussing the results and drawing conclusions. Towards the end of Term 3, a first draft was completed, which was submitted to the supervisor and subsequently revised.
- (ix) At the same time as the thesis was in progress, the writer was also involved in modifying the appraisal system currently operating in his school. The modifications were largely as a result of the literature review, plus some input from the findings of the initial questionnaire. This started at the beginning of Term 1 1994, when the writer presented some of the modifications to the staff. These were discussed and worked on by a staff committee and then the appraisal team leaders during Term 1. As a result some modifications, for example the self appraisal form, were implemented during Term 2 1994. Others, for example, the two year appraisal cycle, were introduced in 1995.

CHAPTER FOUR

Research Findings

Introduction

This chapter is divided into two parts. The first part corresponds to the first stage of the investigation which involved sending a questionnaire on teacher appraisal programmes to all secondary schools in the Auckland area. This questionnaire was designed to provide answers to the first two research questions, "What percentage of secondary schools in the Auckland area have current on-going teacher appraisal programmes?" and, "Where do schools which have a current teacher appraisal programme rank on four summative-formative dimensions?"

In the second part of the chapter, the writer moves from the general overview gained from the questionnaire to an in-depth study of six Auckland secondary schools which have on-going teacher appraisal programmes with elements of both formative and summative appraisal.

After summarising the appraisal programmes currently operating in the six schools, the data gained from interviewing a selection of staff from each school will be examined in terms of the four research questions, which are seen, by the writer, as key issues in the on-going development of a teacher appraisal system

STAGE I An overview of teacher appraisal systems in Auckland secondary schools

I The Presence of Teacher Appraisal Systems in Auckland secondary schools

To answer the first research question, "What percentage of schools have current on-going teacher appraisal programmes?": the responses from the 55 schools were divided into four categories:-

- [A] Those schools which had a current on-going appraisal system in place for at least one year, so that almost all staff had experienced the system;

- [B] Those schools which were actively developing an appraisal programme with the realistic expectation of implementation in 1995;
- [C] Those schools currently without a programme, but which indicated that they would be researching and developing a programme in the near future;
- [D] Those schools which did not have a teacher appraisal programme and did not intend to develop one.

Table I - Presence of Teacher Appraisal Programmes in Auckland Secondary Schools

Category A	42% (23 schools)
Category B	31% (17 schools)
Category C	23% (13 schools)
Category D	4% (2 schools)

Comment

Table I indicates that from the responses to this questionnaire, which represented 95% of secondary schools in the Auckland area, 73% of those schools are either developing (31%) or have appraisal programmes in place (42%).

Lack of time was cited as the reason for the 13 schools (23%) which had not yet developed a programme. The 2 schools (4%) which would not be developing a teacher appraisal programme gave no reason for this decision.

II Formative/summative dimensions in current teacher appraisal programmes in Auckland secondary schools

To answer the second research question, "Where do schools which have a current teacher appraisal programme rank on formative/summative dimensions?", the forty schools which were placed in either category A or B in Table I (that is, schools which had or were actively developing appraisal programmes) were ranked by the writer, as a result of their answers to the questionnaire, on four key formative/summative dimensions across a five point scale. The four dimensions

which have been discussed in the literature review section and have been identified by Conley (1989), Hickcox (1988) and Stewart (1990) as key issues which separate formative from summative appraisal are:

- **How was the programme designed and implemented?**
- **Who appraises whom?**
- **Who has access to the appraisal information?**
- **For what purpose(s) is this information used?**

In analysing the data collected from the forty schools, it became immediately apparent that a large number of schools had experimented with different systems and some had completely changed their appraisal programmes. To ensure consistency and to provide a snapshot of what is currently happening, it was decided that, whatever system was operating when the questionnaire was given would be the one on which data would be collected, even if substantial changes were proposed in the near future.

The data obtained to answer the second research question, "Where do schools which have a current teacher appraisal programme rank on formative/summative dimensions?", will be reported for each of the four dimensions in the following manner:

- A description and explanation of the five categories combined within each dimension will be provided, followed by a table outlining the results obtained from the questionnaire
- A commentary will then provide a descriptive analysis of the results reported in the table

The source of the descriptors came initially from the research literature, in particular, Conley (1989), Hickcox (1988) and Stewart (1990). Also, the data collected through this research provided a rich source of material which helped to clarify the original descriptors.

1. Who designed and implemented the teacher appraisal programme?

The five **descriptors** listed below are ranked from strongly formative to strongly summative:

1. Staff designed and implemented the system through a process of consensus decision-making. While the actual work, (i.e. research and the drawing up of a programme), may have been done by an individual or a committee, the important point is that the staff had control and any programme was a result of their input.
2. While the impetus for the programme came from the school management (principal, deputy principal, assistant principal), they either delegated an individual or a committee to research and then design a system in which both staff and management would have an input
3. The school management, or one of their number, designed a programme in which staff either collectively or through a committee were allowed input. The impetus and resultant programme is hierarchically driven, but staff have the power to modify or alter certain aspects.
4. The programme is designed by the school management, then presented to staff for discussion prior to implementation. However, the power is kept very much with the management and, there is little negotiation or modification.
5. The programme is designed by school management, possibly in conjunction with an outside agency and, presented to the staff as a 'fait accompli'.

Results

Number = 40

Designed and implemented through staff consensus

Imposed by school or outside authorities

	Strongly 1	Moderately 2	Mixed 3	Moderately 4	Strongly 5	
Formative	9	11	15	5	0	Summative

Commentary

From the above results, it is evident that in all schools, teachers were involved in designing and implementing teacher appraisal programmes. What is also

apparent is that, while in twenty-four percent of schools, the implementation and design of the programme was initiated and controlled by the teachers, in seventy six per cent, the impetus for the development of the programme came from the school management, with teachers having varying degrees of involvement and control.

Examples from the nine schools in which staff designed and implemented the appraisal process include:

This is a formative system which has been initiated and designed by a staff committee and then presented to the total staff for modification and approval.

or

The appraisal system, which is very gentle at present, was initiated by a group of enthusiastic staff and is totally peer directed.

The second category included eleven schools where, for example:

The senior management team recognised the need to regularly evaluate the quality of teaching and learning at all levels. To achieve this, they formed a staff committee to draw up a process and policy statement, which was submitted for general staff approval.

In these eleven schools, the impetus was clearly from the school management and usually the principal. However, once the committee was formed, they were given full authority to design both the process and programme, which was then submitted to staff and management for modification and/or approval.

The most common approach, which was adopted by fifteen of the schools, involved the school management, usually the principal, designing a programme and then presenting it to staff.

For example:

The principal introduced an appraisal programme in 1993 and then asked for input from the staff development committee

or:

The principal identified the need for appraisal and created an appraisal development team consisting of senior teachers. The subsequent programme was then presented to staff for their input.

In these schools, the programme is developed by the principal and while staff have power to modify certain aspects, the basic principles/philosophy in terms of summative/formative dimensions are usually non-negotiable.

The last category involved five schools where appraisal was introduced by the school management with the staff having opportunity to discuss the programme prior to its implementation.

A good example is set out below:

At the beginning of 1990, the headmaster recognised the need to institute a formal programme of appraisal, engaged a group of consultants to design and then train staff in the implementation of the programme. While staff had the opportunity to discuss the programme, the discussion tended to centre around procedures and implementation rather than philosophical issues.

2. Who appraises whom?

The **descriptors** listed below are ranked from strongly formative (1) to strongly summative (5).

1. A buddy system operates, allowing total flexibility within the staff, there are no hierarchical distinctions and, open choice of partner
2. The programme operates through subject departments, each department is responsible for designing its own scheme. Or through a mentor system where, for example, an experienced teacher would appraise a less experienced one

3. A combination of a hierarchical system and either a buddy or mentor system
4. A hierarchical system but within this, some flexibility to choose one's own appraiser
5. A top down, rigid appraisal system, operating from one hierarchical level to another

Results

Operates through peer/self appraisal

Operates through hierarchical appraisal

	Strongly 1	Moderately 2	Mixed 3	Moderately 4	Strongly 5	
Formative	11	9	6	7	7	Summative

Commentary

"Who appraises whom" was the one dimension in which the results were reasonably evenly spread. For example, while eleven schools scored in the strongly formative category and operated completely on peer or self appraisal, another seven schools were strongly summative and operated along strict hierarchical lines.

It was also interesting to note that, as well as showing the most even spread, a further analysis of the results indicated that, this dimension represented the area of greatest change. A good example of this involved two schools who had quite extensive peer appraisal systems. Both principals indicated in their questionnaires that while they saw value in this system, they were unsure how much was happening as this was dependent on the enthusiasm of the teachers involved. Consequently, they had implemented a more hierarchical approach. In another school, the reverse had happened and a relatively formal system, which had resulted from a professional development contract from an outside agency had been modified to include the development of a buddy system.

Evidence that this area is still in a state of flux was provided by a further five schools which were considering making further changes, for example:

Peer appraisal is operating at present. However, the principal has suggested to the staff that they consider adopting a more formal approach, with HODs being responsible for producing appraisal on teachers in their department.

Examples which typify each of the five categories are listed below from strongly formative to strongly summative. A strongly formative approach is shown in this school by the instructions given to staff with regard to choosing an appraiser:

Approach someone you respect for their professional standards and whom you would feel comfortable with, looking at your style and practice. This person may or may not be a department colleague. Approach this person and ask them to be your mentor.

A slightly more hierarchical approach involved the HODs being given instructions, "to set up meetings with teachers within their departments and to discuss with them matters related to their appraisal"; the expectation being that each department would devise their own appraisal system.

A typical example of a two-tiered system combining both formative and summative approaches involved the development of 'appraisal trios' made up of three staff members. These trios were self selected with the total emphasis on support and professional development. This was coupled with a formal hierarchical system in which staff were appraised by the person to whom they were directly responsible.

A moderately summative approach involved the principal nominating a group of ten staff as the designated appraisers. Each staff member nominated three from the group of ten whom they would be prepared to work with. Armed with this data, the principal then made the final choice as to who would appraise whom.

An example typifying a top-down rigid appraisal system and scoring in the strongly summative category was evident in this school; the principal appraises senior staff as follows (list of initials); the senior staff appraises the middle managers as follows (list of initials); the middle managers (HODs) appraise the following teachers (list of initials).

3. Who has access to appraisal information?

The **descriptors** listed below, are ranked from strongly formative (1) to strongly summative (5).

1. The information gained is totally confidential to the appraisee/appraiser. Any notes or records are kept by the appraisee.
2. The information gained is totally confidential to the appraisee/appraiser and the appraisee's immediate superior, e.g. head of department. Any notes, records, are the property of the appraisee.
3. The Head of Department or appraisal group leader supplies the principal with an appraisal report on the teachers for whom they are responsible. However, the report does not identify individual teachers, rather it notes that appraisal has been carried out and alerts the principal to any problems
4. Similar to number three, except that the names are supplied to the principal. However, this information is not made public to the Board.
5. The Board of Trustees receives a report from the principal, through his/her HODs or appraisal leaders which identifies teachers and gives details of their performance.

Information gained is totally confidential

Information gained is available to employing authority

	Strongly 1	Moderately 2	Mixed 3	Moderately 4	Strongly 5	
Formative	15	9	8	8	0	Summative

Commentary

As can be seen from the table, while fifteen schools had what was judged to be a strongly formative approach, the rest of the twenty five schools, were evenly

spread over the other three categories, with no school scoring in the strongly summative category.

This means that in no school were Boards of Trustees privy to information which identified teachers and gave details of their appraisal performance. In the cases where boards were supplied with an appraisal report, the answers to the questionnaire indicated that these were, in general terms, for example, if the appraisal process had been completed and, any strengths or areas in which professional development was needed.

Examples from the four categories, starting from the strongly formative, include:

The system sets out to help meet the needs of the two staff and no information goes beyond the two concerned.

A moderately formative approach also involved the results of appraisal being confidential to the participants with no school records kept. However, there was a requirement that the teacher's immediate superior needed to be aware of the results, especially in terms of areas of suggested professional development.

A description of the process in a school in the third or mixed category involved all the HODs making a final report to the principal, which indicates that all appraisals have been completed and identifies strengths and professional development needs of the department. However, individual teachers are not named.

A typical example of a school falling in the moderately summative category involves:

An outcome of the interview will be the signing of the appraisal form by both the appraiser and appraisee. The document records the negotiated staff

development for the next year, plus any strengths or concerns. The appraisal form will be lodged in a file confidential to the principal.

4. For what purpose(s) is the appraisal information used?

The **descriptors** listed below are ranked from strongly formative (1) to strongly summative (5).

1. Any information - and there is no requirement to divulge any - is only used for professional development
2. A result of the appraisal process is the expectation and requirement that staff will engage in professional development activities, which are deemed by the appraiser likely to enhance professional development. However, appraisal information is still only used for professional development
3. While appraisal is still predominantly for professional development, there is the acknowledgment that poor performance in the appraisal programme could lead to competency procedures, in that it could be one factor among a number of others which could raise doubt about a teacher's competency.
4. Appraisal can be seen as both for professional development and discipline/promotional purposes. Information gained through appraisal can be used in competency procedures and may be a factor in terms of promotion.
5. Appraisal is seen as determining one's suitability for teaching. As such, it becomes a key element in any competency or discipline procedure and can be used as a type of grading mechanism to determine suitability for promotion.

Information is used only for professional development purposes

Information used for discipline or promotional purposes

	Strongly 1	Moderately 2	Mixed 3	Moderately 4	Strongly 5	
Formative	8	19	13	0	0	Summative

Commentary

All the schools which participated in the survey claimed to see appraisal programmes in terms of helping to improve teacher standards through increased professional development. As is shown in the results from the above question, no school saw appraisal as being used for disciplining or promotional purposes, or as determining one's suitability for teaching.

However, comments made by the thirteen schools whose answers placed them in the third, (mixed category), indicated an acknowledgment that poor performance in an appraisal programme may be one factor which could raise doubts about a teacher's performance. For example:

If the appraisal reveals at the completion of the two year process unresolved incompetencies, then a separate set of procedures (described in the collective employment contract and relevant statutes) may be commenced by the principal.

or:

Appraisal is not to be used by management for promotion or questions of competency, but to support the development of teachers. Logic, however, indicates that any appraisal system may bring to the surface certain considerations related to competency. It is expected that when competency begins to give cause for concern, the matter will be handled by the appropriate policy.

The other twenty seven schools denied any link between competency and teacher appraisal, focusing totally on appraisal for growth and development, the only difference being that in the strongly formative category, there was no requirement to divulge any information, rather:

the appraisal process gives teachers an opportunity to present a case to the staff development committee for funds/time to attend courses.

Thus professional development resulting from the appraisal is an expectation rather than a requirement.

For the nineteen schools whose answers fell in the second category, some form of professional development resulting from the teacher appraisal programme was deemed to be necessary. For example:

As a result (of the appraisal process), each staff member, in consultation with his/her appraiser, identifies the professional development they consider they need and forwards this to the professional development committee.

Summary

Table II - An analysis of where individual schools ranked across the four formative/summative dimensions

Number of schools = 40

Strongly formative 23% (9 schools)	Moderately formative 27% (11 schools)	Mixed 37% (15 schools)	Moderately → Strongly summative 13% (5 schools)
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From the table, it can be seen that:

1. 9 schools, or 23% of the sample, had an appraisal system which, from the responses to the questionnaire, fell within the strongly formative category on the four dimensions. A further 11 schools, or 27%, fell within the moderately formative category on the four dimensions. Therefore, 20 schools, or 50% of the sample, had an appraisal system which is largely formative.
2. 15 schools, or 37% of the sample, showed characteristics of both formative and summative systems, although these also tended to be more towards the formative end of the scale. It was from these schools that 6 were chosen for an in-depth study.
3. 5 schools, or 13% of the sample, while not meeting all the summative characteristics, tended towards the summative end of the five point scale.

From the information, it was also apparent that while a number of schools met all the criteria for a formative appraisal system, no school met all the criteria which would place them on the summative end of the continuum. For example, all schools indicated that staff had been consulted prior to the implementation of the programme. Also, while in eight schools information gained from the appraisal process was passed onto the principal, in no school were the Board of Trustees, as the teachers' employers, privy to that information. What the Board did receive in those cases was an assurance in the form of a report from the principal, that all staff had been appraised.

All the appraisal programmes stressed the importance of upskilling or increasing staff professional development in that appraisal should help teachers improve their performance to give students the best possible education. However, only three schools mentioned any type of training for appraisal leaders.

While none of the appraisal programmes indicated that appraisal should be used to discipline or remove less than adequate teachers, a comment made by one principal indicated that appraisal may inevitably raise questions of competence, although it was stressed that, if this happened, then the matter would be handled by an appropriate and separate policy.

As an interesting aside, while appraisal for promotional purposes is not mentioned in any school's programme, three principals commented that staff had approached them when applying for positions and asked them if they could use their appraisal report as a reference in support of their application.

The one dimension in which the results were reasonably evenly spread was who appraised whom. While 11 schools were strongly formative and operated completely on a peer or self appraisal system, another 7 schools were strongly summative and operated along strict hierarchical lines. The remaining three categories, that is moderately formative, mixed and moderately summative, were relatively evenly spread with 9, 6 and 7 schools.

As mentioned previously, in further analysing the results, it was found that this dimension, that is who appraised whom, represented the greatest area of change, and was still changing, as indicated by comments from five schools.

While there were obvious differences between programmes, the writer has constructed Table III to outline the characteristics of formative vs summative teacher appraisal programmes found through this research.

Table III - Characteristics of formative vs summative teacher appraisal programmes in Auckland secondary schools

Formative		Summative
Programme developed & ratified by staff	↔	Programme presented to staff, with limited opportunity for change
Emphasis on peer/self appraisal	↔	Appraisal conducted on a hierarchical basis
Information confidential to appraiser/appraisee	↔	Reports made on appraisal performance, given to principal but not to B.O.T.
No link to teacher competency used for professional development only	↔	Appraisal seen as separate from competency, but could be a factor in deciding to invoke competency procedures

Over 70% of schools which had current appraisal programmes had produced fairly detailed and lengthy documents, which they submitted with their answers to the questionnaire, giving philosophical justifications coupled with a programme outline.

While this extra material was most helpful as it provided a depth and richness to the answers, eight of the schools (20% of the sample) did not directly answer the questionnaire but instead, included samples of all their appraisal material, including philosophical reasons, programme development, procedures and forms.

Although the material provided by the eight schools more than covered the questions asked, the writer was conscious that he was interpreting from the material rather than having the questions directly answered.

Finally, a consistent factor which was apparent in the answers to the questionnaire is that all the schools which participated claimed to see appraisal programmes in terms of helping to improve teacher standards through increased professional development. What is also apparent is the diversity of programmes designed by schools in an attempt to make this happen.

Stage II An in-depth analysis of six teacher appraisal systems which have both formative and summative dimensions

Introduction

The second stage of the research focuses on six of the schools which have current appraisal programmes involving both formative and summative dimensions. While the background information which resulted in the schools being selected was gained from the questionnaire, information presented in this section was obtained through a focused interview with selected staff members in the six schools, the aim being to provide data to answer the four research questions, which are:

- I What were the reasons given for the development of a teacher appraisal programme?
- II How was the appraisal programme developed?
- III Had any problems been encountered in developing the appraisal programme?
- IV How did the school attempt to meet both legislative requirements and teachers' professional development needs?

By way of introduction, a brief description of each school's appraisal system is provided.

¶ A survey of the six teacher appraisal programmes

School A is co-educational and suburban, the roll is approximately 900 and the ethnic composition is predominantly European, from middle to upper class socio-economic backgrounds.

The teacher appraisal system in this school has been in existence for three years and is hierarchical in that, the senior management team appraise the Head of Departments, who in turn appraise the teachers within their departments. The Board of Trustees has decreed that the appraisal cycle should be implemented each year.

The process based on current job descriptions involves the teacher or HOD filling out a detailed self appraisal sheet, which looks at specific competencies, as well as wider contribution to the school. It also involves comments as to how the appraisee feels their school department is functioning. This way, appraisal is seen as a two-way process. The information provided by the self appraisal sheet forms the basis of the appraisal interview and, from this, specific aims and objectives in terms of professional development are agreed to. This system focuses on where the teacher or HOD is at present and, what professional development opportunities can be provided to improve future performance. The appraisal process does not involve classroom observation and so is dependent on the teacher or HOD's self appraisal analysis. Classroom observation is only used when a problem has been identified.

The self appraisal forms are confidential to the appraisee. However, each HOD is required to provide the principal with a departmental report detailing progress in their department and once a year, the principal provides the Board of Trustees with a report on the appraisal process. Individual teachers are not named in these reports.

School B is a large, 1400 students, urban co-educational college with a predominantly European clientele. In this school, the appraisal system has been modified extensively during the last four years and, is currently undergoing further modification.. Essentially, the system involves a hierarchical structure where it is the principal's responsibility to ensure that all HODs are appraised. Each HOD then ensures that all teachers in his/her department have been appraised. This performance review, as it is known, is the formal assessment of a teacher's work performance. However, the system is based on the assumption that "informal

discussions on duties, responsibilities and performance between a staff member and the person to whom the staff member is responsible continue throughout the year.”

The performance review procedure is based on a negotiated job description which all staff have. The job description covers key tasks, expected results and a space for comment about performance. Both the staff member and reviewer complete the third column independently and use this as a basis for discussion at the interview.

Ideally, to elaborate on the performance of expected results, the following supportive documentation should be available at the interview:-

- self evaluation
- colleague input
- peer classroom observation
- appraiser classroom observation
- student evaluation

However, in practice it would seem that number one and four are the most common. The next stage is the agreed action to be undertaken as a result of the review. The forms are (although this is only a very recent innovation), the property of the appraisee.

Paralleling this system is a development which the principal is implementing called ‘bottom up appraisal’ which, to put it simply, means that students are given the opportunity to evaluate their teachers, teachers their HOD, while a randomly selected number of teachers have the privilege of commenting on the senior management team.

School C is inner city co-educational, multi-cultural school with a roll of approximately 1200 students. The teacher appraisal system is at present in a transition stage. The system is seen as “evolutionary” and “cautious” in that, it will be at least 2 to 3 years before definite patterns emerge.

In this school, teacher appraisal is seen as part of a review process which operates at three levels:-

1. A school review conducted by a staff appointed committee looking at school policies and procedures.
2. A departmental review, conducted by the senior management team, looking at policies and procedures of individual departments.
3. A staff review.

Initially the staff review involved the senior management team visiting every teacher but this soon proved impractical, in terms of time and, the reviews were very superficial. What has since developed is a hierarchical system involving the Board appraising the principal, who in turn appraises the other members of the S.M.T. This group appraises the HODs, who will usually appraise the teachers in their department. At this stage, there is a considerable amount of flexibility in the system. The principal, or a member of the senior management team, hold a conference with each HOD and at this time, the appraisal of the teaching staff in that department is discussed.

As a result, the HOD will either contract to furnish the principal with a report on each teacher in his/her department, or the HOD will ask the senior management team to do the report. In practice, most HODs furnish a report which is a result of a conference with the individual teacher and may include the results of peer appraisal and possibly classroom visits by the HOD.

The emphasis is on professional development and a chance to celebrate teachers' achievements. However, the principal does get a copy of all appraisal reports. These reports are not seen by the Board and are generally regarded as the teachers' property, although it was not clear if a teacher would have the right to deny the principal access to their reports. Once the teacher leaves the school, the appraisal reports leave with them.

School D is a co-educational, multi-cultural city school of approximately 1100 students. The appraisal system is, "based on a foundation of peer support", with the expectation that all teachers will be appraised. The process is as follows.

Arrangements are made between two colleagues to provide reciprocal classroom visits and observations. The observer contracts very specifically with the teacher as to what is to be observed and over what time period. Within one week after the conclusion of the observations, the teachers are expected to meet with a nominated facilitator so that the observer can give feedback. This is to be done at least once a year and it was interesting to note that all staff had received some training in the various methods of classroom observation, such as event and continuous recording and critical incident reports.

As well as peer observation, each teacher is expected to fill out a self appraisal form. Armed with this data, the teacher then has a formal interview with his/her HOD in which goals are set and a follow up interview arranged to review progress.

In addition, all HODs meet with a member of the senior management team once a term to set goals for the year, review progress and look at outcomes. Part of this involves the HOD reporting on the staff they have interviewed, in terms of identifying professional development needs or suggesting other kinds of support. This involves the HOD keeping a record of interviews with each staff member. However, observation notes taken in connection with peer support classroom visits remain the property of the teacher being observed.

While the senior management team, "support or monitor each other or ask a senior colleague to do this", there does not seem to be a formal appraisal system operating at this level, though once a year staff are given the opportunity to appraise the management through a questionnaire.

School E is a multi-cultural urban girls school of approximately 1200 students. The appraisal system, which has taken a number of years to develop, involves the principal in meeting twice yearly with HODs. In the first meeting, the HOD sets his/her goals and objectives for the year, while the second meeting, held in the middle of term 3, involves a written report informing the principal of progress made during the year.

Each HOD is also expected to develop a monitoring system to suit their department. What is stressed is that while each department is free to develop their own system, certain criteria must be met and reported on by the HOD in the term 3 meeting with the principal. These criteria include:

- specific measurable targets which will be subject to evaluation
- the inclusion of some form of objective appraisal, such as peer appraisal or student evaluation
- a report on teaching performance, completion of delegated tasks and contribution to team meetings

While the HOD is required to give a report on his/her department to the principal, any comments on staff, from peer or student appraisal, are the property of the staff and are not shown to the principal. In other words, the HOD makes a general statement about the department in terms of what has been achieved, what is still to do and, any perceived areas of weakness.

Recently, another appraisal monitoring system has been foisted on staff through the insistence of the Education Review Office, who were involved in a recent assurance audit of the school. They have insisted that to ensure the curriculum is being delivered properly and schemes are being followed, HODs have to check students' folders and the teacher's mark book once a term. Furthermore, each HOD must see each teacher in every class to check on how the curriculum is being delivered.

School F is a largely European urban boys school of approximately 1400 students. The appraisal programme in this school is hierarchical and based on a series of interviews from which reports are written and discussed with a person from the next level of the hierarchy.

In practice, this means that the subject teacher completes a self appraisal questionnaire relating to the 'key tasks' as outlined in the job description. Teachers are encouraged to discuss their self appraisal with colleagues but are required to present their report to their designated appraiser by a certain date

in term 3. The appraiser will either be the teacher's HOD or someone who has been delegated the task by the HOD.

As a result of the formal consultation, the appraiser should have documentation that

- a) indicate areas of a positive nature
- b) indicate professional development needs

From this data, the HOD prepares a departmental report that

- a) indicates appraisal is completed.
- b) brings forward positive performance for positive recognition, (the principal writes a letter to each staff member at the end of the year in which he acknowledges positive performance).
- c) indicates developmental needs for that department, (this does not include teacher names as the appraisal report is confidential to the individual teacher).

In turn, the HOD is appraised by one of the members of the senior management team, in which the HOD is expected to make a written report related to their department's performance in terms of curriculum delivery, student attainment, resources and staff appraisal. Two distinctive features about this appraisal programme, are firstly that, it does not involve any classroom visits as it is done by self appraisal, followed by an interview and, secondly that it is done in the third term and strict timelines apply.

II] A Summary

The appraisal systems in the six schools all operated on an hierarchical basis, in that the HOD, or someone delegated by them, was responsible for the appraisal of specific teachers in that department. The HOD was then appraised by a member of the senior management team.

The standard format involved the teacher engaging in a number of appraisal activities, usually including self appraisal and classroom observation, by either a colleague or a superior. As a result of these activities, the teacher would produce a report and present this at a formal interview with the HOD. From the subsequent discussion, areas would emerge, in which the teacher may need some help and, these could become the objectives, in terms of professional development activities, for the year.

Following the appraisal interviews, the HOD would present a departmental report outlining areas of strength and weakness to a member of the senior management team. In all but one of the schools, teachers' names were not mentioned in this report and in all cases, the teachers' self appraisal form or classroom observation reports were not passed on to the senior management, as they were regarded as the individual teacher's property.

While all the appraisal systems were hierarchical, two schools had instituted systems which allowed teachers to note and comment on those directly above them in the hierarchy. Of the six schools surveyed, two did not regard classroom observation as a necessary part of the appraisal system, while in a further two schools, the principal had delegated appraisal to HODs with the suggestion that classroom observation could be part of the process. In these two schools, the principals had decided to let each department design and implement their own appraisal programme with the proviso that certain criteria must be met and a report detailing this presented to the principal.

Self appraisal was seen as a crucial factor in four schools and the interview with the HOD was based around the teacher's perceptions of their progress. In the other two schools, self appraisal was mentioned as desirable but as each department had designed their own programme, it was impossible to say how widely it was used.

Only one school produced any evidence of training in appraisal techniques and this involved training selected teachers in facilitation skills. Apart from that, the

only other evidence of training or guidance was evidenced in another school's appraisal discussion document in which examples of classroom observation techniques were given.

Stage II - Research Questions

The answers to the four research questions were gained through a focused interview with selected staff members in each of the six schools. The participants were the principal, the person in charge of appraisal, a head of department and an assistant teacher.

The information gained from each question will be discussed further and, compared to other recent research findings in Chapter Five - Discussion of results.

The reasons for the development of teacher appraisal programmes?

Table IV Reasons given for the development of a teacher appraisal programme

	<u>Schools</u>					
	A	B	C	D	E	F
1. Increased professional development	✓	✓	✓	✓	✓	✓
2. Celebrate good performance	✓			✓		✓
3. Increase personal growth	✓				✓	
4. Legislative requirements			✓	✓	✓	
5. Teacher accountability			✓	✓		✓
6. Reassure parents/community			✓			
7. Determine teacher competency						
8. Discipline staff						

Commentary

Increased Professional Development

The common reason given by all schools for developing a teacher appraisal programme was to give staff an opportunity for increased professional development. This was stated by all participants and reinforced in the appraisal documents produced by the school. Examples of responses included: "We should assume competency, therefore we must look at appraisal as dealing with professional development."(H.O.D. School A), or:

Appraisal is primarily to encourage the development of expertise and a means of ensuring continued professional dialogue. It is not designed to look at teacher incompetence, rather focus on teacher development. (Assistant teacher, School D)

and

Appraisal should help you develop personally and professionally. It should not be a hierarchical big brother type of system, as you get no mileage out of developing a threatening situation. (Appraisal leader, School E)

Finally

Appraisal is aimed at professional development. The issues of competency and accountability are dealt with separately - it's important not to get these issues tangled up with appraisal as this would add to the fear of a hidden agenda. (principal, School C)

It can be seen from these comments that allied to the emphasis on professional development was a strong message that appraisal should not deal with matters of teacher competency.

It is interesting to note that the above comments were given in response to the writer's general question - "What are the reasons for the development of a teacher appraisal system in your school?"

However, it became apparent, with further questioning, that the formative/summative potential of appraisal had been an issue which teachers in all six

schools had discussed and talked through. While all the teachers interviewed seemed to think it was essential that appraisal deal with professional development, two of the teachers responsible for the appraisal systems felt concerned that teacher appraisal did not always result in professional development. For example:

The resulting professional development programme needs to have some bite and compulsion, that is procedures need to be developed and enforced to ensure professional development needs resulting from the appraisal process are addressed. (Appraisal teacher, School A)

Celebrating good performance

In three schools, an emphasis on professional development was linked with reinforcing and celebrating good performance, for example:

Focus on teaching as a craft that someone cares about - acknowledgment that what most teachers do is extremely good, which gives an opportunity to affirm and enhance good practices.' (Deputy principal, School A),

or in a quote which provides a good summary for the feelings experienced in these three schools:

Teachers are competent, therefore we must look at professional development and to provide a formal opportunity for teachers to get acknowledgment of the good work they are doing. (Assistant teacher, School F).

In two schools, professional development was linked with personal growth and although the link was not particularly well explained, the assumption seemed to be that professional development went hand in hand with personal growth. For example - "Competency needs to be completely devoid from appraisal, otherwise you destroy the benefits of professional and personal growth." (Principal, School E)

Legislative requirements

Legislative requirements were cited by three principals, (Schools C, D and E), as a major reason for developing teacher appraisal programmes. Examples included "It's contained in the non-negotiable sections of the Charter and we have to prove

to outside agencies that we're doing what we say we're doing." (Principal, School E), or "Because it's a requirement, it's important to produce our own system, one which we're reasonably comfortable with before someone designs one for us." (Principal, School D).

Parents' rights

Only teachers in one school (C) mentioned "The parents' right and need to be assured that there were some quality control processes operating within the school." (Assistant teacher, School C). This was further explained by the H.O.D. in that, "Parents often don't understand the ramifications of appraisal - however, they do want to be assured that the place is up and running and that teachers are competent professionals." No mention was made of this by any other participants.

Teacher Accountability

While all the participants stressed that a major reason for developing teacher appraisal programmes was to increase opportunities for professional development, it was interesting to note that participants in three schools (C, D and F) also indicated that teacher accountability was another reason for developing appraisal programmes.

Furthermore, as in two out of the three schools, this reason was only given by the principal, the writer felt there could be a contradiction between the espoused reason for the development of appraisal which was formative and, the views held by some principals that appraisal could also be used to ensure teacher accountability, which could well involve competency issues. When the writer questioned the respondents on this possible contradiction, he received the following replies:

Appraisal is not for the purpose of finding out incompetency, but it is also a check to make sure no-one's slipping through the system. While this may uncover some problems teachers were having, any competency questions needed to be dealt with by a separate system. (Principal, School B)

The principal of School D felt that, "Appraisal was necessary to have some formalised measure of what goes on in the classroom and in terms of the overall quality of teaching." However, she still saw appraisal in formative terms, "The only summative aspect was that it dealt with teacher performance at a specific point in time, but is not a definitive statement on a teacher's performance." She then went on to explain:

That the focus had to be on developments rather than view teaching as static, consequently accountability refers to a teacher's professionalism and their need to be continually developing in a professional sense.

Three of the four teachers interviewed from School F mentioned accountability. The assistant teacher felt, "That with the abandonment of the inspectorate, the system needed checks and balances", while the H.O.D. explained that:

It (appraisal) gave the senior management team a chance to praise and give specific feedback to teachers as well as ensuring that teachers were aware of what standards they were expected to meet.

The principal explained the school's attitude towards appraisal by stating:

Appraisal is not to be used by management for promotion or for questions of competency, but to support the development of teachers. Logic, however, indicates that any appraisal system will bring to the surface certain considerations related to competency. It is expected that when competency begins to give cause for concern, the matter will be handled by the appropriate policy.

The above explanation was similar to those of the other two principals who advocated teacher accountability as one reason for the development of teacher appraisal systems, that is while the whole thrust of teacher accountability is through professional development, occasionally competency concerns may surface through this process. However, if this happens, competency issues will not be dealt with through the teacher appraisal system.

Differences between schools and staff groups

The views or opinions expressed by the different staff groups, (that is principals, teachers in charge of appraisal, H.O.D.s and assistant teachers), tended to be

relatively similar, especially as complete agreement was reached that a major reason for the development of teacher appraisal programmes was to enhance teacher professional development. The only major difference was that the principals tended to be far more conscious of the effect of legislation, in terms of introducing appraisal and that, three of their number mentioned the need for teacher accountability as part of the reason for developing appraisal programmes.

In terms of differences between the schools, School A focused most strongly on professional development involving celebrating good performance and increased personal growth amongst the staff. School C, in contrast, seemed more concerned with legislative requirements and accountability and was the only school in which respondents discussed the importance of having an appraisal programme to reassure parents and the community that, "Teachers were competent professionals."

While the importance of an appraisal programme to reassure parents and the community had been raised and discussed with the whole staff in School C, as far as the writer could ascertain, this had not happened in any other school.

II How were the Teacher Appraisal Programmes developed?

Introduction

The tables featured below provide data to answer the second research question: "How was the appraisal programme developed?"

From the interviews, it became apparent that only two schools of the six surveyed had developed an appraisal programme in a relatively straightforward, trouble-free manner. The other four schools found significant problems during the development and/or implementation of the programme which necessitated major changes to both the mechanics of the programme and the personnel involved.

To show how the teacher appraisal programmes have been developed in terms of who was responsible for the various stages, the writer has produced two tables. Table V shows who was responsible for developing, implementing and monitoring the school's initial teacher appraisal programme. Table VI shows the current situation in the four schools which experienced problems in introducing appraisal and shows how the personnel has changed from those who attempted to implement the initial programme.

However, the tables only give one part of the answer, that is the personnel involved. The procedures used to implement the programmes and the problems encountered are outlined in the commentary section following the tables.

Table V Responsibility for the development of the initial teacher appraisal programme

Key:	Principal	P
	Senior management team	SMT
	Professional Development Committee	PD
	Head of Department	HOD
	Whole staff	S
	Others	O

Schools

	A	B	C	D	E	F
1. Who provided the initial impetus?	P	P	SMT	P	P	P
2. Who researched/developed the programme?	PD	P	SMT	*O	P	P
3. Who approved the programme?	S	P	SMT	S	P	P
4. Who implemented the programme?	PD	P	SMT	S	P	P
5. Who monitors the programme?	PD	P	SMT	SMT	P	P

*Members of middle management group

Table VI Current situation

	Schools			
	B	C	E	F
1. Who designed the current programme?	PD	SMT	P	PD
2. Who approves the programme?	S	S	S	S
3. Who implements the programme?	HODs	SMT/HODs	HOD	SMT/HODs
4. Who monitors the programme?	P/SMT	P	P	P

Commentary***'Successful' Schools***

In all six schools the principal or senior management team have been responsible for introducing the concept of teacher appraisal into their school. However, the crucial factors in determining staff reaction and consequent acceptance/non-acceptance of the programme were:

- (i) Which individuals or groups developed and implemented the programme?
- (ii) What procedures were used?

School A

In School A, which is one of the two schools where appraisal programmes have been reasonably well received, the process involved a professional development committee who did the background research and came up with an appraisal system based on a series of desired outcomes. According to the HOD, the committee, "did a good job at developing and promoting the idea of a teacher appraisal system." This process started four years ago and in 1994, the group produced a detailed self appraisal form, which is a major component of the system. In this school, the assistant teacher felt, "the committee was instrumental in gaining staff acceptance." The teacher in charge of appraisal maintains that this has led to a situation where, "appraisal is seen by most as what happens, a fact of life, not necessarily wholeheartedly embraced but certainly tolerated."

School D

In School D, the other school in which the appraisal process was favourably received, the principal stated that:

Appraisal in this place has had a particularly long gestation period. The process started in 1991 and was at least partly a result of a strong feeling of the necessity to get in and develop our own system rather than have it done to us.

The HOD felt that:

The development of the current system was characterised by staff participation and a slow working through of the various alternatives until a model was found which seemed to best fit the culture of the school.

A brief outline of the process as described by the teacher in charge of appraisal is as follows. In 1991, the principal delegated the task of collecting information about appraisal to a member of the middle management group. As a result of his attending a three-day intensive course, he came away with three possible models which he felt might "fit" the school. He also received information about the purpose and nature of appraisal.

The models were presented to the HODs, who discussed them at departmental meetings. Eventually a full staff meeting was held and it was suggested that one of the models which involves peer appraisal be further investigated. 1992 saw the appointment of a new principal, who instituted a series of workshops to train facilitators to run a peer support network. While the experience was judged by the participants to be most worthwhile, the system tended to "fall down" because the process of peer appraisal and support was totally collegial with no-one having the responsibility to ensure the process was actually working.

As a result, a working party of volunteers was formed and spent a day evaluating what had happened and discussing future possibilities. The results of their deliberations were discussed by the whole staff. Armed with staff feedback, the volunteer committee reconvened and designed the current appraisal framework. This was discussed and accepted at a further staff meeting held at the end of 1992.

Summary

Both these "successful" systems demonstrate key points. The first is the length of time taken to develop the programme. In both schools, this has taken at least four

years and has been characterised by a gradual evolution rather than a system "put in place."

Secondly, although the principal and the senior management team clearly supported the programmes, the driving force behind the development was a staff committee, who reported back to the whole staff on a regular basis, thus allowing the relevant people, (all the staff) to have input to ensure the innovation gained acceptance.

Schools which experienced problems

In the four schools which experienced problems in introducing teacher appraisal programmes, the principal or senior management team reacted to legislative requirements in a manner which, in hindsight, involved little staff consultation and resulted in generalised staff suspicion as to possible ulterior motives lurking behind teacher appraisal.

School B

In School B, the HOD claimed that, "appraisal has created much controversy and concern at this school and, it has certainly had a torrid history." This was further explained by the teacher in charge of appraisal, who stated:

An appraisal system was first developed towards the end of 1989, which coincided with the introduction of Tomorrow's Schools' educational reforms. The system was introduced by; the principal, who was into appraisal in a big way.

Unfortunately, because of the way it was introduced and also, "because of a confusion in the staff's mind between professional development, competency and accountability, the system met with tremendous resistance."

When questioned further about this resistance, the teacher in charge of appraisal claimed that the principal introduced appraisal into the school as a *fait accompli*, in that, there was no discussion and it was imposed from on high. It was interesting that the assistant teacher who was not at the school in 1989 confirmed the bad

feelings which he had picked up about the initial appraisal system and contrasted it with, “the generalised acceptance of the current system which, although really just beginning, is seen in a more positive light.”

In 1991, a new principal was appointed at School B. He claims:

With regard to appraisal, I backed off entirely and handed the process over to a professional development group, so that it came under their umbrella. However, that was not particularly successful as nothing really eventuated.

In 1992, one of the school's guidance counsellors attended a polytech course and made an attempt to modify the previous system. His proposal was that the system must be based on teachers' job descriptions, which was generally accepted. However, according to the HOD, “What was not accepted and what created an uproar was the suggestion that all appraisal reports should be on the teachers' personal files.”

The guidance counsellor left during 1993 and at this point, the principal, in consultation with the professional development committee, “took over the process.” The principal's reason for this was that he felt the system was now far enough removed from the original principal and he wanted to ensure that it was seen as professional development.

Having revamped the system, the principal sees the current system as only a start. He views “appraisal as a continuous on-going development” and is currently modelling the idea of a “bottom up” system, where students, teacher and HODs are given a formal opportunity to comment on the performance of those in authority over them.

School C

In School C, the principal explained that, “When teacher appraisal first became a legislative requirement, the senior management team set themselves the task of visiting all teachers and writing a report on them.”

According to the staff interviewed, problems with this approach soon became apparent. Both the principal and the teacher in charge of appraisal felt that, "the visits were superficial as there was just not enough time." The assistant teacher commented, "They became like the inspectors", while the HOD stated, "that a number of teachers felt uneasy about being judged from the "odd" classroom visit."

In 1993, a school review was undertaken and according to the principal, part of this involved, "a cathartic session looking at what were the main problems." As a result of this, the senior management team designed the present system, which the HOD claims, "although still hierarchically based, attempts to involve HODs to a much greater extent and, did involve widespread staff consultation."

The current system is based on an initial consultation with the teacher, some form of appraisal and, an interview session involving the setting of goals and objectives.

Within these parameters, specific departments are able to develop their own system. The assistant teacher saw strength in the fact that, "Departments are left to develop their own system as it gives all teachers an opportunity to have some input into the programme."

School E

According to the principal of School E, she "tried to introduce an appraisal programme approximately five years ago, but at that stage, the staff seemed very worried by the spectre of merit pay and were against the idea." Other staff blamed the way the programme was introduced and the lack of any coherent rationale for the way in which it was received. The assistant teacher felt "It was introduced and driven by the principal, there was no discussion and it seemed to be presented as something we all had to do." The HOD maintained that,

The programme did not appear to have any philosophical base, it had certainly not been talked through with staff and it seemed almost to be a knee-jerk reaction to certain legislative suggestions.

Because of the staff's reaction, the principal tried a different approach and formed a group with a few teachers who were receptive to trial student and self-evaluation systems within their classrooms. As the principal said, "This approach was

doomed to succeed” and, because of the very positive feedback given by this group, it was decided by the staff to set up a voluntary form of peer appraisal.

However, not all staff felt that this was satisfactory, as the teacher in charge of appraisal maintained, “The system was too loose and ran the danger of being implemented by an enthusiastic few.” After staff consultation, the principal met with her HODs at the beginning of 1993 and required them to draw up an appraisal system for their departments, the other option being that the “senior management team would appraise the department.”

As far as could be ascertained, the teachers who were interviewed felt comfortable with this system. The reason given by the HOD was, “that it empowered the HOD and teachers in that department,” while the assistant teacher felt it allowed “different departments to develop different styles, based on the different personalities and needs of the teachers.” The teachers in charge of appraisal felt that, “This system was particularly appropriate as different subjects attracted different types of people who would be happier with different types of appraisal systems.”

School F

In School F, the appraisal programme was first introduced by the principal in 1990, as he explained, “The way this was done was through the development of job descriptions which would be used as an appraisal base.” However, according to the HOD, “the introduction of an appraisal system by the principal and without consultation caused a fair amount of staff consternation” and, the assistant teacher felt, “Staff were very sensitive to the possible implications of appraisal being tied to job descriptions. They felt this could open the door to performance-based pay and competency issues.”

The teacher in charge of appraisal stated that:

As a result of these concerns, the staff requested that a committee be set up to re-look at appraisal. This was done, a policy was formulated and problems were

worked through in a series of lengthy discussions. The end result of these deliberations was presented to and adopted by the staff.

While there seemed to be a general acceptance of the present programme among the four staff interviewed, it was stressed by them that the programme was very much in the development stage and contentious issues were still being debated. Issues which still have to be worked through include making form teacher responsibilities part of a teacher's job description and therefore part of the appraisal process. This would be done by the deans and areas to look at would include the students' appropriateness of dress, attitude and behaviour.

The deputy principal has recently suggested that, "The senior management team have access to staff self appraisal documents." The reaction to this by the HOD, the assistant teacher and, they assured the writer, the rest of the staff, "has been overwhelmingly negative." However, both the teacher in charge of appraisal and the principal were less emphatic.

Summary

Comparing the results of Table IV and Table V shows that the four schools which initially experienced problems in introducing appraisal changed to a much broader focus in terms of which staff have input into the appraisal process. A particularly good example of this is in the answers to the question "Who approves the appraisal programme?" Initially, in three cases, it was the principal and, in the other the senior management team. However, as has been indicated, staff reaction necessitated a re-think to give all staff in the four schools an opportunity to comment on, make modifications to and, then approve the finished product.

As a result of staff dissatisfaction in these four schools, the senior management team and, in particular, the principal, have tried alternative methods which included developing a voluntary "successful" system, talking it through with the staff in a "cathartic session" and, handing the responsibility over to a staff committee to come up with alternatives. These methods allowed the principals to defuse the

situation, while at the same time involving more staff in the development of a programme.

III Barriers to Teacher Appraisal

Introduction

Table VII answers the third question by presenting an overview of the problems experienced by the schools in developing teacher appraisal programmes.

Table VII Barriers to teacher appraisal

	<u>Schools</u>					
	A	B	C	D	E	F
1. The way the programme was introduced		✓	✓		✓	✓
2. Lack of time and energy	✓	✓		✓	✓	
3. Defensiveness - staff suspicion	✓					
4. Lack of accountability			✓	✓		
5. Influence of outside agency					✓	

The way the programme was introduced

As has already been discussed, four schools experienced problems in the way the appraisal system was introduced. Problems in these schools occurred because the appraisal system was introduced by the principal or the senior management team in a way which staff felt gave them little input and left many with a sense of unease as to what the 'real' purposes of appraisal were.

A good example of these sentiments was expressed by the teacher in charge of appraisal in School B when she said, "The way it was introduced, that is imposed on high, meant that the bottom line became that we wanted an appraisal process which was not written and implemented by the principal."

However, once teachers felt they had some input into and some control over how the system operated, then their level of unease or suspicion decreased. In fact, teachers in only one school indicated that, "a core of staff are very wary of any form of appraisal and weak teachers are particularly threatened." (HOD, School A).

Lack of time and energy

Lack of time and energy were cited as recurring problems in four schools. Teachers felt that, as their time and energy was fully committed to curriculum changes, in terms of New Zealand Qualifications requirements and accreditation procedures, teacher appraisal was just one more demand to cope with.

The teachers interviewed in School A provided a good example of these feelings. As the HOD stated:

The implementation of the new curriculum, accreditation and the consequent increase of "administrivia" has meant that appraisal is often seen as yet another demand to place on already stressed staff.

He then went on to say, "To have the time and energy level to implement it (appraisal) is a real hassle." The assistant teacher echoed these sentiments by claiming, "Some of the teachers feel it is a waste of time and as this (time) is in such short supply resent this."

The worry that, as a result of too many demands on too little time, appraisal could become a rather superficial exercise, was stressed by the teacher in charge of appraisal. "Too often you can satisfy the legal requirements in a very superficial manner, but nothing changes, you are going through the motions." She went on to say:

Appraisal needs a higher profile in terms of time and resources and the acceptance that everyone has areas in which they could do better. Staff have to get used to the idea of professional development involving critical self reflection.

The principal was also aware of appraisal adding yet another burden to staff which he thought was compounded,

by the fragmented nature of appraisal, the idea of having to fit it in whenever and wherever possible. This problem has been compounded by a directive from the Board that an appraisal programme is to be done every year, which could lead to a tick-the-box type of mentality.

In School D, the HOD noted that in the introduction to the draft policy for appraisal, it states:

Appraisal will be fair, open, equitable, rigorous, honest, collegial, manageable, practicable, readily accessed, formative, agreed upon by the teaching staff, aim to improve teaching and learning and reflect the school charter and philosophy. Appraisal will be individualised and collegial. It will reflect a whole school investment in quality.

Obviously, then, appraisal is seen as very important, in fact central to the on-going development of the school and to be fair, the school has followed through on this by providing teacher relief for classroom observations.

Despite the help provided, the HOD quoted above had taken up to mid year to do the initial interviews and was then expected to monitor teachers' progress and do follow-up interviews in Term 3. As he said, "We do what we can when we can." The principal also accepted that, "time is a big problem, especially as it (the appraisal process) is something that can be put aside." The teachers interviewed in Schools B and E reinforced the above comments. For example, in School E, the teacher in charge of appraisal admitted that she felt, "The programme was not totally happening through a lack of time and energy, while some teachers and departments may well go through the motions."

In School B, frustration was expressed by both the HOD and teacher in charge of appraisal that:

Often the pre-observation meeting is rather unfocused in that teachers don't know what they want to be observed, which indicates a lack of time and effort on their part in terms of thinking about their teaching practice.

Lack of Accountability

Teachers in two schools (C and D) identified a lack of accountability within the present teacher appraisal system as a possible problem. Staff expressing this view did so rather tentatively in that, while they acknowledged the present system could be seen to be too loose or too easy, they did not want a rigid, summative programme as an alternative. For example, the HOD in School D commented:

That weak teachers can sidestep the system by focusing on safe areas with their peer appraisers. They also have a completely open choice of whom they select as their appraiser, therefore two "weaker" teachers could collude to avoid facing up to problems they may be experiencing.

However, the HOD also stated:

Most staff want to be better teachers and too much emphasis on quality assurance, minimum standards staff would meet with a lot of staff resistance. At present, the system is sold as not threatening and developmental and the expectations are that the positive effects will be slow and cumulative.

In School C, the assistant teacher claimed that:

Generally, there is a healthy reaction to the programme, it's not seen as threatening or humiliating and if weaknesses are going to be found, it's far better through this collegial type system as there's a greater possibility of putting things right. I'd rather be appraised by colleagues than by outsiders who didn't know the school.

The HOD saw a potential problem in that:

The system is now completely dependent on individual departments and their own security. No doubt some departments could regard this process as hostile and threatening and may collude to ensure that reports are written which satisfy the system's requirements but in reality, very little movement or change takes place.

The principal of School C was certainly aware of this possibility, but felt that initially, "There was a need to break down the barriers of suspicion, otherwise you get a highly negative response." The principal also felt there was a need to trust the teachers' and especially the HODs' professionalism and expect that there, "is hopefully some honesty in what teachers want or need to look at, that is, an ability to acknowledge their weak points."

In both schools, there is an acknowledgment from some staff that the system lacks accountability. However, other staff assume that teachers as professionals will want to improve and therefore the accountability issue is not appropriate.

Influence of an outside agency

In School E, a recent visit by the Education Review team (ERO) had led to the imposition of a checking system which the HODs were required to carry out on all teachers in their department. While the principal was prepared to implement these requirements, the other teachers interviewed felt very uneasy.

As the assistant teacher stated:

This system assumes that I am not a professional, in this situation no-one really sees or finds out what is happening in the classroom. It is possible to have the most amazing folders and be the most boring teacher.

The HOD saw a further problem in that:

I must see every teacher (in my department) in every class. This is very time consuming and may take over from the formative system we are developing as it is something which is being required and will be checked up on by outside authorities.

This HOD also felt it was extremely limiting and a pedestrian way of assessing and stressed that, “the experiences students remember and learn from are not necessarily what they have written in their books.”

Different staff perceptions

In terms of different staff perceptions, the principals or teachers in charge of appraisal were just as likely to identify problems as the HODs or assistant teachers and did not seem particularly wedded to the current system. This is possibly because consultation has taken place in all six schools prior to the introduction of the current system. Therefore, ownership is not limited to the principal or senior management team.

However, the potential for future conflict exists in School E, where the principal seems content to promulgate and put in place a type of appraisal system advocated by ERO. This is despite suggestions from the other staff who, when interviewed, indicated that they did not like and felt suspicious of this type of imposed system.

IV Legislative requirements vs teacher development

The fourth research question, (that is "How do schools attempt to meet both legislative requirements and teacher development needs?"), produced the most agreement between all the participants and as a result, probably the most significant findings of this research. To illustrate this, the writer has included a summary of the relevant data from the six schools.

School A

In School A, the four staff interviewed were adamant that you were dealing with two different systems, as the principal said, "The school at present has two teachers undergoing competency procedures totally outside the appraisal system." Or, as the teacher in charge of appraisal said:

You don't need appraisal to show minimum competency, the trained and qualified bit does that. If the principal has concerns, then he has to address them and should not in any way use the result of a professional development programme for competency purposes.

According to the assistant teacher, "Teachers are professionals and should be left to it - they are trained and qualified and have the PPTA code of ethics behind them - what happened to trust?"

The only possible link between the two systems was provided by the HOD who,

agrees that self appraisal may ring alarm bells - you may suggest counselling or courses - if the situation does not improve, you may have to say "look mate, things are not going well, I'm going to have to take this to the principal". From then on, it becomes formal and a different system.

In this school, the emphasis on appraisal for professional development vs competency was underlined by how the participants viewed the results of the appraisal process. For the principal, the focus was on “awareness raising” while echoing this, the assistant teacher saw the appraisal system working in a fairly subtle way - quietly and slowly - through conscience raising which was not likely to produce short term revolutionary change.

School B

During the interview with the principal in School B, it became apparent that he considered informal appraisal, that is, HODs visiting teachers in a supportive, collegial manner, an extremely important part of the appraisal process. He also clearly saw appraisal as a two-way process, hence his development of the “bottom up” system whereby teachers could appraise HODs, which he saw as, “forming another equally valid appraisal process, operating in conjunction with the present one.”

Given this stance, it was very clear that for him, appraisal involved a, “collegial relationship leading to enhanced performance through professional development.” However, he did stipulate that he expected all HODs to be aware of their teachers’ performance and of what resources exist to help both inside and outside the school. He felt that:

Getting the teacher to admit to a problem is half the battle; if they can do this, then support and help can be given. If this does not create any change, or the teacher refuses to admit any problems, then competency procedures need to be contemplated **totally** separated from appraisal.

This view was supported by the other staff; for example, the teacher in charge of appraisal said:

If you have a teacher who is not quite up to scratch, then you look at school visits, courses, contact with “good” teachers. However, if you have a real concern about a teacher, then you start gathering data - but that’s a completely different ball game.

The HOD also said that, “if the teacher was having problems, you would look at support networks within the school.” If there was still no movement and the teacher

was resistant, then the HOD would reluctantly discuss the matter with the principal. However, he emphasised that you do not need an appraisal process to be aware that a teacher is having problems.

One interesting comment was made by the principal concerned teachers over 50 years of age (the principal put himself in this category), of whom there are a number in the school. The principal felt there was a real problem of keeping up the drive and energy of these teachers and was currently investigating ways to do this.

As he said, "It's very hard to get a 55 year old to admit to having a problem. Younger teachers have problems, but have the energy and enthusiasm to find their way through." In the past, the principal has sustained older teachers rather than instituting competency procedures, to let them "bow out gracefully."

School C

In School C, there was complete agreement between the four staff interviewed that there needed to be a total separation between appraisal for professional development and appraisal dealing with teacher competency. As the HOD said, "The school has recently adopted the Post Primary Teachers (PPTA) code of ethics and follows these guidelines in terms of competency provisions." The principal felt that by doing this, "They are meeting the legislative requirements as well as being provided with Union backing and support."

However, there is also the acceptance that an appraisal process will show up problems, especially for weaker teachers and the suggestion was made by the assistant teacher that, "In fact these teachers, once they have been identified, should not be part of the regular appraisal process." At present, one of the major departments is looking at piloting a programme which would involve three appraisal strands or groups. The first group {A} would have a minimal appraisal, possibly a brief interview, the second group {B} would be the group focused on, with classroom visits and interviews, the next year the groups would swap. The third group {C} would be those teachers identified as at risk, usually a very small group and, they would be separate from the main appraisal programme and given

intensive remediation in terms of coaching, modelling, visiting other schools and possibly extra training in specific subject areas.

School D

When asked the question, "How does the school attempt to meet legislative requirements and teacher professional development needs?", the principal of School D replied, "The issue of competency comes in a different order of things." She and the teacher in charge of appraisal both cited the case of an HOD who felt a particular teacher in her department was not meeting minimum standards. This was not as a result of the appraisal process but rather from complaints by students, parents and concerns by other staff. As a result, the teacher was observed and in consultation with an outside adviser, a specific remediation programme has been put in place. If there is no improvement, then competency procedures will be followed. The HOD also felt that the trust of staff in the current appraisal system was absolutely vital. "Therefore any question of competency had to be completely divorced from the current system."

This view was reinforced by the assistant teacher, who stated that, "The system was certainly not designed for teachers not meeting minimum standards, although the system could help improve their shortcomings."

The principal made an interesting point when she maintained that, "The appraisal process often reinforces the staff's view of senior management," which she hoped was seen as supportive and collegial:

This hope is perhaps reinforced in that it seems, from the teachers interviewed, there is absolutely no problem with the HODs' summary of their interview going to the senior management. This will no doubt be due in part to the fact that peer observations are the teacher's property, that is do not appear in the summary but also seems to suggest a general trust in the senior management and the formative nature of the present system.

School E

The appraisal process which has been developed by School E is seen very much as part of the support process or system. It is not connected with discipline but is

seen as endeavouring to help competent teachers get better. As the assistant teacher said, "The bottom line is the need to improve classroom teaching." While the HOD felt:

If there is any link between this system and any competency questions, it would be addressed through professional development. That is, the system could indicate that a teacher needed professional development in a specific area.

As the principal said, "poor performance can be judged by a whole host of people and in many different ways - you certainly don't need an appraisal to tell you about teacher competency."

An interesting development which is currently happening in this school is the imposition by an outside agency, (Education Review Office), of a monitoring system which staff feel is far more summative than they feel comfortable with. As the HOD states, "The monitoring system is more appropriate for teacher discipline.

I tell my staff that it's merely part of my job, that I get my instructions from on high and have got no say in the implementation of this system."

While the teacher in charge of appraisal has emphasised that the two systems need to "be kept as separate as possible," there is a potential problem in that both systems are run by HODs, which could create a potential for tension and misunderstanding. This conflict could be further exacerbated as the principal has given tacit support for the new system by indicating, "If these are the new edicts, then we will put them in place."

School F

According to the HOD from School F:

At present, the emphasis in this school is very firmly on a formative appraisal process. Also, appraisal is seen from a departmental point of view, the ideal being to lift departmental standards.

While the teacher in charge of appraisal maintained:

This school has developed a policy based on the competency procedures, which is totally divorced from the

appraisal process and involves detailed classroom observations and outside assistance.

Two other factors which were thought by both the assistant teacher and the HOD to mitigate against appraisal being tied in with competency issues were firstly, "that appraisal only occurs at the end of the year (Term 3), whereas competency issues have and can come up at any stage." Also in this school, appraisal does not involve classroom visits, as it is done by self appraisal by way of the teacher completing a self appraisal questionnaire relating to "key tasks" as outlined in the job description. These are then presented to the designated appraiser and form the basis of the appraisal interview.

Summary

While it was acknowledged by the participants that an appraisal system could identify certain areas involving non-compliance with minimum standards, the teachers stressed that, once these problems had been identified, a totally different set of procedures needed to be instituted. Furthermore, while the results of a teacher's appraisal could be a cause for concern which could lead to further investigation, these results could not be used to institute formal competency procedures.

Teachers from three schools made the point that you really did not need an appraisal system to identify teachers lacking in competency. Rather, an appraisal system was only one factor among a number of others such as complaints from students, parents and other teachers which could signal that a teacher was not meeting minimum standards.

It was also apparent that, while all schools indicated they would follow the competency procedures set down in the teachers' award, three of the six schools had already developed specific programmes involving data gathering, visits, additional courses, contacts with "good" teachers, outside assistance and finally, if all else failed, invoking formal competency procedures.

Conclusions

A brief summary of the major findings from the four research questions follows:

1. *Reasons given for the development of a teacher appraisal programme*

All participants stated that the major reason for developing a teacher appraisal programme was to enhance teacher professional development. Staff from three schools saw, linked to professional development, the need to celebrate good performance and, in two schools, teachers felt that personal and professional development were an essential combination.

The need to implement legislative requirements was cited as a further reason by three principals, while staff from three schools saw teacher accountability as stemming from a teacher appraisal programme, in terms of ensuring that all teachers had and took the opportunity for professional development.

2. *How were teacher appraisal programmes developed?*

From the interviews, it was apparent that only two schools had developed appraisal programmes in a relatively trouble-free manner. In both schools, the systems had gradually evolved, having been developed by a staff committee who reported back to the staff on a regular basis. In the other four schools, the principal or senior management had been responsible for designing and implementing the programmes. This had caused staff suspicion and resentment.

As a result, the teacher appraisal programme was revamped in the four schools, giving all staff in these schools an opportunity to comment on, make modifications to and then, approve the final product.

3. *Barriers to teacher appraisal*

A major barrier to teacher appraisal, which was identified by four schools, was the way the programme was introduced. Lack of time and energy was also cited by four schools as another major problem. Staff felt that, because of their increasing workload, appraisal may become perfunctory and therefore the very real potential benefits of appraisal may not be achieved.

4. ***Legislative requirements vs teacher development***

This produced the most agreement between all the participants, as staff interviewed stressed that teacher appraisal programmes must lead to enhanced teacher performance through professional development. While it was acknowledged that appraisal could identify teacher competency concerns, the results of teacher appraisal could not be used to institute formal competency procedures, as competency procedures were kept totally separate from teacher appraisal programmes.

The next chapter will involve a discussion of results, in which material gained from the questionnaire and the interviews conducted in the schools, will be compared with findings from recent appraisal literature.

CHAPTER FIVE

Discussion of Results

Introduction

The recent New Zealand literature on teacher appraisal consists of writers such as Codd (1990) or Gordon (1993), among others, discussing the nature of appraisal and its possible effect on the teaching profession. The research into teacher appraisal has examined the development or operation of teacher appraisal systems in an individual or small groups of schools - Battersby (1991), Irons (1993), Capper (1994) - plus studies which have involved surveying a larger number of schools to ascertain what type of appraisal programmes are operating and teachers' reactions to them - Lonnigan and Penton (1991), Bailey (1992) and Peel (1992).

The aim of this chapter is to contrast and compare the research findings from chapter four, with recent relevant appraisal literature and research, especially from New Zealand.

Stage I - An overview of teacher appraisal systems in Auckland secondary schools

I The presence of Teacher Appraisal systems in Auckland secondary schools

The two significant findings generated by the questionnaire answered by 55 Auckland secondary schools (95% of the total number) were:

- (a) 73% of these schools were either trialling (31%) or have in place (42%), teacher appraisal programmes
- (b) Apart from one school whose appraisal programme had been in place since 1966, all the others, that is 39 programmes, have been developed and implemented since 1989.

Since 1989 was the start of Tomorrow's Schools' educational reforms which legislated for the development and implementation of teacher appraisal systems, it is probably not surprising that only one school had an appraisal system existing prior to this date. However, the factor which could give rise to surprise, is the relatively large number (39, or 73% of the sample) of schools which have managed, during the four years, to develop an appraisal system. It should also be stressed that, during these same four years, staff have been asked to implement huge changes in terms of management structures, curriculum developments and now accreditation procedures. Given these huge changes, it is also interesting, but not surprising, to note that the 13 schools (23%), which had not yet developed a programme cited lack of time as the major reason.

As far as the writer can ascertain, this is the first time in New Zealand that a large (60) sample of secondary schools from a specific geographical area has been surveyed to determine the percentage which had developed appraisal programmes. Comparing the results gained from this survey to what has happened in, for example, Britain is also not very relevant as according to Irons (1993) and, Bollington (1990) appraisal programmes tended to develop through pilot studies funded by L.E.A.s (Local Education Authorities), whereas New Zealand schools have largely been expected to develop their own programmes from their own resources.

II Formative/summative dimensions in current teacher appraisal programmes in Auckland secondary schools

The data collected as a result of the answers to the second research question, "Where do schools which have a current teacher appraisal programme rank on formative/summative dimensions?" indicated that, while 20 schools, (50% of the sample), met all the criteria for a formative appraisal system, no school met all the criteria which would place them on the summative end of the continuum, although 9 schools, (20% of the sample), tended towards the summative end of the five point scale.

The emphasis on formative appraisal programmes is similar to the research findings of Peel (1992) and Bailey (1992). However, they both concluded that, while the appraisal literature presented a formative approach, "there was a certain amount of ambiguity and contradiction evident in some of the appraisal systems in use and in the principals' attitudes towards them" (Peel 1992: 80) and that there was evidence that some teachers believed there were other agendas. While this questionnaire was not designed to provide data which would allow comment on Peel and Bailey's claims, there did seem to be a remarkable sense of consistency among all schools about the most important purpose of teacher appraisal; that is, to improve teaching standards through increased professional development. However, Peel and Bailey's comments will be examined more fully when the results of the interviews with teachers in the six schools are discussed.

One finding from the results of the questionnaire, which had not been found in recent New Zealand research literature, was that, within a four year period, a number - over 50% of the schools - had experimented with different appraisal systems and some, approximately 20%, had significantly changed their appraisal system. One reason for this large amount of change is that, as schools have been given very little help or input in developing appraisal systems, the model which they first chose may have been inappropriate in terms of their school culture and, a period of experimentation was necessary to find the "right fit". This finding also indicates that appraisal systems are not static and need to continue to change and evolve as the school culture changes and evolves.

Two further points which can be noted in discussing the questionnaire results are that, contrary to other research findings by Darling Hammond (1983: 298) and Peel (1993: 186), the appraisal literature from the schools evidenced fairly detailed and lengthy documentation dealing with the reasons for appraisal. However, the same could not be said in terms of providing staff with training opportunities and, in this regard, the findings support the conclusions reached by Irons (1993: 2) and Peel (1991: 7) with only three schools mentioning any type of training which had been made available for staff. As Conley, (1989) and Bollington, (1990) have stressed, adequate and appropriate training is a necessary part of any successful appraisal

process and it would seem rather shortsighted if much of the effort schools have put into this area is undermined through a lack of training for the staff, who have to implement the programme.

Stage II - An in-depth analysis of six teacher appraisal programmes which have both formative and summative dimensions

The data for this section resulted from a focused interview with selected staff members from six secondary schools, which have been chosen from the fifty five schools which answered the initial questionnaire. Each of the six schools had a current on-going teacher appraisal programme with both formative and summative dimensions operating for at least two years.

The data gained to answer the four research questions generated by this section will be compared and contrasted to the current appraisal literature, where possible, focusing on recent New Zealand research.

1. **The Reasons for the Development of Teacher Appraisal programmes**

a) ***Increased professional development***

As shown by Table IV (p.70), the reason given by all schools for developing a teacher appraisal programme was to allow staff an opportunity for increased professional development. As the principal from School C said, "to enable teachers to do their jobs better." The focus, as can be seen from the table on page 70, is strongly on teacher development, rather than teacher competency, or disciplining of staff.

This result reinforces the stance of teachers' unions such as NZEI, who have argued that:

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.

Rourou (1991)

Or, as Menzies (1990: 4) stated, "Appraisal is linked with improving the quality of teaching and learning outcomes achieved by the schools and people in them."

Support for the view that teacher appraisal should focus on professional development has come from other recent New Zealand research. For example, Irons, (1993) in her research which focused on the implementation and development of performance appraisal in four New Zealand primary schools, concluded that all staff surveyed felt teacher appraisal must be formative. The (1992) research conducted by the Educational Leadership Centre at the University of Waikato, in which 15 schools were studied, showed that principals and teachers were against the notion that appraisal should be linked to promotion or performance pay. They felt that this was incompatible with the generally accepted aims of teacher appraisal, which were identified as the improvement of teaching and learning through professional development.

b) ***Celebrating good performance***

In three of the six schools, teacher appraisal was linked to an emphasis on reinforcing and celebrating good performance,

We should assume competency, therefore we must look at professional development and provide a formal opportunity for teachers to get acknowledgment of the good work they are doing. (HOD, School A)

While this is not specifically mentioned in recent New Zealand research, writers such as Sergiovanni (1992: 41), Retallick (1983: 4) and Wragg (1987: 6) have advocated the importance of positive collegial reinforcement in improving teaching performance.

c) ***Legislative requirements***

Another important reason for developing appraisal systems, as shown by Table IV, was legislative, which was more tacitly acknowledged than openly promoted. Teachers in two schools admitted that part of the motivation was, "let's produce our own system that we're reasonably comfortable with, before someone designs one for us." It was also interesting to note that, in the two schools where HODs were

responsible for their own appraisal systems, the principal had given them the option of designing their own system or having one imposed on them.

The necessity to design one's own appraisal system, which allows for staff consultation and which fits the current school culture, has been emphasised by writers such as Battersby (1991) and Irons (1993). This was reinforced by the experience of one of the six schools which had an appraisal system more appropriate for disciplining staff foisted on them at the conclusion of an Education Review Office visit. As a result, staff in this school felt very resentful, especially as the principal of this school seems supportive of the new system.

d) ***Parental Reassurance***

As was indicated in Chapter 4, teachers in only one school mentioned the parents' right and their need to be reassured that there were some quality control processes operating within the school. That three of the teachers interviewed from this school mentioned this factor indicated it was something which had been discussed by the staff. However, in other schools, this had not happened and the need for parental reassurance was simply not mentioned. As the writer was curious about the teachers' attitudes towards this factor, he asked teachers in the last three schools (D, E and F) their opinions about appraisal programmes being developed to assure parents of teacher quality. Their responses indicated that appraisal was seen very much as an 'in-house' activity and certainly not open to public scrutiny.

These views would be supported by both Ker (1992: 32) and Sergiovanni (1992: 41), who stress that teachers need to be considered as professionals and as such, must critically examine their own performance and practices. Ideally, this would lead to what Retallick (1983: 4) sees as the formation of a critical community whose purpose will be to constantly improve its teaching practices.

In contrast, Menzies (1990: 4) sees teacher appraisal as helping to promote the partnership principles envisaged by the recent educational reforms. In Menzies' opinion, if the partnership is to have any meaning, the school must:

Be called to account for the quality of the education service it has provided, it must appraise its own performance and report back to the community.

Or, as one principal noted rather cynically:

With the increasingly aggressive marketing policies adopted by some schools, having a highly visible and "successful" appraisal policy may be seen as a desirable marketing strategy.

e) ***Teacher Accountability***

While the documents provided by the schools and the teachers interviewed emphasised a formative approach of enhanced professional development, other researchers such as Peel (1992: 80) feel that there is "some evidence that teachers were being sold a developmental model" and in fact, "there is a certain amount of ambiguity and contradiction evident in some appraisal systems in use."

Peel's suggestion was given some credence in this research as teachers in 3 out of the 6 schools mentioned teacher accountability as a reason for developing a teacher appraisal system. When the writer questioned the respondents on this possible contradiction between developing a formative appraisal system and one which would ensure teacher accountability, the teachers indicated that they saw accountability in terms of continuing professional development. While they agreed that an appraisal system could well uncover problems teachers were having, they felt any issues of competency needed to be dealt with by a separate system.

For example:

The focus has to be developmental rather than to view teaching as static, consequently accountability refers to a teacher's professionalism and their need to be continually developing in a professional sense. (principal, School E)

However, one respondent felt appraisal was needed to check teacher competency:

Appraisal is not for the purpose of finding out incompetency, but it is also a check to make sure no-one's slipping through the system. While this may uncover some problems teachers are having, any competency procedures need to be dealt with by a separate system. (principal, School C)

Another respondent felt, "that with the abandonment of the inspectorate, the system needed checks and balances," (assistant teacher, School F).

Although the two teachers quoted above are in a minority, they do provide evidence that there is still some confusion among some staff as to the reason for the development of teacher appraisal systems in their schools.

It is also quite possible that, in this research, the staff interviewed told the writer what they thought he wanted to hear and, as a result, tended to be supportive of the avowed aims of the appraisal system as stated in the school policy, which in all cases were strongly formative.

However, it seemed that the teachers interviewed were, in almost all cases, committed professionals who trusted in the guarantee of confidentiality which the writer provided. Good examples of this were the four schools in which staff felt the appraisal system had been introduced without due consultation and/or did not reflect the school's culture. In these cases, teacher reaction, as will be shown when discussing the second research question, was forthright and did not seem muted by possible repercussions.

Conclusion

As a generalisation, the data gained from the first research question would indicate that, while teacher appraisal programmes were developed as a result of the Tomorrow's Schools' legislation and, some confusion still exists about the purpose of teacher appraisal programmes, the focus has been on professional development with the view to empower and enhance teachers' performance rather than measuring teacher competency with a view to discipline or dismissal.

II How was the appraisal programme developed?

a) *Characteristics of successful programme development*

Writing in 1978, Benn maintained:

The two key factors which determine the success of organisational development are that firstly, the

innovation must be congruent with the organisation's culture and secondly, that key people in the organisation must be involved in the change.

Recent New Zealand research focusing on the development of teacher appraisal programmes within schools reinforces these claims. For example, Battersby in 1991, found that, "crucial to the success of an appraisal system was the creating of an appropriate climate in which all staff were able to share in and contribute to the development of the programme." The Waikato Educational Leadership Centre found, in a 1991 survey of 15 secondary and primary schools, that:

In schools where the appraisal process was viewed positively by staff, there had been a lengthy period of consultation, talking through the issues and generally focusing on the understanding that appraisal was principally a means of improving teaching.

The findings from the writer's research supports Battersby's and the Waikato Educational Leadership Centre's conclusions, as shown by the procedures used by two out of the six schools, which were successfully able to introduce teacher appraisal programmes.

In this research, the successful introduction and development of a teacher appraisal system was determined by two major factors; firstly, the length of time taken to develop the system. According to the HOD from School A, "This process started four years ago and the committee did a good job of developing and promoting their ideas." The principal from School D, which was the other school that had initial and continued success in implementing an appraisal programme, claimed, "Appraisal in this place has had a particularly long gestation period," while the HOD felt:

The development of the current system was characterised by staff participation and a slow working through of the various alternatives, until a model was formed which seemed best to fit the culture of the school.

The second factor was that, although the principal and the senior management team clearly supported the programmes, the driving force in both cases behind its development was a staff committee who reported back to the whole staff on a regular basis; thus allowing, as Schmuck and Runkel (1972) stress, all the relevant

people to have input, to ensure the innovation gains acceptance. This also reinforces the professionalism of staff as having a responsibility for self monitoring.

b) *Unsuccessful programme development*

In the four other schools, the principal or the senior management team seemed to have reacted to the legislative requirements in a way which was not congruent with the existing school culture, in that they did not involve the "shareholders" in the decision-making process.

The staff interviewed from these four schools were very open about their dissatisfaction with the method by which the initial appraisal system had been introduced. In two of the schools, there had been a change of principal and, therefore, staff may have felt more able to criticise. However, in the other two cases, the principal and senior management structure had remained unchanged.

The writer was gratified by the degree of trust placed in him by the respondents and, while accepting the validity of Orme's (1993: 31) and Hughes' (1990: 56) concerns about the interviewer unintentionally influencing the subjects' response, felt that he was dealing with mature, confident professionals who had very definite views on this subject.

Examples of how staff perceived the initial appraisal systems included: "It was introduced and driven by the principal, there was no discussion and it was presented as something we all had to do," (assistant teacher, School E); "The introduction of an appraisal system by the principal and without consultation caused a fair amount of consternation," (HOD, School F); "They (the senior management team) became like the inspectors - only they were there all the time!" (assistant teacher, School C)

c) *Procedure vs philosophy*

Another issue highlighted by Peel (1991) and Irons (1993) is their contention that the development of appraisal systems has been characterised by a focus on procedures, "how to do it kits", which Irons (1993: 3) claims has led to, "no clear

understanding of the philosophy of performance appraisal or the purposes for which it is undertaken.” While Peel (1991: 7) feels, “there are plenty of articles concerning the reliability and validity of various appraisal techniques and a good number dealing with the niceties of appraisal interviews.” This has meant that questions about why appraisal should be conducted, how ethical concerns can be met and who the appraisal system serves, are often overshadowed by questions of procedure.

The development of an appraisal system in Schools A and D was characterised by a long gestation period, during which time a staff committee researched the options and produced models which were discussed by the staff and modified until there was general staff agreement as to their suitability.

However, in the other four schools (B, C, E and F), Peel’s and Irons’ contention was initially correct in that, appraisal systems were introduced by the principal or senior management team with little or no consultation and a focus on procedure rather than philosophy. This caused a reaction by staff which necessitated a rethink.

As Darling-Hammond (1983: 298) states:

Unless these questions (reasons for appraisal and ethical concerns) are discussed and talked through, it is likely that the appraisal process will be undermined by distrust and avoidance and the very real benefits for both the individual and the organisation are unlikely to eventuate.

In three of the four schools, it would seem that the questions which Peel, Irons and Darling-Hammond have raised have been discussed and talked through. For example, “The issues in appraisal were talked through with the staff in a number of cathartic sessions,” (principal, School C), or :

As a result of these concerns, the staff requested that a committee be set up to relook at appraisal. This was done, research was undertaken, policies formulated and problems worked through in a series of lengthy discussions. (teacher in charge of appraisal, School F)

The only school which did not follow the pattern of having a staff committee research and draw up various models was School E. In this school, the principal met with her HODs at the beginning of 1993 and asked them to draw up an appraisal system for their departments, in consultation with their staff. However, as far as could be ascertained, the teachers felt comfortable with this situation. For example, "It empowers the HOD and teachers in that department," (HOD), it allows "different departments to develop different styles based on the different personalities and needs of the teacher." (assistant teacher).

Conclusion

The results shown in Tables V and VI (p.76,77) indicate that, while there has been a movement towards having more staff involved in designing the appraisal programme, possibly the most significant development is that, in all of the six schools, the staff as a group are the people who approve the programme. This may indicate that, in these schools, there is an acceptance of teachers as professionals who are capable of being self monitoring, rather than workers who need to be kept in line through contractual accountability. These results seem to contradict Gordon's (1993: 27) fear that the recent reforms of the education system will:

Remove teachers from their professional role in all aspects of the education system and proletarianise them into a reduced role, merely as classroom teachers, or as workers who are employees of the Board of Trustees.

It would also seem that while school administrators can and certainly do make mistakes, they have the flexibility and commonsense to learn from these and, if necessary, to start again.

III Barriers to Teacher Appraisal

a) *How the appraisal system was introduced*

As has already been discussed, four schools experienced problems in the way the appraisal system was introduced. For example, in School B:

The way it was introduced, that is imposed on high, meant that the bottom line became that we wanted an appraisal process which was not written and implemented by the principal." (teacher in charge of appraisal)

Results like this reiterate the findings of researchers such as Conley (1989), Bollington (1990) and McGreal (1983) who have stressed the importance of all participants accepting the validity of the system. They maintain that if this is to happen, then the purpose of the system must match the values, goals and culture of the organisation.

b) *Teacher suspicion*

Recent New Zealand research by, Peel (1992), Bailey (1992) and Capper, (1994) has suggested that teacher suspicion as to the real or underlying purpose of evaluation may prove a very substantial problem in developing teacher appraisal systems. For example, Capper found surveying 12 New Zealand schools that:

Teachers are still very nervous about the introduction of appraisal procedures, largely because they are afraid such procedures might be used to determine their salaries, their tenure or other aspects of their conditions.

However, the study conducted by Waikato Educational Leadership Centre, which was mentioned earlier, indicated that:

Suspicion as to the true purpose of appraisal did not loom nearly so large in the responses from teachers as principals suggested it might. Only approximately 16% of the responses indicated suspicion as to the ulterior motives behind appraisal. (p.21)

The present study does not indicate huge concerns about ulterior motives. In fact, several participants suggested that "weak" teachers will feel threatened by any appraisal system, no matter how formative, in that it may expose their inadequacies. One reason for this relative lack of suspicion is that the current

systems had all been operating for at least two years and during this time, staff had the opportunity to discuss and modify any aspects of the system which may have created suspicion. If this investigation had taken place when appraisal programmes were first introduced into these schools, then quite possibly, teachers in four out of the six schools would have voiced strong suspicions and resentments at the introduction of a largely principal driven system imposed on them with very little consultation. However, because of the criteria adopted in the selection process, that schools must have a current appraisal system which had been operating for at least two years, staff had worked through their suspicions and, in four cases, substantially changed a system with which they were not happy. Rather than suspicion, there was, in some cases, resentment expressed at the need to change.

As the assistant teacher in School A stated, "Did students suffer when we didn't have appraisal?" or as Capper (1994: 25) found, "For the most part, respondents seemed to think that the objectives of appraisal systems had been and continued to be met adequately by informal processes."

c) *Time and energy*

Defensiveness or reluctance to change was heightened by the amount of time and energy involved in developing and maintaining an appraisal programme. This was cited as a factor in four of the six schools and was also mentioned in the report from the University of Educational Leadership Centre (1992), which found that all principals indicated time was a problem, as often teachers had to be released for appraisal purposes and this put pressure not only on the relief budget but also on collegial goodwill. Irons (1993), in her conclusions, stressed that if appraisal was to become of any significance, adequate teacher release time would have to be found, far in advance of what is commonly available.

While Capper (1994, p.25) found:

The overall impression from our study was that although there was widespread concern over poorly performing teachers, there was little internally generated energy to consider appraisal. The reaction can best be described as one in which a central government demand was being met by some schools in the spirit of making the most of a bad job.

Although the current research did not indicate quite such a depressing state of affairs, as Capper has indicated, there was certainly a feeling expressed that this was yet another demand placed on already overburdened staff, which could lead to a perfunctory, "tick the box" system to satisfy bureaucratic requirements. Examples of this type of sentiment include: "Too often, you can satisfy the legal requirements in a very superficial manner, but nothing changes. You are going through the motions." (teacher in charge of appraisal, School A), or more succinctly, "We do what we can when we can" (HOD, School C).

d) *Teacher accountability*

In two schools, staff expressed concern about the looseness of the system in that it would be very possible for either departments or individuals to collude and write a report which satisfied the requirements, but in reality, produced little change or movement.

While these teachers were not advocating a summative type of approach, what they were stressing was that it was important that teachers were prepared to make a real effort to improve their teaching practice. To this end, these teachers felt that some form of checking was appropriate to ensure something worthwhile was happening, otherwise the students could be disadvantaged.

These teachers' comments are similar to opinions expressed by Robinson and Absolum (1990) who suggest that, with the appraisal literature stressing the development of programmes which are not accountability driven and emphasising the need for developmental rather than judgemental outcomes, the literature has failed to acknowledge the inevitability and therefore importance of judgements within an appraisal programme. Their contention is that, any appraisal process involves a series of judgements, followed by attempts to reach agreement on the judgements made and the areas where improvement is necessary or desirable.

Conclusion

The results of this study indicated that, while teachers in the six schools did not feel particularly suspicious or concerned about the underlying nature of appraisal, they often felt it was yet another thing they had to do. While those teachers interviewed could see real benefits from appraisal, in terms of professional development, they felt that these benefits may be unlikely to be realised through lack of time and resources. As a result, it was suggested by some teachers that appraisal could become a perfunctory, bureaucratic necessity and therefore meaningless as a change agent.

IV Legislative requirements vs Teacher development

a) *Introduction*

As was stated at the beginning of this thesis, "The principal, as professional leader of the school, has the responsibility for the appraisal of all staff", [A Guide to Personnel Management (1990: 31-32)]. The legislative basis for this requirement is given in Section 77 (a) and (c) of the State Sector Amendment Act 1989 as well as in the 1989 Education Act.

However, Battersby (1991: 15) has indicated:

Schools have been given the obligation of accepting this responsibility with no precedents to go by and no guidelines to follow. They must achieve an objective for which they may not have the knowledge or skills.

While, in hindsight, this has allowed schools to develop appraisal systems which may be more in tune with the existing school culture, it has also resulted in many different types of systems, as was shown in the replies to the questionnaire in the first part of this research.

In particular, confusion and the potential for tension and conflict has centred around what Hickson et al (1988) has called "appraisal for judgement" versus "appraisal for improvement", which has been described by Stewart (1990) among others as the summative and formative appraisal.

At present, there is a body of opinion in the appraisal literature which would support Berliner (1991: 52) in his statement that:

Formal evaluation has no useful role to play with teachers who are regarded as good or expert. The kind of checklist and category systems that strive for precision in their definition may even be harmful in that it undermines the professionalism of these teachers, while growth orientated systems have the potential of affecting all teachers, even those having problems.

However, the appraisal literature from Britain, (Pollitt 1988) and America, (Apple 1990), has documented that the 1980s and 1990s have seen an increased emphasis on teacher accountability in both these countries with the consequent development of formal teacher appraisal systems.

Writing in 1990, Codd (p23) saw a similar development taking place in New Zealand and he maintained:

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

Three years later, Gordon (1993: 22) claimed that the recent reforms of the educational system aimed:

To remove teachers from this professional role in all aspects of the education system and to proletarianise them into a reduced role, merely as classroom teachers, or as workers who are employees of the Board of Trustees.

If, as these writers suggest, the major thrust of the recent educational reforms is an attempt to reduce the professionalism and relative autonomy of teachers, then one way of doing this could be through the introduction of a largely summative appraisal system.

b) *The development of two separate "appraisal" systems*

From the interviews with the teachers in all six schools, it has emerged that these schools have developed two separate systems to deal with what has been

portrayed as the often conflicting demands of legislative requirements versus teacher professional development. Examples include:

If you have a teacher who is not quite up to scratch, then you look at school visits, courses, contact with 'good' teachers. However, if you have a real concern about a teacher, then you start gathering data - but that's a completely different ball game. (teacher in charge of appraisal, School B)

or:

The only possible link is that appraisal may ring alarm bells. You may suggest counselling or courses, but if the situation does not improve, you may have to say - look mate, there's a problem here and I am going to have to discuss this with the principal. It then becomes formal and a different system. (HOD, School A)

or:

Logic, however, indicates that any appraisal system may bring to the surface certain conditions related to competency. It is expected that when competency begins to give cause for concern, then the matter will be dealt with by the appropriate policy, separate from appraisal. (principal, School F)

The first, or formative system, involves on-going teacher appraisal which focuses on professional development and includes all teachers. The other system, which is summative, involves competency procedures and impinges only on those teachers whose performance is judged to be inadequate.

As Newton (1985: 155) noted:

Appraisal is for professional development and should not be seen as a way of dealing with unsatisfactory teachers. Problems of this type should be dealt with separately, using the existing machinery for disciplining staff.

The question, "How do schools attempt to meet both legislative requirements and teacher development needs?" produced the most agreement between all the participants; that is, that there must be two separate systems, one formative in which all staff participate, the other summative which is used only when needed. It should also be noted that these responses were obtained through open-ended

questions and from teachers who, in some cases, had been highly critical of the way by which appraisal had been introduced to their school.

c) *Teacher competency*

While the participants did acknowledge that an appraisal system may bring to the surface certain conditions related to competency, teachers in three schools agreed with the sentiment expressed by one principal, "That poor performance can be judged by a whole host of people in many different ways, and you certainly don't need an appraisal system to pick up teacher incompetence."

It was also apparent that, while all schools stressed that they would follow the competency procedures, as set down in the teachers' award, three of the six schools had developed specific programmes involving data gathering, visits, courses, contacts with 'good' teachers, outside assistance and finally looking at invoking formal competency procedures, thus formally separating the appraisal system from competency issues. One interesting appraisal system which is being trialled by a department in one of the schools is the system developed by McGreal (1983) and modified by Tesch (1986) which acknowledges that an appraisal system will identify weaker teachers and that these teachers should be separated from the 'normal' appraisal programme and given intensive remedial help. This may be a means of formalising the rather ad hoc arrangements which currently exist for teachers who are experiencing problems.

Conclusion

It was acknowledged by the teachers interviewed that an appraisal programme was one factor which could lead to questions being asked about a teacher's competency. It was stressed that, it was not necessary to have an appraisal system to find out about teacher competency. Teachers in the six schools were adamant that any issue involving competency needed to be completely divorced from teacher appraisal systems, which they saw as formative, involving a collegial relationship aimed at enhanced teacher performance through professional development.

Edwards' (1991) distinction between "firing vs fixing" is particularly appropriate in this context, as the fixing or formative aspect involves constructive professional discussion aimed at improving the individual and hence the organisation. The firing or summative aspect involves end point judgements which determine competency and address complaints. However, an important point made by the teachers interviewed was that, while they saw the necessity for a summative system, they saw this system only being used when competency issues arose and therefore unnecessary or irrelevant for the vast majority of teachers.

In Chapter Six, the writer will briefly outline the development of an appraisal system operating in his school. He will then critically examine this system, in light of findings from recent appraisal literature and, in particular, the results gained from this thesis.

CHAPTER SIX

Development of a teacher appraisal programme

Introduction

Although a teacher appraisal programme has been part of the writer's school for a number of years, the results of this research have caused the programme to be modified. These modifications can be seen as the action component of this research. Section one briefly outlines the development of the teacher appraisal system, from its inception at the beginning of 1990, to the end of 1992.

Section two identifies how the teacher appraisal system has been modified by ideas from the research literature, plus the results of this study. The writer will also describe how the modifications were implemented and the staff's reactions. At the end of the section, a chart will provide a summary of the changes which have taken place.

Section three will suggest possible future developments in the school's teacher appraisal system, as the writer feels the programme is still at an early stage of development. Consequently, the action component or changes generated by this thesis are viewed, not as an end point, but as part of the continuing modification and development characterising this school's appraisal system.

The Development of a teacher appraisal programme from 1990 - 1993

Shortly after his appointment at the beginning of 1990, the new principal informed the staff that he needed to have an overview of how each department or subject area within the school was operating. Consequently, he planned to meet with each head of department, or teacher in charge of a subject area, three times a year, to discuss their aims and objectives for the year and, then to review how well these were being achieved. It was also stressed that this was an opportunity for heads of departments to discuss with the principal any problems or future plans. This model was based on Prebble and Stewart's (1985) concept of a Professional Development Contract. A written record was

kept of the aims and objectives and added to at subsequent meetings so that over the five years the system has been operating, a significant amount of data has been generated by each department allowing trends, problems and successes to become very apparent.

During 1990, work was done on developing the second stage of the appraisal system, which focused on teacher classroom management strategies and curriculum delivery methods. The need for this was first discussed at the 1990 in-service day and while the impetus was provided by the newly appointed principal, the subsequent model was developed by the professional development committee and then ratified by the staff. The result was an appraisal system which the committee felt was collegial, consultative and comprehensive in terms of the categories covered. It was also seen as supportive, in that it linked to on-going professional development. The model was made available to the staff a few days prior to a special staff meeting, which was held at the end of 1990 to discuss the appraisal proposal.

In general, the staff were both appreciative of the work done by the committee and supportive of the programme, although a few relatively senior teachers still saw it in an adversary nature, that is, in terms of an inspection. At the end of the staff meeting, the staff agreed to trial the appraisal programme in 1991, subject to the following provisions: (i) the results of the appraisal system would not be used in any disciplinary action, (ii) the results would remain confidential to the person being appraised, the appraiser and the principal, (iii) if there was any conflict or dispute between the two parties, then the counsellor or principal would be asked to act as a mediator and if the situation was not resolved, then the teacher could ask to be appraised by someone else.

The system was trialled during 1991, using the deputy principal, the assistant principal and the Form 1/2 dean as the appraisal team, which had also been agreed upon by the staff. Although the appraisal leaders reported that the process was satisfactory, it was soon found that a serious miscalculation had been made of the time required and in fact it was impossible to appraise all the

staff. As a result of this, at the start of 1992, the two teachers holding PR3 positions also became appraisal leaders.

In a bigger school, HODs may well have been the appraisal group leaders. However in this school, many departments are run by one teacher and also a number of the staff favoured a 'cross fertilisation of ideas' between departments.

The appraisal leader appraised his/her team using an open-ended appraisal form. One variation was introduced by the intermediate department, who were all experienced teachers and who developed a peer appraisal process in which areas for observation would be specified and then reported on.

As previously mentioned, it was the professional development committee's wish which was supported by the management that the appraisal programme was seen as formative and the results were not in any way to be used to decide competence, rather they were to lead to professional development. As a result, each teacher was allocated a professional development budget, the expectation being that this was used to upskill the teacher in areas shown as 'weak' on their appraisal form.

At the end of 1992, a staff appraisal questionnaire was given to all staff (see Appendix VII). A summary of the results indicates that 18 (72%) of the 25 staff surveyed felt that a school appraisal system had the potential to improve teaching and increase general teacher accountability. Twenty-one (84%) felt the way the programme had been introduced into the school gave them a chance to have some input and/or voice their concerns. Ten (40%) rated the appraisal experience as very worthwhile, while 60% saw it as neutral to slightly worthwhile, with the need for detailed follow-up stressed as very important.

When asked if senior teachers were the most appropriate to be the appraisal team leaders, there was a split between those, 40% who felt that senior

teachers should be appraisers “as of right” and, 60% who felt that appraisers should be recognised as successful innovative teachers.

The present system was rated as satisfactory by ten staff (40%) while fourteen staff (56%) felt more neutral about the system. The major criticism was that the appraisal process was often too rushed, with both appraisees and appraisers under pressure to finish the process, so that reports could be submitted to the principal.

Many staff felt that, if appraisal was seen to be important, then time for appraisal must be seen as sacrosanct and not used for other tasks. The appraisal leaders needed to prioritise their commitments to allow the whole appraisal process of interviews, observations and follow-ups to be completed comfortably throughout the year rather than occurring in frantic bursts of activity, usually at the end of the year. Only one staff member thought the programme was unsatisfactory.

1994/95 Modifications

Gaining staff consent

At the start of the 1994 school year, the staff were informed of the principal's research and his request that he be able, after appropriate consultation, to modify some aspects of the current appraisal process, in light of his reading and research.

The staff were supportive of some experimentation with the current system, as long as they had the opportunity to discuss any changes and, the right of veto if they were strongly against. They also wanted the provisions agreed to in 1991 adhered to, namely (i) the results of the appraisal system would not be used in any disciplinary action, (ii) the results would remain confidential to the person being appraised, the appraiser and the principal and, (iii) in the case of any dispute, the teacher could ask to be appraised by someone else.

As a result of the research undertaken for this study, the following changes have occurred in the teacher appraisal system operating at the writer's school.

Self Appraisal

Researchers such as Wragg (1987), Sergiovanni (1992) and Ker (1992) stress that teachers need to be considered as professionals who must critically examine their own performances and practices rather than being hierarchically judged. This idea is being put into practice in a number of New Zealand schools where self appraisal is the cornerstone of the appraisal system.

As a result of these research findings, the writer would argue that, without the teachers' acceptance of responsibility and their active involvement in the process, it is doubtful whether teacher appraisal can lead to anything more than the reluctant and resentful involvement of staff.

Following the writer's and others' assumptions that teachers need to be considered as professionals who must critically examine their own performances and practices, a self appraisal form, based loosely on Valentine's (1992) suggestions was developed. The task in designing this form was to attempt to make it as comprehensive as possible as it was felt that much of the value would result from teachers going through and thinking about or critically examining their performance on each of the criteria. Each appraisal group was given the form and asked to make comments. As a result, certain categories were modified and some ambiguities were resolved. The form (See Appendix VIII) is now in use, the process involving the teacher completing the form and then discussing with the appraisal leader what specific areas they would like to focus on.

Non-hierarchical appraisal

From the questionnaire results in the first stage of this research, it was evident that, while for the most part appraisal systems were hierarchical in nature, a number of schools were experimenting with other methods. One such system involved appraisal being seen as a two way process allowing teachers the

opportunity to comment on members of the hierarchy. Following from this, and in consultation with other members of the senior management team, a form was designed (see Appendix IX) which was circulated to staff. Staff were then assigned a member of the senior management team, on a random basis, and asked to use the form to comment on them. Although some staff seemed slightly uneasy and did not want to be identified, the majority welcomed the idea to give constructive comments as to how 'their person' was performing.

Student appraisal

One of the middle management team designed a student evaluation form (see Appendix X) which has been used to give teachers feedback on their performance. The categories on this form are similar to some of those on the self appraisal form, so that teachers could compare their self appraisal with students' perceptions.

Ideally, the student evaluation form should be given out to students reasonably early in the year, halfway through and then at the end of the year, which is a similar time frame to our school reports. This way, any problems which arise can be dealt with at the start of the year, rather than waiting until the end to find out what went wrong.

While this was not initiated by the writer's research, although two schools in the questionnaire did mention this type of appraisal, it did occur as a result of the heightened awareness among staff about teacher appraisal processes. This form is available to all staff and they are encouraged to use it, as part of their self appraisal process. However, at present, it is a voluntary activity.

Appraisal for all

In all schools surveyed and, certainly in ours, appraisal is focused on the teaching staff. However, as Morlands (1987) points out, if appraisal is not sneaking out to spy for nasty bits, but is primarily concerned with recognising and celebrating good practice and, finding ways to build on it, then all staff should have the opportunity to participate. As a result, a form was developed

(see Appendix XI) by the office manager, in consultation with each of the ancillary staff. Although some found the experience quite threatening, it proved to be very beneficial in that areas of discord were able to be brought into the open, talked through and, staff were able to be given a formal acknowledgment of the good work they were doing.

Cycles of Appraisal

When appraisal was first introduced in the writer's school, it was seen as a centralised system, that is, all the teachers in the school participated in the same appraisal process. However, as Retallick (1983) postulates, if the ideal situation is the formation of a critical community who will constantly be seeking to improve their teaching practices, then one way to encourage this would be to give more freedom to appraisal teams or departments to develop their own methods of appraisal. This is evidenced in a number of schools where the principal had allowed each department to develop its own appraisal systems. The only requirement was a report to the principal informing him/her what had happened and identifying any areas which required further development.

To encourage staff to develop different methods and ways of appraisal, the principal raised the possibility, which was accepted by the staff, that the appraisal process be seen as a two year cycle. In the first year, all the staff would fill out and discuss the self appraisal form, the aim being to provide a checklist for individual staff which they could use as a basis for an appraisal interview. It could also provide an opportunity for group discussion which may lead to designing activities for the following year. As well, the form would provide management, that is, the appraisal leaders plus the principal, with an overview of teacher performance.

In the second year of the programme, each appraisal group would design their own appraisal system and follow-up activities. The only requirement being that each appraisal leader supplies the principal with a report of what is intended and a further report at the end of the year outlining what has taken place. In

this way, there is an assurance that appraisal has taken place, but also an acknowledgment that teachers are responsible for their own professional growth and development.

Training

In the current research, a pertinent point to emerge was that very few schools, gave any of their staff training in appraisal type activities. The assumption seemed to be that as the appraisers were invariably experienced teachers, they would have the necessary skills to be able to conduct pre and post appraisal interviews and to be able to distinguish between good, bad and mediocre teaching practice. However, research by Valentine (1992), among others, shows that to conduct an appraisal interview appropriately requires a reasonably high level of counselling type skills which is not necessarily an inherent characteristic of all senior teachers.

Further, the appraisal process itself seems fraught with difficulties, especially as the nature of the process is dependent on an interpersonal relationship between two people. Baxter (1989: 13) has outlined several problems this can create, including, "a positive, philosophical split between task and people orientated teachers, which may not be recognised but could have a large impact on the appraisal results."

While training in appraisal is not going to provide all the answers, it would seem that unless an attempt is made to provide appraisers with specific skills, the whole appraisal process risks being extremely problematic. Like most schools, our appraisal leaders had received absolutely no training for their task, and this is still an area in which much more work has to be done.

During 1994 and 1995, regular meetings have been held with the appraisal team leaders and two half day courses have been run on appraisal methods which also involved sharing of frustrations and ideas for improvement. However, this is just a start and it is hoped that more time can be made available.

TABLE VIII The major changes which have occurred in the writer's school's appraisal system as a result of the research he has undertaken

1993 Initial system		1995 Thesis research influences
(i) Appraisal is through observation and filling in of an open-ended appraisal form	→	Self appraisal is seen as the cornerstone of the system from which a decision is made on areas to be observed
(ii) Appraisal is a hierarchical process	→	A hierarchical skill exists but opportunities provided for a two-way process, that is, teachers appraising their managers and, student appraisal of teachers
(iii) Appraisal focuses on the teaching staff	→	Broadened to all staff
(iv) A central appraisal system which all followed	→	Development of cycles of appraisal and focus on development of different methods within appraisal groups
(v) Very little training for appraisers and appraisees	→	Acknowledgment of importance of training, processes starting to be put in place

Future Developments 1996 and onwards

The current appraisal system will continue to evolve and develop; even now with the modifications just established, there are more areas which need to be looked at. These include

The Self Appraisal form

Feedback from staff, as reported by the appraisal leaders, indicated that filling out the self appraisal form was seen as a daunting, time consuming task. While staff appreciated the comprehensiveness of the form, it was suggested that completing it should be a once-only experience.

As a result of these comments, the writer has agreed to design a simpler, more open-ended form, under the same general headings as the initial one. This is to ensure that staff are not reduced to a perfunctory, "tick the box" siege mentality.

Time

Staff in the writer's school, as is consistent with current research findings, felt that an increased emphasis on appraisal was yet another task which they had to cope with. Recently, the staff voted that full staff meetings should be cut back by one-third and, that the time saved be used for appraisal group meetings, a decision which the principal has accepted.

To reinforce his commitment to appraisal, the principal, in conjunction with the board and staff finance committee, is discussing an increase in the professional development budget of around 10%, which would be used to employ relievers to release teachers for appraisal purposes and, thus allow more time for appraisal activities.

Professional Development

The principal needs to ensure that appraisal is tied into the professional development programme, in that it leads to professional development activities.

This has been a "grey area" in the past and may need more monitoring in the future; a possibility being that when teachers apply to spend their professional development money, they will have to establish a link between the appraisal programme and the professional development spending.

School Philosophy

During the time the initial appraisal system was being developed, the staff held an in-service day at the end of the 1992 school year, which focused on the development of a school philosophy and how this could be made a reality. What came through very strongly was that the staff wanted to develop academic excellence within a supportive and caring environment. When asked how this could be achieved, the appraisal system was seen as one factor which would allow staff the opportunity to gain specific professional development aimed at meeting the school's goal and, would also give them the opportunity to share good teaching practice with their colleagues.

While this has been discussed and therefore appraisal can be seen as supporting and being part of the overall school mission, what has not happened is the reinforcement necessary to ensure that all staff are aware of the link. This reinforcement needs to come from the principal via the appraisal leaders so that the appraisal process continues to be an important part of school life.

Conclusions

The system we have operating at our school is far from perfect. Like other schools, we face problems through lack of time, we have staff who feel the whole process is a waste of time and energy and so go through the motions. We also get staff resentment when appraisal leaders, who are also very busy, forget to give appropriate follow-up or after care. Some staff, fortunately a minority, are still suspicious of appraisal and would rather avoid the whole process.

The writer sees teacher appraisal as a slow, evolutionary process, in which the key learnings from this thesis will continue to influence the development of his school's appraisal programme. It is the writer's hope that, over time, teacher appraisal will lead to greater teacher awareness, which will be translated into improved teacher performance. In this, it is felt the staff are supportive, as one clear indication from this research is that teachers see themselves as self monitoring professionals who want to teach to the very best of their ability.

CHAPTER SEVEN

Comments and conclusions

Introduction

In this, the final chapter, the writer will reiterate what he feels are the salient findings from his research, including his attempt to implement an appraisal programme within his own school. The writer will then discuss what he considers are key issues in appraisal. This will include revisiting the formative/summative debate, the ethics of appraisal and, the importance of the school culture in determining present and future appraisal systems.

In the next section of the chapter, he will comment on the methodology employed in the research. This is followed by suggestions for future research, while a brief conclusion is used to draw the work to a close.

CONCLUSIONS FROM STAGE ONE AND STAGE TWO

Stage One:

- (i) What percentage of secondary schools in the Auckland area have current on-going teacher appraisal programmes?
- (ii) Where do schools which have a current teacher appraisal programme rank on four formative/summative dimensions?

From the 55 schools which returned the questionnaire, 73% had either implemented or were in the process of implementing an appraisal programme. In general, the current appraisal systems are largely formative, that is 50% of the sample fell within the strongly or moderately formative category on all four dimensions, 37% had both formative and summative characteristics, while 13% tended towards the summative end of the continuum. All schools professed to have had some consultation prior to implementation and, all programmes stressed

that appraisal should focus on professional development rather than to be used to discipline or remove staff. While in some schools, the principal received written reports on staff performance, the norm was that the principal would receive a generalised report from the HOD or appraisal leader looking at areas of strength and areas which needed improvement. However, individual teachers would not be mentioned. It was also interesting to note that in no school were the Board of Trustees privy to information about staff gained through appraisal processes.

Another interesting feature was the amount of experimentation and change occurring in appraisal systems. It seemed that many schools had adopted a particular system, possibly as a result of legislative pressure, then found that it did not 'fit' within their organisation and so proceeded to modify it.

Stage Two

The answers to the four research questions have been gained from focused interviews with selected staff, (the principal, the teacher in charge of appraisal, a head of department and an assistant teacher), in six Auckland secondary schools. The schools were selected from those identified by the stage one questionnaire, as having a current on-going appraisal system which had been in existence for at least two years and which, according to the criteria used by the writer, had both summative and formative elements.

Question one: *“What are the reasons given for the development of teacher appraisal programmes?”*

The reason given by the schools for developing a teacher appraisal programme was to give staff an opportunity for increased professional development. This was the reason given by all staff who participated in the interviews and this sentiment was reinforced in the appraisal documents produced by the schools. Allied to this emphasis on professional development was a strong message that appraisal should not deal with matters of teacher competency or be used as a way to discipline staff.

However, it was interesting to note that teachers in three of the schools mentioned teacher accountability as a reason for the development of teacher appraisal systems. When questioned about this possible contradiction (that is, appraisal for professional development versus accountability), the consensus was that teachers as professionals need to be accountable in terms of ensuring that they kept up to date with curriculum changes and classroom management techniques. If there are any areas of weakness, then it was expected that they seek appropriate professional development so as their students were not penalised. Legislative requirements were mentioned by teachers in three schools. However, it seemed that while this may have been the catalyst for schools to produce their own system, the legislative requirement now seemed almost irrelevant, the focus being placed on professional development.

The teachers who were interviewed considered teacher appraisal to be an "in-house" activity, something which as professionals, they did to ensure their continued professional growth and development. Only two teachers in one school mentioned the need to assure parents that teachers were competent professionals. When this question was asked of others, most had not thought about it and while they agreed that it could be seen as a reason, it did not seem particularly important.

Question two: *"How was the appraisal system developed?"*

Only two schools out of the six managed to introduce an appraisal system in a relatively straightforward, trouble-free manner. The other four schools found significant problems during the development and/or implementation of the programme, which necessitated major changes to both the mechanics of the programme and the personnel involved.

The two schools which managed to gain staff acceptance demonstrate key points. First, the length of time taken to develop the system. In both schools, the systems evolved over a number of years, giving staff adequate time to discuss and trial the programme.

Secondly, that the driving force behind the development was a staff committee, which reported back to the whole staff on a regular basis, thus allowing all the relevant people to have input to ensure that the proposed system "fits" with the current school culture.

Staff in the other four schools clearly felt that they had not been consulted and at the stage when the programme was first introduced, were worried about the real purpose of appraisal, which gave credence to the views advanced by Codd (1991) and Gordon (1992), who maintained that the introduction of appraisal programmes could lead to a downgrading of teachers' status to that of workers rather than professionals.

Fortunately and, this leads the writer to believe that the fears expressed by Codd and Gordon are not necessarily correct, the teachers in all four schools were able to change the appraisal system so that it became more congruent with the school culture. In practice, this meant that all staff had the opportunity to participate in the development of the new system and in particular, were able to decide on its appropriateness. To the writer, this indicates that in these schools, there is an acceptance of teachers as professionals who are capable of designing their own appraisal system and, as such, are self monitoring rather than having to be kept in line through contractual accountability.

Question three: *"Had any problems been encountered in developing appraisal programmes?"*

As mentioned, four schools experienced problems in the way the appraisal system was introduced. Recent New Zealand research by Capper (1994) has suggested that teacher suspicion as to the real or underlying purpose of appraisal may prove a very substantial problem in developing teacher appraisal systems. While this study does not support these suggestions, it must be emphasised that the appraisal systems studied have all been operating for at least two years and, as has been alluded to earlier, staff have had the opportunity to discuss and modify any aspects of the system which may have given cause for concern. If the investigation had taken place shortly after the initial introduction of appraisal

systems, then the results may have been very different and been supportive of Peel's (1992), Bailey's (1992) and Capper's (1994) contentions that teacher suspicion would prove a barrier to developing teacher appraisal.

What was more apparent was the feeling evidenced by teachers in four out of six schools that appraisal was yet another demand placed on already overburdened staff, which could cause resentment and lead to a perfunctory tick the box system to satisfy bureaucratic requirements.

Support for these findings comes from a study by the University Leadership Centre (1992), in which they reported that all principals in their survey found time was a problem, as teachers had to be released for appraisal purposes, which put pressure on the relief budget and collegial goodwill.

Question four: ***“How do schools attempt to meet both legislative requirements and professional development needs?”***

What has emerged from interviews with teachers in the six schools is that these schools have developed two separate systems to deal with what can be the conflicting demands of legislative requirements versus teacher professional development.

The first is an on-going teacher appraisal system which focuses on professional development and involves all teachers. The other involves competency issues and impinges on those teachers whose performance is judged to be inadequate. While participants acknowledged that an appraisal system may bring to the surface certain conditions related to competency, it was stressed that poor performance can be judged in a number of ways, not just through an appraisal system. Furthermore, if competency issues became evident as a result of appraisal, then the interviewees felt that these issues needed to be dealt with by a completely different system unrelated to the appraisal programme.

However, although the participants were clear about the purpose of appraisal, the requirement in one school (E) by an outside agency, for a monitoring system to be

imposed on staff through heads of departments, gives some cause for concern. While it is important not to generalise from what could be an isolated situation, if this type of monitoring becomes the norm, then because of time constraints which have already been identified as a problem, the more formative type of appraisal processes could cease to exist. If this happened, then the fears expressed by Codd (1991), Gordon (1992), Pool (1993) and Capper (1994) could become reality.

The writer's attempts to modify his school's teacher appraisal programme -

Conclusions

As a result of his reading and the research undertaken, the writer felt affirmed by the methods used to develop an appraisal system within his school, in that, they were similar to those adopted by the two "successful" schools in his research. That is, the system was designed and developed over time by a staff committee and then ratified by the whole staff.

Prior to his undertaking this current research, the writer gained staff permission to trial any new ideas generated by the research, providing,

- (i) They (the staff) had a right to be consulted and, through consensus, had the right to veto new proposals
- (ii) The three basic tenets of the current appraisal system were not tampered with, that is:
 - (a) The results of the appraisal system would not be used in any disciplinary action,
 - (b) The results would remain confidential to the appraisee, appraiser and the principal,
 - (c) Teachers would have the right, after consultation, to change their appraiser.

The major changes which resulted from the writer's research involved:

- An emphasis on self appraisal, through the development of a self appraisal form
- Opportunities for a two-way appraisal process involving the traditional hierarchical system, plus teachers appraising their managers and students appraising teachers
- Developing training programmes for appraisal leaders
- Experimentation with cycles of appraisal, involving the development of different procedures and methods within appraisal groups
- A broadening of the appraisal process to involve all staff

Future developments of the writer's appraisal system include:

- The modification of the self appraisal questionnaire so that it is less complicated and time consuming
- Increasing the time and resources available for appraisal purposes. Two suggestions are that, staff meetings be reduced by one-third and the time saved used for appraisal purposes and, that the Board increase the professional development budget by 10% to enable relievers to release staff for appraisal duties
- Ensuring that the appraisal programme is part of the school development plan and is linked with the school philosophy in that, appraisal is seen as supporting and developing teacher skills which will enable the philosophy to be actioned.

Some key issues in appraisal

(i) *Formative/Summative dimensions*

As has been discussed in the review of the literature section of this thesis, a number of commentators would agree with Popham's (1988) contention that summative and formative evaluation make for a dysfunctional marriage.

Popham maintains:

The reason that formative and summative teacher evaluation cannot cavort together congenially is that their end results are so dramatically different.

He goes on to say:

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

However, Edwards (1991,92) who initially supported Popham's contentions, changed his mind when, during 1992, he found himself involved as part of a group in making a summative judgement on an individual's salary and then, three weeks later, making a formative assessment on the same individual's progress. Edwards maintains that the results were quite satisfactory as the processes were kept totally separate and therefore the agendas were completely different. Interestingly, this type of approach or method of accommodating both formative and summative appraisal systems has also been adopted by secondary schools in the Auckland region.

Respondents to the questionnaire and interview participants all claimed that the current system operating in their school focused on professional development, with the aim of enhancing current teaching practice. It was also indicated that the system was neither seen as being used for salary or promotional purposes, nor in competency procedures.

During the focused interview with teachers in the six selected schools, it was soon apparent that, in fact, they did see two appraisal systems existing, totally separated from each other; the first, a formative system for everyone; the second a summative system used when needed.

While this relatively simple and commonsense approach to minimise what researchers have indicated are potential problems and tensions in operating both formative and summative systems, seems to work in the six selected schools, there are still important ethical issues underpinning the appraisal process which staff need to be aware of and ensure are addressed.

(ii) ***Ethical issues in appraisal***

According to Ker (1992), all appraisal systems constitute a form of control over teachers, even when they are designed to empower. Retallick, (1983), agreed that control was a central issue for both teachers and principals and he asked the question, "Whose interests are being served by introducing teacher appraisal systems?" To answer his question, he has put forward the following ethical/moral questions

- Who owns appraisal data?
- Who has access to it?
- How will it be used?

These questions have been asked as part of this research and the results have indicated that appraisal is seen, at this point in time, as helping to enhance teachers' professional development and affirming the status of the teacher as a professional.

In taking cognisance of Ker's viewpoint, it is important to note that appraisal has still been imposed on teachers from above; that is, as a result of a legislative decision.

At present, schools have been allowed to respond to the requirement for a teacher appraisal system in the way each school thinks is most appropriate. However, despite the many positive outcomes which may result from teacher appraisal systems, the issue of control is still paramount, with the potential for further legislative change, for example, towards a national appraisal system, which may not serve teachers' or students' interests.

School Culture

During his research, the writer became very aware of the huge diversity of appraisal systems operating in secondary schools in the Auckland region and it was obvious that schools had responded in very different ways to the legislative requirement to develop appraisal systems.

In interviewing teachers from the six selected schools, the huge importance of school culture in designing and implementing an appraisal system became very apparent. As Edwards has stated (1992):

It (the organisation's culture) will determine whether or not any particular process will be acceptable to its members and will be 'in tune' with the organisation's values and the way in which things are normally done in the organisation.

The importance of school culture was particularly apparent in the four schools which experienced problems in introducing teacher appraisal systems, as in all cases, the system was introduced in such a way as was incongruent with the existing culture and was therefore rejected. Eventually, all six schools ended up with a system which was appropriate to the school's culture but a great deal of time, energy and goodwill was sacrificed before this happened.

It is the writer's contention that the diversity of existing appraisal systems is a strength, in that, it allows schools to develop programmes and processes congruent with their existing culture, while also accepting that allowing schools a choice will mean that some schools will do very little and may pay lip service to the whole concept.

The writer is also aware that, at present, the Ministry of Education has produced Draft National Guidelines for Performance Management in Schools (1995) and, while not wishing to criticise what could be a very valid and useful set of guidelines, it is hoped that the writers of this document are also aware of the importance of school culture and do not attempt to produce a rigid set of requirements which all schools must follow.

Methodology Review

In this section, the writer will review and comment on the research procedures and techniques used in this thesis.

Stage One: A questionnaire sent to all Auckland secondary schools

- (i) The writer was pleased with the percentage of the questionnaires returned (92%) and felt this was partly due to his persistence in following up recalcitrant principals. It was also helped by the writer being a fellow principal, a colleague, which meant he knew most of the principals involved.

- (ii) The answers to the second question re formative/summative dimensions in the school's teacher appraisal programme, while producing a large volume of data, were slightly harder to analyse, in that, 20% of the schools which had current appraisal systems did not directly answer the questions, but sent copies of their appraisal philosophy, policy and procedures. While these documents adequately answered the writer's questions, it did mean that, instead of having the questions directly answered, the writer had to interpret from the data provided.
- (iii) In hindsight, especially as the writer was very aware of the time pressures operating in most secondary schools, it may have been preferable to make the questions less open-ended and, ask the participants to either tick a box to show specific characteristics of their school's appraisal system, or to indicate on a continuum, where their school placed on the four formative/summative dimensions.

Stage Two: In-depth interviews with staff in six Auckland secondary schools

- (i) In the second stage of this research, an important question was, "How did schools balance legislative requirements (summative) with professional development needs (formative), in their teacher appraisal programmes?" The writer felt that this question would best be answered by selecting schools which had both formative and summative aspects in their appraisal system. While the writer was pleased with the range and number of schools from which he was able to select, it may have been more valid, for the purposes of this research, to have chosen schools from across the whole formative/summative continuum, thus giving a more realistic cross-section of results.
- (ii) The second criteria employed in the selecting of the six schools for further study, (that schools had to have an appraisal programme operating for at least two years), influenced the results in a way that the writer had not anticipated. Having an appraisal system in place for a number of years meant that all the schools in the sample had worked through a number of problems and, as a result, had ended up with a

system which most staff accepted. Had the writer interviewed staff from these schools at the inception of the appraisal programme, the result would have been very different and, in a number of schools, staff suspicion as to the reasons for an appraisal system could have been a dominant factor.

The writer was comfortable in using a focused interview with selected staff and felt he was able to gain staff co-operation and to build up satisfactory rapport. Ideally, the writer would have preferred to select staff on a completely random basis but he was sensitive to the needs of the schools and, so restricted the selection to teachers who had a non-contact period on the day he visited the school. Although time was a constraint, the writer now feels that selecting only one assistant teacher meant there was a weighting towards the senior management and, to obtain a more balanced view, at least two other assistant teachers from each school should have been involved. As mentioned previously, backup interviewees should have been arranged as, in two cases, the teachers due to be interviewed were absent on the day the writer visited the school.

Finally, the writer felt very welcome in all the schools he visited and felt he was treated in a friendly, professional manner.

Areas for future research

From this research, a number of issues were raised which could lead to further fruitful investigation. One feature which seemed slightly surprising was that at least three of the six schools surveyed in part two of the research did not include classroom observations as part of their appraisal process. This could indicate either a very professional approach to the appraisal process, or an avoidance of looking at what must surely be 'the heart' of teaching, that is, classroom interaction. An interesting project would be to survey the whole range of appraisal programmes currently operating and make these available to schools who are currently developing programmes, possibly in the form of an appraisal cookbook.

Another feature was the importance of self appraisal questionnaires as part of the appraisal process. It was felt this was a very positive sign as it indicated an acceptance of the teacher as a partner in the appraisal process, someone who was professional enough to be able to monitor and comment on their performance. A survey of the types of self appraisal forms and techniques used could also benefit schools which are currently developing programmes.

Thirdly and, this was not a positive finding, was the relative lack of training in areas such as interview skills or classroom observation techniques undertaken by appraisal leaders or HODs. While training is often expensive and time consuming, the literature suggests it is necessary and so it is unfortunate if the efforts made by many schools will be undermined because the participants have not received sufficient or relevant training. A suggestion for future research would involve surveying and analysing the range of training opportunities available. Another possibility would be to use a particular school as a case study and involve the staff in training programmes. Once trained, they would participate in an appraisal programme where their feelings about the programme and the outcomes achieved would be contrasted with staff who had received no training.

As this research has indicated, some schools are experimenting with allowing students the opportunity to appraise their teachers. This is an interesting area and one on which Kelk (1992) has produced a book outlining different types of student appraisal forms and procedures. It would be helpful, assuming student appraisal is going to be a feature of teacher appraisal programmes, to trial some of Kelk's forms and procedures in selected schools, the aim being to gain teacher and student feedback on the potential benefits and problems which this innovation could create.

The principal, as one would expect, is an important figure in the development and implementation of an appraisal system. At present, teacher appraisal tends to be relatively formative and characterised by staff involvement in the decision making and implementation of the programme. One factor which may have a bearing on this and which, to the writer's knowledge, has not been considered is how the

principal sees him/herself in terms of a teacher versus a manager. Is the principal primarily a teacher and educator who is managing a school, or is he/she primarily a manager whose business happens to be a school? A research project which aims to analyse the principal's position in terms of a teacher versus a manager could provide some answers which would have a direct bearing on the development of current teacher appraisal systems.

Finally, if as Menzies (1990: 4) claims, "appraisal is linked with improving the quality of teaching and learning outcomes achieved by schools and the people in them", or if the underlying reason for appraisal must be to improve the teaching and learning processes in the school, the question should be asked - does this happen? While we are not in a position to answer this question as appraisal processes have been in existence for such a short time, researchers such as Baxter (1989) and Edwards (1991), claim there is as yet no research evidence to show appraisal systems lead to better teaching and learning. While accepting the many intangibles and complexities of the task, one of the major challenges for the future must be an attempt to resolve this question.

CONCLUSION

This research has helped the writer to clarify his thoughts on teacher appraisal and, identify a number of key points essential for the development and maintenance of a successful appraisal system. It has also allowed him to implement some of his learnings in his school's appraisal system.

In the writer's opinion, teacher appraisal is based on the development of a professional relationship between two or more colleagues which will involve collecting information about one of the group's job related performance for the purpose of enhancing that person's professional growth or development. Key points in the development and maintenance of a "successful" appraisal programme are:-

- (i) All staff must be given the opportunity to be involved in the development of their system, which must fit with the current school culture.

- (ii) Flexibility is vitally important, as both the school's and individual teacher's needs change. Therefore the system needs to be seen as continually evolving and developing.
- (iii) The appraisal procedures need to be realistic, that is, they are able to be done within the time allowed.
- (iv) Support in the form of time and money needs to be given to allow training in appraisal techniques to take place, the appraisal process to operate and professional development activities to happen.
- (v) Self appraisal needs to be a cornerstone of any appraisal system as it reinforces the belief in the teacher as a self motivated professional.
- (vi) Appraisal within schools should not be limited to the teaching staff.
- (vii) Ideally, the appraisal system should be linked to a wider school review in terms of developing school goals and a school vision, thus allowing the individual teacher to relate what is happening in their classroom to the overall school plan.

As a result of his study, the writer feels he has learned a great deal about teacher appraisal and, in particular, about appraisal processes current operating in Auckland secondary schools.

Through this research, the writer has become extremely aware of the complexities of and, problems with the appraisal process. He has also been impressed by the commitment and energy of the teachers he worked with, to ensure their students get the best possible education.

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APPENDIX I

14 April 1994

Dear

As part of my Masters of Educational Administration degree, I am conducting an investigation of teacher appraisal programmes in New Zealand secondary schools.

The first stage involves gathering data on the number and range of appraisal systems currently operating. Once this baseline data has been gathered, a small sample of schools will be asked if they are willing to participate in a more in-depth study.

I would be most appreciative if you would be prepared to answer the questions on the attached sheet and post them to me in the enclosed self-addressed stamped envelope.

I am very aware of the large number of requests on your time, but to enable me to complete my research by the due date, I really need to have your replies by the end of this term.

Finally, I would like to assure you that any information supplied will be treated in strict confidence and your school will not be identified in any way.

Thank you very much for your help and co-operation.

Yours sincerely,

George Thompson
Principal

APPENDIX II**TEACHER APPRAISAL QUESTIONNAIRE**

1. Name of school: _____

2. Do you have a teacher appraisal system currently operating in your school?

Yes No

If 'No', do you envisage implementing one in the near future?

3. If you do have an appraisal system, could you please briefly describe it. In particular:

◆ How the programme was implemented?

◆ What is the purpose of the programme?

◆ Who does the appraising?

◆ What is done with the information gained?

4. At a later date, would you be prepared to answer further questions on your appraisal system?

Yes No

APPENDIX III

3 May 1994

Dear

You may remember that I sent you a short questionnaire approximately three weeks ago on teacher appraisal.

While I appreciate how busy we all are, I was hoping that the questionnaire could be returned by the May school holidays. In case you have mislaid it, I have included another questionnaire which I would be most appreciative if you could complete and sent to me at the earliest opportunity. Please feel free to fax it through on the above number.

Thank you very much for your co-operation and I trust you have a restful May break.

Kind regards,

Yours sincerely,

George Thompson
Principal

APPENDIX IV

Dear

Thank you for agreeing to participate in the second stage of this research. As we discussed on the phone, I would like to interview you, the teacher in charge of the appraisal programme, a head of department and an assistant teacher to ascertain their perceptions about the current appraisal system operating in your school.

While you and the teacher in charge of appraisal are obviously self selecting, I would like to select the HOD and assistant teacher from those who have a non-contact period on the day I will visit. As we also discussed, I would be appreciative if they could be selected on a random basis.

I have enclosed a brief outline of the research plus a consent form, which I would like all the participants to fill in. If they have any questions, I would be happy for them to contact me.

I trust _____ is still a convenient time to visit. I will phone you a week prior to my visit to confirm and arrange specific interview times.

Thank you once again for your willingness to participate in this research project.

Kind regards,

Yours sincerely,

George Thompson

APPENDIX V**Participant Information Sheet and Consent Form**

This research on teacher appraisal systems is being conducted by George Thompson, Principal of _____ who is undertaking this as the thesis component of his Masters of Educational Administration degree.

Thesis Outline

The aim of this thesis is to contribute towards an evaluation of current teacher appraisal programmes by firstly providing an overview of teacher appraisal programmes which currently exist in Auckland secondary schools and secondly, by providing an in-depth study of six schools which have an on-going teacher appraisal programme.

Your school has been selected as one of the six to participate in the second stage of this research. The specific research questions which will be focused on are:-

- (a) What are the reasons given for the development of teacher appraisal programmes?
- (b) How was the appraisal programme developed?
- (c) Have any problems been encountered in developing the appraisal programme?
- (d) How does the school attempt to meet both legislative requirements and professional development needs?

Participant Involvement

This will involve staff in a focused interview (see attached sheets) which will take approximately forty minutes to one hour to complete.

PLEASE NOTE

1. All information gathered is confidential to the researcher.
2. Once the report is produced, no individual will be identified by name, or be capable of identification in any other way.
3. No individual school will be identified by its real name. Schools will be described by such statements as, "a large urban co-educational school."
4. All schools participating in the research will receive copies of the report.

If you are willing to take part in this research, please sign the consent form below. Participation is voluntary and you may at any time decide to withdraw your consent.

CONSENT TO PARTICIPATE IN RESEARCH

Title of Project: Teacher Appraisal
Researcher: G W Thompson

I have been given and understood an explanation of this research project. I have had an opportunity to ask questions and have them answered. I understand I may withdraw myself or any information I have provided from this project (before data collection is completed) without having to give reasons and without penalty of any sort.

I agree to take part in this research.

Signed:

Name:
(Please print clearly)

Date:

APPENDIX VI

INTERVIEW

Introduction

Thank you for agreeing to take part in this interview. Before we start, I'd like to stress that whatever you say will be treated in complete confidence, in that I will not discuss your comments with anyone else and your school will not be identified in any report.

What I would like to do in this interview is to ask you questions about your school's teacher appraisal system and, in particular, I would like to focus on how your school deals with the often unresolved conflict between appraisal for accountability, which concentrates on minimum standards, and appraisal for professional development, which is aimed at helping good teachers become better teachers. This is often called the summative/formative dilemma.

Collect Background information on informant

Position, Age, Qualifications, Experience

Questions

1. Could you please describe, in your own words, the teacher appraisal system which is currently operating in your school?
2. How long has this system been in operation - prior to this, was there any other system?
3. (a) In your opinion, what were the reasons for developing a teacher appraisal programme in your school?
(b) Do you feel these are appropriate reasons?
4. Can you outline how the current system was developed?
(probe to find out (a) what personnel were involved, and (b) what processes were used)
5. In your opinion, what has staff reaction been to the development of a teacher appraisal programme? Did it create any problems?
6. In most schools, appraisal programmes are a reasonably recent innovation. What, if any, do you see as the major barriers or problems associated with either

(a) the development	}	of teacher appraisal programmes?
(b) the implementation		
(c) the continuance		
7. How would you suggest these problems could be overcome?
8. In the future, do you envisage a change in your appraisal system? In what way? What would you like to see happen?

9. As I said at the start of the interview, one area I want to focus on is the potential for tension between appraisal for minimum standards and appraisal for professional development. (explain again summative/formative dimensions within appraisal programmes).

In your answer to question no.3, you said the major reason for developing appraisal programmes was how, then, does your school attempt to meet both summative/formative requirements.
(the specific form of the question will, of course, depend on why appraisal was developed in the particular school).

10. Do you feel satisfied with how your school attempts to meet legislative and professional development requirements?
11. How do you think the rest of the staff feel about the summative/formative requirements?
(probe if it has caused any stress, resentment or suspicion)
12. Are there any other thoughts or comments you would like to make regarding teacher appraisal programmes, either in general or in your particular school?

Thank you very much for your time and co-operation.

Please Note: While the interview form was sent to all participants prior to the interview, the questions in brackets were obviously omitted, as these were reminders to the interviewer that more information should be sought.

APPENDIX VII

STAFF APPRAISAL QUESTIONNAIRE

Over the last two years, we have begun attempting to develop a staff appraisal programme and while we have encountered problems in attempting to appraise all staff, I believe it is now appropriate to gain some feedback from you, the participants, to see if or how the programme could be modified to better suit the needs of our school and individual teachers.

Can you please answer the following questions as fully as possible:-

1. How do you view the development and implementation of a school specific staff appraisal system? (Please indicate by putting a cross on the line below where you think appropriate)

Good - potential to improve the individual & the system

Neutral

Bad - takes away teachers' classroom autonomy

Please comment

2. During the last two years, have you participated in the teacher appraisal programme?

Yes No

Please comment:

3. Do you feel the way the programme was introduced into the school gave you a chance to either have some input and/or voice your concerns?

Yes No Can't remember Wasn't here

7. In general, how would you rate our present appraisal system?

Satisfactory

Neutral

Unsatisfactory

What could be done to improve it?

8. Other possibilities include (i) Peer appraisal, i.e. a group of teachers contract to be responsible for their own appraisal on a non-hierarchical basis, (ii) Student appraisal - possibly individual teachers getting structured feedback from students and then discussing this with a trusted colleague.

Any reactions?

Thank you for your input.

George Thompson
5 October 1992

APPENDIX VIII

HIGH SCHOOL

TEACHER APPRAISAL

Teacher: _____

Appraiser: _____

Date: _____

Self Appraisal

Part A: Circle one of the S (Strength), A (Adequate) or W (Weakness) beside each of the aspects of the following.

Part B: The headings in this section replicate those of Part A. In the spaces provided, briefly describe the types of training you would appreciate.

Teacher Appraisal

Part C: Report on observations by appraiser.

Part D: Notes from appraiser/appraisee conference

PART A: CHECKLIST OF ASPECTS OF TEACHING

1. **Classroom management and teaching processes**
 - A. **Demonstrates evidence of lesson and unit planning and preparation**
 - Prepares lessons designed to implement curricular goals and lesson objectives S A W
 - Prepares lessons designed to reflect the belief that all students can attain basic goals and objectives if given adequate time and proper instruction S A W
 - Prepares lessons designed to challenge and stimulate students who quickly master basic goals and objectives S A W
 - Designs lessons in a clear, logical and appropriately structured format S A W
 - Incorporates content from previous learnings into lesson plans to build upon students' learning experiences and ensure continuity and sequencing of learning S A W
 - Demonstrates evidence of short and long range planning S A W
 - Has needed equipment and materials readily available S A W
 - B. **Demonstrates knowledge of curriculum and subject matter**
 - Displays competent knowledge of the subject matter necessary to implement curricular goals and objectives in the classroom S A W
 - Selects subject matter that is accurate and appropriate for the lesson objectives S A W
 - Selects subject matter that is accurate and appropriate for the students' abilities and interests S A W
 - C. **Uses effective teaching techniques, strategies and skills during the lesson**
 - Discusses learning objectives with students when appropriate to lesson methodology S A W
 - Uses a variety of teaching techniques appropriate to student needs and subject matter (e.g. lecturing, modelling, questioning, experimentation, role-playing) S A W
 - Presents content accurately S A W
 - Gives clear, concise, reasonable directions to students S A W
 - Stimulates thinking through a variety of questioning levels and techniques S A W
 - Provides opportunities to learn through exploration and investigation S A W
 - Monitors student understanding during the learning process S A W
 - Assigns a variety of activities that require application of the skills and concepts taught S A W
 - Uses current events and unexpected situations for their educational value S A W
 - Provides opportunities for guided and independent practice S A W
 - Summarises units and lessons effectively S A W
 - Implements activities that develop good study skills S A W

- Demonstrates ability to communicate effectively during the lesson using appropriate verbal, non-verbal and written skills (e.g. vocabulary, grammar, voice, facial expressions, gestures, movement about room, spelling, handwriting) S A W
- D. Uses instructional time effectively
- Begins instruction promptly S A W
 - Avoids unnecessary interruptions of instruction S A W
 - Avoids inappropriate digressions from instructional objectives S A W
 - Provides for appropriate learning activities throughout the lesson S A W
 - Monitors student time on task S A W
 - Provides for smooth transition between lessons and/or activities S A W
 - Paces instruction appropriately S A W
- E. Evaluates student progress effectively
- Complies with school's policy on homework S A W
 - Uses evaluation techniques appropriate to curricular goals and objectives S A W
 - Uses a variety of evaluation techniques (e.g. pre and post testing, teacher-made tests, tests from other sources, oral and written activities, projects) S A W
 - Constructs tests directly related to skills and concepts taught S A W
 - Provides evaluative feedback in a timely manner, e.g. books regularly marked S A W
 - Uses a variety of techniques for communicating progress (e.g. immediate feedback, written and verbal comments, grades, scores, individual and group conferences) S A W
- F. Provides for individual differences
- Groups students for each instructional activity in a manner that best facilitates learning S A W
 - Uses knowledge of various learning styles of students S A W
 - Uses knowledge of students' previously diagnosed strengths and difficulties S A W
 - Uses multisensory approaches (e.g. tactile, visual, auditory) S A W
 - Uses levels of questions appropriate to student needs S A W
 - Provides activities and materials co-ordinated with the learning experience and developmental level of each student S A W
 - Provides activities and/or solicits help for remediation and enrichment activities S A W
 - Provides alternative learning experiences for students whose evaluate results indicate the need for re-teaching. S A W
- G. Demonstrates ability to motivate students
- Communicates challenging expectations to students S A W
 - Provides students with opportunities to succeed S A W
 - Stimulates and encourages creative, critical thinking, and problem-solving skills S A W
 - Gives constructive feedback frequently and promptly S A W
 - Uses activities that stimulate learning about relevant situations inside and outside the school S A W
 - Responds positively to students' requests for assistance S A W

- Helps students develop positive self-concepts S A W
 - Encourages and involves students who show little or no interest S A W
 - Selects and uses appropriate reinforcers to promote learning S A W
 - Demonstrates enthusiasm S A W
- H. Maintains a classroom climate conducive to learning
- Establishes efficient classroom routines S A W
 - Provides a physical environment conducive to good health and safety (e.g. lighting, temperature, seating) S A W
 - Maintains an attractive, orderly, functional classroom S A W
 - Ensures that information can be read, seen and heard by students S A W
 - Organises classroom space to match instructional plans and student needs S A W
 - Anticipates classroom disruptions and plans accordingly S A W
 - Establishes and clearly communicates expectations and parameters for student classroom behaviour S A W
 - Creates a learning environment appropriate for the activity S A W
 - Establishes a climate of mutual respect and mutuality of purpose S A W
- I. Manages student behaviour in a constructive manner
- Manages discipline problems in accordance with school philosophy and procedures S A W
 - Is courteous and sensitive but firm and professional when handling student behaviour problems S A W
 - Anticipates and corrects disruptive behaviour in a constructive and timely manner S A W
 - Recognises inconsequential behaviour and responds accordingly S A W
 - Endeavours to identify and resolve causes of undesirable behaviour S A W
 - Manages the behaviour of individuals, thereby maximising learning for the group S A W
 - Promotes positive self-image within students while managing their behaviour S A W
 - Maintains a positive attitude toward student management S A W
 - Uses effective techniques to promote self discipline and maintain appropriate behaviour so the learning process may continue (e.g. social approval, contingent activities, consequences, verbal and non-verbal cues, positive reinforcement) S A W
- J. Demonstrates positive interpersonal relationships with students
- Demonstrates respect, understanding and acceptance of each student as an individual, regardless of sex, race, ethnic origin, cultural or socio-economic background, religion or handicapping condition S A W
 - Interacts with students in a mutually respectful, empathetic, just manner S A W
 - Respects the individual's right to hold differing views S A W
 - Communicates effectively in oral and written form (e.g. grammar, syntax, vocabulary, spelling) S A W
 - Uses effective active listening skills S A W
 - Encourages students to develop to their full potential S A W

- Recognises that students' emotional well-being affects their learning potential S A W
- Gives time willingly to provide for a student's academic and personal needs S A W
- Assists students in dealing with success and failure S A W
- Gives praise and constructive criticism S A W
- Makes an effort to know each student as an individual S A W
- Shows sensitivity to physical development and special health needs of students S A W
- Uses and appreciates humour in proper perspectives S A W

2. Relationships with colleagues

- Demonstrates respect, understanding and acceptance of each staff member as an individual, regardless of sex, race, ethnic origin, cultural or socio-economic background, religion or handicapping condition S A W
- Respects the individual's right to hold differing views S A W
- Provides positive encouragement to other staff S A W
- Works co-operatively with colleagues in planning and implementing educational activities that reflect the best interests of the student S A W
- Shares ideas, materials and methods with other staff S A W
- Works effectively with support and ancillary staff S A W

3. Relationships with parents and the community

- Initiates and maintains communication with parents through correct channels (as confirmed in school policy) S A W
- Works co-operatively with parents in planning and implementing educational activities that reflect the best interests of the student S A W
- Provides positive encouragement to parents working to resolve student problems S A W
- Supports and participates in parent/staff activities S A W
- Promotes a positive image of the school within the community S A W

4. Professional responsibilities

The teacher

- Demonstrates awareness of policies, regulations and procedures of the school S A W
- Complies with all school policies, regulations and procedures S A W
- Works co-operatively with other teachers to implement school policies, regulations procedures and goals S A W
- Selects appropriate channels and procedures for resolving concerns and problems S A W
- Completes duties promptly and accurately S A W
- Maintains and provides accurate records or data S A W
- Provides lesson plans and materials for relief teachers in case of absence S A W
- Handles confidential information ethically and with discretion S A W

5. Other responsibilities

A.

- Carries out agreed delegation S A W

- | | | | |
|--|---|---|---|
| • Volunteers for an appropriate share of co-curricular activities, e.g. | S | A | W |
| • 1 sport or cultural on-going activity and 1 supervision at a dance <u>minimum</u> | S | A | W |
| • Exercises responsibility for student management on school property and at school activities | S | A | W |
| • Participates in school projects, programmes and activities as needed | S | A | W |
| B. | | | |
| • Demonstrates a commitment to professional growth | S | A | W |
| • Participates actively in the supervisory/evaluative process to effect on-going professional growth | S | A | W |
| • Maintains current knowledge in teaching/learning theory and practice | S | A | W |
| • Participates in professional organisations and activities, as available | S | A | W |
| • Participates in school in-service activities as appropriate | S | A | W |
| • Gives serious consideration and appropriate action to parental comments and criticism | S | A | W |

- I. Manages student behaviour in a constructive manner

- J. Demonstrates positive interpersonal relationships with students

- 2. Relationships with colleagues

- 3. Relationships with parents and the community

- 4. Professional responsibilities

- 5. Other responsibilities
 - A. Carries out agreed delegation

 - B. Demonstrates a commitment to professional growth

PART C: COMMENT AND OBSERVATION

• **PART D: CONFERENCE NOTES**

APPENDIX IX

APPRAISAL OF DEPUTY PRINCIPAL

While the Principal is appraised by the Board and the DP and AP are appraised by the Principal, we feel it is also important to find out the perceptions of other staff as to how well we are performing. This is especially important in terms of how our actions or leadership is affecting staff.

G = Good, S = Satisfactory, W = Weakness, DK = Don't Know

Would you please comment, where you feel able, on the Deputy Principal's performance in the following areas:	G	S	W	DK
Appropriateness of leadership style for this school				
<u>Comments:</u>				
Approachability				
<u>Comments:</u>				
Communication skills				
<u>Comments:</u>				
Supportiveness				
<u>Comments:</u>				
Ability to Prioritise				
<u>Comments:</u>				
Ability to Delegate				
<u>Comments:</u>				
Ability to initiate change				
<u>Comments:</u>				
Ability to respond constructively to crisis situations				
<u>Comments:</u>				

	G	S	W	DK
Ability to motivate staff				
<u>Comments:</u>				
Public Relations skills				
<u>Comments:</u>				
Perceived community standing				
<u>Comments:</u>				
Relationships with Staff				
<u>Comments:</u>				
Relationships with Students				
<u>Comments:</u>				
Interest shown in classroom programmes				
<u>Comments:</u>				
Keeping up to date with educational developments				
<u>Comments:</u>				
Ability to articulate and promote future directions for the school				
<u>Comments:</u>				

Please put down any specific comments you may have regarding the Deputy Principal's actions, positive or negative, which affect your job

7. Classroom Environment

This teacher maintains a classroom climate conducive to learning. I LIKE WORKING IN THIS TEACHER'S ROOM.

1 _____ 2 _____ 3 _____ 4 _____ 5 _____

8. Classroom Management

This teacher manages student behaviour in a constructive manner. I CAN LEARN IN THIS CLASS.

1 _____ 2 _____ 3 _____ 4 _____ 5 _____

APPENDIX XI

ANCILLARY STAFF APPRAISAL

	Good	Satisfactory	Fair
Relationships with: Public			
Staff			
Students			
Telephone manner			
Ability to cope under pressure			
Computer skills			
Use of initiative			
Ability to prioritise tasks			
Approachability			
Ability to meet deadlines			
Secretarial Duties			
Fulfilment of Office Manager duties			
Fulfilment of duties as Board Minute Secretary			

Please make any further comments here: