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**IMPORTANT FACTORS IN THE EFFECTIVENESS OF
PRINCIPAL APPRAISAL IN PRIMARY SCHOOLS**

**A Case Study of Principal Appraisal in Five New Zealand
Primary Schools**

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

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ABSTRACT

This thesis was motivated by the researcher's need to prepare a Principal Appraisal programme for her own school. A paucity of local literature on the topic and anxiety amongst colleagues about the appraisal process, prompted this investigation. Changes in legislation led, in 1995, to principals in Grade 4 and Grade 5 schools being required to negotiate Individual Employment Contracts (IEC's) in which remuneration is linked to appraisal. This had the potential to create tension between the appraiser and appraisee. A case study of five G4 and G5 primary schools was conducted to ascertain how principals and their boards dealt with this issue, how they developed their appraisal programmes and what factors contributed to the successful implementation of the appraisal process.

The review of literature compares changes to educational administration in England and New Zealand and the resulting moves toward corporate models of management in both countries. Issues that arose from English appraisal trials dating from the mid 1980's, mirrored concerns that were surfacing in New Zealand - concerns about accountability, credibility of and training for appraisers, linking salary to appraisal and evaluating the whole school through principal appraisal.

Major findings in this research study confirm that principal appraisal programmes work best when the purpose for the appraisal is clear from the outset; when the appraiser and principal communicate frequently about school matters; when professional development needs of the principal are recognised and catered for; and when the appraisal is based on specific areas of the Performance

Agreement rather than trying to cover too much. Other issues which arose from this study are concerned with self-appraisal; the nature of 'effectiveness' and the difficulty of proving the effectiveness of appraisal; the lack of professional educators in the process of principal appraisal; evaluating the whole school when appraising the principal; and the suitability of a lay person as a principal's 'line manager'.

In the conclusion to this research the researcher has summarised elements of the five appraisal programmes that have made them successful. Recommendations are given which may assist schools to refine their principal appraisal programmes and suggestions are made for further research which could be undertaken in this topic.

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CHAPTER ONE

INTRODUCTION

In 1991, as a newly appointed principal, the researcher was confronted with the challenge of putting together an appraisal programme for the staff of the school. At the same time, the Board of Trustees requested the preparation of a **Principal Appraisal** programme. This was a new undertaking for even the most experienced principals because, before the introduction of *Tomorrow's Schools* in October 1989, decisions regarding primary teacher and principal competence and development were made by Department of Education inspectors. The 1989 Education Act legislated for local management of schools; principals' roles and responsibilities were expanded to include appraisal of staff and boards were expected to appraise the principal.

I was fortunate to have been the recipient of a Shroff Fellowship in 1990 and took this up in the third term of my appointment to principalship in 1991. The purpose of my visit to England was to look at pupil assessment and teacher appraisal. However, in my discussions with headteachers I found that teacher and headteacher appraisal were being trialled at the same time and decided to explore both. From these discussions I came to understand many of the concerns held by headteachers about appraisal. I was able to bring back information from the English appraisal trials (National Steering Group, 1989) which proved helpful. As principal appraisal had only recently been introduced into New Zealand in 1991, there was apprehension amongst colleagues about how it should be implemented and what ought to be appraised.

Unlike the sudden introduction of principal appraisal into New Zealand schools, England had taken a more measured approach with evaluation of pilot studies and feedback to headteachers seen as critical to the acceptance and implementation of the scheme in schools. However, I found that English principals had similar anxieties to their counterparts in New Zealand. They were apprehensive of the time factor involved in appraisals and the real purpose of the exercise. Fears were held that far from being a formative process, there would be links to salary in the way of performance pay, and that appraisal would become the instrument for public accountability, competency and disciplinary concerns.

In New Zealand in 1995, Grade 4 and 5 principals were removed from the Teachers' Collective Employment Contract and required to have Individual Employment Contracts (IECs), as set out in the Employment Contracts Act, 1991. This set them apart from all other teachers and principals. Included in the IEC was the added condition of salary being linked to appraisal (Section 6. **Remuneration**). This added another dimension to the annual appraisal of G4 & 5 principals.

With little guidance from the Ministry of Education, schools had been required to put together appraisal programmes which suited them and which met mandatory requirements. I attended a training seminar on principal appraisal in 1993, organised by the Auckland Primary Principals' Association (APPA), which confirmed that there was misunderstanding about the **purposes** of appraisal and the way in which it should be carried out. Board of Trustees members attending the seminar indicated that they had put schemes in place to fulfill their legal obligations but were not trained as appraisers or knowledgeable about the process involved. For board chairpeople attending the course the jargon of education and the intensity of the day's input appeared to have confused rather than clarified their role in principal appraisal. Wylie (1997:71) reports that ninety-one percent of the trustees in her survey had some support or training for their role. However, in

Topics of Trustees Training 1996 (Wylie, 1997:71) no mention is made of principal appraisal in the fifteen categories listed. This suggests that it is still an area that needs to be addressed in board training, particularly as board elections are due in 1998 and new board members will be taking on the role as appraisers.

This thesis was begun as a result of concern about how boards of trustees would be able to carry out principal appraisal with so few training opportunities; the paucity of literature available in New Zealand on appraisal; and the absence of clear guidelines from the Ministry of Education. My studies at Massey University (Albany) for a Master of Educational Administration degree provided me with the chance to further investigate principal appraisal with a view to assisting other principals who, like me, would welcome successful models of appraisal to guide them.

This research project was carried out while the researcher was running a G4 school full-time. Having first hand experience of principal appraisal and doubts concerning the efficacy of the exercise, encouraged me to explore principal appraisal systems that were regarded by participants as successful. To ascertain which G4 and G5 principals regarded their appraisals as successful, I sent out questionnaires to ten Auckland schools. From the responses, I was able to select five schools. These schools were situated in varying socio-economic areas, were both primary and intermediate, and had a mixture of men and women principals.

The research took place in 1996 and 1997 and was conducted during and after school hours to set up meetings with principals and board chairpersons. In some instances weekend or evening interviews were conducted to accommodate busy people. This set certain limits on the extent of the research and led to the decision to limit the research to five G4 and G5 school principals and their Boards.

The principals of schools selected had indicated that their appraisals were successful. The intention of the research project was to identify the elements that made appraisal successful; the people involved, training of appraisers, self-review, appraisal format, time taken to complete appraisals, cost involved and influences of external reviewers (ERO).

Taped interviews were conducted with principals and chairpersons, either together or separately depending upon time constraints. The interviews were followed by telephone calls to clarify points and then follow up interviews with principals were conducted, mostly a year later.

Research into Principal Appraisal

Unlike the Government in England, the New Zealand Government did not fund pilot studies in New Zealand schools before introducing appraisal and making it mandatory on boards to carry it through. In practice, private companies, for example, Metanoics (1991), took the opportunity to set up workshops for principals and boards to fulfill the need for training in an area in which many had little or no experience. Further local assistance came from groups such as the Auckland Primary Principals' Association which held seminars for principals and boards. However, all of these training courses cost boards of trustees considerable amounts of money. It is possible that this may have excluded some from attending. The time commitment for many board people may also have been a deterrent. Taking a whole day from work for board business is not always possible for those other than self-employed people.

Anecdotal evidence from the Auckland region suggests that some schools have conducted principal appraisal with little or no training for appraiser or appraisee. This has been done to comply with mandatory requirements and those involved as appraisers have had little understanding of the complex nature of a principal's job.

Such complexity makes appraisal far from straightforward and requires an appraiser with insight into the job. Stewart, 1991, states that:

The credibility of the appraiser is a vital component of the entire process. Such credibility will stem from personal experience and knowledge of relevant principal's work as well as skill and ability in the role of appraiser (cited in Alcorn & Peddie, 1991:124).

This suggests that there is a potential danger associated with the use of untrained appraisers and important elements, such as, professional development of the principal and the link to whole school improvement, may have been overlooked as boards look only to fulfill their legislated requirements.

The Purposes of Principal Appraisal

Before the introduction of *Tomorrow's Schools* in October 1989, decisions regarding primary teacher's and principal's competence and development were made by the Department of Education inspectors. Since that date, these decisions have become the responsibility of the boards of trustees. In 1990, as *Tomorrow's Schools* became reality, the Ministry of Education distributed booklets to assist principals and boards with their management and governance roles. One of these booklets, *A Guide to Personnel Management* (MOE, 1990:27) states that the purpose of principal appraisal is as follows:

The Board of Trustees through the chairperson must undertake to negotiate a performance agreement with the principal. This performance agreement will form the basis for monitoring and evaluating the performance of the principal as the professional and educational leader of the school.

Complaints about principal competence should be referred in writing to the chairperson of the Board of Trustees.

This clearly indicates the intention to use appraisal for competency purposes. While reference to the *professional and educational* aspects of the job infer an accountability component and within that, a school improvement aspect, there is no reference to principals' own personal development. Yet clearly, as the principal's role becomes more complex and demanding, formative (developmental) aspects of appraisal are as important for them as they are for teachers.

In a study conducted by Irons (1994:100), teachers generally saw performance appraisal as being a developmental, formative process. However, principal appraisal is not as straightforward. Indeed, ...“there is considerable evidence of leaders experiencing difficulty in relation to their own appraisal ” (Cardno,1993:15) and that is because the **purposes** are not clearly defined:

In spite of growing popularity, principal evaluation often receives short shrift, due, in part, to confusion and misperception about the purpose of evaluation and the formation and application of evaluation criteria (Peterson,1991,60:91-92).

In this study it became apparent that where the purpose of appraisal was made clear, and specific areas to be appraised were delineated, principal's anxiety about appraisal was lessened.

The Changing Role of Principals

Business competencies are becoming an increasingly large part of the principal's role, e.g. strategic planning, policy construction and analysis, budgetary planning and control, using information technology for management information and the challenge of managing change. This emphasis on business management was articulated in the 'Lough Report' (1990:18) and in 'Professional Leadership in Primary Schools' (ERO, 1996:7). Stewart (1991) cautions:

The rush to industrial and economic models of appraisal and accountability which we have observed over the last eighteen months or so is, in my view, somewhat inappropriate (Stewart, 1991:2).

The complexity of the role, and the multiplicity of skills required to fulfill it competently, presents a challenge for any **one** appraiser who may not have an understanding of the complexity of the job. This brings into consideration the concept of a 'line manager'. The term 'line manager' is used in business appraisal models and refers to a person who has expert knowledge of the job which is under review and has acquired the skill in appraisal to judge the appraisee's ability to carry out the job. In order to appraise a principal, a person would need to have considerable knowledge of a principal's job, and would arguably need to have been a competent principal in the current school management system, in order to make informed judgments about the principal's performance. Many board chairpersons may not have a background in educational management and, therefore, little understanding of the fragmented, diverse and multi-faceted job that being a principal in primary school today means.

In this study, one chairperson had no background in education, one had some through university work, and the other three were in some way connected to educational institutions. These were not involved in the school management side however, as one had been a classroom teacher and the other two were pre-school educators. Such background experiences may have given them an advantage over others with no experience of teaching but, in the researcher's opinion, does not enable them to clearly understand the nature of the principal's job.

Research Process

Following the researcher's visit to England, on a Shroff Fellowship in 1991, information on principal appraisal was assembled. This, supported by an extensive review of literature, led to the formulation of research objectives and questions for this thesis.

The importance of the topic was highlighted for the researcher by the following significant events in New Zealand education:

- a. During the period between 1989 and 1995, G4 and G5 principals were included in the Primary Teachers' Collective Employment Contract. This contract called for boards of trustees to appraise staff in schools but in reality, the appraisal of staff was delegated to the principal while the appraisal of the principal remained the responsibility of the board.
- b. New primary teacher's contracts were settled, by State Services Commission(SSC), NZEI, STA and MOE, on June 16, 1995. Crucial in reaching a settlement was the requirement that Principals of G4 and G5 schools accept individual employment contracts (IECs).
- c. Salary increases, within a range of rates, were dependent on the IEC being signed by the principal.
- d. To obtain an increase in salary, principals had to have in place a process for determining teacher performance, on an annual basis.
- e. Boards were required to confirm that the processes (for c above) were put in place. This agreement forms part of the principal's individual performance agreement.
- f. Through the appraisal system, Boards may ascertain whether or not all criteria have been met. By linking principal appraisal to the annual performance agreement, the Board has the right to approve a salary increase or withhold it.

- g. Some Boards lack information and experience (Wylie, 1997:72) to the extent that they are unable to carry out an informed appraisal. This may have repercussions for principals in respect of salary and external reviews.

The objective of this research study is:

To describe the process of **Primary Principal Appraisal** in five Grade 4 and 5 schools in Auckland and to explore factors which make the process and outcome successful in those schools.

The *research questions* which were to be addressed were suggested by the researcher's own experience with appraisal, discussions with colleagues and the review of literature carried out before the research started. The questions were:

1. For what purposes is principal appraisal undertaken in Grade 4 & 5 schools?
2. How is the process of principal appraisal carried out ?
3. Who is involved in the process and what training have they had ?
4. How can the 'effectiveness' of principal appraisal be ascertained ?
5. To what extent does the Education Review Office, as an external review body, influence the appraisal ?

The final section of the Introduction outlines the structure of this thesis.

Outline of Thesis

The researcher began by conducting a review of literature on principal appraisal in England and New Zealand. In Chapter Two, changes in educational administration in both countries are discussed and the move toward corporate models of management explored. Those changes have evolved over the last decade, with New Zealand educational policy makers embracing change as rapidly as their counterparts in England. One of the major administrative changes was to place Grade 4 and 5 principals on Individual Employment Contracts thus indicating the changing role of the principal to that of a 'chief executive'. Linking performance of principals to salary clearly reflects the move to a competitive educational market (Codd, 1996). This is an issue which arose from the review of literature and which informed my research design. Other issues in this research study include: exploring the purposes of principal appraisal; the question of who should appraise the principal; the training of appraisers and the conflict between appraisal of the principal and the school. These aspects of principal appraisal form the basis of the fieldwork in this research.

This review of literature led the researcher to the construction of a research design, which is detailed in Chapter Three. Case study was considered to be the most appropriate method of conducting the research and the reasons for this are detailed. The objective of this study was to determine the factors which make the process and outcome of principal appraisal successful. Determining the most effective type of interview was seen as imperative to the success of the case study approach.

In Chapter Four, a contextual background is given to each school in this study. This provides the reader with a 'picture' of the school, principal and board chairperson. Information about the introduction of appraisal, the process of principal appraisal, how it is conducted and by whom, and the factors that make it successful, are explored in this chapter. Issues of confidentiality are discussed and deemed particularly pertinent in light of recent requests by ERO to view appraisal documents.

The results of this research are analysed in Chapter Five. Similarities and differences between the schools' appraisal programmes are documented. Initial questionnaires provided information which was explored in detail on in the interviews with principals and their appraisers. From these results, the researcher was able to identify key issues that have contributed to the success of five schools' principal appraisal programmes. For example, the research showed that there is concern about the ability of a board chairperson to conduct principal appraisal that covers both the summative and formative aspects of appraisal, and that there is a need for appraisers to be trained for the process.

In Chapter Six, the researcher has drawn together conclusions about what may make principal appraisal successful and makes recommendations regarding the implementation and resourcing of principal appraisal to ensure that it is worthwhile and of value to the principal and school. Since the fieldwork for this study was undertaken, the Ministry of Education (MOE) has initiated new policy statements on principal appraisal and reference has been made to this material as it has become available.

Suggestions for further research have been included as a result of this study.

CHAPTER TWO

REVIEW OF THE LITERATURE

This review of the literature looks at the changes to educational administration in England and in New Zealand. With these changes has come the legal requirement for performance appraisal of all teachers. The appraisal of Primary School Principals, or Head-Teachers as they are called in England, presents particular challenges in New Zealand. These are analysed in English literature. Where performance appraisal is linked to salary, as in Grade 4 & 5 Principals individual contract requirements, critical issues of accountability and credibility arise. These issues, and the way in which governing school boards manage them, are explored here.

2.1. CHANGES TO EDUCATIONAL ADMINISTRATION

The New Zealand Scene

While changes in educational administration have been gradually introduced in some other countries, in New Zealand change has been rapid. In August 1988 the Labour Government, under David Lange, Prime Minister and Minister of Education, published *Tomorrow's Schools*, a document which detailed the Government's policies for educational change. The reforms were implemented from 1 October, 1989. The intention was to make schools completely

self-managing. Boards of Trustees were elected from and by local communities to govern the school. The principal was to be responsible for the day to day management of the school. Boards were not responsible for teachers' salaries, unless the school chose to become bulk funded. Moreover, as legal employers of the staff in their schools boards were responsible for ensuring that performance appraisals took place (State Sector Act, 1989:77A). While most schools delegated the responsibility for staff appraisal to the principal, the responsibility for principal appraisal was clearly that of the Board (MOE, 1990:31).

Educational Leaders or Chief Executives? The Changing Role of Primary School Principals in New Zealand.

The changes to the education system that have taken place manifest many of the features of the reforms of other aspects of the public sector in New Zealand.

Teachers are part of the public sector affected by these changes and for principals in primary schools, the changes have been radical. John Codd (1992) echoed many others' concerns when he wrote:

The New Zealand school system has recently undergone the most radical restructuring in one hundred years. This has involved a decentralisation of certain decision-making functions combined with increased self management at the school level. The legitimating rhetoric proclaimed that these reforms would produce greater flexibility and responsiveness but in reality they have produced a structure in which decisions are more effectively controlled (Codd, 1992:1).

The changing role of the primary principal created a dilemma that some had difficulty coming to terms with. Previously, principals had been concerned primarily with educational issues. With the changes came a need to cope with appointment of staff, financial matters, Government auditors, appraisals, health and

safety, resource management, each of these bringing with it a plethora of paperwork.

Since the advent of *Tomorrow's Schools* way back in 1989 and the introduction of new curricula and qualifications frameworks, there has been a steady buildup of pressure.

I have found myself spending an extraordinary amount of time governing the school and haven't had the energy to focus on my job as principal (Pat Heremaia, Sunday Star Times, Sept. 15, 1996).

While Mr. Heremaia is a secondary principal, he expresses a concern reflecting that of many primary principals. This concern was aired in a recent New Zealand Educational Institute newsletter:

Since 1989 and the old school committee days, our roles have changed considerably. People are having to promote their schools and adapt to a market-driven environment. People have really had to come up to speed. We have had to become chief executives but we must not lose sight of our role as professional leaders (Aitken, 1996:8).

With the introduction of *Tomorrow's Schools* (Lange, 1988), came increased workloads for teachers, principals and trustees. In the case of principals, these workloads were often seen to be excessive and were mainly the result of increased management responsibilities at the expense of professional leadership (Mitchell *et al.* 1993:xii). The reform of school administration in New Zealand required principals to take on changed and expanding roles in managing their schools, roles previously taken by the Department of Education with regard to professional matters, and the Education Board, who were the employers of staff in schools:

Educational changes over recent years have placed pressure on school

principals. The nature of their workload has changed, having to cope with a variety and depth of responsibilities, tasks and problems (NZTA, 1990:2.(7).1).

With the devolution of responsibility for schools to Boards of Trustees, there came a flood of suggestions about the appropriate relationship between Boards and Principals and the inevitable comparisons were made between Principals and Chief Executives of industrial and economic organisations (Stewart, 1991:122).

In Section 76 of the New Zealand Education Act No. 80, 1989, it states that:

- i) a school's principal is the board's chief executive in relation to the school's control and management
- ii) except to the extent that any enactment, or the general law of New Zealand provides otherwise, the principal-
 - a) shall comply with the board's general policy directions
 - b) subject to paragraph (a) of this subsection, has complete discretion to manage as the principal thinks fit the school's day-to-day administration.

The Act specifically refers to the principal as chief executive, which, before 1989, was a title that would have only been used in the private sector.

Education Review Office literature reinforces the link between education management and that of senior public servants:

There are some similarities between what is expected of a senior public

servant and the expectations of a school principal. Both are responsible for implementing government policy and managing state funds and assets. As with chief executives of government departments the State Services Commission has a role in determining employment conditions, contracts and remuneration of primary school principals (ERO, 1996:8).

Corporate Management Practice.

Following *Tomorrow's Schools* certain private sector management practices such as the development of corporate plans and mission statements, the introduction of performance linked remuneration systems, the development of new management information systems and the greater concern for the corporate image, were introduced. New relationships with the local community were required. These included the development of a school charter, school policies and the attendant issues of conflict resolution, justification of local policy decisions, and, at times, defending Ministry of Education policies that may have caused local antagonisms (Alcorn, 1989, 13-20). Sayer, (in Hattersley, 1992, foreword) sums up the dilemma that principals find themselves in when expected to be Chief Executives, managers, professional leaders, conflict negotiators and change agents:-

The 'hinge' position of the head of an institution, with external and internal accountabilities, brings out all the inherent contradictions in the education service as at present managed (Hattersley, 1992: foreword).

Principal Appraisal in Tomorrow's Schools.

The first reference to principal appraisal in an official Ministry document is in **A Guide to Personnel Management** (MOE, 1990), one of several booklets compiled by the Ministry of Education to help principals move into the *Tomorrow's Schools* self- management model:

Appraisal of the principal's professional leadership is the responsibility of the Board chairperson, or a nominee. It should be conducted in a form agreed between the principal and the chairperson, and should focus on the negotiated performance agreement to include some statement of the terms of reference to be used for later appraisal. Appraisal of the principal may also take account of feedback from senior staff and other educational professionals if appropriate (MOE, 1990:31).

This clearly articulated the professional leadership role of the principal.

Cardno (1993) insisted that the appraisal process was not intended to be used for dealing with salary, competence or discipline concerns. Principal appraisal was to be a formative process which reflected the aims of *Tomorrow's Schools*:

The principal, teachers and other school staff will form a partnership that seeks to achieve the aspirations of a national system of education and the local community expressed in the school charter (Lange, 1988).

The emphasis was that of the Principal as an educational leader, in partnership with other staff, working toward a common goal. Tom Sergiovanni (1992), a leading researcher in educational management, consistently focuses on the principal as an educational leader working with their teachers rather than through them. With the advent of Individual Employment Contracts (IECs), the ideal of a partnership between principal and staff was placed in jeopardy.

Individual Employment Contracts -1995

In 1995 principals of large primary schools, Grade 4 & 5, agreed (after long and contentious discussion) to go onto individual contracts like those following the model of other public and private sector chief executives. As a result salary increases are now determined through the appraisal process.

The following extracts from the IEC indicate the changing emphasis in the role of the principal, moving away from an education leader in partnership with staff, to that of manager or chief executive.

Primary School Principal Individual Employment Contract:

5. Performance Review

- 5.1 The Board will review the performance of the Principal in carrying out the duties and responsibilities of the position.

- 5.2 The Board shall prepare an annual performance agreement with the Principal that details:
 - (i) the objectives of the Principal's position for that year;
and
 - (ii) the process and criteria by which the Principal's performance is to be assessed for that year.

- 5.3 Every endeavour shall be made by the Board and the Principal to arrive at a performance agreement that is acceptable to both of them. The Board shall consult with the Principal as to the contents of the performance agreement and the Principal's views shall be considered prior to the Board finalising the

performance agreement. Where agreement has not proved to be possible the decision of the Board shall be final.

- 5.4 The Principal will co-operate with the Board during all stages of the performance review process and will provide the Board with such information as the Board may properly require to carry out any review of the Principal's performance.

6. Remuneration

(Of the six points under Remuneration in the IEC, two are examined as being pertinent to this study).

- 6.2 The Board shall review the salary of the Principal annually. The performance of the Principal as assessed through the annual performance review shall be of prime consideration in determining any increase in salary. Other considerations include particular skills and qualifications gained since appointment. Before granting any salary increase the Board shall ascertain whether funding is available for the purpose and will ensure that the amount of the increase complies with the conditions relating to the appropriate salary range for the position.

The Principal's salary cannot be reduced as a result of the salary review.

- 6.6 Holiday pay at the rate of 25% of salary shall be based on the school year and shall not be payable beyond 27 January. For holiday pay purposes, service shall

comprise all paid service including weekends, statutory holidays, but not school vacations (Primary School Principal Individual Employment Contract, 1995).

SUMMARY

There can be no doubt that principals of G4 & G5 schools are regarded as chief executive officers with performance linked to salary and annual leave, at the discretion of the board of trustees.

The Education Act 1989 (S76) refers to the principal as the *Board's Chief Executive*. Chief executives of government departments in terms of the *State Sector Act 1988* and the *Public Finance Act 1989* act in accordance with their minister's wishes. They are contracted to produce outputs and they are accountable to their minister.

The principal as the chief executive of a board of trustees might similarly be expected to act in accordance with the board's wishes and be accountable to the board for the results or activities or outputs from the board's general policy directions (ERO,1996:15).

While the intention of *Tomorrow's Schools* in 1988 was clearly for principals to be educational leaders, the advent of IECs in 1995 may have changed that role for many New Zealand principals:

In one direction there has been a move towards more parental and community involvement in education and a decentralisation of many management functions and responsibilities to boards of trustees. In another direction, however, there has been an equally strong, if not stronger, move towards a competitive educational market regulated and controlled by a strong and highly centralised bureaucracy comprising the ministry, the Education Review Office and the New Zealand Qualifications Authority (Codd,1996:11-17).

2. 2. **Education Reform in England**

While exploring the literature on principal appraisal it became apparent that there was far more written about headteacher appraisal in England than in New Zealand. This was to be expected as schools there had been trialling appraisal some years before New Zealand made appraisal mandatory. After the English trials there was an abundance of published research which formed the basis of my review of literature.

In England major changes came after the Education Reform Act in 1988 which initiated one of the greatest revolutions ever experienced by British education. Trethowan (1991) stated that:

It has tackled all the key problems that face organizations which do not have profit as a motive: identifying the task, measuring output, management skill development, absence of market forces and resource allocation (Trethowan, 1991:156).

Trethowan (1991) looked at the reforms in terms of a package that provided a framework for improvement:

- local management of schools (LMS)
- National Curriculum and assessment
- open enrolment
- management by governors
- teacher appraisal and development (Trethowan, 1991:156).

However, with the move toward school improvement came increasing demands on headteachers to develop new skills to cope with their changing roles.

The range and complexity of management decision-making within each institution has increased substantially with consequent demands on the managerial skills and qualities of those with new responsibilities (O'Neill, 1995:20).

The reforms paralleled New Zealand's move to self-managing schools in which Boards of Trustees are responsible for the governance of schools and management through the principal.

In England and Wales this has been characterised by increased participation and authority for lay school governors via the Education Act (No.2)1986, together with apparent freedom in financial management at site level brought about by the Education Reform Act 1988 (Ibid).

Moves toward self-management of schools in England changed their status from one of dependency on Local Education Authorities, but also made them vulnerable to the demands of market forces.

In direct competition with each other in order to attract sufficient pupils to survive, they increasingly reflect the characteristics of other types of organisations in that they must:

- a. continuously seek improvements in productivity;
- b. meet consumer requirements;
- c. match expenditure to revenue;
- d. develop corporate strategies for survival and growth (Ibid:20-21).

The overall impact of these changes has been described as:

An increase in institutional autonomy, with commensurate accountability, operating in the context of increased client choice balanced by increased central direction of the curriculum (West-Burnham *et al.* 1995:4).

New Zealand followed England closely in the reform of curriculum and assessment procedures. Both countries introduced change quickly. Autonomy of decision-making regarding the timing of the introduction of curriculum and assessment, was kept out of the hands of schools in New Zealand and in England.

The proponents of the decentralization of decision-making argue that, by giving schools real autonomy, decision-making at the school level will have a significant impact on the teaching and learning process. The key hopes for this reform may depend on whether we are witnessing real autonomy in decision-making or merely a degree of managerialism that decentralizes administration (West-Burham, 1990:98).

Schools became increasingly accountable, open to external inspection, community demands and media attention. The changing nature of schools affected the headteacher's role within the institution, their autonomy and the purpose of their leadership.

The tension between decision-making and managerialism / administration is at the heart of the debate over the purpose of educational management (West-Burnham *et al.* 1995:9).

If a principal wished to advance his/her skills to handle this new style of management, then professional development would be one of the ways to do this. Recognition of that professional development need, and further training, may be through the process of appraisal:

Being the principal of a school is exciting and stimulating: but it can be lonely sometimes-particularly if you are newly appointed or the school itself is under pressure. Appraisal is one means of offering principals and teachers the support and guidance they need (Aitken, 1996:5).

HEADTEACHER APPRAISAL IN ENGLAND

In December, 1990, the Secretary of State for Education, Mr. Kenneth Clarke, introduced regulations for a national system of teacher and Headteacher appraisal. The idea of appraisal had been a live issue in the profession since the late 1970s but Secretary of State, Mr. Kenneth Baker (1987-9), deferred its introduction and his successor, Mr. John MacGregor (1989-90), relegated appraisal to voluntary status, a position later reversed by Mr. Kenneth Clarke. The 1991 regulations, *The Education (School Teacher Appraisal) Regulations 1991*, required LEA's (Local Education Authority) to direct schools to ensure that half the teachers in service undertake a first appraisal by the end of the 1992-3 school year.

An earlier report on teacher appraisal undertaken by the Advisory, Conciliation and Arbitration Service (ACAS, 1986) saw the appraisal of *headteachers* as part of the responsibilities of the Chief Education Officer:

.... who should appoint as appraiser an appropriate person with relevant experience as a Head Teacher, who will be required to consult with the designated Inspector responsible for the school and the designated Education Officer. The Working Party also considered 'that, where necessary, each appraisal should benefit from a second informed opinion' (cited in Hewton & West, 1992:9).

In 1989 the report of the National Steering Group on the School Teacher Appraisal Pilot Study was published. It was based on data gathered from the six pilot LEAs (Croydon, Cumbria, Newcastle upon Tyne, Salford, Somerset and Suffolk), from pilot LEA conferences, from the evaluation of the pilot schemes undertaken by the Cambridge Institute of Education and reports from the National Development Centre for School Management Training based at Bristol University, which acted as coordinating agency. The final report placed appraisal within a developmental

framework while acknowledging that teachers and headteachers have responsibilities that should be effectively discharged. This report identified the key principles and procedures of appraisal which government regulations prescribed under Section 49 of the Education (No.2) Act 1986. While these formed the basis of Kenneth Clarke's 1991 regulations, significant additions were made.

Appraisal Linked to Salary and Promotion (of Teachers)

One of the additions related to salary and promotion. Although there was no direct or automatic link between appraisal and promotion or additions to salary, this was hinted at in the Circular's observation that, 'It will be legitimate and desirable for headteachers to take into account information from appraisals, along with other information, in advising governors on decisions about promotions and pay' (Circular 12/91, para. 70). There can be no doubt, however, that the move towards performance pay was prevalent in many public sector jobs as Whitfield reported:

Whether it is Citizen's Charter or Passenger's Charter, school examination league tables or health service waiting lists, the result is the same. Service delivery is to be monitored as never before, as information is seen as the key to developing motivation and customer satisfaction. Some form of personal assessment scheme or 'individual performance review' is an essential item in the tool bag of the modern public sector personnel manager. It is accompanied by the parallel desire to reward staff on the basis of their performance: payment by results rather than the old image of being paid for turning up for work. The principles are being applied widely, in all areas of public service from Whitehall civil servants and local authority staff to hospital trusts and British Rail managers (Whitfield, 1992:31).

Contractual accountability in terms of linking appraisal to pay, promotion and discipline was a sensitive issue. However, as Hewton & West (1992) suggested:

While no direct link is made between appraisal and additions to salary, headteachers may take account of information from their appraisal in advising governors on this issue. Headteachers are already in a situation where they may submit to governors as part of their budget plan, the case for additions to existing salary. It is difficult to envisage a situation where links between appraisal and pay will not be made, if only by inference (Hewton & West, 1992:128).

Accountability, School Improvement or Management ?

Three broad influences appear in the early models of appraisal in England: the accountability movement, the school improvement movement and an emergent management development perspective. The reforms of education in England have seen all three movements incorporated into the contemporary principal's role. With the responsibility for teacher appraisal and the added administrative and managerial responsibilities that came with education reforms, the role of the head teacher underwent a radical shift over a decade. Cyril and Doreen Poster (1993:173) state that 'many headteachers, particularly of secondary and large primary schools, are on the road towards corporate or collegial management'. (Headteachers in England and Wales have maintained the title of 'head teacher' rather than 'principal' as there had historically been a classroom teaching component in their jobs).

As in New Zealand, the headteacher role had come to incorporate crucial elements of accountability, school improvement and management, along the lines of a business model.

The role of the head teacher has so far been extended by the Education Acts of 1986 and 1988 that 'chief executive' is becoming an increasingly common concept, even if not a title (Poster & Poster, 1993:31).

Differences Between Teacher Appraisal and Principal Appraisal

While principal appraisal shares many of the processes of teacher appraisal there are features that are quite distinctive. Stewart and Prebble (1993) sum up the experiences of educators in many countries when they point out that:

While the process of appraisal is conceptually straightforward, this is a new and challenging task for most principals and boards (Stewart & Prebble, 1993:185).

In teacher appraisal, the principal and/or senior staff are appraisers. These people in school management have been teachers, know the job, and can be considered credible *line managers*. The challenge in principal appraisal is the appointment of a suitable *line manager*. The concept of line management is clear in private enterprise where there is a hierarchical management structure with people experienced in the job but in schools, the employers of principals, boards of trustees, are lay people. In England, however, headteacher appraisers, an LEA representative and a fellow headteacher, are closer to the concept of line managers as both have a background in education.

In England and New Zealand, principal appraisal is mandatory. As Hattersley (1992), notes; “.. appraisal is not an option but rather it is an essential part of the whole business of managing a school” (Hattersley, 1992:15).

In March 1985, David Hancock, Department of Education and Science (DES), Permanent Secretary (England) emphasised that the type of appraisal DES wanted was one “which is constructive, supportive and developmental” (Gane & Morgan, 1992:9). The need to strike a balance between accountability and development were, in 1985, being more clearly articulated (Gane &

Morgan,1992:10). The Education (School Teachers' Pay and Conditions of Employment) Order (DES,1987) represented a radical transformation in the way in which schools were to be managed. Paragraphs in the Order referring to, for example, consultation, relations with parents, governing bodies and other groups reflected the growing power of governors, the increasing involvement of parents and, as a consequence, the development of an expectation that schools should be accountable to the community at large:

Since the headteacher is traditionally held accountable to the governors for everything that goes on inside the school, and frequently for much that school students get up to beyond the school gates, it is tempting to turn to the appraisal of headteachers to provide input into that accountability process. To do so is to make a fundamental error about the nature and purpose of headteacher appraisal. Its principal function is to contribute to professional development to which headteachers are entitled just as much as other teachers (Thompson cited in Hattersley,1992:6.73).

This was the first time that separate conditions of service had been introduced for headteachers and deputies and for classroom teachers.

Headteachers professional duties specified the following:

“Appraisal, training and development of staff:

- (a) Supervising and participating in any arrangements within an agreed national framework for the appraisal of the performance of teachers who teach in the school;
- (b) Ensuring that all staff in the school have access to advice and training appropriate to their needs, in accordance with the policies of the maintaining authority for the development of staff.

Appraisal of head teacher:

- (a) Participating in any arrangements within an agreed national framework for the appraisal of his performance as head teacher;
 - (b) Participating in the identification of areas in which he would benefit from further training and undergoing such training;
- (Education Order, 1987)

This identified appraisal as a means to determining professional development but the sexist language makes one wonder whether women headteachers were to be included! The 'agreed national framework' finally came into force in 1991 when Statutory Regulations (HMSO, Statutory Instrument, 1511/ 91:2) required teachers and headteachers to be regularly appraised. Schoolteachers included headteachers in this context. This legislation derived from the earlier pilot studies.

In February 1996, a major review of appraisal was undertaken by the Teacher Training Agency (TTA) and Office for Standards in Education (OFSTED). The TTA and OFSTED collated surveys collected from schools and Local Education Authorities (LEAs) reviewing appraisal systems. Four conferences were held between April and May, attended by 400 delegates from schools, LEAs and other professional associations. From the report which followed these surveys, the Secretary of State was to announce proposals for school self-improvement, including in relation to target setting, bench marking and teacher appraisal.

Among their conclusions, concerning the transfer of responsibility from local education authorities to governing bodies, was the following:

The full implications of this transfer of responsibilities were not apparent in 1990-1991 and the confidence and competence of senior managers and governing bodies to address the requirements of local management were not fully developed (Review of Headteacher & Teacher Appraisal. Summary of Evidence, 1996:2).

In June, 1996, the then Education and Employment Secretary, Gillian Shephard stated:

I intend over time to recast all initial and in-service teacher training within a full-scale professional framework. It will cover course content and qualifications for everyone from the brand new teacher to the experienced head.

An early priority will be to improve the training of existing headteachers. Effective leadership is essential for school improvement. (Circular 192/96).

It is interesting to note that the Education Review Office in New Zealand has released similar findings in 1996:

Most primary school principals have not been prepared for these management obligations. Primary school principals need to have access to high quality education and training to prepare them for this complex and important role (ERO, 1996:9).

Headteacher Appraisal - A Need for Credibility

In England it was accepted that headteachers as well as teachers would be subject to a national appraisal scheme. Prior to the national pilot study, few headteachers had been exposed to experimental schemes of appraisal (Gane & Morgan, 1992). It was recognised that headteacher appraisal was vital to any scheme in order to maintain credibility.

It sure as hell would lose credibility if the Principals and Superintendents weren't evaluated! (Teacher, cited in Gane & Morgan, 1992:13).

Indeed, headteachers and their associations supported the need for regular appraisals:

Heads would welcome regular appraisals enabling them to review their

performance critically with their peers and to do their job better. Certainly no appraisal system is likely to have credibility with assistant teaching staff unless heads are effectively included (*Education*, March, 1986, in Gane & Morgan, 1992:14).

Who Appraises the Headteacher?

The question of who should appraise the headteacher is one that has appeared in much of the literature. In 1991 Trethowan pointed out that:

The Education Reform Act has tackled all the key problems except one. On the issue of the management and appraisal of the performance of head teachers it has produced a model with a fundamental weakness. It has continued to leave no one responsible for the day-to-day management of the head teacher's performance; the head teacher has no one with whom to form the appraising relationship. No one can be identified as the manager of the head teacher - not the governors, the LEA nor any member of the inspectorate (Trethowan, 1991:156).

This dilemma is shared by Fidler (1992):

The appraisal of head teachers proves to be the most difficult area to deal with both conceptually and in practice. Headteachers do not have the equivalent of a line manager and so the managerial model breaks down (Fidler, 1992:134).

In the OFSTED (1996) review of appraisal in English schools the failure to secure a **line manager** as an appraiser is seen as a *weakness*:

c. The failure to secure the role of the **line manager** as the appraiser, which has weakened the impact of appraisal on the quality of teaching;

j. The exclusion of the **chair of governors or a nominated governor** from the role of appraiser of the headteacher. This fails to recognise the local management responsibilities and accountabilities of governing bodies (OFSTED, 1996:4).

In the recommendations which follow, the report asserts that:

- vi. A responsibility for governors in the appraisal of the headteacher, either through the chair or another nominated governor chairing an annual appraisal review meeting; appointing another leading professional with appropriate expertise and experience, and ensuring that all involved in appraising the headteacher undergo suitable training (OFSTED, 1996:6).

The Report is still advocating two appraisers for headteacher appraisal but, while including a fellow headteacher (peer) appraiser, is also recommending the inclusion of the chair of governors.

Peer Appraisal

In England headteachers are required to participate in the appraisal of *other headteachers*. Some of the potential difficulties are identified as:

- the lack of responsibility of the appraiser for the headteacher's performance;
- the lack of day-to-day contact to build up an appraising relationship;
- the lack of continuously accumulated knowledge of the daily performance of the head;
- the inappropriateness of one head observing sufficient of the performance of another to build an accurate view of performance;
- the issue of appraiser choice, e.g.
 - a friend who might conduct an easy appraisal,
 - a rival who might have scant interest in improving the performance of the head;
- the difficulty of collecting data on headteacher performance in the school of another head;

- the difficulty for the senior management team of a school to give feedback on performance of their leader to another head;
- the lack of priority of time for one head to appraise continuously the performance of another (Trethowan,1991:158).

The points made by Trethowan are reiterated by Preedy (1993). She also examines the difficulty of seconding headteachers from their schools for a period of some years in order to appraise colleagues. The difficulty for them would be losing touch with their own schools and the rapid changes that are constantly occurring in them. Another problem lies in the difficulty of getting good headteachers to become appraisers leaving a substitute head in their own school. Preedy suggests that some governors may find the prospect of finding and working with a temporary substitute quite daunting (Preedy,1993:180).

Another possible peer appraiser may be the headteacher who is only a few years from retirement. Secondment of such people may meet with problems of appropriate salary and working with LEA's who may see themselves as on the 'other side of the fence' (Preedy,1993:180). Preedy looks at the various alternatives for selecting peer appraisers and suggests that the time involved in an effective peer appraisal would be four to five days. This would be very time-consuming for a busy practicing principal.

There can be no doubt that the choice of a peer appraiser is not without difficulty and should be considered with care in order to maintain credibility.

At a time when open enrolment under the conditions of the Education Reform Act 1988 is forcing schools into the competitive mode, into 'marketing' as the profession is reluctantly learning to call it, the selection of peer appraisers is a matter of considerable delicacy (Preedy,1993:180).

Frequency of Appraisal

The major difference between teacher and headteacher appraisal within the pilot studies in England was the frequency of appraisal cycles. A range of frequencies was suggested, from annual appraisal for those at the start of their careers, to appraisal on a three-yearly basis for heads and experienced teachers. Eventually appraisal was established within a biennial cycle for all teachers:

Appraisal takes place within a two-year cycle, with the major part of the appraisal being conducted in the first year, and the remainder of the cycle, after the production of the appraisal statement, being devoted to professional development (Gane & Morgan, 1992:89).

Bollington *et al.* (1990) also state that:

Heads and teachers should be appraised through a *two-year cycle* of activities (Bollington *et al.* 1990:104).

However, the OFSTED report (1996) questions the two-year cycle and states in the list of *weaknesses* of England's appraisal system in schools:

- i. **the two year cycle** which has allowed the appraisal scheme to be perceived as extraneous to the normal annual cycle of management activity which focuses on school improvement (OFSTED, 1996:4).

In the **Summary of Findings** the report lists perceived weaknesses in the appraisal system and states that:

There are significant weaknesses in current appraisal practice and these weaknesses are prevalent in many schools. The main

weaknesses are that it lacks rigour, has poor impact on the quality and standards of teaching and that the process has become protracted, expensive and often extraneous to the annual cycle of management activity directed at school improvement (OFSTED, 1996:6).

To address these *weaknesses* the report continues with these recommendations:

5. Appraisal should have clear guiding principles, meet essential requirements and involve at least three elements:
 - evidence of performance derived from a variety of sources;
 - self evaluation;
 - structured discussion with the individual line manager *on an annual cycle* (OFSTED, 1996:7).

Training for Appraisers

The literature on appraisal of headteachers in England calls for substantial periods of training for those involved as appraisers.

Training for appraisal, then, will need to offer a range of learning opportunities spread over a period of time and linked closely to implementation (Bollington *et al.* 1990:78)..

Hewton and West (1992) recommend looking at the issues of headteacher appraisal and organising such specific training as is necessary. They suggest training of appraiser and appraisee at the same time to clarify the purposes and content of appraisal. They caution that, while the approach and general philosophy may be determined by national guidelines, local needs and circumstances may also influence appraisal:

There are political agendas involved in determining the nature of appraisal. There are pressures towards accountability, the use of

performance indicators, links with disciplinary procedures and payment by results. There are counter pressures suggesting that appraisal should be solely concerned with development - both of the school and the head (Hewton & West, 1992:89).

A programme over three days is suggested, with a follow-up for review at a later stage. Content coverage would include: the system of appraisal to be adopted; the purposes of appraisal for headteachers; agreeing a contract between appraisers and appraisee; collecting information; the interview; targets and appraisal statements (Hewton & West, 1992:97).

Formative versus Summative Purposes of Appraisal

The use of appraisal for professional development of headteachers and teachers (a formative approach) is recommended in literature on this topic. Hattersley (1992), Riches & Morgan (1992), Gane & Morgan (1992) and Blase & Blase (1994) all support the notion that the principal function of appraisal is to contribute to professional development to which headteachers are entitled just as much as other teachers.

Headteachers' professional development needs are closely linked to a school's development plan for as Gane & Morgan (1992) suggest:

The SDP acts as a focus for all aspects of planning: curricular, organisational, financial, staff deployment and professional development and training. Within the SDP there will be an important place for the outcomes of the appraisal of the head. What could be more important for the progress of the school and the effectiveness of the service which the school provides for its pupils than the quality of the professional targets of

the headteacher, identified, supported and monitored by the Appraisal process ? (Gane & Morgan,1992:16)

This view is supported by the DES Circular No.12/91 which links school development plans with appraisal, seeing both as mutually supportive:

Targets set during appraisal should meet the needs of the school as well as those of individual appraisees (DES Circular No 12/91 in Gane & Morgan,1992:16).

Linking school development plans with headteacher appraisal makes sense but at what point does an appraisal of the head become a whole school review ?

Principal or School Appraisal ?

While there appears to be widespread agreement on the purpose of appraisal in England, Hattersley (1992) warns that head teacher appraisal should not be mistaken for evaluation of the school as a whole. "Governors should avoid the temptation to view appraisal as an exercise in accountability" (Hattersley, 1992:77). Nevertheless, the Education Regulations (1991) require appraisers of head teachers to have familiarity with current national and, in LEA maintained schools, LEA policies and requirements. The Regulations state that appraisers should be familiar with curriculum, special needs, equal opportunities, staffing and cover, disciplinary and grievance procedures and other such matters relating to school management. They also need a wide range of background information about the school and its context including:

- curricula policies
- general organisation and deployment of staff
- composition and organisation of the governing body
- links with home, outside bodies and other schools

the pattern of meetings with staff and with parents
 school activities and routines including assessment
 and recording systems, examination results, calendar of events
 staff appraisal and development arrangements and
 arrangements for induction and probation
 financial and management systems (National Steering Group, 1989 in
 Hattersley, 1992:15).

This information is to be assembled by the appraisee head along with any supplementary information asked for. If the appraisal of the head teacher covers all these aspects, the likelihood of the school as a whole being reviewed within that same appraisal process seems inevitable. The question of accountability can hardly be ignored in this model.

The issue of headteacher accountability for school effectiveness is one which has been explored in a review of appraisal (OFSTED, 1996) carried out in England in 1996. The OFSTED report (1996) lists as one of the *weaknesses* of school appraisal systems:

e. Target setting for headteachers has failed to focus on school improvement (OFSTED, 1996:6).

The report recommends that:

iv. Targets for headteachers and senior managers focus on school improvement, taking account of inspection findings or other key performance indicators (OFSTED, 1996: 6).

Thus, there can be no doubt that headteacher appraisal in England is now intended to be directly linked to whole school review and school effectiveness.

SUMMARY

Headteacher appraisal has been mandatory in England since 1991. Since that time market forces have changed the role of the headteacher with more emphasis now placed on efficient and effective management skills. With this change of emphasis the headteacher has become a chief executive responsible to the community. As chief executive, appraisal of the school has become implicit in headteacher appraisal and incorporates a strong slant toward accountability. However, throughout the literature there still appears to be confusion over the purpose of appraisal. Advocates for formative appraisal promote the concept of professional development as the key purpose while others promote summative measures which use appraisal for accountability, school improvement and salary purposes.

Timing of headteacher appraisal in England has been reduced from two years to an annual appraisal with a call for more training for headteachers but no mention of training for appraisers. While peer appraisal is maintained in the 1996 review (OFSTED,1996) concerns have been raised (Trethowan,1991) about the use of other headteachers. There can be no doubt that a **credible** appraiser is essential to the success of headteacher appraisal but the introduction of the term *line manager* (OFSTED,1996:7) implies that one person knows the multifaceted nature of the headteacher's job and can effectively appraise all aspects of it.

The OFSTED report (1996) reviewed teacher appraisal in schools, pointing out many perceived weaknesses in the system and called for improvements. Similarities to the business sector are apparent in the terminology used, e.g. *line manager*, and in the demand for more rigour in the appraisal of teachers. The assumption appears to be that more rigorous appraisal will result in more effective schools.

2.3. The Introduction of Performance Appraisal in New Zealand

Performance appraisal is a relatively new concept in New Zealand schools. Along with the many responsibilities given to boards of trustees in 1989 with the introduction of *Tomorrow's Schools* came the legal obligation (State Sector Amendment Act, 1989:77) as employers to carry out performance appraisals. While most schools delegated the responsibility of staff appraisal to the principal, the responsibility for principal appraisal was clearly that of the board of trustees (MOE, 1990:31).

Changes From Collective to Individual Contracts.

Until June 1995 most New Zealand Primary School Principals were under the same teachers union contract. Conditions of service, pay scales and other entitlements were negotiated by the New Zealand Educational Institute (N.Z.E.I.) for all principals from Grades 1-5. A few principals had opted for individual contracts with their own bargaining agents, but these were the exception rather than the rule. For the majority of principals the idea of individual contracts in the Primary sector was unacceptable. The main reason for the opposition was that principals saw contracts as a divisive factor that would come between the staff and management, lead to a more hierarchical structure in schools and spoil the collaborative style of leadership that many Primary principals have established.

The relationship between teacher and principal is currently under sharp scrutiny. The top-down model is too unwieldy, is subject to too much distortion, and is too unprofessional. Schools need to recognise and develop many kinds of leadership among many different kinds of people to replace the venerable, patriarchal model (Barth, 1990:144).

In 1989, Alcorn warned that:

The role of a school principal has always been a crucial one. The Picot Report proposed some fundamental changes in the job of principals, especially for primary principals. Placing them on contracts could alter their relationships with staff, shifting it from that of a colleague to that of an administrator with new accountability functions such as hiring and paying staff and staff development (Alcorn,1989:13-20).

On the 16th of June, 1995, the Primary teacher's contract was settled after protracted, and sometimes contentious, negotiations. Crucial to the settlement being reached was the requirement that Grade 4 and 5 principals go onto individual employment contracts. Contracts include conditions that have to be met before the principal can move on a range of rates in the salary scale; these include teacher appraisals within the school and the necessity for boards to appraise the principal.

Who Appraises the Principal?

Boards of trustees are required to act as 'good employers' with the underlying assumption that all boards are capable of confidently carrying out those responsibilities. One of the responsibilities placed on boards is the issue of principal appraisal. The problem that confronts many boards is that they lack information and experience in the process and procedures of appraisal to the extent that they are unable to carry it through (E.R.O.,1996:26). While there are training programmes to assist board members in the process of appraisal (for example, those provided by the School Trustees Association, Multi-Serve, and the Auckland Primary Principals Association) lack of confidence or time to attend these may determine who attends. The question of who appraises the principal and how this is carried out is, for many schools, a critical one that needs to be addressed.

Pat Heremaia, a recently retired principal, commented that:

One of the failings of the *Tomorrow's Schools* system of devolving responsibility to the community was the lack of resources available to train people.

"I support the idea of giving mana to parents to run their local schools but over the years the system has ground down to the point where many parents are feeling frustrated at the difficulties of their task"

(Sunday Star-Times, Sept. 15, 1996:A9).

Criteria for principal appraisers could appear daunting to lay people who are not trained. Bell (1988) suggests these criteria against which the most appropriate people may be selected to appraise the head:

1. Expertise in the function of headship.
2. Knowledge of contextual issues relating to the school and its community.
3. Professional acceptability (Bell, 1988:139).

Bell continues by pointing out that it would be difficult to find one person to fit all three criteria and that the solution is to involve more than one person in head teacher appraisal. He suggests that the combination of Deputy and Inspector would comply with the suggested criteria but he acknowledges that "Other combinations could work equally as well" (Bell, 1988:152).

In New Zealand it is suggested that one person should appraise the principal: "Principals are to be appraised by the board chairperson or nominee" (Cardno, 1993:17). In contrast, in England, Bollington (1990) states that no one individual can appraise the principal. He advocates a team of appraisers:

The appraisal team should contain an appointed appraiser, with relevant experience as a head teacher who should coordinate both the process and the range of professional input. No one individual is likely to have the range of experience and background knowledge demanded by the process (Bollington *et al.* 1990:68).

This view is reflected in the work of Stewart & Prebble (1993) in New Zealand where they promote the idea of a team of appraisers to appraise the principal. The team would include the chairperson of the board of trustees who would convene the team, a principal from another school, selected by the home school principal, and a representative from the staff who may also be the board of trustees representative but not necessarily so (Stewart & Prebble, 1993:185-204).

Despite these suggestions for a team approach, mandatory requirements in New Zealand name only the board chairperson as principal appraiser. As a member of the board, the chair is the principal's employer but can he/she also be considered the principal's 'line manager' ?

If the appraisal of head teachers is to be developmental and constructive then the head teacher's 'line manager' must be clearly defined.

'Line managers' are expected to be people who know the subordinate's work well and who are also intimately acquainted with the context in which that work is carried out (Bollington *et al.*, 1990:66).

New Zealand's 'Line Managers'

In New Zealand schools Boards of Trustees are line managers of principals as boards are the employing body. The dilemma that may arise is that many board members are not educators and may have little understanding of what the principal's job entails. Stewart (1991) comments on the fact that New Zealand's

appraisal system followed that of England and he suggests that we can learn from their experiences:

It is vital to have a person with the experience of a principal involved in all principal appraisal exercises. To do otherwise is to assume that the professional component of school administration is somewhat insignificant or at the very least, subservient to the institutional, managerial features of leading the school. Is it possible at all to make useful statements about what a principal does, or ought to do, without having a comprehensive understanding of what motivates principals and why they prioritise their work in the way that they do.

Such a line of management approach is increasingly out of favour in successful industrial enterprises where *line managers* accept that they do not always have the appropriate skills and should not be accepted in education which is even more complex (Stewart, 1991:124).

School Trustees Association (STA) have obviously recognised the dilemma of selecting a 'line manager' and suggest that possible appraisers could include:

- The chairperson;
- A member of the board experienced in appraisal;
- A member of the appointments or personnel special committee;
- More than one board member. However, this may be confusing;
- An "other" principal (STA, 1990/6: 4).

Teaching Principals in New Zealand

Adding to the complex task of managing a school is the teaching component that many principals engage in. In New Zealand approximately sixty percent of Primary principals are teaching pupils as well as managing the school.

In about 60 percent of all schools the principal is a board member, chief executive and classroom teacher. Although these roles are complementary some teaching principals have obvious difficulty managing the demands of the combined role (E.R.O.,1996:9).

The Draft National Guidelines for Performance Management in Schools (M.O.E,1996) insist that teaching principals be appraised on the key performance areas as outlined for all teachers. In addition, they are to be appraised on their management ability:

The relative weighting in the evaluation between teaching duties and management responsibilities should be agreed on by the appraiser and the principal (M.O.E.1996:24).

In England, appraisal for teaching principals is differentiated according to their teaching component:

It is not necessary for *every* appraisal of a head to involve classroom observation, particularly where the teaching component is small and infrequent (DES Circular12/91:9).

Unlike the English system, New Zealand appraisal requirements expect all teaching principals to be appraised on their teaching practice, no matter what proportion of their workload that may be.

The problem that arises when a teaching component is included in the principal's role is the ability of lay people to appraise the various roles.

In nine poorly performing schools with teaching principals the relationship between the board and the principal was not monitored.

Ineffective or no appraisal of the principal's performance was undertaken.

In each of these relationships between boards and principals, principals were restricted in their capacity to be professional leaders of schools by inefficient management by ineffective boards. Boards were not managing their managers to a standard that allowed principals to operate effectively on a day to day basis and oversee the development of high quality teaching and learning (E.R.O., 1996:26).

As can be seen by the Education Review Office report, appraisal of teaching principals is a difficult issue and is not be made easier by the draft guidelines set out for appraisal by the Ministry of Education in 1996. At the time of writing, the requirement for **all** teaching principals to be appraised on their teaching component, regardless of the size of that component, is an issue under investigation by union (NZEI) members.

The question of who appraises the principal does not have a straightforward answer. The English model accepts the need to have at least one person with head teacher experience or a background in educational management (deputy) while the New Zealand model appears, in many cases, to accept the use of a lay person (chairperson of a board) to appraise the principal, including the teaching component of a teaching principal.

Purposes of Appraisal in New Zealand

In New Zealand less research has been carried out in the area of appraisal in schools than in England. Irons (1993) in her case study of *Four New Zealand Primary Schools* noted that although official material emphasises the formative nature of appraisal, there is evidence to suggest that teachers believe that demands for accountability will negate the formative aspect (Irons, 1993:7). This suspicion is

reiterated by Stewart & Prebble (1993) who note that the Government is pressing policy advisers to devise systems to “reinforce this accountability” (Stewart & Prebble, 1993:17).

Stewart & Prebble suggest that appraisal will be the vehicle for these judgments about differential performance. While Irons’ study looked only at teacher appraisal, Stewart (1991) cautions: “No one benefits when appraisal is used for line management or as a weapon for ensuring principal compliance” (Stewart cited in Alcorn & Peddie, 1991:128). The *de facto* purposes of appraisal are therefore of critical importance when appraisal policy is formulated in schools.

In New Zealand Stewart & Prebble suggest that principal appraisal may become more like school self-review and that principals may be required to report their progress against specifically listed performance targets, as in the commercial world (Stewart & Prebble, 1993:202). However, a word of caution is sounded by Stewart as he reminds us of the real purpose of schools:

Learning is the business of the school and principal appraisal should be seen to be a means of increasing the effectiveness of teaching and learning. No one benefits unless this is assured (Stewart cited in Alcorn & Peddie, 1991:128).

Stewart supports the notion that principal appraisal should take a formative approach with professional development being the emphasis:

Appraisal should reinforce achievements that principals have made, and identify a range of alternatives for dealing with unresolved issues. Appraisal is but one link in a chain of a continuous professional development loop... (Stewart cited in Alcorn & Peddie, 1991:128).

Cardno, (1993), agrees that the purposes of principal appraisal are intended to:

- * review performance by looking back at what has and has not been achieved;
- * examine current practice in agreed ways; and
- * plan improvement and development (Cardno,1993:32).

Cardno, (1993), continues by suggesting that appraisal is carried out for the purposes of:

1. Providing public accountability
2. Improving school effectiveness
3. Improving student performance
4. Improving the principal's performance through provision of professional development (Cardno,1993:32).

Cardno asserts that the appraisal process should not be used for dealing with salary review, competence or disciplinary concerns (Cardno, 1993:32). However, if public accountability is one of the purposes of principal appraisal how can the issue of competency be avoided ?

SUMMARY

Bollington *et al.* (1990) identify three crucial factors in the appraisal of principals.

The first is the recognition that appraisal should be above all a dialogue leading to increasing awareness of how it is possible to contribute to organisational development through achieving personal goals.

Second, it is crucial that the appraiser has detailed knowledge of the organisation, its culture and values, its structures and roles and the principal's responsibilities. The suggestion is that it is this knowledge which enables constructive analysis of current performance to be carried out. This in turn informs planning and target setting for the future by identifying programmes for support and professional development most appropriate for the longer-term growth of the organisation and the individual.

Third, the appraiser needs to be in a position to influence the current structure of roles and responsibilities, and provide those opportunities for development which have been mutually agreed as appropriate (Bollington *et al.* 1990:65). One of the key issues, raised by Bollington (1990:65), which frequently appears in the literature on principal appraisal, is that of the suitability of a principal appraiser. The concept of a *line manager*, as determined in the business world, is difficult to identify in the realm of education. The English model overcomes this difficulty to some extent by using another principal with experience in a similar sized school. The OFSTED (1996) report points to the failure to appoint a *line manager* and recommends the inclusion of the chair of governors or a nominated governor to fulfill the role. This does not exclude the other headteacher but promotes the use of two appraisers for headteacher appraisal.

However, in suggesting the use of the chair of governors as *line manager*, the underlying assumption must be that this person has the appropriate skills and understanding of the principal's complex job to carry out an effective appraisal. The same assumption is made in New Zealand where board chairpersons are nominated as *line managers* to carry out the appraisal of the principal when, in fact, they may lack the skills and experience to do so. This problem is further compounded when teaching principals are appraised on both management and teaching components of their jobs.

The third point raised by Bollington *et al.* (1990) supports the idea of appraisal used to develop the principal professionally. However, the issue of why principals are appraised is contentious and no **one** answer comes through in the review of literature. The thrust toward corporate management structures in English and New Zealand schools indicates a move to whole school review during principal appraisal. As *chief executive* the principal is accountable for educational, fiscal and social domains of the school and responsible to the community for the delivery of effective 'outputs'.

The role of the primary principal is first compared to the role of a senior public servant, mainly in terms of responsibility for implementing government policy, and managing state funds and assets. It is also seen as comparable with the role of the manager of a private business. Stress is laid on the principal's status as an employee of the board (representing "stakeholders" in the school), profit compared to roll numbers, and staying in business compared to keeping the school viable, as comparable "bottom line" drivers (Wylie, 1997:8).

2.4. THE PERFORMANCE APPRAISAL PROCESS

A study of the literature in both England and New Zealand identifies similar processes in the appraisal of principals in England and New Zealand. These processes will be explored with a view to pinpointing strengths and weaknesses of both systems and making recommendations which may improve principal appraisal in New Zealand.

In May 1997, Performance Management Systems 3 -Appraisal of the Principal, published by the MOE, outlines the processes necessary for compliance with mandatory requirements. These include; documented performance expectations, development objectives, observation of teaching principals, self-appraisal by the principal, discussion of achievement and the appraisal report.

Self Review

A common element in teacher and principal appraisal, in both England and New Zealand, is that of self-review. In both countries the importance of self-review is strongly emphasised.

One of the most potentially productive components of an appraisal process is self-appraisal: the opportunity for a principal to evaluate his or her own performance in a reflective way (Cardno,1993:56).

The value of self review as a necessary step in an appraisal process is succinctly defined by Gane & Morgan (1992):

Experience has shown that people are much more likely to take advantage of opportunities to increase their skills and knowledge, and

to improve their competence when they are encouraged to identify and acknowledge their personal strengths and weaknesses as the result of self - reflection.

Being told what to do is far less effective than working out in one's own mind what needs to be done. True motivation stems from self-awareness and self-perception (Gane & Morgan, 1992:90).

While recognising the benefits of self-review, Hattersley (1992) points out some of the difficulties that may arise if self-review is not conducted within a staff development model.

After all, which headteachers are going to write a detailed and honest critique of their own managerial performance when they know that it could be used in evidence against them in any judgmental procedures? (Hattersley, 1992:44).

This concern is reflected in PMS3 in New Zealand:

Self-appraisal is a highly personal and private activity, and its worth is questionable if it is to be recorded in the form of a report that will be shared with others (M.O.E., 1997:9).

Poster & Poster (1993) consider that self-review is perhaps **more** important for head teachers than for teachers since the managerial goals are often long term and achievement may be less easy to evaluate:

Head teachers, occupied as they are with the introduction of major innovations alongside dealing with day-to-day crises, can easily lose sight of their successes (Poster & Poster, 1993:168).

Janet Thompson (1992) describes her experience as an appraisee in the national pilot study and evaluates its impact:

Self-appraisal is a key element of the process, and successful outcomes are dependent on it (Thompson cited in Hattersley, 1992:84).

What Should Be Appraised ?

One of the most problematic aspects of principal appraisal is the distinction between appraisal of the school and appraisal of the principal. Trethowan (1991) states categorically that:

Headteacher appraisal is appraisal of the performance of the headteacher. It is not to be confused with the performance of the school, which is examined in a school review (Trethowan, 1991:163).

Hattersley (1992) notes the lack of clarity in separating the two issues in the pilot studies on appraisal in England:

The extent to which the appraisal of the head as an individual, and the review of the institution for which the head is responsible, can or should be separate, though complementary, activities is a question which the evaluation study suggests was not thoroughly addressed in the pilot schemes and remained a source of concern (Hattersley, 1992:5).

Poster & Poster (1993) point out, however, that the two reviews are inextricably linked:

In one respect the role of head teachers is unique: however much they may share or devolve responsibility, each is a member of staff wholly accountable to the governing body for what goes on in the school. Their appraisal must therefore look inward, to the success of leadership of the

school, and outward to the success of relations with governors, LEA's, parents, pupils and the wider public and to the implementation of local and national policy (Poster & Poster, 1993:175).

Although England has had the advantage of pilot studies to work through some of these issues, there appears to be some confusion over the question of **what should be appraised** in principal appraisal. New Zealand boards, without the experience of pilot studies, have been directed to appraise principals with little support from the Ministry of Education, until the draft document on appraisal was published in 1996. The document, *Draft National Guidelines For Performance Management In Schools* (Ministry of Education) contains a list of suggestions for evaluating the performance of principals. These include:

Professional Leadership and Direction in Relation to:

- school-wide values, mission, goals, objectives;
- teaching strategies, curriculum delivery, classroom management, motivation of students; and
- relationships between staff and parents and between staff members.

Motivating Staff:

- providing regular feedback and encouragement;
- addressing performance issues promptly;
- providing assistance and support to bring about improvements in performance;
- being accessible and receptive to requests for assistance; and
- monitoring classroom performance.

Relationship Management:

- with parents; and
- with the wider community.

Administrative Functions:

- budgeting;
- resource management; and
- meeting the school's reporting requirements.

Contribution And Support To The Board Of Trustees:

- provision of information and advice (M.O.E., 1996:Ch. 11).

This covers a wide range of responsibilities which focus on school-wide review issues. Stewart & Prebble (1993) support the idea that principal appraisal is like a school review but, they suggest, this is because schools that have a collaborative system of leadership have a management team who share decision making, planning and evaluation. "Clearly leaders make a difference, but their work should be seen as an integral part of the activities of the whole group" (Stewart & Prebble, 1993:199). Stewart & Prebble suggest that the principal appraisal process is seen as an opportunity for the school community to review the direction of the school in general, and the effectiveness of the school leadership in particular:

In a school which is committed to establishing a collaborative learning community it makes little sense to focus exclusively on the role and activities of the principal when assessing the effectiveness of the school's leadership. That effectiveness can only finally be determined by looking at the key goals and objectives that are being pursued by the school leadership, and determining how well they are being achieved. A principal appraisal therefore becomes the opportunity for a form of school review (Stewart & Prebble, 1993:202).

An emphasis on key goals and objectives as suggested by Stewart and Prebble (1993:202), is reiterated in PMS3:

For purposes of manageability and quality in the principal appraisal process, it is recommended that in any appraisal period, there be an agreed selection of school-wide responsibilities to be appraised according to their relative importance for school success (M.O.E.,1997:5).

The National Steering Group report from England makes the additional point that:

There is greater benefit to be gained from the examination in depth of a few specific areas, provided that the selection is balanced and that the key aspects of the head's work are not neglected over a long period. We therefore believe that the Circular should recommend arrangements which, in the majority of cases, specify areas of focus at the outset (cited in Hewton & West,1992:30).

Gane & Morgan (1992:97) suggest that at least three specific areas of responsibility should be explored in some depth during the appraisal and Bollington *et al.* (1990) recommend that after the self-appraisal, an initial review meeting be held in which areas of focus are agreed upon for that particular appraisal cycle.

"Evidence suggests that it will be beneficial to focus on a limited number of specific areas, so that the exercise doesn't become superficial" (Bollington *et al.* 1990:70). During the initial meeting agreement is sought about what sort of data appraisers will need to collect and by what methods and from whom this data will be collected.

Data Gathering

At the initial meeting between appraiser/s and the principal, agreement will have been reached on the nature of the information to be collected and the methods employed to gather it. In England, because one or both appraisers might be

unfamiliar with the school and head teacher, a great deal of information would have to be obtained. The pilot studies in England indicated problems that arose when information, sought from others inside and outside the school, posed problems of divided loyalties. This showed a need for clear guidance on procedures and ethics when collecting data for principal appraisal. Though the specific data collected will depend upon the agreed areas of focus, a number of likely sources are suggested by Bollington *et al.* (1990):

1. Published data relating to policies, work and achievements of the school.
2. LEA officers (including inspectors and advisers) who are able to provide insights into the particular areas of head teacher performance under review.
3. Governors, parents and other non-staff members of the school community, where the views of such groups/individuals are relevant to the area/s under review.
4. Members of the teaching staff within the school.
5. Task observation of the head teacher at work, including, where teaching has been identified as a major focus, classroom observation. (Bollington *et al.* 1990:71).

Stewart (1991) comments on the principle of gathering data from members of the teaching staff within the school:

Although it is quite common for staff to be polled on their perceptions of the principal's work, it is not so clear what implications would be contained in a more formal appraisal of principals' roles by a current staff member or members. As in any profession which relies to a large extent on trust and personal relationships in order for the institution to

function effectively, there would be a danger that relationships could be irreparably damaged through this process (Stewart, 1991:125).

Poster & Poster (1991) also look at aspects of task observation for collecting information in appraisal of principals. One possible way of observing the complex job of principalship, they suggest, is *shadowing*. This technique entails a peer appraiser or the adviser accompanying the principal for a full day, or, better still, several half days, recording - with agreement - activities and their outcomes and at the end of the time sharing impressions. Another strategy suggested by Poster & Poster (1991) is for the principal to nominate a particular activity to be observed over a number of occasions.

Gane & Morgan (1992) agree that there are many sources of information regarding the performance of a principal and these could include information which exists on paper; information gathered by talking to people other than the appraisee; observations of the principal at work. In New Zealand, the principal's *Performance Agreement* has formed the basis of principal appraisal. Stewart (1991) points out that *Performance Agreements* and their associated 'indicators' do not really capture the essential concepts of the principal's job and are not readily observable. Stewart suggests instead the idea of following (called 'shadowing' by Poster & Poster) the principal about the school and the community in order to see how she/he goes about the job. By 1993 this approach has been superseded by Stewart & Prebble (in *The Reflective Principal*, 1993:199-204) to involve a whole school review using data collected from parents and students.

Valentine (1987) identifies a broad range of sources that can be collected to evaluate principals. He suggests: attendance and test records, committee reports, newsletters, clippings, and time logs. He urges supervisors to shadow principals,

and to take extensive notes on their actions and conversations. Valentine suggests that:

Data from these notes can then be transferred to the principal's evaluation form. Surveys of teachers, support staff, students, and parents can provide quantifiable evidence for key aspects of the principal's job (Valentine, 1987:76).

Bollington *et al.* (1990) caution that information gathered should concentrate *only* on identified areas and that seeking information from the community should not be an invitation to groups or individuals to funnel their comments or complaints about the head teacher to the appraiser in the expectation that the appraiser will somehow introduce these into the agenda. Poster & Poster (1991) also state serious reservations about seeking information from parents. These reservations include the amount of time such interviews would take, the lack of understanding by lay interviewees of the real nature of a principal's job, and the contravention of the principle of open behaviour which they advocate as being essential in any appraisal process; the latter being abused when interviews are conducted without the presence of the principal.

Gane & Morgan (1992) also caution against the use of collecting information from a variety of people and reiterate the need only to employ appraisers who have the social skills and ability to foster absolute trust and to handle people with tact and diplomacy:

No part of the process is more demanding and problematic than the collection and sifting of other people's opinions (Gane & Morgan, 1992:104).

Problems Associated With Using Lay People As Principal Appraisers

Fidler & Cooper (1992) look at the problems involved in the discretionary powers of governors in relation to the pay of head teachers and the appraisal process:

The source of the difficulties lies in the different understandings and experiences of appraisal which exist within such a group of people. Where governors have experience of appraisal it may well be of a crude accountability model rather than one which has professional development as its purpose (Fidler & Cooper, 1992:141).

Poster & Poster (1993) warn of the current trend toward 'accountability' and its consequences for schools:

If it is accepted that head teacher's successful management of their schools will be heavily dependent on the achievements, at all levels, of their staff, it would seem to follow that their appraisal ought to focus on **the processes of management rather than quantifiable outcomes**. Accountability is, of course, the vogue word for the new decade; but it may well be that the expenditure of energy and ingenuity in seeking measurements of 'throughputs' and 'outputs' will in long run prove to be counterproductive to sound educational management (Poster & Poster, 1993:175).

Much of the literature on school management, in England and New Zealand, refers to the need to measure effectiveness in terms of 'outputs'. This concept, reflecting business audit requirements, is new to educational practice. 'Outputs' refer to test results or other tangible measures of performance and in England these are published in daily papers as 'League Tables', comparing schools' results. In New Zealand, primary schools had traditionally placed much emphasis on the 'process' of education. The outcomes are, however, not measurable and in line with overseas trends, schools are now being required to produce measurable 'outputs' to assure

the Ministry of Education that schools are effective. Hopkins (1994) supports the idea of the "process" of management being critical to a school's success:

There is general agreement that "process" is the crucial determinant of quality within a school system (Hopkins, 1994:152).

The difficulty for a lay person, acting as principal appraiser, would be how to appraise the "process" of quality management practices and how this can be linked to salary increases given the diverse range of inputs in any school. If an appraiser considered only outputs (for example, test results), the principal of a high decile school would have a distinct advantage.

The concept of linking a principal's salary to school outputs is fraught with difficulties. Stewart (1991) warns of the linkage between appraisal and salary increases:

It has become apparent with the 'range of rates' negotiations between Boards of Trustees and principals in the Primary Service, that in a small number of cases principals were 'appraised' and seen to be wanting, in the sense that they were not awarded the percentage increases that they expected, without knowing in any precise way with what the Board was dissatisfied (Stewart, 1991:127).

The clear message that emerges from much of the literature on appraisal, in commerce and in education, is that appraisal schemes fail where they attempt to fulfill more than one purpose: appraisal can be used to assess performance in order to reward or dismiss; appraisal can be used to support and develop staff and to improve the quality of performance in this way - but it should not be used to do both together. Where any individual becomes aware that information is being collected which might either immediately, or at some time, be used either to reward

or dismiss, then any genuine attempt to come to grips with real problems, or to try innovative strategies in education, may be rejected in favour of self-defense and playing safe.

Training for Appraisers

In 1991 Stewart wrote:

Appraisal, as envisaged for New Zealand principals is a major innovation and will, I believe, only be successful if all parties to the process have trust in each other and have opportunities for extensive and high quality training (Stewart, 1991: 128).

Bollington *et al.* (1990) endorse this by stating that those involved in the appraisal of head teachers will need:

- credibility - with those to be appraised and with the wider educational community
- consistency in approach and judgment
- competence to offer advice and support
- capability to ensure that appraisal follow-up takes place (Bollington *et al.* 1990:76).

Hattersley (1992), Trethowan (1991), and Fidler (1992) are amongst those who stress the need for training of appraisers for principal appraisal. Bradley *et al.* (1989) are more emphatic:

Training is vital. The evidence so far suggests that simply deploying those heads who are acknowledged as good practitioners will not suffice-training and a thorough understanding of the process are important (Bradley *et al.*, 1989:41).

Champion (1992), writing about Cumbria's pilot study of head teacher appraisal, looks at the dilemmas that arose. These included the selection of appraisers in relation to their length of service, training for appraisal, time away from their home school, and the cost of their travel and time - by whom was this to be paid? Hackett (1992), reviewing Salford's pilot study of head teacher appraisal, reports:

The biggest single factor in success is 'quality' appraisers. They must be experienced and professionally credible- inspire trust and confidence -have good interpersonal skills and technical skills in processing information as well as negotiating and reporting outcomes (Hackett, 1992:147).

It is, therefore, desirable that trained appraisers who are professionally credible, are used to conduct principal appraisals. The process is then more likely to be successful and worthwhile.

SUMMARY

In New Zealand the process for principal appraisal follows similar procedures to models proposed in English literature:

- self-review, by the headteacher;
- initial review discussion - to agree areas of focus and procedures for data collection;
- data gathering by appraisers;
- appraisal interview, covering both recent performance and future targets;
- preparation of an agreed statement;
- follow-up/review meeting(s) (Bollington *et al.* 1990:76).

The process suggested by the School Trustees Association in New Zealand (Appendix A) is sequential and based upon the principal's performance agreement (S.T.A., 1991). This model for principal appraisal is based solely on an interview looking at the principal's performance agreement and is linked to salary increases. It does not refer to sources of data collection other than the use of the performance agreement and there is no mention of self-review. Since that time the importance of self-review has become evident and is now included in the document *Performance Management in Schools* (M.O.E., 1997).

A common element in the literature is the expanding role of the principal and the link between review of the school and principal appraisal. The difficulties with this approach have been explored in the discussion of 'outputs' versus the 'process' of management. To be a credible appraiser, training in the role is essential.

2.5. Conclusion

The review of literature has explored many similarities between principal appraisal in England and New Zealand while looking at the differences between the two systems. In both countries there is concern about appraisers who may lack training and /or expertise to carry principal appraisal through. The changing official role of the principal, from educational leader to corporate manager, has implications for the nature of appraisal. As 'chief executives', principals are not only responsible for all things educational but also financial management, personnel management, resource management and school improvement. Principal appraisers need to have wide-ranging skills and knowledge to carry out an appraisal of such a diverse job. The problem of finding a 'line manager' with such qualities remains a concern for the appraisal of principals. Linking salary to appraisal has the potential to cause conflict unless the principal respects and trusts a credible appraiser.

New Zealand literature on principal appraisal differentiates between appraisal for accountability (summative appraisal) and appraisal for professional development (formative appraisal). Given the demanding nature of principals' roles in New Zealand schools today this will present a challenge to boards of trustees who are obliged to appraise all aspects of the job.

With the introduction of *Performance Management Guidelines* (M.O.E, February, 1997), appraisal in New Zealand schools has become more prescriptive but still does not answer critical issues such as; credibility of principal appraisers; training for the role; summative or formative purposes of principal appraisal and the difficulties of appraising teaching principals.

The purpose of this research is to find out what makes principal appraisal successful in the five school surveyed, and how those schools have dealt with the critical issues as outlined in the review of literature.

CHAPTER THREE

RESEARCH DESIGN

3.1. Background To The Use of a Case Study Approach

New Zealand has followed England with the introduction of principal appraisal but without the trial studies to detect areas of possible tension, difficulty or conflict.

The objective of this study was to describe the successful process of **Primary Principal Appraisal** and the factors which contributed to that success, at the same time discussing areas of possible tension or difficulty. It was the researcher's intention to explore issues that have arisen in the literature, such as; credibility of the appraiser; use of a peer appraiser; whole school review being linked to principal appraisal; and to link these to the processes which have been used in the five schools in this study.

The methodology most appropriate for this research was found in the qualitative approach, case study, using observation and interviews.

Case Study draws on the techniques of observational studies, and aims to give a portrayal of a specific situation in such a way as to illuminate some more general principle. The major concern with Case Studies is how things happen and why.

Yin (1981) suggests that a case study is an inquiry that:

- a) investigates a contemporary phenomenon within its real life context when
- b) the boundaries between phenomena and context are not clearly evident and in which
- c) multiple sources of evidence are used (cited in Anderson, 1994:158).

Case study has been described as 'an umbrella term for a family of research methods having in common the decision to focus on inquiry around an instance' (Adelman *et al.*, 1977). The important difference between historical research and case study is that the 'instance' which is the focus of the inquiry is set in the present, not in the past. Anderson (1994:158) states that, "...case study deals with contemporary events". Case study research incorporates a wide range of methodologies including questionnaires, surveys, observations, interviews, tape recordings and possibly video taping. Traditional research methods were dominated by the language and logic of positivist empiricism. This was a detached inquiry method focused on ordering, structuring and quantifying information data. Emphasis on *accuracy*, *hard data*, and *quantification* in positivist research provides knowledge that effectively reinforces the theoretical perspectives operating in any given situation. However, some of the criticisms of positivistic research centre around the inflexibility of methods used, of tests being too insensitive to measure specific changes, and of changes not being measured, resulting in outcomes which are restricted by experimental limitations.

The limitations of traditional methods of educational research, such as scientific methodology, are relevant to the study of the vast changes that have come about in schools today. Education is about human interactions and the development of the unique potential of each individual (Carr & Kemmis, 1991). Weber and Wittgenstein rejected positivists quantitative methods in favour of qualitative research methods because "they believe the empiricist has too narrow a view of the concepts of objectivity and evidence and therefore fails to investigate what is distinctly human in our publicly shared world" (cited in Soltis, 1984:7).

The interpretive or phenomenological approach is used by researchers as an alternative to traditional scientific methods to try to get to the meaning of human

activity. Such alternative research methods were developed to look at the *processes* of education rather than the *products* as in the past:

Education is a process and there is a need for research methods which themselves are process-oriented, flexible and adaptable to changes in circumstances and an evolving context. For such situations, the case study method is often appropriate (Anderson,1994:157).

Case study, a form of interpretive research, attempts to describe, explain and discover more about the empirical world than was known before. “In general case studies, as in qualitative research, the emphasis is on understanding, and no value stance is assumed” (Anderson,1994:157).

However, critical theorists reject the idea of value-free research into human, social, political and educational phenomena, and see interpretive research, including case study, as reproducing the status quo (Carr & Kemmis,1991). Critical social scientists are concerned with the ‘emancipatory’ interest in freedom and autonomy. Critical theory researchers look for power relationships and seek emancipatory change, leading to action or, more properly, praxis (thoughtful action). This approach, reflecting the concerns of theorists such as Jurgen Habermas, seeks to free our educational practices and systems from the ideologies of the past.. Because case study is field-based and uses techniques such as observation and interview, it can look for meanings and so provide qualitative analysis. At the same time it can encompass the positivist paradigm, by using questionnaires, surveys, etc. to give quantitative data, although it challenges the emphases and interpretations of this data given by positivists.

In response to the traditionalists’ accusation that case study lacks rigour, incorporates no statistical tests and does not readily permit generalisation, Bassey (1981) responds thus:

If case studies are carried out systematically and critically, if they are aimed at the improvement of education, if they are relatable, and if by publication of the findings they extend the boundaries of existing knowledge, then they are valid forms of educational research (cited in Bell, 1993:9).

Case study research methods are suited to educational organisations as each has its common and its unique features. The case study researcher is concerned with acquiring a vantage-point from which events can be reconstructed and interpreted. A successful case study will illustrate relationships, micropolitical issues and patterns of influences in a particular context. Case study has been used successfully to conduct research into educational institutions and has these characteristics in its favour:

- realism and a naturalness of language used which makes for easy reading
- the possibility of generalisations
- concern with context
- outcomes which relate more directly to practice than other research approaches
- results that are more accessible to non-researchers (Adelman *et al.*, 1977).

For these reasons this research employed a case study approach in which the effectiveness of primary principal appraisal was studied in depth over a limited time scale. Education is about human interactions and the research questions in this study required responses about those interactions. The characteristics of case study, as described by Adelman *et al.* outline the conditions most likely to elicit those responses.

3.2. METHODOLOGY

Planning the research

Dixon *et al.* (1991,107) state that:

The aim of case study is description. What is going on here?

To ascertain what is *going on* in Grade 4 & 5 schools principal appraisal programmes, the researcher spent time interviewing principals, the chairpeople of the schools' boards of trustees and other key people.

Mercer (1990) notes that:

The interviews themselves will provide the discourse or conversations which are then analysed to explain actions, 'interpretive practices', attitudes or beliefs (cited in Walford,1991:38).

Evidence in this study was collected systematically and the study methodically planned (Bell,1993:8). Reid *et al.* (1995) cite triangulation of information as critical and Patton (1980) suggests that using more than one individual as a source of data is to "study and understand when and why there are differences" (cited in Mathison, 1988). For this reason, both appraiser and appraisee are interviewed here.

The importance of interview techniques is stressed by many researchers, Delamont (1992), Anderson (1990), Gane & Morgan (1992), Fletcher (1993) and Reid *et al.* (1995). Data gathered from relaxed participants in familiar and comfortable contexts are more likely to improve dependability (Reid *et al.*,1995).

Ethical consideration of participants ensures protection of their privacy and confidentiality. Informed consent was sought and non-deceptive practices used (Soltis,1990). All participants were treated equally with sensitivity to cultural preferences.

As Anderson (1990) notes, “case study methodology tends to be a method of immersion” (Anderson,1990:161). The researcher was involved in collecting virtually all the data and in interpreting and analysing the issues as the data collection unfolded. To this end, the researcher spent as much time as necessary with principals, board chairpersons and other key personnel to collect information, tape interviews, and discuss findings with the participants. To maintain credibility the researcher engaged in ‘prolonged engagement’ (Lincoln & Guba,1985) in order to learn the scope of the culture, test for misinformation and to build trust. The on-site discussion of information gathered enabled the researcher to clarify points raised during the interview.

Anderson (1990) confirms that:

In case study research, the analysis phase takes place as the data are being collected. The opportunity to test them in the field is an advantage of this methodology (Anderson, 1990:162).

Type of Interview

The type of interview used in this research is called an **elite** interview, used to probe the views of a small number of elite individuals. An elite interview is one directed at a respondent who has particular experience or knowledge about the subject being discussed (Anderson,1990:223). In this case study the respondents were all experienced principals for whom the researcher has much respect.

Anderson (1990) suggests that in elite interviews the interviewer should be expert in the subject under discussion. While the researcher cannot claim 'expert' status, much overseas research into appraisal, reading and university studies in the subject area, have given a sound background into principal appraisal. While questionnaires were used to gain background information, the elite type of interview gathered more personal and conceptual perspectives. Paraphrasing what the interviewee said and taping the interview provided ways of clarifying the intended message (Anderson,1990:230).

By checking continuously with participants, in informal and formal ways, the researcher was able to determine the accuracy of the data, interpretations, and conclusions from them. Lincoln & Guba (1985) suggest summarising the interview for the person who provided it and ask for his or her reaction (Reid *et al.*, 1995). This is another way the researcher sought to establish internal validity.

The intention of this study was to select five Grade 4 or Grade 5 schools and to investigate their principal appraisal programme to determine what factors make them effective. The interviews were conducted at times convenient to the Principal and Board chairperson. As a busy principal herself, the researcher was well aware of the time constraints on principals during school hours and conducted the interviews whenever and wherever suitable to the people concerned.

First Steps

A questionnaire was initially sent to ten Grade 4 & 5 schools to enable the researcher to identify five schools that were satisfied with their principal appraisal programme. These five were then sent another questionnaire (Appendix B) in which the researcher sought factual information concerning the process of Principal

Appraisal. This prepared background information for the interview from which more qualitative information could be sought.

The researcher planned to interview each Principal and their appraiser or appraisers along with other key personnel. The case study was intended to comprise:

- a taped interview with each principal to determine how the programme was implemented, who was involved, factors which made it effective, the effect of the Individual Contracts and the role of the Education Review Office, if any. (Appendix C)
- another interview with each Board chairperson and /or other key personnel.
- collection of related documentation (school policy on Principal Appraisal, programme outline)
- observations of appraisals if at all possible
- follow-up interview with each principal (Appendix D)

As the researcher was in a G 4 position herself, she had her own views about principal appraisal and these could have influenced the interview. However, as Bell (1993) advised; "It is difficult to see how this (i.e. bias) can be avoided completely, but awareness of the problem plus constant self-control can help" (Bell, 1993:95).

In retrospect the subject could not have been discussed without a real understanding of the problems involved in principal appraisal. However, while the researcher held definite views on principal appraisal, these had to be set aside, as far as possible, for this research.

Stenhouse (1988) describes five distinct aspects of research:

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

1. selecting the participants,
2. negotiating access,
3. the fieldwork,
4. the organisation of the records,
5. writing the report (Stenhouse, 1988:50).

1. **Selecting the participants**

From the ten initial questionnaires that were sent out, three respondents indicated that they did not wish to take part in the study. Of these, one felt that their appraisal programme was not successful, one principal was new to the job and had not decided on an appraisal programme, and the other was already involved in another study on principals' training needs.

The selection of five principals, from the possible seven, was made on the criteria of gender, socio/economic area of the school and the desire to include an intermediate school.

Therefore, the research was carried out with:

One Grade 5 intermediate school, decile 5, female principal;

Two Grade 5 primary schools, decile 10 & decile 3, male principals;

Two Grade 4 primary schools, decile 1, female principal & decile 9, male principal.

The decile ranking of the schools in this research ranged from decile 1 - 10.

(Decile rating has been established by the Ministry of Education to determine a school's socio/economic ranking and is based on a random selection of every 12th child on the roll, taken from the most recent census).

These schools were selected because each school had:

- principal appraisal systems in place,
- felt that they were satisfied with their appraisal system,
- represented a range of principals in primary G4 & G5 schools,
- had board chairpersons who were willing to participate in the study,
- had principals who were willing to give of their time and experience to take part in the research.

The initial questionnaires were sent out in March, 1996, with a request for their return by April 30. These were used to determine the principals willing to participate and their assessment of their principal appraisal programme. As Auckland principals meet on a regular basis, the selected participants were known to me as colleagues. This helped to establish credibility and trust.

2. Negotiating access

To negotiate access to selected schools, the researcher telephoned to inform principals of the content of this research study and the need to collect background information. At this time it was established when principals and their chairpersons would be available for interviews

Three interviews were conducted with both principal and board chairperson participating together. The other interviews were conducted separately, principal and chairperson on different occasions. In each case, time constraints were the major criteria of how, when and where interviews took place. Further interviews were conducted with principals alone to explore the purposes of appraisal and suggestions for other principals and appraisers to help in their appraisal systems.

3. The fieldwork

The researcher spent between two and three hours conducting each interview. These took part in schools or, in two cases, in the board chairpersons' house. Times varied, with one interview taking place late in the evening and another during a weekend. The schools were in various parts of Auckland. In all cases the researcher was made to feel welcome and much professional discussion was exchanged on a variety of issues.

4. The organisation of records

(a) Documents

All schools provided some information about their principal appraisal programme (see Appendices), either policies, time frames or performance agreements.

One board chairperson, a personnel manager for a very large company, sent in the company's policy on staff appraisal to show the origin of some of the changes in the school policy on performance appraisal.

Another school provided an early model of principal and board training for appraisal produced by a commercial company. That company had taken the opportunity to provide training when appraisal

was first made mandatory.

(b) Questionnaires

The data from the questionnaires (Appendix B) were entered onto a database using Microsoft Works. Responses to the questions were:

- i simple yes / no answers;
- ii quantitative factual data;
- iii qualitative data requiring personal response, on how the respondent felt.

(c) The Interviews (Appendices C&D)

The interviews were recorded and transcripts made from each recording. The transcripts were sent to the principals concerned for verification. Only one needed further clarification. The questionnaire information and interview transcripts from each school were examined together.

5. Writing of the report

One difficulty with writing this case study was the experience and interpretation the researcher brought to the writing. It was important at all times to remember that objectivity was crucial to the report writing. In this research, triangulation was obtained by using the interviews to substantiate, or elaborate, information given in the questionnaires. The questionnaires were completed by principals but the interviews involved board chairpersons as well as the principals. Interviews included questions from the researcher to confirm results already identified in the questionnaire. Further information which validated the questionnaire and interview results came by way of schools' written policies on appraisal.

The qualitative data was analysed with the initial research questions in mind and sorting responses from principal and board chairperson to get both perspectives on specific issues. Other issues emerged during the interviews. Issues such as self-review; the possible difficulties of using summative and formative purposes for appraisal; implications for improvement of a principal and school as a result of appraisal; and the interpretation of effectiveness. These issues were analysed and comparisons with the literature on such topics, were made.

CHAPTER FOUR

CASE STUDIES

To provide a contextual setting for each school, the researcher has used her impressions of the school and its environs along with data provided. Principal appraisal is reviewed, including details of how it was introduced and is being implemented. The effectiveness of each programme and what makes it effective is discussed. Quantitative results from questionnaires are supplemented by relevant comments given at the interviews.

Quotations used are taken from the transcripts of the interviews or from written comments on the questionnaires. Codes for these quotes are in Appendix E.

4.1. Case Study One - Balimore School

From the outset a visitor would feel welcomed into this city school. A well-established intermediate school set in a moderately affluent area, the buildings are newly painted in warm colours and children from many different ethnic backgrounds play boisterously together in the courtyard or in the large grounds. The current school roll is 272 children. This relatively small number enables staff to get to know the children well. A caring atmosphere pervades the school with children addressing staff by their first names. This 'special atmosphere' is acknowledged by the Board Chairperson:

The Principal and her staff have built on the very special atmosphere of the school an environment in which every child is an individual and encouraged to achieve their best (AIB.96:07).

However, like most Auckland schools, this intermediate school is growing. In 1996 the school was in the process of becoming a full primary. New classrooms, refurbished rooms, a larger library and computer networking linking the whole school, are all signs of recent expansion. Each classroom has at least two computers and a colour printer, reinforcing the school's commitment to having children access, utilise and interpret information efficiently and independently. Despite changes in the physical setting of the school, staffing remains relatively stable. The Principal has been at the school for six years and the Senior Staff for longer than this. The Board Chairperson has been at the school for five years, lives close to the school and, according to the Principal, has "a deep, broad understanding of the school" (AIB.96:04).

Introduction of Principal Appraisal

Principal appraisal was introduced into this school in 1993. Two independent consultants helped the school to formulate an appraisal policy. Although the Board Chairperson is responsible for carrying out the Principal's appraisal, all staff are involved indirectly. The Board Chairperson meets with syndicate leaders and gives them a set of questions to be answered. The syndicate leaders meet with their teachers and information is gathered and reported back to the Chairperson. As he is frequently in the school the Chairperson often talks with staff and has built a good rapport with them. This may make the gathering of information for the Principal's appraisal less formal.

This school considers their Principal Appraisal programme to be 'successful' (AQP.96:03). This is in spite of the fact that the Chairperson has had no training in

appraisal but has much experience in business management. While the Principal is comfortable with the present Chairperson conducting her appraisal, the Chairperson has some reservations about the Board's role in principal appraisal:

I have a philosophical problem with lay people appraising principals. I understand the process because I see it in commerce but it can be fraught and often is in commerce because of different agendas. Theoretically Boards should manage this but I feel that *Tomorrow's Schools* goes too far, giving lay people too much responsibility. It may outstrip people's abilities, individuals' objectiveness, with a person's background and personal agendas coming through (AIB.97:02).

Not surprisingly, the Chairperson does not rate the Principal appraisal process as being particularly effective:

I don't rate it highly at all. We're doing it because it's mandatory - daily contact is far more important (AIB. 97:02).

Purpose of Appraisal

From the Principal's point of view it is imperative that the staff see her being appraised for accountability:

It's good for the staff to see - if it's good enough for the Principal to appraise them, then it's good enough for them to appraise me (AIP.96:04).

Over time the Principal and the Board Chairperson have refined the purpose of Principal appraisal in their school. In the first years all aspects of the job were covered in the appraisal but now they have narrowed it down to focus on a specific area of the Performance Agreement, for instance, reporting to parents.

The Principal feels that the emphasis in her appraisal is on the accountability aspect demonstrated by efficient management. She believes that from this comes school

improvement and improved pupil learning. Her personal professional development is discussed with the Chair as he is aware of the importance of professional development. However, this is not part of the appraisal process and arises from day-by-day discussions.

Data Gathering

Principal appraisal in Balimore is based on the Performance Agreement (there is no job description) which has been in place since the Principal was appointed. At the outset of the appraisal cycle the Chairperson arranges a time to have a formal discussion with syndicate leaders. During this time they review specific aspects of the Principal's performance which relate to key tasks in her Performance Agreement. The last review took the form of a questionnaire composed by the Chairperson and distributed to the syndicate leaders. The questionnaire, with a 1-5 rating scale, seeks responses to specific key task areas. The syndicate leaders then meet with their team gathering information in written form. This is given to the Chairperson who collates it. In this way all staff have anonymous input into the Principal's appraisal.

After the formal process of appraisal the Board Chairperson and the Principal discuss feedback from the staff. Finally, a written report which draws from all sources of information, ensues from this meeting

Outcomes of the Appraisal

When asked about the 'effectiveness' of her appraisal, the Principal replied:

It's effective because every staff member has an opportunity to have a say. I'm confident in the job that I do - I work effectively and would do so if I was appraised or not (AIP. 97:02).

The Principal feels “perfectly comfortable with our appraisal process” (AIP.96:04) and doesn’t see any need to change anything. However, she emphasises that she has complete confidence in the Board Chairperson as her appraiser:

He is an astute, highly intelligent person and I have great respect for him.
(AIP.96:04).

This respect comes through frequently in the interviews with the Principal and for her the concept of ‘line management’ does not present a problem. She did, however, express concern for schools who may have a board chairperson with an axe to grind or who do not have the excellent relationship she has with her Chairperson. The Board Chairperson of Balimore is careful to avoid being involved with ‘educational things’ but from his management perspective does profess to have an understanding of the Principal’s management responsibilities.

Confidentiality

The Chairperson’s written report that issues from the appraisal is confidential to the Principal and Chairperson and this confidentiality is maintained by having the report filed away from the main filing system.

4.2. Case Study Two - Parklane School

Parklane School is set in a state housing area with market gardens, glasshouses and factories not far away. The school roll reflects the community's population with Maori, Samoan, Tongan, Cook Island, Nuiean, Fijian, Tokelauan, European children and several children of Asian and Indian families. The largest ethnic group is Maori (30 percent), with Samoan next (27 percent). Another large group is Tongan (16 percent) with other Pacific Island and Asian groups making up 95 percent of the roll. The remaining 5 percent are European. This community registers 47 percent of families at the lower end of the socio-economic ladder (Categories 5 & 6 on the Elley-Irving Index = decile 1b) and 47 percent are on sickness, unemployment or solo parent beneficiaries. Fitting the multi-cultural make-up of the school, the motto reads:

Rarangatia nga rito akoranga
Weave together the threads of learning

The kowhai tree branch on the school's emblem reflects the school's pride in its environment and several kowhais grow in the grounds.

Parklane was one of the first Open Plan design schools built in Auckland in 1974. Over time partitions have been put up to divide the barn-like areas making a more 'variable' space style. The current roll of the school is 327 and growing.

The Principal, a quietly spoken woman with a gracious manner, has had a wealth of experience in multi-cultural schools and has been leading this school for seven years. She is realistic about the social problems that children bring to school and has been instrumental in organising a local truancy team to try to ensure childrens' regular attendance at school.

Members of the Board of Trustees reflect the ethnic population of the school and the Board Chairperson has been on the Board since its inception in 1989.

Introduction of Principal Appraisal

Parklane's Principal Appraisal policy and programme were formulated in 1992 by the Principal and the Board Chairperson. The Chairperson was designated Principal appraiser. To learn more about his responsibilities, he and the Principal attended a course run by a private company (Metanoics) on appraisal of principals. The one day course covered the new mandatory requirements of principal appraisal, ethical considerations and suggestions for policy and programme writing. Samples of job descriptions, performance agreements, appraisal forms and policy statements were included in the information given out that day. This formed the basis for the Principal's appraisal policy and programme.

Purpose of Appraisal

The Board Chairperson has been on the board since 1989 and has developed some understanding of the management components of the Principal's job. This has been reinforced by regular visits to the school during the daytime. He was quite relaxed about his role in the Principal's appraisal:

Doesn't worry me - it's a way of keeping track of the Principal by a chairperson or committee (BIB. 96:06).

Both the Principal and Chairperson are 'relaxed and comfortable' (BIB.96:06) with the process which is based on the Principal's Performance Agreement and Job Description. The Principal sees appraisal as necessary to maintain credibility with staff:

The principal needs to be accountable to somebody, especially as staff are expected to be appraised. There should be some way to measure principal performance (BIP.96:06).

Data Gathering

The relaxed approach of the Principal and Chairperson towards appraisal is reflected in the manner in which it is conducted. It takes the form of a discussion between them of about an hour and a half. In this time they cover the accountability aspect of the Principal's job with reference to the key documents - the Performance Agreement and the Job Description. Data is not sought from any other source. Owing to changed employment circumstances, the Board Chairperson was unavailable for the 1996 appraisal of the Principal.

Outcomes of Appraisal

On more than one occasion the Principal made reference to the lack of opportunity for discussion about her own personal professional development:

For professional growth I'm not getting much feedback from the appraiser and no suggestions for making things easier, better or different. Another principal or outside consultant may give directions that could be helpful (BIP.97:04).

The Chairperson confirms that professional development is not discussed:

Professional development is not discussed at the appraisal interview. This comes from the Principal and is discussed with me during the year, sometimes incidentally - conferences, etcetera. The Board pays (BIB.96.06).

Confidentiality

At Parklane School the Principal's appraisal is verbal with nothing written down. The issue of confidentiality of files, therefore, does not arise. The Board has a verbal report from the Chairperson that the appraisal has been done and everything is going well. At the outset of this research this school considered their Principal appraisal to be *quite successful*.

4.3. Case Study Three - Concorde School

At the time of first writing, this report refers to the Chairperson with whom the researcher had long discussions on the subject of Principal appraisal. At the time of the second interview, eleven months later, the Chairperson had changed. For the purposes of this research, reference will be made mainly to the first Chairperson but, where pertinent, comments on present conditions will be made.

Concorde is a long established forty year old school set in well kept grounds overlooking the sea in southeast Auckland. At the time of establishment the school roll was 217 pupils. Now, as in most Auckland schools, the roll is expanding rapidly and is limited by an enrolment scheme to 700 pupils. Pupils are drawn from the surrounding country areas and the school is serviced by five school buses.

Additional classrooms, an information centre and other facilities, were being added when the researcher visited the school. The school was occupied by builders, technicians, supervisors and other trade people and, despite their presence, the school day progressed smoothly around them, classes seemingly unperturbed by the noise and interruptions. Children moved quietly and in line from one room to another, led by teachers who appeared not to notice the construction going on. Much of the attitude of tolerance toward such upheaval must stem from the Principal who has a philosophical attitude towards change and is very optimistic about the end result of the building work. This will see 26 classrooms, a hall, an updated administration block, swimming pool, an extensive adventure playground and a new Library / Information Centre to support the school's emphasis on computer and information technology based learning. With all these additional

facilities, this will make Concorde one of the largest contributing schools in New Zealand.

The Principal, Staff and Board are committed to the concept of 'Total Quality Management'. In 1995 the Principal was awarded a travelling Fellowship to study TQM in educational settings worldwide. The school is currently working on ways to implement quality management in administrative and classroom practices led by a principal who is enthusiastic about the concept. Manifestation of TQM is apparent in the school prospectus, information flyer which includes extracts from the Education Review Office report (1995) and the efficient manner in which the Board of Trustees and very large Parent Teacher association (over 40 people) are organised.

Introduction of Principal Appraisal

In Concorde School the Principal appraisal policy was formulated in 1990 with the first board of trustees and the Principal. The programme is carried out each year with the Board Chairperson as appraiser who may liaise as widely as is deemed necessary. Neither the Principal nor the first board had training in appraisal but the Chairperson who was in office when this research began, was the personnel manager of a very large national company and conducted appraisals as part of his job. The school considers its Principal appraisal programme to be '*very successful*' (CQP.96:03) and calculates that it takes 50 hours to conduct.

It is important to note that between the researcher's first interview and the second one, the Board Chairperson had changed. This changed the nature of Principal appraisal in the school as the new Chairperson came with a completely different set of skills and she established that she didn't feel capable of carrying out the appraisal. The Principal and Board discussed the possible options and decided that

the Principal's appraisal should be carried out by a sub-committee of two Board people, the person in charge of Personnel and the Staff Representative.

Purpose of Appraisal

Both the Principal and the Chairperson felt that the accountability aspect of appraisal was paramount. The Principal felt that his appraisal was essential, leading to on-going, continuous improvement of the school, with real feedback for accountability. He did warn though that appraisal could be:

-a whitewash. The very last thing I want is a token appraisal. I want to feel I've been appraised and in the eyes of the staff, they can see I've been appraised. It should lead forward and be part of the continuing development of the school (CIP.96:08).

The Board Chairperson agreed that his views were the same and that:

It is imperative if an organisation is going to improve there should be meaningful feedback to employees with skills and performance areas to improve (CIB.96:08).

Although the new Chairperson is not involved in the mechanics of the Principal's appraisal, the purposes remain the same.

The Principal's appraisal is based upon his Performance Agreement and is an ongoing process. With the Chairperson's involvement in business appraisals, the Principal considered that his current appraisal process, while built on previous models, had become more thorough and more sharply focused:

Previous appraisal was thorough and honest and supportive of how to better do the job but we are building now on what we had before - this is ongoing and fairer (CIP.96:08).

The Board Chairperson reiterated that, while it still has some way to go, it is giving regular feedback on a range of ideas, identifying management practices and acknowledging what's going well:

What makes it work - being able to provide recent specific examples which underline a particular action. I feel very strongly that Performance Appraisal should be more than just fuzzy words (CIB.96:08).

Data Gathering

Principal appraisal in Concorde is a cyclic process with frequent meetings of the Board Chairperson and the Principal. 'Key result areas' are identified from the Performance Agreement which become the focus for that year's appraisal. The Chairperson explained:

Six areas of the Principal's role are selected for appraisal and these are subdivided into sub-groups with smaller goals - together with action plans and time frames. The whole thrust of this appraisal is that it is measurable, all performance is measurable, and it measures that the Principal is delivering. The Board is there to assist the Principal to achieve those objectives (CIB.96:08).

The Chairperson gathers data for the appraisal by way of questionnaires and by talking with staff and contacts outside the school:

Appraiser will talk with the site manager or staff, etcetera, to get 360 degree gathering of data (CIB.96:08).

1996 was the first year with that Chairperson as appraiser and he mentioned several times that the appraisal system was in a transitional stage and that in the future would be further refined. He spoke of the need to include parents views

when appraising the Principal but also recognised the time-consuming task that it could become. The nature of data gathering was elaborated on:

Management practices will be included in the formal November appraisal as they are as important as key areas. A person may score very highly in 'key result areas' but the manner in which they go about it may be destructive to personnel, effective outcomes yet still may leave a trail of devastation in their wake. It comes down to people skills, a need to put two together to get a 'global' picture, both performance and the way it is carried out and outcomes (CIB.96:08).

Outcomes of the Appraisal

In 1996 the Principal felt that the emphasis of his appraisal was on his role as an effective leader and that this year, 1997, the emphasis was more on his role as an efficient manager of the school. He is convinced that the most important purpose for appraisal is improved pupil learning and from that, school improvement. To this end his accountability is critical:

Effective appraisal to me is one which is valuable to both parties. It must be valuable to the Board, give assurances to the Board. In some areas as 'Good Employer' they may have to put some form of support in place. It must be valuable to me, pointing out areas I'm doing well in and areas to develop (CIP.97:05).

Confidentiality

In Concorde School the information from the Principal's appraisal is written up in draft to be discussed with the appraiser and Principal before becoming a final report. Several copies of this report are shared 'in house' with the Board of Trustees who are bound to confidentiality. The confidentiality of written material is

maintained by mutual respect with only the Chairperson and the Principal retaining copies. All appraisal material is kept in a locked file.

Although the Principal's appraisal costs nothing in dollar terms, it took approximately 50 hours to complete thus costing in terms of time used.

4.4. Case Study Four - Sunset School

Sunset School is set in a moderately affluent suburb of the North Shore of Auckland. It was designed in the early 1960's specifically to function as a Normal School, initially attached to the North Shore Training College and subsequently on the latter's closure, the Auckland College of Education. Being a Normal School means that in addition to providing for and meeting the learning needs of the pupils, it plays a vital role in the pre-service and in-service training of teachers. As a Normal School, this school is required to provide a 'model' of sound, current, effective teaching methods for teacher trainees and lecturers to observe.

Consequently, School Four is well - resourced with computers networked throughout the school, a music room, an enlarged hall and library, and a variety of teaching spaces providing ideal working spaces for training situations. There are 17 classrooms with an Assessment Class (a class for five to seven year old developmentally delayed pupils) and a Satellite Class (attached to a North Shore Special School) on site. Over 70 percent of the pupils are New Zealand European, 9 percent Chinese, and 8.75 percent Maori.

The Principal of Sunset School has been in post for ten years. He is an innovative leader with wide experience in education and is a highly-regarded advocate for teachers and principals. His quiet wisdom is often sought by other principals when issues arise that are contentious or need explanation. As a new principal, I sought his advice on several occasions and he always gave of his time and expertise without hesitation.

Introduction of Principal Appraisal

Principal appraisal was first introduced into Sunset School in 1990 by the Principal himself. Prior to this he had attended courses on the topic resulting in a sound knowledge of principal appraisal. Over the next year or so, he came to realise that

there was a need for other principals to be informed about the topic. Consequently, in 1993, with other members of the Auckland Primary Principals' Association, he organised a two-day course for principals and boards. Keynote speakers were invited to outline the requirements, policy and procedures of principal appraisal. I attended this two day course and discovered that many principals and board members were quite unfamiliar with the mandated requirements.

Initially, in 1990, appraisal of the Principal in Sunset School was left to the Chairperson, but this has changed over time. Although the present Chairperson was not involved in any 'official' training in the area of appraisal, the Principal has had considerable discussion with her and has acquainted her with the requirements of the appraisal process. The evolving nature of Sunset's appraisal process is due to the Principal's interest in, and knowledge of, research into appraisal and his Chairperson's willingness to adapt and learn about innovative change. She commented:

Change can only come from wanting to change and awareness of the need to (DIB.96:07).

Over time the process has developed to the stage where many more people are involved in appraising the Principal. Now, along with the Chairperson, a fellow principal, a variety of staff and parents are consulted. While the Principal selects the other principal, he has no idea of the random selection of staff and parents consulted.

Purpose of Appraisal

In Sunset School principal appraisal is conducted for the purposes of accountability and to meet legal requirements. However, from this comes professional development targets for the Principal and school-wide development for the following year. In 1996 the Board Chairperson and Principal met regularly to review the Performance Agreement with the Chair coming back regularly to ask; “*How’s such and such going?*”. The appraisal was ongoing with weekly feedback from the Chair. The Principal and Chair wrote comments against the Performance Agreement so that by the end of the year much data had been collected.

A lot of principals have difficulty taking advice from people who are not their ‘superiors’ or ‘educational leader’. There’s some naiveté in that - they’ve underestimated the general perception of parents - a lot of merit in getting comment from parents (DIP.96:07).

The Chairperson in Sunset School has an educational background, has an understanding of the Principal’s job and is in the school often. In 1997 five targets from the previous year’s appraisal were set for the Principal. These are reviewed each month by the Principal and Chair. The appraisal is on-going and helpful.

It’s an inspection in a sense but appraisal is a fairer system - it’s helpful and we have to be accountable. My concerns are that it is not always done well enough and that is one of the downsides of self-management (DIP.97:03).

Data Gathering

In 1995, the first year in which the Chairperson took responsibility for the Principal’s appraisal, data were gathered from several parents and three staff members. This was in the form of a questionnaire compiled by the Chairperson. In 1995 another principal was involved in the process of appraising the Principal. This

peer appraiser was selected by Sunset's Principal on the basis of being someone whose judgement was respected and who was known to give an honest response. In 1997 data were gathered from senior staff, scale A teachers from different areas of the school, parents new to the school and parents already established in the school but from different areas of the school.

People involved in this data gathering process are assured anonymity, thus promoting honesty in their contributions. It is a time-consuming process but is seen to be worthwhile:

This year we are appraising various key tasks throughout the year and viewing the appraisal as an on-going process. One could say it's more time-consuming, however, it should be more satisfying and seen as an integral part of the Principal's total performance (DIP.97:03).

At the end of the year the Key Tasks are reviewed. The Chairperson commented:

There could be a temptation to choose something small to get through it quickly but then it would be superficial (DIP.97:03).

This method of data collection is possible because the chairperson is in the school so frequently. Her dedication is acknowledged by the Principal:

This approach makes sense because the Chair is in the school each week. A lot of boards don't get into school as much (DIP.97:03).

Outcomes of the Appraisal

At the beginning of this research Sunset School considered their appraisal process to be 'quite successful' (DQP.96:03) but since then have made changes. In fact,

each year this school has reviewed the appraisal process and made changes to produce a better model. As the Principal remarked:

There is danger in the 'one-off' model, end of year appraisal, tending to let the Job Description and Performance Agreement gather dust. This way you use the documents more frequently, give the job more meaning and this model makes appraisal more effective, meaningful and brings job satisfaction (DIP.97:03).

The Board Chairperson agrees that it is a good idea to trial this process and see how effective it is at the end of the year . Both are prepared to put in time and effort to make it work, to decide together on the Principal's targets for the year and to report these to the Board on a regular basis. The Chair is convinced of the benefits of their appraisal process:

The Principal must be aware of what's happening in the school, that's where appraisal is good. It shows how well the Principal knows what's happening and doing something about it. It shows the effect of the Principal on the school (DIB.96:07).

Confidentiality

The Board of Trustees has access to the appraisal information:

We adopted the view that if the Board was to support the Principal to develop certain identified areas, they needed background information (DIB.96:07).

However, the information goes no further than the Board and matters pertaining to the Principal's appraisal are dealt with in confidence. Appraisal data are filed in the Principal's file and kept for the duration of the Principal's time at that school. All individual records are kept for 7 years as legally required.

4.5. Case Study Five - Murrayfield

I arrived early for an interview with the Principal of Murrayfield. In order to avoid interrupting the pre-school events that take place in any busy school, I waited in my car until the appointment time. During the fifteen or so minutes that I waited, many children were being delivered to school by parents pushing babies in prams and with toddlers in tow. Few children were dropped off by car, most walked through the imposing front gates to this large school.

My first impression of a rapidly growing, young community in this South Auckland school, was confirmed when its history was explored. In 1983 there were 12 teachers at this school and in 1997 there are 25.5 teachers. To control the rapidly expanding roll the school has had an enrolment policy in place since 1990. To cope with the increase in pupil numbers, five classrooms have been put on site in the last five years and a large, new administration block has been recently completed. The school has two Special Classes (for pupils with learning difficulties); two Resource Teachers of Reading; two Speech / Language Therapists are located on site but are employed by Special Education Services.

The Principal of Murrayfield has been at the school since 1983. He has experienced, long-serving staff in senior positions and enthusiastic classroom teachers. Throughout the school there was a sense of quiet orderliness, reflected in the way in which the researcher was greeted at the office, in the way pupils moved around the school, obvious pride in the school with its clean, tidy environment, well-cared for trees and tranquil nature walk. This quietly-spoken Principal sets the tone for his school with enthusiastic concern for school, staff and pupils, deep interest in current educational issues and a capacity for keeping up with rigorous professional study in his own time. As a much experienced and respected principal

his input and advice is sought by Ministry of Education officials. Colleagues look to him for up-to-date, reasoned advice and feedback from discussions in Wellington. He is at the forefront of educational change and can 'see through' the extraneous within the plethora of paper, to get to the important issues that may improve education.

Introduction of Principal Appraisal

When asked about the introduction of Principal appraisal into this school, the Principal responded:

Informally - the day *Tomorrow's Schools* started. Formally in 1993 (EQP.96:3).

Drawing on his background knowledge and experience of teacher appraisal, Murrayfield's Principal introduced the Board Chairperson to the appraisal process. This task was made easier because the Chairperson comes with a background in education. She is an Early Childhood educator, has two children who have been through the school and she has been on the Board since its inception. That experience, she believes, gives her a good understanding of what the Principal's job entails. The Principal, however, has some reservations about how much a lay person can really understand the role of a principal:

The Chairperson has a good understanding of *Tomorrow's Schools*, but generally speaking it is difficult for lay people to understand what is involved in a principal's job (EIP.96:05).

Purpose of Appraisal

The Principal is aware of the mandatory requirement for Principal appraisal but is realistic about the process:

It has pluses and minuses. It has the potential to improve the work of the principal yet also has the potential to be damaging to the work the principal is trying to do. It's probably a necessary evil and we just have to get on and do it (EIP.96:05).

His Chairperson is also pragmatic about the purposes of appraisal:

It's something I've had to learn to do - it's a requirement. At the beginning I felt as if I was in at the deep end but now I'm comfortable with principal appraisal (EIB.96:05).

Having agreed that appraisal was inevitable, this Principal has carefully thought about other purposes for it and decided that:

Firstly it is to meet legal requirements. Secondly, it helps to share the expectations and the vision of the school that I have and the Chairperson has. Thirdly, to review what we've done over the last period under discussion and fourthly, to discuss what we'll go over in the next period of discussion - all those things (EIP.97:04).

Far from just being a requirement, it would appear that for Murrayfield, appraisal has become a vehicle for reflection and future planning.

Data Gathering

The process of appraisal in Murrayfield is informal. It takes the form of a discussion in the Principal's office between the Principal and Board Chairperson

and focuses on the School Development Plan. They spend time looking at items of importance - things that are happening around the school. The Performance Agreement is brought out but is not the basis for appraisal:

The Performance Agreement is on the table and may be referred to (EIB.96:05).

The appraisal discussion may last between one to two hours and is planned to take place twice a year:

We always intend to do it twice a year but this doesn't always happen - but we meet often and talk about what's happening around the school. Informal appraisal is probably more useful (EIP.96:05).

No other people are involved in the Principal's appraisal in Murrayfield.

Outcomes of the Appraisal

In the initial survey this school rated their Principal appraisal process 'quite successful' (EQP.96:03). In later discussion with the Principal, a more comprehensive view of 'successful' was explored:

There are two different issues here. If we're talking about a legal requirement then we put a system into place to meet that requirement and the Chairperson does it. That means that as soon as it is done the requirement is met and the system is successful. If you're actually talking about improving the quality of the principal's work, then you can't necessarily say the system is successful simply because the legal requirements have been met - **these are two different facets of appraisal.** So, our appraisal is successful because we do it and meet legal requirements (EIP.97:04).

The issue of professional development for principals and the way that this may be promoted through appraisal was discussed at length and will be examined in detail later in this analysis.

During appraisal discussions, the Principal received informal feedback from the community, but was not convinced that the process of appraisal was necessary to obtain this:

Talking with the Chairperson is most important - it gives me feedback from the community and if the legal requirement for appraisal was removed I would still meet with the Chair and talk about these issues. We don't need appraisal to improve school outcomes, all we do appraisal for is because it's a legal requirement (EIP.96:05).

Confidentiality

Only the Principal and the Chairperson have access to the appraisal notes and confidentiality is maintained by trust. Mutual trust is evidenced by the following statements:

It works for us because of her (*Chairperson*) background of understanding, high level of trust and mutual respect (EIP.96:05).

I have a large degree of trust in the job he's doing and the decisions he makes. My role is to know enough to trust the management in particular, leaving the Principal to get on with the job in hand. I would expect the Principal to run the school superbly well We have mutual trust (EIB.96:05).

Appraisal records are filed, along with staff appraisal notes, in the Principal's office. They are confidential to the two people concerned and appropriated Government agencies. For example the records were sighted by the Education Review Office in May 1997.

CHAPTER FIVE

ANALYSIS OF RESULTS

Throughout the Case Studies issues concerning the purpose of principal appraisal, how appraisal is carried out, who is responsible, what is appraised and what constitutes success, have been explored. In this chapter these issues will be analysed with a view to reaching some conclusions and making recommendations which may be of practical use to other G4 and G5 principals.

5.1. *Research Question 1*

For what purpose is principal appraisal undertaken in Grade 4 and 5 schools?

Establishing the Purpose for Appraisal

In the review of literature (Hattersley (1992), Gane & Morgan(1992), Blase & Blase (1994), Irons (1993) and Stewart & Prebble (1993)) it was recognised that establishing clearly the purpose of principal appraisal and selecting specific areas of the principal's performance to appraise were critical to success. To ascertain the purpose of principal appraisal these questions were put to principals:

- * *Can you expand on the purpose of your appraisal ?*
- * *Please rank the following according to the emphasis of your appraisal:*
 - a) the accountability aspect {efficient manager}*
 - b) school improvement aspect*
 - c) personal professional development {effective leader}*
 - d) improved pupil learning*

Pinpointing the major emphasis of appraisal was not an easy task as many aspects of a principal's role overlap. Edwards (1991) wrote about the demands made by others on principals' time. "*A substantial amount of a principal's work appeared to involve what may be termed "putting out fires"*" (Edwards,1991:4). Thew's (1989) study of one principal also highlights the multi-faceted role of a principal when he noted the "*fragmented, interrupted nature of the working day, coupled with the high degree of personal interaction recorded*" (Thew,1989:47).

The very complex nature of the job made it hard for principals to identify the major emphasis of their appraisal. Each aspect impacted on the other to some extent.

More recently, in *Performance Management Three (PMS 3), Appraisal of the Principal*, the Ministry of Education claims that:

Principal appraisal is two-fold:

Accountability - Firstly, appraisal assures the accountability of the principal for leading the school and managing the quality of teaching. To achieve this, a board must document its expectations of the principal's performance.

Development Aspects - Secondly, appraisal has the effect of setting development objectives. These relate to school-wide organisational goals and professional development goals personal to the principal
(M.O.E.,1997:1)

It would appear then that both the **summative** and the **formative** aspects of appraisal are to be covered in the recommended format for principal appraisal. In the **summative** aspect, accountability and competency are linked to salary. Boards of Trustees have to attest to a principal's competency for his/her salary to increase on the range of rates. The **formative** aspect of appraisal refers to professional

development as an on-going imperative for all educationalists. However, as the Murrayfield principal observed:

Many people have written about appraisal for professional development and salary increase and insisted that it should be separate. It will be fraught with difficulty - it should be separate, although whether they can be separate is a different issue - how can it be separate if the person doing the appraisal is going to set the salary (EIP,97:04)?

These thoughts reflect the dilemma faced by other professionals about the purpose of appraisal and whether one person can effectively cover the **summative** and the **formative** aspects of appraisal.

Purpose of Principal Appraisal in Five G4 & G5 Schools

Balimore -There is no doubt in the mind of the Principal of Balimore that the main purpose of her appraisal is to show accountability. She feels that this accountability aspect of her job is demonstrated by efficient management which in turn leads to school improvement and improved pupil learning.

The purpose of appraisal for accountability is very important - for my performance and for upholding the tenets of school culture (AIP.97:02).

She also sees the need to set an example to other staff who will later be appraised.

Professional development for the Principal does not arise from her appraisal.

Professional development is not linked to the appraisal process. The Board supports development for all staff - from discussion at monthly meetings. The school development programme is very strong and happens despite the appraisal process. Commercial courses are suggested - the school is proactive in this area (AIB.96:04).

In Balimore, the Principal's appraisal is conducted to determine accountability but not her personal professional development. The two purposes are regarded as separate issues and are dealt with through different processes. In the school's policy on appraisal it states that:

The Principal's appraisal for accountability will be carried out by the Board's Chairperson (Appendix F).

Similarly, **Concorde** uses Principal appraisal to provide feedback for accountability. This accountability aspect of the Principal's job includes the area of management practices, such as finance, personnel and property, leading to on-going, continuous improvement of the school. The four criteria (accountability, school improvement, personal professional development and improved pupil learning) used to determine the major emphasis of appraisal were of equal ranking in Concorde, with all aspects being as important as each other:

Those four criteria are all important. Improved pupil learning is very important and close behind would be accountability. It's hard to rank - more of a circle with each being as important (CIP.97:05).

Professional development is not linked to appraisal in Concorde:

Professional development for the Principal is written into the Performance Agreement and brought up in discussions - or the Principal will just go and do it (CIB.96:08).

Like Balimore, Concorde does not link professional development to the appraisal process. However, the Principal pointed out that if an area of need arose during appraisal discussions, for instance, the need to improve his understanding of the financial running of the school, then it may not necessitate going on a course but may involve bringing an expert in to talk about it. This would be brought up at the

draft stage of the appraisal report for discussion as to whether it needed to be taken further.

Parklane School has similar expectations for Principal appraisal, primarily for determining accountability:

Past appraisals have been a measure of doing what my Performance Agreement says I'm doing - an accountability exercise, because professional development doesn't come into it (BIP.97:04).

Parklane Board Chairperson reiterates that professional development is not included in the appraisal process:

Professional development is what the Principal wants - her Job Description has personal professional development goals which are discussed - it's a form of self-assessment (BIB.96:06).

Parklane's Principal determines her professional development and discusses this at Board meetings. As with Balimore and Concorde, Parklane does not decide upon professional development for the Principal within the appraisal process.

Unlike the previous three schools, **Sunset School** uses the appraisal process to fulfill additional purposes (Appendix G). While accepting the legal responsibility for accountability, principal appraisal is also used to review school-wide development and the Principal's professional development. Specific goals from the 1996 appraisal have been built into the Principal's 1997 Job Description. These goals are reviewed each month throughout the year.

Sunset School's Principal felt that all aspects of the four criteria (Appendix D) were of equal importance and could not be separated. He also suggested that other school-wide benefits would arise following his personal development as proposed during appraisal. In other words, the whole school would benefit from the Principal's professional development. Attached to the Job Description is a list of professional development goals selected by the Principal (Appendix H). This includes:-

- attending selected meetings which offer opportunities for ongoing training, information gathering, sharing.

- membership of a Professional Development Group to explore issues.

Current research is assessed and circulated prior to the meetings. Topics of interest /concern are identified as the year progresses.

- attendance at conferences.

- reading of professional journals, research and school subscriptions.

It is apparent from this list of development goals that the Principal intends to keep himself up-to-date on current issues and readings. This accumulated knowledge is then to be used to further develop the school.

In a similar way to Sunset School, **Murrayfield School** sees the purpose of appraisal as being multifaceted. While acknowledging the need to meet legal requirements, the Principal also affirms that his appraisal allows him and the Chairperson to share their expectations and vision of the school. Together they review progress:

We review what we've done over the last period of discussion and discuss where we'll go over the next period -all those things (EIP,97:04).

When asked to rank the emphasis of his appraisal, the Principal stated that the first three areas would be equal, with *efficient management* fourth. When asked why that would be so, he replied:

It's because of the Chairperson's vision of what schools mean to children and how schools might deliver that -school improvement would be a top priority of hers which involves improved pupil learning (EIP, 97:04).

Professional goals for the Principal arise out of the frequent discussions that take place between the Principal and Chairperson. This is tied in with the school's development plan and overall vision of school improvement.

All five principals referred, in the first instance, to the **legal requirement** as the main purpose for appraising the principal. Four saw **accountability** to the Board and community as being most important while the fifth saw **school improvement** as the major goal. Three of the principals felt that by having their appraisal completed before starting staff appraisals, they set a good example to their staff and maintained **credibility** with them. Although appraisal was considered to be a valuable way of acknowledging what was going well in the school, in all cases this was frequently communicated in more informal dialogue. The importance of regular communication between the Principal and the Board Chairperson was mentioned frequently in all the interviews.

In all cases the **summative** aspect of appraisal was considered to be most important to the principal and board chairpersons. In 1993, Stewart and Prebble (1993:17) predicted that this aspect of appraisal would be paramount:

Government is pressing policy advisers to devise systems to reinforce this accountability (Stewart & Prebble, 1993:17).

None of those interviewed referred to the Individual Employment Contract which links salary to appraisal:

The performance of the Principal as assessed through the annual performance review shall be of prime consideration in determining any increase in salary (IEC, 1995,3:6.2).

Salary link is not an issue in this study because all principals in this study are on the top of the range of rates for their grade of school, regardless of performance. Salary cannot exceed the top of the range or be reduced according to the IEC (Remuneration 6.1, 6.2). Therefore, monetary reward for performance is not possible once a principal has reached the top of the salary scale in a range of rates. Appraisal then becomes a means of confirming competency, accountability to the community and board, establishing future goals and affirming the relationship between the principal and board chairperson.

Principals' Professional Development

While it is important to distinguish between appraisal of the principal and review of the school, there is nevertheless a symbiotic relationship between the two. It would appear to follow then that the professional development of principals could be a determining factor for the longer term growth of the school. Stewart and Prebble (1991:124) suggest that appraisal is the vehicle for determining that professional development. Despite the fact that all the schools in this study considered their appraisal to be successful, only two of them included professional development for the principal as part of the appraisal system. Personal professional development did not arise from appraisal in three of the schools studied. However, these principals did participate in professional development during the year and it was

discussed at board meetings. In the other two schools, principal development came up during appraisal discussions and in one school this was formally recorded for the purposes of setting the following year's goals and budget.

In each school studied, the principal instigated the manner and frequency of their personal professional development and this was always approved by the board.

The National Association of Head Teachers in England emphasises that professional development must be linked to appraisal:

Teacher and headteacher appraisal is about the professional development of the appraisee: whereas the head is accountable to the governing body, this is not best effected through the appraisal process (NAHT, 96:07,2).

This developmental (**formative**) aspect of appraisal may be more prevalent in England due to the educational experience that appraisers bring to the task, for instance, one appraiser is an LEA officer and the other is a principal from a similar-sized school and with similar years of experience. These appraisers are likely to have credibility when suggesting professional development for the principal because of their experience in education, However, in this study it would appear that the **formative** aspect of appraisal, professional development, is not deemed to be an essential element of the appraisal process but is decided upon through less formal means. In all cases the principals have decided their professional development needs for the year, discussed these with the chairperson, and covered costs in the school budget.

Some of the professional development that the five principals have engaged in includes:

- support groups, run by consultants, covering many aspects of principalship
- overseas study of school management systems, board funded. The principal is now lecturing in this area of expertise
- conferences in NZ and overseas, seminars, courses for new curriculum and management
- reading of professional materials
- university study
- membership of principal organisations

These principals place great emphasis on their own continuing professional development; they make sure that it happens and that it is budgeted for. It appears that the choice lies with the principal and that the board approves his/her recommendations. Board chairpeople are unlikely to know what is available or appropriate for principals' personal development. However, for future appraisals to comply with PMS guidelines it will be necessary for boards to include professional development in the appraisal process to meet the **summative** and **formative** aspects of this legal requirement. This can only happen with open discussion between the principal and chairperson, and relies heavily on the principal's professional understanding of his/her needs and appropriate to available professional development opportunities.

5.2. Research Question 2-How is the process of principal appraisal carried out?

The School Trustees Association published guidelines for principal appraisal in August 1990. These guidelines set out steps for boards to follow when appraising principals. The steps included:

- 1) board and principal establish the job description and performance agreement;
- 2) establish what appraisal is, who should appraise, the ethics of appraisal, preparing for the interview;
- 3) the appraisal interview;
- 4) write the report, deciding on salary or training courses, writing next years objectives (STA Guide, Trustees Training, 1990 /6).

While these steps outline a basic approach to appraisal, the process will vary from school to school. For example, in Balimore, Sunset and Concorde, information is sought from teachers in the form of a questionnaire with responses collated by board chairpersons. The collated information is integrated into the appraisal discussion. In Sunset and Concorde, responses are also sought from parents. In the former school, choice of parents is unknown and in the latter, certain parents are suggested by the principal. This approach is more time-consuming but is considered to be worthwhile. Parklane and Murrayfield base principal appraisal on discussions between principal and chairperson. All principals determined the open dialogue with board chairpersons to be a beneficial aspect of the process. This may include on-going appraisal discussions, as in Sunset, Concorde and Murrayfield, or more formal appraisal discussions in Parklane and Balimore. However, in all cases discussions are based on formal documents that outline the principals' responsibilities and roles.

What documentation is used in principal appraisal ?

Appraisal documentation varies. In **Balimore**, appraisal was initially based on all aspects of the Principal's Performance Agreement. Over time it had been narrowed to a limited number of specific areas for appraisal, for instance, school climate, promoting the school and reporting to parents. This decision, it was claimed, was based upon the Principal's increased knowledge of the process and the Chairperson's readiness to simplify it:

In the first year we covered all aspects of the job in those discussions. Now we've narrowed to down to focus on specific areas of the performance agreement, for instance, reporting to parents (AIC.96:06).

Like Balimore, **Concorde's** appraisal is based on aspects of the Principal's Performance Agreement. From that document six 'key result areas' are selected as the focus for the year. These areas are then sub-divided into smaller goals, together with an action plan and time frames (Appendix I). The Principal selects the areas of focus from the Performance Agreement. The Board Chairperson, a personnel manager in a large company, was adapting a model he used in his business to suit the school setting. He spoke of not only evaluating the outcomes of the 'key task areas' but also looking at the processes involved. He saw this type of appraisal as quite suited to principal appraisal with modifications over time. The major areas for appraisal include:

- Personnel Management
- Financial Management
- Property Management
- Administration.

For each of these areas, there are a number of more precise goals with action plans and a time frame. It would appear that these goals reflect a management model familiar to the chairperson, but which has minimal reference to educational goals.

Parklane uses both the Principal's Performance Agreement and Job Description. These documents form the basis for an annual discussion of the Principal's role and how she has carried out the tasks to date. All areas of these documents are referred to in the appraisal discussion. **Sunset's** appraisal is also based on the Performance Agreement but this document is reviewed regularly with discussion, followed by written comments, between the Principal and Chairperson looking at how objectives are being met. With this on-going written commentary, the end-of-year appraisal is conducted with accessible and relevant data. To ensure deadlines are met, a timetable for Principal Appraisal is drawn up at the beginning of the year. Steps outlining the year's plan of action cover the following:

Step 1: Agree the job description	February
Step 2: Agree Monitoring Plan	March - September
Step 3: Prepare for Performance Review	September - October
Step 4: Interview and Report	November

In **Murrayfield** Principal appraisal is based on the school Curriculum Delivery Plan, reviewed by the Principal and Chairperson on a regular, weekly basis. The Performance Agreement is on the table at the formal appraisal meeting but is rarely referred to. However, Murrayfield's Principal agrees that the Performance Agreement and Job Description must form a basis for appraisal as he and the Chairperson discuss them regularly and review both each year. These documents

(Appendix J) complement the School Curriculum Delivery Plan, which forms the basis of his appraisal.

Although the process of principal appraisal varies from school to school, each has worked out a system that suits its particular circumstances and the people involved. Some, (Sunset, Murrayfield and Balimore), are refining the process as their knowledge of appraisal increases. All are looking to make the process more relevant and worthwhile.

Four of the five schools base Principal appraisal on the Performance Agreement and in those schools the Principal's performance is being appraised against the objectives in that document. In the fifth school, Principal performance is appraised using the goals of the school's Curriculum Delivery Plan. The Performance Agreement is available for the formal appraisal meeting but is of lesser importance. Three of the schools have developed an on-going process where the regular meetings between appraiser and appraisee, Chairperson and Principal, are of more importance than the formal, annual appraisal interview. Two schools' appraisals have evolved to the point where only specific, 'key task areas', are appraised. This stage was reached after other, more extensive methods, had proved to be unwieldy and time-consuming.

5.3. Research Question 3 - Who is involved in the process and what training have they had ?

Who is involved in the appraisal process ?

Principal appraisal is the responsibility of the board of trustees chairperson according to the Ministry of Education (M.O.E., 1990:31). This document also suggests that senior staff or other educational professionals may be involved. In all of the schools surveyed, the board of trustees chairperson is responsible for the principal's appraisal. The most recent legal requirements in *Performance Management Systems 3 -Appraisal of the Principal* (May, 1997) emphasise the need to involve the board chairperson:

A one-to-one relationship is essential for effective appraisal, and the primary relationship should be the principal and the board chairperson. However, it is reasonable to expect that other individuals may also be involved in, or contribute to, the principal's appraisal (M.O.E., 1997:2).

As discussed above with regard to the 'process' of appraisal, some of the schools involve staff and parents in principal appraisal. However, the chairperson has the final responsibility. With this responsibility comes the assumption that he/she has the knowledge and understanding of all aspects of a principal's job, and is his/her 'line manager'.

How effective can a chairperson be as a 'line manager' for the principal?

This question was put to each of the principals. While all principals emphasised the need to have a trusting, honest relationship with their chairperson for appraisal to work, they voiced some concerns regarding the extent to which the chairperson **really** knew what the job entailed.

A chairperson can't be effective in all areas - can only see some aspects of the job -for instance; climate, relationships with parents and children, and this they do very accurately -but the pressures of the job wouldn't be understood (DIP,97:03).

This principal continued to explore the concept of 'line management':

There is a lot of merit in 'peer appraisers' and more people doing principal appraisal - maybe that would be closer to the concept of a line manager - perhaps paid and objective (DIP,97:03).

Another principal queried the effectiveness of using the chairperson given the length of time he/she may be in office:

I don't think he can be effective when there's a change every three years. How can they have the accumulated knowledge, see the development, in that time (BIP,97:04).

One principal admitted that "not many principal appraisers are likely to have ever been principals" (CIP,97:05) but he felt that if they were in the business sector they could relate to the position. He also noted that:

The comment has been made many times that until a person is involved in my appraisal, they had no idea how complex the job is - even the staff representative (on the board) hadn't realised (CIP,97:04).

In this school the board chairperson spent a whole day 'shadowing' the principal as he went about his job. This was considered to be very successful in terms of better understanding the complexities of the job. In another school the principal held strong views about the concept of 'line management':

A chairperson can't be a 'line manager'. Even if they've been a teacher they haven't been a principal and even if they've been a principal, they haven't been a principal in *Tomorrow's Schools* so they can't be a line manager in that sense. **Which raises the whole issue of whether lay people can appraise professionals** (EIP,97:04).

This principal continued to discuss the difficulties of using lay people as appraisers given the complexities of a principal's role. He suggested an alternative way of conducting the appraisal:

I think that principal appraisal needs to be done by a person who knows the task a principal is doing, the expectations on that principal and the complex nature of their role. If it has to be done, it should be done by **successful educators** who have worked in the field and through experience and the quality of their work, they show they have the ability to understand, to evaluate and offer something to principals who are currently practising (EIP,97:04).

Having said that, this principal raised a debatable point:

It begs the question of whether a principal should be appraised anyway. We're assuming here that principals are better because they are being appraised, that's not necessarily so. The converse of that is you're assuming that if I'm not appraised I'll be worse - which I don't think is true either (EIP,97:04).

Anecdotal evidence suggests that this may reflect the concern of other principals regarding appraisal.

However, the legal requirement for appraisal is acknowledged:

There are two separate issues here. If we're talking about a legal requirement then we put a system in place to meet that requirement and the chairperson is the person who does it. That means that as soon as it is done, the requirement is met and the system is successful.

If you're actually talking about improving the quality of the principal's work, then you can't necessarily say the system is successful simply because the legal requirements have been met - these are two different facets of appraisal (EIP,97:04).

The point he makes reinforces the responsibility of an appraiser to include personal professional development within the appraisal process in order to promote improvements in the quality of the principal's work. Despite the statutory role of the chairperson in principal appraisal, can that same person, often a lay person, understand and recommend professional development for the principal ?

When it comes to the professional development of a principal - to what extent can a lay person assist with the professional development of that principal - it would take a very special person to do that.

We wouldn't let a lay person manage the professional development of a classroom teacher, for example, but we do that for a principal (EIP,97:04).

A difference between the New Zealand model of principal appraisal and that operating in England is the inclusion in England of a peer appraiser, an experienced principal in a similar sized school, and an LEA officer, very familiar with the organisation of the school. Professional colleagues and LEA officers were involved throughout the early trials of headteacher appraisal. However, in responding to a recent review of appraisal in English schools (July,1996), the Secretary of Education, Gillian Shepherd, suggested the need for inclusion of the chairperson of the governors in the appraisal of headteachers. The National Association of Head Teachers responded thus to the *Review of Headteacher and Teacher Appraisal* (July,1996) recommendations:

NAHT does not accept a role for the Chair or a member of the governing body in the appraisal of the headteacher. However, the involvement of "another leading professional" with relevant experience would be valid.

Certainly all involved in headteacher appraisal need to have been trained. This would apply to all appraisers, whoever they appraise (NAHT, 1996:07).

These comments, following four conferences in London and York in which appraisal was reviewed, and attended by four hundred delegates including headteachers and teachers, reflect concern about the inclusion of governors as appraisers. The concern is reiterated in the summary of the conference notes:

In summary, the views of the Association can be crystallised as:

- Support for the concept of performance management as a key element of school development.
- Opposition to the Chair of Governors, or other members of the governing body, having a role in the appraisal process for headteachers or teachers.
- The need for resources to support appraisal and the outcomes of the process (NAHT, 1996:04).

Findings from this study and from the review of literature, suggest that there is widespread concern in New Zealand and in England, that principal appraisers should be people who have experience in the role of principals. In New Zealand this would mean that appraisers would have experience as principals since the introduction of *Tomorrow's Schools*. They would thus have a personal understanding of what the principal's job entails and how the quality of the job may be enhanced through professional development. Most importantly, this appraiser must have credibility with the appraisee, the principal.

In England, the NAHT (1996:07) suggest that all involved as appraisers **need to be trained**. This need is reiterated throughout appraisal literature in England and New Zealand and yet little training appears to be available to boards for this very important role. Even PMS 3, published as recently as May 1997 in New Zealand, has no mention of the importance of training for appraisers. In the five schools studied for this research, only **one** chairperson had been to a training course. Two schools have chairpersons who are in business and have knowledge of appraisal in the private sector and the other two chairpersons have been 'trained' by their principals. One chairperson has a background in early-childhood education and two in primary education, while the other two have university degrees but little background knowledge of primary education. While it is an advantage to have a chairperson who has an understanding of primary education, this cannot compensate for training in the very specific skills required for appraisal.

Conclusions may be drawn from the first three specific areas of research. The first area under investigation was the purpose for appraisal and how this might link with recent Ministry recommendations. The recommendations (MOE, 1997:1) call for the summative and formative aspects of principal appraisal to be covered at the same time. However, in the five schools in this study the summative aspect, accountability and compliance, are the main reasons. The formative aspect, personal professional development, is decided upon through appraisal in only two of the schools with others setting their professional development goals in more informal ways. Principals in this study stressed the need for staff to see them, the principals, being appraised to maintain credibility with their staff. Various approaches to professional development are detailed in the analysis of results. The process of appraisal is then explored and this process varies from school to school. While all schools use the chairperson as appraiser, three schools include

staff in their process, and two of those schools also include parents.

Questionnaires are used in the more formal approach (Balimore, Sunset and Concorde) while discussion between principal and chairperson is deemed by all schools to be the most essential component of the process. Appraisal documents are the principal's Performance Agreement and/or Job Description except in Murrayfield where the school's Curriculum Delivery document is used.

While each of the principals in this study have positive relationships with their boards, there was discussion about the suitability of using the chairperson in the role of line manager for the purpose of appraisal. All principals agreed that boards, particularly the chairperson, require training in the specific skills of appraisal. Also discussed was the desire to include a fellow principal, who would have an understanding of the complexities of the job, as another appraiser with the chairperson.

The table overleaf outlines the introduction of principal appraisal to five Grade 4 and 5 schools in Auckland. The data gives an overview of commonalities and differences.

TABLE 1

Overview of Five G4 and G5 Primary Schools' Introduction to Principal Appraisal.

	Balimore	Concorde	Parklane	Sunset	Murrayfield
<i>When was the programme introduced?</i>	1993	1990	1992	1990	1993
<i>Was the Chairperson the only appraiser?</i>	no	no	yes	no	yes
<i>Were other staff involved?</i>	yes	yes	no	yes	no
<i>Were parents involved?</i>	no	yes	no	yes	no
<i>Was there training for appraisers?</i>	no	no	yes	no	no
<i>Did the appraiser have a background in education?</i>	no	yes	some	yes	yes
<i>Was there a choice in the appraiser?</i>	yes	yes	yes	yes	no
<i>Was confidentiality assured?</i>	yes	yes	not really	yes	yes
<i>How much time was taken to complete the appraisal?</i>	10 hours	50 hours	2 hours	3-4 hours	2 hours plus
<i>How would you rate your appraisal?</i>	successful	very successful	quite successful	quite successful	quite successful
					successful

The table shows that all five schools introduced their appraisal programmes in the three years following the change to school self-management and the demise of the school inspectorate in 1990. While all schools have the chairperson as appraiser, three schools also involve staff in the appraisal process and two of those schools consult parents as well. The time taken to complete appraisals varies considerably. Concorde takes 50 hours to complete but far less time is taken in the other schools. However, Concorde believes their programme to be 'very successful' which suggests that they consider the 50 hours to be time well spent.

Only one chairperson experienced training for appraisal, other than that conducted by the principal. The sole chairperson with no background in education is involved in company appraisals and is familiar with the terminology and process. This is reflected in the time spent in the appraisal - ten hours.

Murrayfield's principal and chairperson do not see the need to involve other people in principal appraisal. They consider their process to be 'quite successful'. Despite the widely varied time involved in appraisal and the variation of methods of procedure, all five principals considered their appraisals to be 'successful'.

5.4. Research Question 4 -How can the 'effectiveness' of principal appraisal be ascertained ?

While each school considered their appraisal system to be 'successful', the issue of 'effectiveness' of the process engendered considerable debate. For the principal and board of trustees, 'success' is measured by the fact that systems are in place that ensure compliance with Ministry of Education guidelines. Three principals considered their appraisal system to be quite successful, one successful and one very successful. The principal who considers his system to be very successful is the one in which the chairperson is involved in appraisals for a large private company. This school spends 50 hours conducting principal appraisal and is fine-tuning the current system.

Concorde

The Principal of Concorde considered his appraisal to be 'very successful':

We've come a long way since the first Board appraisal. It's now professional, on-going, supportive, developmental and balanced (CIP,96:08).

Possibly this is because there has been a change of chairperson since the first appraisal. The current Chairperson brings a background in education, having been a teacher, and is now a personnel manager for a large company and is involved in appraisals in that capacity. Effectiveness, however, was a different issue. Each principal had different ideas of what constituted 'effectiveness'. Almost a year after the first interview, Concorde's Principal discussed his understanding of 'effective appraisal':

Effective appraisal to me is one which is valuable to both parties - valuable to the Board as it gives assurances and valuable to me as it shows areas I'm doing well and areas to improve (CIP,97:05).

His board chairperson had definite views on 'effectiveness':

It's being able to provide recent specific examples which underline a particular action (CIB.96:08).

The Principal and Chairperson had spent a lot of time refining their school's appraisal policy with measurable outcomes determining effectiveness.

Parklane

Like many schools, Parklane has an appraisal policy and programme in place to meet legal requirements but this is not entirely satisfactory to the Principal:

For professional growth, I'm not getting much feedback from my appraiser, no suggestions for making things better, easier, different. Another principal or outside consultant may give directions that could be useful (BIP,96:06).

A year later this principal was asked again if her appraisal was effective:

In present terms I don't think it is effective. What we were doing was comfortable, we felt that it was working fairly well, but, in light of my expanded knowledge of what's expected, I question that now (BIP,97:04).

In the year between the first and second interview, she has been very involved with the implementation of Ministry guidelines on appraisal. Her increased knowledge has made her more critical of the process in place in her school and highlighted the need to find a 'line manager' to provide professional input into her appraisal.

Murrayfield

The principal at Murrayfield School feels that his appraisal is effective:

It's effective in that it allows me to get on and do the job, gives me feedback and meets legal expectations (EIP,96:05).

When asked to identify the factors that contributed to 'effectiveness', this principal replied:

It's the length of time the chairperson has been on the board, her background of understanding, high level of trust and mutual respect (EIP,96:05).

The board chairperson responded:

I have a large degree of trust in what he's (principal) doing and the decisions he makes. It's a checking process -I can be very relaxed about it. My role is to know enough to trust the management in particular, leaving the principal to get on with the job in hand (EIB,96:05).

A year later, this principal elaborated on the 'effectiveness' of his appraisal and considered this concept alongside 'efficiency':

Efficiency is a subset of effectiveness -so you can be efficient without being seriously effective but if you are effective there is a probably a degree of efficiency. If you're an effective manager then you are probably efficient. (EIP,97:04).

He doubted that appraisal made any difference to a principal's effectiveness:

In terms of legal requirements the proof of effectiveness is there in that we did it but whether or not it's improved my work here at the school is another issue (EIP,97:04).

Like other principals, he considered the act of carrying out the appraisal sufficient to classify it as effective.

Balimore

Balimore School's Chairperson was forthright in his opinion:

I don't rate it very highly at all. We're doing it because it's mandatory. Daily contact is far more important (AIB,96:04).

This chairperson was sceptical about the benefit of appraisal but felt that they had refined their **system** to the point that it was 'quite successful'. When asked to elaborate on the success of the system, the principal replied:

The relationship with the chairperson is very important - it's more than a collegial relationship, it's built on mutual trust and respect (AIP,96:04).

The chairperson echoed this:

Therefore we don't have to wait for a formal appraisal time. I'm in close touch with the school and teachers-all staff trust and respect her (principal) (AIB,96:04).

However, a year later the Principal of Balimore elaborated on her interpretation of 'effectiveness':

My appraisal is effective because every staff member has an opportunity to have a say. I don't know what is said, I don't want to know. **I'm confident in the job I do - I work effectively and would do if I was appraised or not** (AIP,97:02).

This statement echoed Murrayfield Principal's questioning of the appropriateness of appraisal as a vehicle for improving the effectiveness of a principal.

Sunset

Sunset School's Principal is in no doubt about the benefit of appraisal:

There's no doubt about it-appraisal has made me look more closely at that document (Performance Agreement) and given me a particular focus. What makes it effective is that it provides a forum where Principal and Board get feedback on what the Principal does.

Targets are set for the year and reviewed monthly by Principal and Board Chairperson. Reviews to the Board are how the school is doing and reviews of targets are how the Principal is doing (DIP,97:03).

He did agree that some targets can be measured but that others are not measurable. Again, frequent dialogue with the chairperson was considered to be an essential component of their successful and effective appraisal system.

In summary, ascertaining the 'effectiveness' of principal appraisal for the participants has proved to be difficult. One school, Concorde, has developed measurable outcomes to determine the effectiveness of the principal's work and this is discussed during a formal appraisal. Both appraiser and appraisee feel that the process is valuable and working well, therefore their process could be said to be 'effective'. Another school principal (Murrayfield) considers his appraisal process to be effective but doubts that it makes much difference to his performance in the job. Yet another principal (Balimore) feels that her appraisal is effective in that it meets legal requirements and gives her credibility in the eyes of her staff. No long term benefits are considered to come from this appraisal. One principal (Parklane) no longer considers her appraisal to be effective. Convinced of the effectiveness of his appraisal, one principal (Sunset) has developed a process of target setting which provides positive, constructive feedback to the board and principal on a regular monthly basis. Discussion between the board chairperson and

the principal is very frequent and focused, with the principal's targets having a spin-off for whole school development.

'Effectiveness' means different things to different people. Each has worked out a system of appraisal which suits them. Four of the five consider their system to be more or less effective.

5.5. Research Question 5 - To what extent does the Education Review Office influence the appraisal ?

Responses to this question varied between board people and principals. All five principals in this study stated that the Education Review Office (ERO) had no influence on appraisal although one principal qualified this:

When the board of Trustees read that ERO report that comes, they must make a judgement about the Principal and staff, so in that way it does have an effect (DIP,96:07).

Three board chairpersons see some link between ERO and appraisal:

Like a shadow in the background. The ERO report would be considered at appraisal if there were areas of concern (EIB,96:05).

If ERO found areas to improve, they may be included in 'key areas'-appraisal targets (CIB,96:08).

Appraisal does tie up with ERO reports. The report may affect Principal status (*quote of principals resigning after negative ERO reports*) (BIB,96:06).

The other two chairpersons were adamant that ERO does not influence appraisal:

No, they shouldn't. Those audits couldn't be a substitute for appraisal but perhaps ERO can reinforce the appraiser's judgement (AIB,96:04). We would be doing appraisal anyway. If we want *Tomorrow's Schools* to work, the governing body must take responsibility for principal appraisal (DIB,96:07).

It would appear that the Education Review Office reviews and subsequent reports have some influence on Boards of Trustees in this study. Three of the five chairpersons see a link between Review Office reports and principal appraisal. Board people are aware of the possibilities of negative reports becoming an influencing factor but have not had that experience. When asked if they felt that ERO should have a role in appraisal, all principals and board chairpersons stated that it would be most undesirable. One chairperson did volunteer one potential advantage:

The only thing that could come would be a standardisation of approach across all schools -everyone needs quality feedback (CIB,96:08).

5.6. ***Other Issues Arising From The Fieldwork.***

5.6.1. **Self Review**

All principals in this study engaged in some form of self-review. For Sunset School's Principal, it is monthly written notes against his Performance Agreement which are discussed with the Chairperson. Balimore's Principal writes a full self-review which she uses to confirm to the board and Education Review Office that stated management plans are in place and happening. She also conveys this to the staff as a means of motivation. All principals incorporate self-review in monthly board reports and in frequent, informal discussions with their board chairpersons.

Self-appraisal is a key element (of appraisal) of the process, and successful outcomes are dependent on it (Thompson cited in Hattersley,1992:84).

In the five schools studied, principals write a comprehensive monthly report for Board of Trustees meetings. This report covers all aspects of school management and is considered by principals and their boards to be an on-going review of the principal's job. While not all the principals interviewed wrote a self-appraisal, they all considered appraisal discussions and other informal discussions with their appraisers (chairpersons) to be a substitute form of self-appraisal.

5.6.2. Performance Pay Linked to Appraisal

All Principals in this study are on Individual Employment Contracts with their salary linked to appraisal of successful performance. **All are on the top of their salary scale.** However, the interviewer queried the effect the link *might* have on relationships between principals and their boards. The issue was one that evinced specific responses from Board of Trustees Chairpersons:

It highlights one of the dangers where you have a principal who is not performing as well as they should or you have a board with their own agenda -the two often go hand in hand. Link up with money is only going to make it a lot worse and more complex (AIB,96:04).

It would be difficult to tell someone that they weren't getting an increase. If it's part of appraisal it would add another dimension and affect the relationship between principal and chairperson (DIB,96:07).

It almost certainly would alter the relationship between the Principal and the Board. Personally I wouldn't like to have to deal with it. We all abide by the Collective Agreement (Salary for Management) (EIB,96:05).

A capable performer has nothing to fear from Performance Appraisal linked to salary but if it is used for vindictive purposes there could be a problem (CIB,96:08).

One principal warned that relationships between principals and boards may be altered:

Performance Management guidelines take a more 'hard nosed' approach. Appraisal and development are so closely linked to remuneration, you can't separate them. It will cause problems in the relationship with boards. **It is imperative that appraisal is done properly** (DIP,96:07).

In a recent survey conducted by Cathy Wylie (1997:118), seventy-six percent of urban principals described their relationship with their board as excellent or very good. The researcher has found, in this study, that a major contributing factor in the success of principal appraisal programmes has been the trusting relationship between the principals and their boards. It would appear that boards and principals can see the potential disadvantages of having salary linked to appraisal with tensions arising that may harm the relationship between them.

Principals said that they valued positive working relationships with their boards of trustees. They reported that good relationships between board and principal are based on trust with each side doing its part and each side respecting the abilities of the other (E.R.O., 1996:15).

The importance of a negotiated appraisal programme, based on the principal's Performance Agreement (or a similar document), cannot be underestimated, especially when principals' salary is determined by that appraisal.

In successful schools principals had successfully negotiated an annual performance agreement so that they were clear what the board expected and how they were going to achieve it (E.R.O., 1996:23).

5.7. Discussion of Results

Finally, in this part of the chapter, I want to reprise briefly the key issues that have emerged from the fieldwork and to relate them specifically to the existing research and literature on appraisal.

The Changing Role of the Principal

The role of the principal has changed since *Tomorrow's Schools* with increased workloads in the area of management. Whether this is achieved at the expense of professional leadership, as suggested by Mitchell (1993), remains to be seen. The thrust toward corporate management structures in English and New Zealand schools has encouraged a move to whole school review during principal appraisal. It would appear that as 'chief executives', appraisal of the school has become intrinsic in principals' appraisal with a strong slant toward accountability. As Wylie (1997) suggests, "The role of the primary principal is first compared to the role of a senior public servant" (Wylie, 1997:8).

Accountability and Credibility

In this study, all five principals acknowledged the legal requirement for appraisal and the accountability that this entails, and have put into place a process to meet that requirement. The issue of their accountability (as 'chief executives' or 'professional leaders' as some still prefer to be called) is recognised as being important for maintaining credibility with staff, board members and parents. They see the purpose of their appraisal as essentially summative. The formative aspect was considered only in two schools, Concorde and Sunset. In the review of literature it was recognised that establishing clearly the purpose of principal appraisal and selecting specific areas to appraise were critical to success

(Hattersley (1992), Gane & Morgan (1992), Blase & Blase (1994), Irons (1993) and Stewart & Prebble (1993)). Three of the schools studied (Concorde, Sunset and Balimore) are selecting specific areas to appraise rather than trying to cover all aspects of their Performance Agreement. The three principals have arrived at this selection process after trying to implement a more comprehensive appraisal which was less satisfactory to them and their boards.

In 1993, Irons predicted that demands for accountability would negate the formative aspect of appraisal (Irons, 1993:7) and Stewart & Prebble (1993) suggested that “principals may be required to report progress against specifically listed performance targets as in the commercial world” (Stewart & Prebble, 1993:202). This is already happening in the school in this study where the chairperson is in a large company and involved in company appraisals. Although the formative aspect of appraisal is only formalised in two schools, all principals recognised the importance of professional development and participated in programmes for their own professional growth.

Principals’ Professional Development

Professional development arising from appraisal is arguably easier to achieve in England where other educators are involved as appraisers in the process of principal appraisal and have direct knowledge of suitable professional development options. In New Zealand it is now mandatory to include a development aspect in principal appraisal related to school-wide organisational goals and professional development goals personal to the principal (M.O.E., 1997:1). This presents a challenge to boards as they attempt to fulfill more than one purpose for appraisal, particularly as the summative aspect includes issues of accountability and competency, and is linked to salary. All board chairpersons in this study voiced

concern about linking appraisal to salary adjustments and feared the relationship of trust between them and the principal could be jeopardised.

Documentation as a Basis for Appraisal

Four of the schools in this study use the principal's Performance Agreement as the basis for their appraisal while the fifth (Murrayfield) uses the Curriculum Delivery plan. Three schools have selected specific areas from their Performance Agreement to appraise and feel that this is more manageable. This approach is recommended in PMS3 :

To provide in-depth and high-quality scrutiny, it is advisable that the process be selectively focused. This is preferable to using the principal's appraisal to review everything happening in the school (M.O.E., 1997:4).

However, principals in this study agree that on-going communication with their chairperson was more likely to give an overall picture of the principal's performance than a once a year appraisal and, moreover, was more important in achieving the goals of the school.

The Importance of Quality Appraisers

Perhaps the biggest single factor in successful appraisal is the use of a 'quality' appraiser, one who is experienced and professionally credible (Hackett, 1992:147). In all five schools in this study, the chairperson appraises the principal, as recommended by the Ministry of Education (1990). Only one chairperson, however, had training as an appraiser although two others brought private sector experience in appraisal to the task. The issue of who should appraise a principal has been to the fore in England:

No one can be identified as the manager of the headteacher - not the governor, the LEA or any number of the inspectorate (Trethowan, 1991:150).

Headteachers do not have the equivalent of a line manager and so the managerial model breaks down (Fidler, 1992:134).

In England, Government and the Inspectorate have called for the chair of governors to be involved in headteacher appraisal as well as 'a professional with appropriate expertise and experience' (OEFSTED, 1996:134). The move to include the chair of governors has been rejected by the National Association of Headteachers:

NAHT does not accept a role for the Chair or a member of the governing body in the appraisal of the headteacher (NAHT, 1996:07).

Principals in this study voiced concern about the use of chairpersons to appraise competently the summative and formative aspect of the principal's job:

To what extent can a lay person assist with the professional development of that principal -it would take a very special person to do that (EIP, 1997:04).

This view is endorsed by the other principals. While it is accepted that chairpersons are legally required to conduct the appraisal, there is doubt that they, the chair, have sufficient knowledge of the complexities of the principal's job to properly appraise that job. The concept of 'line manager' has been discussed with the principals and all agree that a chairperson cannot be a 'line manager' as they have not been principals. One principal (Murrayfield) discussed the issue of whether a lay person can really appraise professionals. Bollington *et al.* (1990) are certain

that an appraiser should have; “credibility, consistency and competence to offer advice and support - and capability to ensure follow-up takes place” (Bollington *et al.*, 1990:76). The inclusion of an educator in the appraisal process, as in England, may bring those qualities to the task.

Literature from England includes recognition for the need to have properly trained appraisers (Gane & Morgan, 1992:16, NAHT, 1996) and yet recent guidelines in New Zealand (MOE, 1997) make no mention of the essential training needed for appraisers.

The Influence of External Reviewers

Board members in three of the schools mentioned that the Education Review Office report had some indirect bearing on the appraisal of the principal while the other two were adamant that the report made no difference. Principals in this study stated that ERO had no influence on their appraisal. Their stance is reflected in a report by Wylie (1997) in which she notes that:

The number of those (principals) who wrote positively about their ERO reviewing team was matched by those who found them lacking in experience, credibility, and interpersonal skills, and producing inaccurate reports (Wylie, 1997:14).

All principals and boards in this study felt that ERO should not have a role in appraisal although one chairperson felt that criteria should be developed that provided a standardisation of approach to principal appraisal.

Different Methods of Self Review

Self-review was another issue which arose from the interviews with principals. Although only two principals formalised a written self-review, they all considered

comprehensive monthly reports and on-going discussions with their boards as a substitute for periodic self-review. Literature supports the advantages of self-review and Hattersley (1992) suggests that, " Self-appraisal is a key element of the process, and successful outcomes are dependent on it" (Hattersley,1992:84). In New Zealand, PMS3 (1997) states that:

Self-appraisal is a reflective task, probably most effective when it is done prior to a formal appraisal interview as a form of preparation and self-critique of performance (M.O.E., 1997:9).

The major concern which arose in all the interviews with principals and their board members was the desire to 'get it right'. All participants recognised the strengths and weaknesses of their appraisal programmes and were intent on improving the process in order to have an appraisal that would be worthwhile and of value for the longer term growth of the school.

5.8. Critical Issues Arising From This Study

Critical issues which have emerged from the data gathered for this study have been:

- the credibility of principal appraisers
- the availability of training for appraisers
- the ability of lay people to properly appraise both the summative and the formative aspect of a principal's multifaceted job
- the dangers of linking salary to appraisal
- the importance of professional development for principals
- the need to have clear goals for the appraisal process
- the need to include 'professional others' to assist with the appraisal
- the importance of self-review, in one form or another, as a method of reflection and for setting future goals
- the need to limit the focus of each appraisal.

CHAPTER SIX

CONCLUSIONS

Within the conclusion of this research study, the researcher will consider her findings in the context of recent policy initiatives from the Ministry of Education on Principal Appraisal. The objective of this research has been to describe factors which have contributed to successful principal appraisal in four G4 and G5 Auckland primary schools. During this study the researcher discussed with principals and board chairpersons, some of the key issues that had arisen in their early experience of appraisal and which had led to modification of their appraisal programmes. These modifications were then compared with recent legal requirements for principal appraisal (PMS3) and similarities were found. Each of the schools in this study has an experienced principal with knowledge of appraisal systems. Improvements and modifications to their appraisal programmes have been possible because of the positive relations with their boards and frequent communication with the chairperson.

The importance of good relations between the principal and the board

The relationship between principal and board chairpersons is of paramount importance in all matters of governance and management and in particular, the appraisal of the school's chief executive, the principal.

Performance Management Systems 3, published in 1997 by the Ministry of Education, opens with the observation that:

The relationship between the principal and the board is the critical hub around which the effective governance and management of any school evolves.

The most significant task a board performs is appointing and managing her/his performance.

The board of trustees is the legal employer of all staff in a school. The principal is chief executive of the board but is also an employee of the board and therefore subject to appraisal (M.O.E., 1997:1).

Each of the five principals in this study emphasised that, in the process of appraisal, a trusting, open relationship with their board chairperson was most important.

On-going discussion in regular meetings, while not necessarily related to appraisal, was deemed to be the most effective method of monitoring school progress and principal performance. The frequency of these meetings, often weekly, has helped to establish a relationship of mutual trust between appraiser and appraisee. Formal monthly reports from the principal to the board cover many, if not all, aspects of the principal's job as delineated in her/his Performance Agreement / Job Description. Regular meetings and monthly reports constitute a monitoring process which is recognised in PMS3:

Regular meetings between the principal and board chairperson provide an avenue for monitoring the principal's performance. The principal's monthly reports to the board provide another means by which progress can be checked and modifications made if necessary (M.O.E., 1997:10).

The importance of establishing the purpose of appraisal and concerns over linking appraisal to remuneration.

In 1990, the early days of *Tomorrow's Schools*, anecdotal evidence and the researcher's personal experience suggests that there was considerable anxiety amongst principals about the real purpose of appraisal, the time it would take and

the linking of performance to salary. There was fear that appraisal would become the instrument for public accountability, competency and disciplinary concerns. It appears that this is becoming a major focus in principal appraisal as indicated in recent faxed information sent to all principals from the Ministry of Education, on 12 December 1997:

The Government is committed to strengthening the link between principals' remuneration and performance assessment. The final portion of the base salary increase on Feb 1 1999 will be contingent on:

- the incorporation of new professional standards for principals as the basis for the principal's performance assessment. These professional standards will identify dimensions of competence and describe standards that principals in all schools should achieve;
- the incorporation within the contracts (model IECs and the CEC) of amended provisions for principals who fail to meet the professional standards for principals, ie competency procedures (M.O.E., 1997:3)

It would seem, from the above, that those earlier anxieties expressed by principals have been realised. Evidence from this study would suggest that the Ministry's stance may prove counterproductive.

In this study of five schools' appraisal programmes, principals and board members recognised that the major purpose of appraisal was to meet the legal requirement as directed by the MOE in 1990. Each principal then worked out a system to ensure that it would be carried out as effectively as possible, given the constraints within which they operate. Reading and attendance at available courses enabled these principals to establish principal appraisal programmes which met their needs, legislation, and satisfied board members. The systems were introduced between

1990 and 1993, with modifications over time. The success of the systems has been dependent on the principals' determination to make them work; the positive relationship between principal and chairperson; and the ability to set clear guidelines where each participant knew their role. There were no hidden agendas, no competency or disciplinary issues at stake and no decisions concerning salary adjustments, despite the fact that all principals were on IEC's. In this study, salary has been a non-issue because each principal is at the top of his/her salary scale and no movement is allowable beyond the range of rates (set by the State Services Commission) despite exemplary appraisals. The prospect of having to use appraisal to set the principal's salary, as required in the Individual Employment Contracts, did not sit easily with board members in this study, even though it was not pertinent to their current principal's situation. All considered the linking of salary to appraisal to be fraught with difficulty, especially for those chairpersons who lacked training in personnel management and had received little or no training in principal appraisal. It was suggested that such a link could jeopardise the relationship between boards and their principals. Is appraisal, then, as presently conducted, the appropriate vehicle for salary review? Should a board chairperson, with little detailed understanding and no experience of the complexities of the principal's role, be solely responsible for making that judgement?

The **summative** aspect of appraisal is considered to be most important to principals and board members in this study. Currently, the principal's Performance Agreement, or a similar comprehensive document, is the document referred to in the appraisal process. Much appraisal information in this study is gathered from discussion between the principal and the chairperson. In some cases staff members are consulted, and parents have input into the appraisal process in two schools.

Schools in this study have developed their own guidelines for the process of appraisal. However, with the imminent introduction of 'professional standards', criteria for principal appraisal may well become more prescriptive with less freedom for individual school boards to implement appraisal programmes of their own making.

The influence of an external review

When asked about the influence of ERO on principal appraisal, three out of five board chairpersons considered that the review had some influence whereas all the principals claimed that there was none. However, one board member suggested that while he did not seek input from the reviewers, he would welcome a more standardised approach to appraisal. The new 'professional standards' for principal appraisal may address this issue.

The difficulty with determining the 'effectiveness' of principal appraisal

Each principal and board chairperson considered their appraisal programmes to be successful but concluded that 'effectiveness' was more difficult to measure. To each principal it meant different things:

- * meeting the legal requirement and carrying out an annual appraisal;
- * setting measurable outcomes to appraise twice a year;
- * setting targets which are appraised monthly.

One principal felt that her appraisal was no longer effective given the changed circumstances of the board chairperson and his lack of time to conduct an appraisal. During 1997, this principal sought an independent consultant (another principal) to carry out her appraisal and she was satisfied with this approach.

While the other four felt that their appraisals were successfully completed and more or less effective, for two of them there was little benefit for their future performance as principals. The two principals who included target setting and/or measurable outcomes in their appraisal felt that these would have an effect on whole school development. However, those principals who did not include target setting within their appraisal, did so in their educational development plans. This suggests that competent principals set goals, whether as a result of appraisal or from discussion with board, staff and parents, and that those goals are perceived to move the school forward in a positive way.

The importance of professional development for principals and subsequent benefits for the whole school

In each of the schools studied, principals were undertaking many avenues of professional development which had been selected by them as being relevant to their needs. As successful practitioners they are aware of the benefits of on-going professional development and, in all cases, are instrumental in organising and presenting courses for other principals. While targets for professional development may have been set during an appraisal round, in every case the choice was directed by the principal and agreed to by the board chairperson. Arguably, board members are unaware of available courses, seminars or conferences for principals and can be expected to endorse activities that they believe will enhance their principal's professional knowledge and ultimately lead to the improvement of the school. New Ministry of Education guidelines, PMS3 (1997), state that professional development is to be a mandatory element in principal appraisal. Presumably, principals will continue to select their own professional development according to their needs and boards will continue to endorse this. As lay people, board members cannot be expected to be familiar with educational courses available to principals

but may, of course, recommend courses where there is an apparent need; for example, in management areas such as finance and personnel.

The need for a professional peer to be included as an appraiser

The lack of 'other professional educators' in the process of principal appraisal highlights one of the major differences between the New Zealand and English systems. In England, a 'peer' appraiser, a fellow principal, and one other appraiser are required in the appraisal process. At the time of writing, the chair of governors is being recommended as the other appraiser by government, but this is opposed by a national body of headteachers. A fellow principal, a professional educator, should be able to suggest credible professional development goals for the appraisee.

The need for training - boards of trustees require training in the role of principal appraiser

Indications from the Ministry of Education suggest that more prescriptive guidelines for principal appraisal will be forthcoming in 1998. The researcher hopes that there will be training provided for board members to implement such requirements and to help them to cope with both the summative and formative aspects of principal appraisal as mandated in PMS3 (M.O.E., 1997). To maintain credibility as an appraiser, a board chairperson must be given appropriate training in a nationally developed programme available to all boards of trustees.

Issues have arisen during this research study concerning Teaching Principals and the difficulty of appraising the teaching and management aspects of their jobs. Concern about the ability of board members to appraise both the management aspect of a teaching principal's job and the teaching component,

appears in the literature. In PMS3 it is reassuring to see that this dilemma has been recognised. As well as delegating to the chairperson the role of principal appraiser, it is now proposed that; “ an appropriate professional - responsible for the appraisal of the principal’s teaching responsibilities (where these form part of the principal’s job) share the responsibility for principal appraisal” (M.O.E.,1997:2).

The importance of selecting a quality appraiser.

The following quotation aptly summarises the importance of selecting a quality appraiser:

I think that principal appraisal needs to be done by a person who knows the task a principal is doing and the expectations on that principal, including the complex nature of their role. If it has to be done it should be done by successful educators who have worked in the field, and through experience and the quality of their work, can show they have the ability to understand and evaluate that job. They would also have something to offer principals who are currently practicing (EIP,97:04).

Current trends toward business management models in educational settings.

In England and New Zealand there is currently a demand for more rigour in appraisal in schools with the assumption that this will lead to more effective schools. In the context of teacher appraisal, O’Neill (1997) notes that, “ contractual language and industrial or commercial appraisal structure have been put in place” (O’Neill *ed.*,1997:121). Similar terminology has crept into principals’ appraisal guidelines. Likening principal appraisal to a business management model has limitations. In business, an appraiser is more likely to be a line manager with

experience in the job but, in schools, the chairperson may never have been a principal and may have limited understanding of what the job entails.

Whether rigorous appraisal leads to more effective principal performance and improved schools remains to be seen. One principal in this study queried the link between effective appraisal and improved work performance:

In terms of legal requirements the proof of effectiveness is there in that we did it but whether or not it's improved my work here at the school is another issue (EIP, 1997:04).

The issue of the extent to which effective principal appraisal leads to measurably improved work performance is beyond this study but would be worth investigation in the future.

6.1. Implications for the Future - for the Ministry of Education, Boards of Trustees and Principals.

I hope that this study is of practical use to principals today. Those who are developing and adapting their appraisal programmes may find aspects from these five successful appraisal programmes that will help them to improve upon current practice.

It is imperative that board of trustee members, particularly the chairperson, become involved in appraisal training in order to do justice to the appraisal process. Use of a professional educator alongside the chairperson in the appraisal process would better address the multifaceted job of a principal, and would acknowledge the principal's role as an educational leader.

The Ministry of Education needs to provide more comprehensive training for principal appraisers, which is available to all boards, regardless of socio-economic

or regional restrictions. Release time for peer appraisers, for instance, practicing principals, should also be resourced if the Ministry believes that comprehensive, rigorous appraisal is to improve schools. Current workloads are such that no practicing principal could carry out the task of appraising another without funded release time. Perhaps the Ministry should look more closely at the English experience of how to organise for current principal appraisers.

Principals will need to ensure that the appraisal process does not become overwhelming. Selection of negotiated key tasks to be appraised, a timetable established early in the year and a trained appraiser who has the time to meet frequently with the principal, are essential to a successful process. If possible, an educator from another similar primary school should be included in the process to properly assess the intricacies of the job and to recommend areas for development. This study has been beneficial for me as a practising principal. I have explored the strengths and weaknesses of appraisal systems which have been put in place by experienced principals and will use some of those successful strategies to improve my own appraisal programme.

6.2. Recommendations

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

1. Recent Ministry of Education guidelines (PMS3, 1997) recommend that only specific aspects of the principal's job are appraised. Over the three year term of the board, all aspects of the job should be appraised. This is in accord with the evidence from the appraisals in this study that have successfully focused on specific areas of the principal's job to appraise.

- Appraisal should also be based on specific key areas of the principal's performance as prescribed in his/her negotiated Performance Agreement.
2. Boards of trustees, especially the chairperson, should have specific training in appraisal and this should be resourced by the Ministry of Education.
 3. The school's Appraisal Policy should detail those people who will be involved in the principal's appraisal and this should be negotiated with the principal.
 4. Peer appraisers, for instance, current principals, should receive MOE resourcing to release them from their job to appraise their peers. This should be for a limited number of appraisals to avoid overloading the peer appraiser.
 5. Principals and boards of trustees should clarify the summative and formative purposes of appraisal at the outset so that all parties have a clear understanding of what the appraisal is for. This is particularly important when salary is to be determined by the appraisal.
 6. Agreement must be reached on the nature of the information to be collected and the methods employed to gather it. There needs to be clear guidelines on procedures and ethics when collecting data for principal appraisal.
 7. Principals should have personal professional development goals established through the appraisal process and funded by the board.

8. The Ministry of Education currently provides some funding for appraisal in schools. To undertake rigorous appraisal, incorporating professional development programmes, as recommended by the MOE, it is imperative that Performance Management Systems are adequately funded in schools.
9. Principals and boards of trustees should reflect on their appraisal programmes and evaluate the effectiveness of the outcomes.
10. Principals and boards should aim to implement worthwhile appraisal programmes that lead to improved principal performance and hence to longer term whole school improvement.

In this research study of Principal Appraisal in New Zealand primary schools, issues have been brought to light which lend themselves to further study.

6.3. Suggestions for further research:

While this small scale study has determined a number of factors that contributed to the success of principal appraisal programmes, there was much discussion concerning the longer term effects of the process. Considering the time and effort that goes into appraisal, improvement in the way the principal does his/her job and subsequent improvements for the school could be expected.

- 1 Further research could explore the 'effectiveness' of principal appraisal to ascertain the extent to which it makes a difference to the way the principal does the job, and the school as a whole shows measurable improvement as a result of appraisal.

Throughout the interviews and discussions with the principals in this study, it has become apparent that board chairpersons lack the in-depth knowledge to appraise all aspects of a principal's job. This point is repeated throughout the review of literature. Training for principal appraisers is important and how they put that training into practice will need to be monitored.

- 2 Future research could explore the type of training available to appraisers, the manner in which that training transfers to the appraisal process and whether it enables a chairperson (appraiser) to appraise the principal in both the summative and formative aspects of the job.

This study was set in urban schools with G4 & 5 principals. There was a greater probability that board members would have access to information about appraisal systems and would, perhaps, be skilled communicators, considering the larger population of parents at the school from which to elect the members. This may not be the case in small schools in which the principal has a heavy teaching component in the job and the parent population draws from a much smaller area. Board members in rural schools may have a different relationship with the principal; often the school is the hub in a close-knit community. This may affect the way in which principals and their chairpersons view principal appraisal.

- 3 Further research could usefully be undertaken into the appraisal of teaching principals and principals of rural schools to establish whether the relationship between principal and chairperson is altered by the statutory requirement to appraise; whether an educator is employed to appraise the teaching component (as recommended in PMS3, 1997); and whether boards have access to adequate training and take advantage of it.

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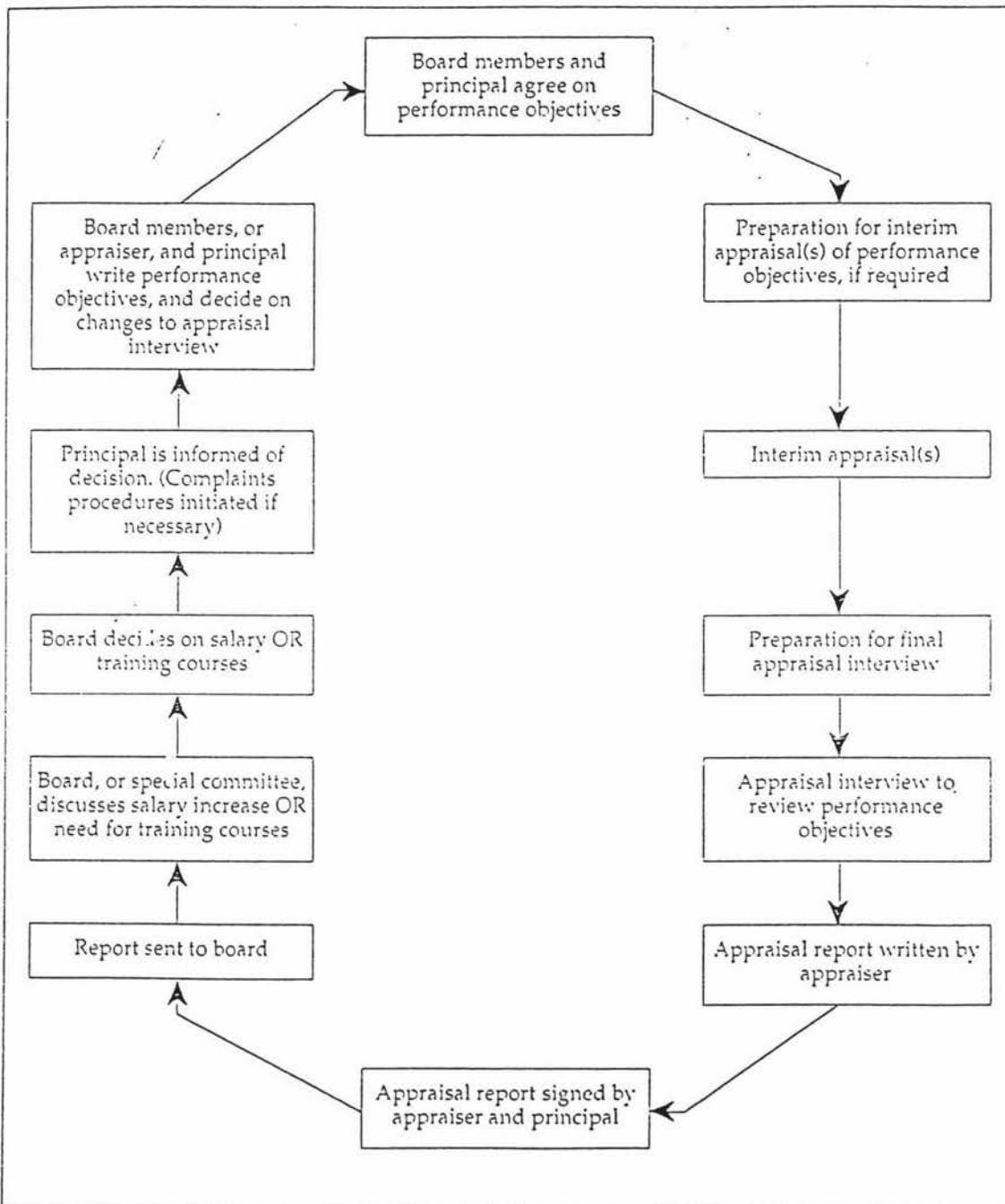
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APPENDICES

APPENDIX A

SCHOOL TRUSTEES ASSOCIATION

PERFORMANCE AGREEMENT AND APPRAISAL CYCLE



N.B. In the first years of appraisal, it is preferable to separate appraisals for different purposes as it will avoid possible conflict.
This cycle may be repeated for a performance agreement and appraisal which has a different purpose.

APPENDIX BRESEARCH QUESTIONNAIRE ON PRINCIPAL APPRAISAL

To provide background information about your Appraisal process and programme prior to my visit to your school, please complete the following:

1. Who was involved in the formulation of the Principal Appraisal policy and programme in your school ?
2. When was your Principal Appraisal programme introduced ?
3. Who is involved in the Principal's Appraisal ?
4. Was there training for the appraisers ? If there was, what form did it take ?
5. Does your appraiser(s) have a background in Education ? Please elaborate.
6. Do you have a choice in appraisers ? Yes / No
7. Who has access to the appraisal information ?
8. How is confidentiality maintained ?
9. Is there a cost involved in your appraisal process ? Approximately how much ?
10. Can you estimate the amount of time taken to complete your appraisal ?

Thank you for taking the time to complete this questionnaire.

Shirley McMillan-Rourke

APPENDIX C

INTERVIEW QUESTIONS TO PRINCIPALS AND BOARD CHAIRPERSONS

1. How do you feel about the concept of Principal Appraisal ?
2. How is your appraisal conducted ? What form does it take ?
3. To what extent does your appraiser have an understanding of what your job entails ?
4. How is information gathered, and from whom ?
5. How effective would you say your Principal Appraisal process is ?
6. If you believe that it is effective, what factors contribute to its effectiveness? If you feel that it is less than effective, what factors militate against it ?
7. If professional development needs come from your appraisal, how are these determined ?
8. What is budgeted for Principal Appraisal ?
9. Could you tell me about your Principal Development programme over the last three years ?
10. To what extent is Principal Appraisal seen to be another way of evaluating the school ?

11. Do you think that an Individual Employment Contract (IEC) may alter the relationship between appraiser and Principal ? For instance, the fact that salary is now related to appraisal ? Discuss.
12. If your appraisal is less effective than you would like, would you consider using outside assistance to advise or help in the process ?
13. Does the Education Review Office (ERO) have any influence on your appraisal ?
14. Does ERO have a role in Principal Appraisal ? Should they ?

APPENDIX D

FOLLOW-UP DISCUSSION WITH PRINCIPALS

1. Can you expand on the purposes of your appraisal ?
Do you meet with the chairperson before the official appraisal to set the purpose for your appraisal ?

2. How would you place the following in terms of importance in your appraisal:
 - a) the accountability aspect (efficient manager)
 - b) school improvement
 - c) personal professional development (effective leader)
 - d) improved pupil learning

3. Given that a chairperson may change every three years, how much accumulated knowledge of the school, and understanding of the principal's job, is brought to the role of appraiser ?

4. How long has your chairperson been in office ? Does the length of time in office affect the depth of the appraisal ?

5. As '*line manager*' for the principal, how effective can a chairperson be ?

6. If your appraisal is based on your Performance Agreement / Job Description:
 - a) is there a difference between the two ?
 - b) how were these completed and how long did they take ?

- c) is there a review of these documents throughout the year ?
7. If you consider your appraisal to be effective, can you explain what makes it so ? Is there proof of its effectiveness and how is this communicated to others ?
8. Which is the more measurable output - 'effectiveness' or 'efficiency' ?
9. Business competencies are becoming an increasingly large part of the principal's role, for instance, strategic planning; policy construction and analysis; budgetary planning and control; using information technology for management information and the challenge of managing change.
- a) to what extent is your chairperson involved in all aspects, including planning and reviewing, of the above ?
- b) can one person appraise all those aspects of a principal's job ?
- c) should the nature of appraisal change to meet the challenges that principals now face and how could this be done ?
10. Which of these roles is regarded most highly by your appraiser and is emphasised in your appraisal:

CHIEF EXECUTIVE {EFFICIENT MANAGER}

or EDUCATIONAL LEADER {EFFECTIVE LEADER}

Are there any other comments you would like to add in this discussion ?

APPENDIX E
CODES FOR INTERVIEW QUOTATIONS

A	=	Balimore Intermediate School
B	=	Parklane Primary School
C	=	Concorde Primary School
D	=	Sunset Normal Primary School
E	=	Murrayfield Primary School
Q	=	Questionnaire
I	=	Interview
P	=	Principal
B	=	Board Chairperson
'96	=	1996
'97	=	1997
01-11	=	month of that year

APPENDIX F

POLICY ON STAFF APPRAISAL-BALIMORE SCHOOL

RATIONAL:

An effective school has clear directions and is well-motivated: effective staff appraisal supports these ends. Ongoing monitoring of performance is intended to achieve improved outcomes for children through sound professional development and commitment of staff.

PURPOSES:

1. To develop staff appraisal as part of a continuous process of targeting and evaluating the purposes of the school, and the role of each staff member in achieving these purposes.
2. To set up structures which will support appropriate targeting and evaluating for staff.
3. To provide strong direction to staff development programmes which are appropriate to individual and collective needs.
4. To emphasise personal development through thorough and well-directed self-appraisal.
5. To ensure that consistent review of performance is achieved through structures which are open, reciprocal, and positive.
6. To recognise personal achievement and give feedback.

GUIDELINES:

1. The basis for formal appraisal (appraisal for accountability) will be each staff member's job description.
2. Appraisal will be closely linked to staff development, and the requirement that identified needs are acknowledged and supported.

3. Each staff member has the right to training which will take account of appraisal outcomes.
4. Appraisal for accountability will be carried out during October on an annual basis.
5. The Principal's appraisal for accountability will be carried out by the Board's Chairperson.
6. The Deputy Principal's and second Deputy Principal's appraisal for accountability will be carried out by the Board Chairperson and the Principal.
7. Appraisal of all other staff will be done in self selected groups or pairs. The content is absolutely confidential to the group, or to the individual: the process must be discussed and put in writing for the Principal.
8. The board of Trustees will establish, through the Principal, that this policy has been carried out and will fund a training budget.
9. The Principal is responsible for seeing that appraisal for accountability is conducted by interview, is linked into the job description, is done on an annual basis, and that the Board of Trustees receives a written report that the staff members are carrying out their responsibilities.
10. The direct relationship between this policy and policies for staff development, and pupil assessment and evaluation is stressed.

FORMULATED BY:

REVIEW DATE:

REVISED:

APPENDIX G

PRINCIPAL APPRAISAL PROCESS FOR 1996-SUNSET SCHOOL

1996 PRINCIPAL APPRAISAL PROCESS	
<p>Step 1: Agree the Job Description February</p> <ul style="list-style-type: none"> - review school plan against job description - confirm performance agreement - confirm school development initiatives - confirm professional development plan - negotiate monitoring process 	<p>being reviewed</p> <p>present to Board actioned April as below</p>
<p>Step 2: Agree Monitoring Plan March-September</p> <ul style="list-style-type: none"> - set dates for regular meetings - agree peer appraisal - agree other forms of information gathering - agree self-appraisal format and timing - arrange ongoing communication - arrange ongoing support 	<p>Wednesday 1.30 pm-3.00 pm, initially weekly, then regularly</p> <p>agreed to ask a peer to provide specific feedback on targeted goals (Shirley McMillan-Rourke)</p> <p>as attached</p> <p>Ongoing. Use goal setting sheet and feedback on Job Description as above as above</p> <p>see professional development plan</p>
<p>Step 3: Prepare for Performance Review September-October</p> <ul style="list-style-type: none"> - agree interview time and format - collect feedback about performance - complete self-appraisal - complete comments on job description (achievement of expected results) - draft new job description - draft professional development plan 	
<p>Step 4: Interview and Report November</p> <ul style="list-style-type: none"> - participate in performance review interview - agree report - set step one dates for following year 	<p>report to Board re its completion. Advise Board members where their support is required</p>

APPENDIX H

PRINCIPAL'S PROFESSIONAL DEVELOPMENT GOALS FOR 1997

SUNSET SCHOOL

PRINCIPAL'S DEVELOPMENT 1997

1. Attend selected meetings which offer opportunities for ongoing training, information gathering, sharing.

Auckland Primary Principals' Association

North Shore Primary Principals' Association

Auckland University Principals' Centre (3 one day workshops)

Cost: Subscription mainly

2. Membership of Professional Development Group (with Principals of West Harbour, Forrest Hill, Glenfield Intermediate). Five meetings throughout the year, 2 hours per meeting. This group meets with a Massey University facilitator to explore issues we identify as important. Current research is assessed and circulated prior to meetings. We identify topics of interest/concern as the year progresses.

Cost: \$300

3. Attend the 2 day NZEI conference, Auckland, July 22-5 1997

Cost: \$300

4. Normal School Principals meetings and conference in Dunedin 20-22 April

Cost: \$850

5. Readings: ACE Library, SET, School Subscriptions

APPENDIX I

ACTION PLAN AND TIME FRAME FOR PRINCIPAL APPRAISAL 1996

CONCORDE SCHOOL

1.0 Introduction

- 1.1 The following plan was compiled on 4 November 1996 to facilitate the completion of the appraisal of the Principal, commenced by the previous Chairperson of the Board of Trustees prior to his resignation from the Board.
- 1.2 At the BOT meeting on October 24, the Board agreed that his appraisal be carried out by the member of the Board with responsibility for Personnel.
- 1.3 Principal, Board Chairperson and Board member (Personnel) met on Nov.4 and the following plan was agreed to:

2.0 Timeframe

- 2.1 7 November Checklist supplied to Leadership Team Meeting (Principal, Chairperson and Principal Appraiser) to discuss the three identified areas of the Principal's Performance Agreement
- Compliance with legal requirements
- Professional Leadership of the school
- Personal Professional Leadership
- 15 November Chairperson and Principal Appraiser meet with the Leadership Team to work through checklist
- 18 November Checklist sent to all BOT Members and PTA Chairperson

- 20 November BOT and PTA Chairpersons meet to discuss checklist at
7 p.m.
- 25 November Meeting between Principal, Chairperson and Appraiser to
talk through initial findings
- 29 November Chairperson and Appraiser meet to write draft appraisal
statement
- 5 December Principal, Chairperson and Appraiser meet to discuss draft
and amend as necessary
- 11 December Appraisal Statement presented to Board of Trustees
Meeting for signing off. No copies to be taken from meeting

3.0 Other Sources

- 3.1 Principal to contact the University for feedback on the Whole School
Development Course for Chairperson and Board member (Appraiser)
- 3.2 Principal will supply other professional contacts as required by the
chairperson and Appraiser.

APPENDIX J

PRINCIPAL'S JOB DESCRIPTION AND PERFORMANCE AGREEMENT

MURRAYFIELD SCHOOL

PRINCIPALS JOB DESCRIPTION

The Principal is the educational leader of the school and is responsible to the Board of Trustees for the educational management of the school.

The Deputy Principal and Assistant Principal assist the Principal in the day to day life of the school.

The Principals responsibilities are as follows:

1. **SCHOOL ORGANISATION**
 - (a) Development and implementation of general school policy.
 - (b) Organisation of classes and composition of classes.
 - (c) Control and allocation of school budgets.
 - (d) Development of an attractive and functional school environment.

2. **STAFF**
 - (a) Professional advice to Board of Trustees on appointment of staff.
 - (b) Responsible for overseeing maintenance of academic standards and professionalism.

3. **CURRICULUM**
 - (a) Responsible for curriculum development and allocation of specific responsibilities for subject area.
 - (b) Responsible for overseeing maintenance of academic standards and professionalism.

4. **PUPILS**
 - (a) Responsible for appropriate enrolment and placement of pupils.
 - (b) Responsible for pupil progress and welfare.
 - (c) Responsible for school tone and discipline matters.

5. **SCHOOL FUNCTIONS**
 - (a) Responsible for regular staff meetings.
 - (b) Attendance at meetings of Board of Trustees.
 - (c) Liaison with President of Parent Teachers Association.
 - (d) Attendance at school functions or representation thereat.

6. **PUBLIC RELATIONS**
 - (a) Responsible for all formal communication with parents.
 - (b) Responsible for all other aspects of public relations including contact with community organisations, professional bodies and media.

Principal's Performance Agreement

Effective from 1 January 1997

Review date October 1997

1. School Organisation

- Objective 1: Supervise the schools administration system.
- Outcome: An efficient and effective day-to-day operation of the schools system and structures.
- Objective 2: Assist Board to develop policies as required.
- Outcome: Sound policies developed for the school's benefit.
- Objective 3: Make recommendations to Board on personnel matters.
- Outcome: Members of the Board are informed on all staffing matters within the limits of their terms of reference and school personnel policy.
- Objective 4: Assist the Board and staff to develop sound financial plans.
- Outcome: School continues as a financially viable institution.
- Objective 5: Supervise the development of the school budget.
- Outcome: School resources will be allocated to pre determined needs as approved by the Board.
- Objective 6: Ensure accountability measures are in place.
- Outcome: School audits and school reviews are efficiently and effectively completed.

2. Staff

- Objective 1: Provide motivational leadership to staff.
- Outcome: Staff committed to achieving charter goals and school objectives.
- Objective 2: Supervise the appointment procedure.
- Outcome: Qualified staff will be appointed to every position and equipped with the skills necessary to perform to desired levels.
- Objective 3: Overseeing the professional development of teachers.

Outcome: Teachers becoming autonomous professionals with modern knowledge and skills.

Objective 4: Supervise performance appraisal process for staff.

Outcome: Performance appraisal implemented resulting in increased school effectiveness.

3. Curriculum

Objective 1: Develop the school curriculum.

Outcome: The school scheme will be developed and kept current and relevant.

Objective 2: Delegate team leadership operations to senior staff.

Outcome: Class teachers guided towards effective teaching by team leaders.

Objective 3: Delegate subject responsibilities

Outcome: Staff involved in subject development including scheme, programmes, evaluation recording, reporting and resources.

4. Pupils

Objective 1: Exercise responsibility for the implementation of the schools policies.

Outcome: Pupils' welfare and learning opportunities are maximised.

Objective 2: Ensure the achievement of charter aims and objectives.

Outcome: Children learn to the best of the schools ability.

Objective 3: Supervise the development of an annual curriculum delivery plan.

Outcome: Pupil needs are evaluated and planned for.

5. School Functions

Objective 1: Assist the Board to co-ordinate school fund raising.

Outcome: School fundraising is purposeful and appropriate.

Objective 2: Liaison with parents individually and collectively.

Outcome: Parents are kept informed as to current happenings at the school.

Objective 3: Co-ordinate staff efforts on behalf of the school.

Outcome: Team effectiveness is high and recognised.

6. Community Relations

Objective 1: Report children's progress and achievement to parents.

Outcome: Teacher, parent liaison is maintained and effective in increasing children's learning.

Objective 2: Assist staff and Board to develop policies and plans which will enhance the school's standing in the community.

Outcome: Community support for the school is enhanced.

Objective 3: All school media publicity is made in accordance with school policy.

Outcome: The wider community is made aware of the beliefs and needs of the school.