An evaluation of the
teacher appraisal system
in current use at Kapiti College.

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ABSTRACT

Kapiti College changed its teacher appraisal system over the last two years from a peer appraisal model to a hierarchical model.

This research examines the reasons for the introduction and refinement of teacher appraisal in education sectors, predominantly in New Zealand secondary schools, but within the context of other English-speaking nations.

A review of the literature on the topic indicates that there is a great deal of disagreement about the value of teacher appraisal, depending on the way in which teaching itself is regarded. Even for those who do recommend the use of teacher appraisal, there remains the issue of ascertaining the purposes of this appraisal. Is it possible, for example, to combine appraisal for professional development with appraisal for accountability?

This literature review generated twelve research questions. A survey of the teachers employed at Kapiti College, an analysis of school documents and an interview with the principal provided the following information based on these twelve questions.

Professional development was under-emphasised because of external time-constraints, due to the **emphasis on remuneration.** It would be relatively simple to strengthen the links between the appraisal system and professional development for individual teachers.

Focus on teacher competence was generally seen as the least important aspect of the new process. However, there were some findings that indicated that teachers believed that the division between competence procedures and appraisal was not well-defined. Most teachers considered their own appraisal process to have been done **fairly**. Most also had reservations about how fair it would be for others.

The principal and staff were all well aware of the impact of the new system **on the culture** of the college. Not all appraisers felt confident or well-prepared in their role of appraising others, and so there was some damage done to **professional relationships**.

Nevertheless, there was also considerable growth for many people, with positive and focused professional discussion on matters of importance to the appraisee.

It is difficult to see how an **improvement in student learning** could be directly ascribed to a change in teacher appraisal, because educational changes do not happen in an isolated fashion.

The new principal had already begun the **change process** towards a hierarchical system when this change was imposed externally and accelerated. The principal regarded the change as very important. In general, the staff did not regard it as very important. Because the pace of change was accelerated on account of external requirements, the change was not managed as well as it could have been. There was a distinct difference in the knowledge of the change process between those who were appraisees only and those who were both appraisers and appraisees.

A number of appraisers gained **new information** but most appraisees did not consider that they had learnt anything new about their teaching.

A small majority of teachers considered that the **time spent on appraisal** was worthwhile.

Summative comment.

New Zealand law now requires a teacher appraisal system. There were many strengths to the system implemented at Kapiti College in 2000. Some refinements could now be made to strengthen the professional aspect of appraisal. These could include:

- Discussion by all staff of the nature of teaching and, consequently, of key factors in a teacher appraisal system.
- Training of appraisers in dealing with the "hard issues".
- The development of stronger systems for professional supervision of teachers. These systems should be quite distinct from teacher appraisal.
- Development of stronger links between teacher appraisal and individual professional development.
- A change of frequency for teacher appraisal to once every two years.

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Chapter One

Introduction

This study was first proposed in August 1998, when Kapiti College had a peer appraisal system in place. This system was criticised by the Education Review Office (1998). At that time the writer was the staff representative on the Board of Trustees, having returned to classroom teaching after a four-year break as an educational consultant and writer. One of the most notable changes in the culture of education was the increased accountability through a variety of systems, including appraisal. The writer was interested in this change and proposed to focus on this area for this thesis. The board, principal and staff of Kapiti College were all extremely supportive and were prepared to be identified in this work (see Appendix D4 for board minutes and Appendix C4 for writer's memo to teachers).

The principal of Kapiti College resigned at the end of 1998 and a new principal was appointed. One of his first actions was to review the appraisal system and begin to move towards an hierarchical system. He was overtaken by external events and the pace of change accelerated to meet contractual agreements made between the Ministry of Education and the Post Primary Teachers' Association.

The study of a single appraisal system thus began to involve a number of intermingled factors, including political and ideological changes in New Zealand education in the late nineties, the impact of the change of principal in a college and the dynamics of introducing and enculturating change which is imposed from outside the school.

A fundamental issue lies at the heart of the question of teacher appraisal – what is the nature of teacher accountability? This can be further broken down into a consideration of the purposes of teacher appraisal – but even the purpose of professional development is directed towards meeting some sort of target, and therefore involves accountability. It can also be broken down to a consideration of the people to whom the teacher is accountable, and this issue is explored in some depth.

A review of the literature revealed a wide range of opinions about the effectiveness of teacher appraisal, reflecting a diversity of views about the nature of teaching and emphasising the link between such practices as appraisal and the culture of the school.

This literature review, together with the writer's own experience in education as a teacher, a consultant, a post-graduate student and a board member, led to the formulation of twelve research questions. Ethical issues were dominant in deciding on the methodology of this research. Because the researcher has been in so many different roles, it was extremely important to minimise conflict of interest and influence on others. Each of the research questions was broken down into statements for two surveys distributed to teachers at Kapiti College and returned anonymously. The same research questions, together with the results from the teacher surveys, generated interview questions for the principal of Kapiti College. There was also documentary evidence available that was relevant to ten of the research questions.

The anonymous surveys required responses based on a Likert-scale and so were able to be analysed quantitatively. Additional written comments from teachers, the principal's interview replies and the relevant documents provided qualitative data, which was analysed with reference to the original research questions.

There were significant limitations to the study. In the first place, it was based on one New Zealand secondary school over a period of two years. It is not possible to generalise to other institutions or times from this study, but it is possible to see whether the data collected is consistent with other research findings. It is also possible to reflect on the practice in this one institution and to comment on the impact of external forces on internal practices. In the second place, there were severe limitations on following up data because of ethical considerations. Teachers were guaranteed anonymity and strict protocols were used to assure this anonymity. The response rate to surveys (66%) was very pleasing, possibly as a result of this guaranteed anonymity, but it was frustrating to be restricted from following up on many of the responses with the respondent. This second limitation meant that in many cases the survey data revealed glimpses of what was now happening, and what people now thought, but the reasons for this opinion, or the evidence which led to the conclusion was not available. The third limitation lay with

the researcher and his role in Kapiti College. This is discussed at length in the ethics section of the chapter on methodology but essentially, it revolved around two factors: personal bias and conflict of interest.

The thesis begins with a review of the literature on teacher appraisal with emphasis on New Zealand findings, but also with reference to developments in Australia, Canada, the United States and the United Kingdom. This literature review forms the basis of the research questions and the methodology of the study. This methodology is described in Chapter Three. Chapter Four deals with the study's findings and these findings are discussed in Chapter Five prior to the conclusion in Chapter Six. Chapters Four and Five are structured around the research questions.

Chapter Two

Review of the Literature

1.   Putting teacher appraisal in context

The introduction of teacher appraisal is not an isolated event, according to Duke (1995). It needs to be viewed in the socio-political context of New Zealand education in the last fifteen years of the second millennium. This context includes attitudes towards the nature of the teaching profession. In turn, events in New Zealand need to be seen in the context of international events and trends.

Within New Zealand, the election of the fourth Labour Government heralded a radical change in the way in which the State acted in many ways, not least of all education, as described by Codd (1990). In 1987, the Prime Minister, David Lange, assigned himself the portfolio of education and within two years *Tomorrow's Schools,* with self-governing schools, was a reality. Education Boards, the Inspectorate and the Department of Education were no longer. The Ministry of Education would be responsible for national policy, but locally schools would be under the control of Boards of Trustees, the employer, and principals, who were the Chief Executive Officers of the schools. This put principals in a dual role – as lead professional and as employer – a role which led to tensions, not least in dealing with staff and their performance, according to Notman (1995) and Collins (1997). Prior to 1989 the evaluation and professional development of teachers had been part of the work of inspectors, employed by the Department of Education and with responsibility across a range of schools for both making professional judgements about teachers and offering advice and support (Cardno and Piggot-Irvine, 1997). Now that inspectors had been abolished, principals were expected to undertake this task of evaluation and professional development within their own school and without the same ability to cross-reference (Sullivan-Brown, 1997).

In parallel developments, principals were not left full autonomy. The Education Review Office was set up and charged with reviewing schools and their structures on a triennial

basis. The Teacher Registration Board, the Ministry of Education and the State Services Commission also had supervisory powers and, at times, competing agenda, according to Collins (1997). Principals, together with others in public service, were dealing with increasing demands for accountability, as described by Edwards (1991) and Duke (1995), across a range of areas including the students and parents, the local community, the Ministry of Education and the Government (Caldwell and Spinks, 1992).

In New Zealand, these forces (Collins, 1997) led to the writing and eventual gazetting of Performance Management Systems (Fancy, 1996) which made teacher appraisal mandatory in all schools in New Zealand. In 1999 the New Zealand secondary school teachers' union, the Post Primary Teachers' Association, and the Government developed and promulgated new professional standards criteria for appraising teachers and, for the first time, these were linked with pay increases for fully experienced teachers. (Ministry of Education, 1999a.)

These developments in New Zealand were running parallel with similar developments in other countries – especially in England and Wales, described by McMahon, (1994); the United States, discussed by Duke (1995); Canada (Hickcox, 1988) and Australia, described by McRae (1994) although there are different factors involved in each. One thing that all countries had in common, according to Middlewood and Lumby (1988) was that the introduction of appraisal of teachers was considerably later than the introduction of appraisal in businesses.

Developments in teacher appraisal in England and Wales took place over a much longer time-span than in New Zealand, first originating in 1977 and with a determined effort during the 1980s. However appraisal was not made a legal requirement until 1991 (McMahon, 1994; Poster and Poster, 1991; Wragg *et al.*, 1996). McMahon (1994) shows that factors such as the existence of Local Education Authorities, the struggle between the Conservative government and the teacher unions, and the development of national curricula with all of the implementation required for these led to the delay in the implementation of teacher appraisal.

In the United States and in Australia, the situation was different from New Zealand's because of the autonomy of each state, as discussed by McRae (1994) and reflected in

the table of contents in Duke (1995) which mentions distinct appraisal systems in North Carolina, Connecticut, Louisiana and Washington State.

In the United States, also, according to McLaughlin and Pfeifer (1988), there has been a tradition of quantitative evaluation of teachers based on such things as student achievement scores. There has also been a greater emphasis on summative outcomes, rather than on professional development (Poster and Poster, 1991; Duke and Stiggins, 1990). Since 1980 there has been a new emphasis on improving the quality of teachers in order to improve educational outcomes, and this has led to greater importance being placed on teacher evaluation, as discussed by Darling-Hammond (1990) and Popham (1988).

Boyd (1997) showed how New Zealand's small size, its implementation of *Tomorrow's Schools* and its succession of governments pursuing a market-led economy in which consumers must have maximum choice in education have all led to a rapidly implemented and relatively uniform legal requirement for teacher appraisal which has a high emphasis on teacher accountability.

There have been, however, other influences at work in the area of teacher appraisal – both in New Zealand and overseas. Standard texts about human resource management, such as Rudman (1999, 379) discuss the areas of conflict in performance appraisal between accountability and professional development and between the organisation's goals and the employee's goals. Emphasis on professional development has been particularly strong in Australia, according to McRae (1994), and in England and Wales, due largely to strong union pressure on the Conservative government (McMahon, 1994). In New Zealand, schools which introduced teacher appraisal prior to 1992 tended to do so for professional development reasons, with teacher accountability being only the fourth-ranked reason, according to Calder (1992). Teachers in schools which introduced appraisal also overwhelmingly believed that professional development reasons should have priority, with fewer than 10% of those surveyed believing that appraisal should lead to rewards and promotions (Irons, 1993).

In education, those who have been advocating school improvement, such as Hopkins *et al.* (1994), Barth (1990), Stewart (1997) and Collett (1997), have also seen the potential

for teacher appraisal to assist in school improvement by changing the culture of the school. However, both Stewart and Collett believe that this potential is undermined by the current New Zealand Government focus on individual accountability, which goes against the requirement for teachers to work in teams. There are already pressures within schools that militate against teams, according to O'Neill (1997a), implementing the same government's requirements regarding implementing *The New Zealand Curriculum Framework*. One of the main focuses of this study was to examine the way in which this tension between individual accountability and work on school improvement is seen and dealt with at Kapiti College.

The trend for schools to follow business methods is questioned by Sergiovanni (1996), who states that principals should not lead and manage in the same way that business leaders do. The same relationships do not apply and so the same management practices should not. Writers such as Senge (1990) are challenging businesses about the value of a "top-down" model where everyone follows the orders of the "grand strategist".

A number of writers, including Wise *et al.* (1985) and Popham (1988) maintain that it is absurd to try to appraise teachers with a strong and agreed theoretical basis about what good teaching involves. We all think we know what makes a good teacher, but when we have to articulate these views, we may not necessarily agree, according to Edwards, (1992a). There are also tensions between "increased levels of public accountability and an appropriate degree of professional autonomy" (O'Neill, Middlewood and Glover, 1994, 21; Edwards, 1991). A teacher appraisal system "can either reinforce the idea of teaching as a profession, or it can further deprofessionalize teaching, making it less able to attract and retain talented teachers" (Wise *et al.* 1985). Wragg *et al.* (1996) maintain that all aspects of appraisal are deeply coloured by attitudes and values held in a pluralist society– towards education, towards teachers and teaching and towards economics.

2. Definitions and purposes of appraisal

It is clear, therefore, that there are a variety of definitions and purposes of appraisal, depending both on management and leadership theory, as articulated by Barth (1990) and Sergiovanni (1996), and on theory concerning whether teaching is a form of labour,

a craft, a profession, an art or some mix of these, as discussed by Wise *et al.* (1985). The definitions of appraisal will themselves highlight, or perhaps gloss over, some of the tensions already referred to. Ondrack and Oliver (1988) report on a wide range of purposes for appraisal, including professional development of individuals and groups, accountability of individuals and groups through a fair process, supervision and motivation of personnel and gaining information for personnel decisions and for influencing the organisation's methods of operating. They emphasise the need for prioritising among these purposes and suggest that it is practically impossible to meet them all in any one method.

At first sight, a fundamentally different view is put forward by Poster and Poster (1991) whose definition emphasises a unified approach: "Appraisal is a means of promoting, through the use of certain techniques and procedures, the organisation's ability to accomplish its mission of providing a better service or product while at the same time enhancing staff satisfaction and development" (p.1). However, they do go on to state that no one system can deliver all of the claimed benefits for appraisal because of the tensions between these benefits. They urge policy makers to be clear about the purposes of their appraisal system and construct a system that will be faithful to these purposes, even at the cost of losing other possible benefits. Clarity in purpose and strong congruence between purposes and methods of evaluation are also emphasised by Iwanicki (1990), who lists four purposes as being accountability, professional growth, school improvement and selection of the best qualified teachers.

Musella (1988, 177) is strong in his emphasis on organizational effectiveness, defining performance appraisal as "the process by which an organization supervises and monitors an individual employee's behavior and accomplishments for the purpose of improving the organization's effectiveness." He goes on to argue strongly for clarity of purpose in performance appraisal, and for structures to be consistent with the stated purposes, which will probably include "accountability with respect to personnel performances, and goal-directed improvement with respect to school and/or organizational effectiveness" (*ibid.*, 179).

One of the strongest views about the combination of the two main functions of appraisal is put forward by Popham (1988) who states: "that combination [of formative and

summative evaluation] constitutes a classic instance wherein the coalescing of inherently contradictory functions renders both dysfunctional" (p322). In New Zealand, this view is shared by Peel and Inkson (1993).

Bailey (1997) also feels strongly that the different purposes of appraisal demand different and separate structures, with different appraisers involved. His work is based on seven years' experience as principal of a New Zealand school. He found that when there was any confusion between the purposes of appraisal then staff tended to become defensive and less open to discussion and growth. He is strongly in favour of the system currently in use in his own school, which puts greatest emphasis on professional development. In order to meet New Zealand legal requirements, the school also has a separate system to meet demands for accountability.

Things are not quite so tidy in reality, according to McRae (1994). He suggests that there are three influences involved in teacher appraisal: increasing control of teacher's work; setting professional standards and career paths and improving the quality and effectiveness of teaching. These three influences overlap and become blurred, and in doing so they also blur the distinction between summative and formative appraisal to the extent that these words are not as helpful as they have been.

There is obviously scepticism about whether it is possible to have a single evaluation system that tries to join both accountability and professional development goals. McLaughlin and Pfeifer (1988) sought to investigate whether this combination was possible and effective by examining the evaluation systems in American school districts, which were attempting to join accountability and improvement of teachers. They concluded that a single teacher evaluation system can serve both accountability and improvement goals, as accountability "occurs through strategies based in improvement or learning" (p135). There are several pre-conditions to the successful merging of these purposes and these will be discussed later. McLaughlin and Pfeifer argue strongly for the two purposes to be combined, arguing that a punitive regime based on accountability only can actually frustrate competent teachers to the point of departure and protect incompetent teachers as they learn not to take risks in their teaching in an effort to hide their incompetence.

3. Appraisal for accountability

This is also known as summative appraisal and "has as its primary function ... the determination of a teacher's competence – not the augmentation of that competence" (Popham, 1988, 322).

This view, however, takes us straight into the world of "contractual accountability" to one's employers and those who provide funding; as opposed to "moral accountability" to one's students and "professional accountability" to one's colleagues and to teaching as a profession, as discussed by Barton *et al.* (1980). The distinction between these different forms of accountability recurs throughout any discussion of teacher appraisal, such as those written by Barth (1990), Ker (1994) and Sergiovanni (1996), and reflects a variety of views about the nature of teaching and hence the methods that should be used to help improve teaching.

While *Performance Management in Schools* (Fancy, 1996) states that teacher appraisal is to have a professional development orientation, there are nevertheless strong forces of contractual accountability at work, as seen in the requirements for annual appraisal for each teacher and for the provision of a process for dealing with disputes. There has been a steady increase in the relative importance of accountability in teacher appraisal in official Ministry of Education documents from 1995 through until 1999.

The *Draft National Guidelines for Performance Management in Schools* (Ministry of Education, 1995) mention seven purposes for the introduction of mandatory teacher appraisal. Accountability is only one of these and it is listed last. However, it is made clear that the appraiser is normally to be the person to whom the appraisee reports, thus introducing a strong hierarchical flavour. At this stage, however, the appraisee could decide on the objectives they would like to develop.

The accountability aspect is made even clearer in the Ministry of Education's supplementary guidelines (Ministry of Education, 1997a) which deal with appraisal of the principal. These specifically state that there is a two-fold emphasis to the appraisal: accountability and development, but place accountability first.

This trend applied to all secondary school teachers in 1999 (Ministry of Education, 1999a) where pay was linked to the results of appraisal (p5). The language used on page 5 is highly indicative of a summative and legal requirement, with repeated use of the word "required" or its derivatives. This is in keeping with the managerial discourse (Neville, 1997) of its parent document, *Performance Management in Schools* (Fancy, 1996). Furthermore, the inclusion of specific criteria for quality teaching and the suggestion that schools may like to "develop performance indicators to clarify performance expectations" (Ministry of Education, 1999a, p5) are reminiscent of "management by objectives", with all of the lack of flexibility and responsiveness to local culture that this implies, as explained by Rudman (1999). This lack of flexibility includes the removal of the appraisee's right to select the objectives for focus; they are now to be appraised against all the objectives. This is a clear example of the demands of accountability superseding the requirements of professional development: the teacher must show competence in all areas, as opposed to the teacher choosing to focus professional development in one area. This requirement also seems to negate the 1995 statement: "the performance management systems are not being introduced as a mechanism to check on minimum competence or to replace competency procedures" (Ministry of Education, 1995, p 8).

The issue of accountability in teaching is a complex one which can be traced back to public calls for greater quality in teaching in firstly the United States and then in the United Kingdom in the early 1970s (Poster and Poster, 1991). Holdzkom and Brandt (1995) go further back and relate unsuccessful attempts to impose accountability on teachers in North Carolina as early as 1946 and Montgomery (1999) refers to the period between 1872 and 1902 when there was payment by results. In Britain the teacher appraisal system was introduced with a professional development focus in 1991, in part to deal with the teaching profession's difficulty in obtaining feedback about teacher effectiveness (Hargreaves, 1980) but in 1996 Ofsted was calling for it to "address a number of current weaknesses in accountability" and to be more closely linked with pay or promotion (HMCI, 1996, 25). Such a development is regarded as natural by Middlewood (1997).

However, Bevan and Thompson (1991) warn that, even in a business environment driven by the "bottom line", over-emphasis on appraisal for reward and remuneration, as opposed to that for development, can lead to short-term planning and so reduce the effectiveness of organisations in the long term through lack of attention to development issues. This is an important warning when one considers the current legal requirement for annual appraisal of teachers.

According to Strike (1990), liberal democratic societies favour two methods of accountability – the first is consumer choice. When this is not seen to provide sufficient accountability, then the second method is democratic control. In New Zealand, these two methods can be seen in action in the trend towards consumer choice in education, shown by such things as the abolition of zoning (McCulloch, 1990) and the control of schools resting with Boards of Trustees which are elected by the parents and caregivers. Accountability for school performance, therefore, rests with the Board of Trustees, the employer of the teachers and the principal, although the "implementation of the appraisal policy and process is to be formally delegated to a professionally competent person or persons" (Fancy, 1996). In theory, then, there is a straightforward line of accountability – from the teacher to the principal, to the Board of Trustees, to the community of parents and caregivers.

However, it is not quite so simple in practice because, according to Handy (1986) and Sayer (1989), schools are much more complex than single-purpose institutions. If we follow Sergiovanni (1996) and view schools as communities rather than as organisations, then a whole new set of relationships, which are not neatly hierarchical, come into play. Firstly, there is the fact that teachers themselves work within the community of parents and caregivers and so form personal relationships with them as individuals. These relationships are close because of the mutual interaction regarding the education of the child. This is often further complicated by the fact that these interactions may have been duplicated with siblings or may even be reciprocal – where one teacher teaches another teacher's child and vice-versa. As a result, a teacher may feel accountable to a multitude of bosses, the parents and caregivers of the children s/he teaches (O'Neill, Middlewood and Glover, 1994). This is close to the "moral accountability" of Barton *et al.* (1980). In businesses, public accountability is almost

always via senior management – rarely will a member of the public confront an individual employee.

> In public schools, there is a far greater public scrutiny of the work of individual teachers, and the public is as likely to confront the individual professional as to confront the management of the organisation... The impact of these differences in concepts of accountability is that teacher appraisals have to be more sensitive to public accountability than do most appraisals in business organisations. This raises an aspect of the complexity in teacher evaluations that is not generally found in business organisations (Ondrack and Oliver, 1988, pp 48f).

To whom, then, is the classroom teacher accountable? There are many possible answers to this question because of the richness of the interactions within education. Darling-Hammond (1990) distinguishes between public and client accountability. This dual distinction can be further elaborated. The classroom teacher can be held accountable to the students, to the parents, to their colleagues, to their immediate superior, to the principal, to the Board of Trustees, to the local community, to the Government, through the Education Review Office which has insisted on access to written appraisal records, (Matheson, 1996). Collett (1997) believes that, in New Zealand, the Performance Management System has been introduced for political accountability but some schools prefer to have accountability to students and parents.

Secondly, there is the fact that teachers do not work in isolation. Each teacher is not the only influence on a child's development and education.

> It has been strongly argued in the literature on teacher evaluation that individuals cannot be held accountable for results in the public education system because there are too many uncontrollable factors or extenuating circumstances. Instead the teacher is seen as just one of many actors in an environment which ultimately produces some form of education" – (Ondrack and Oliver, 1988, p 48).

Snook (1990) goes even further, believing that holding educators accountable for individual student's failure to learn is similar to holding a doctor responsible for the poor health of an individual patient.

This holds true regardless of whether the school has a strong team culture or not. The quality of learning in the classroom of the individual teacher is influenced by factors such as the regard for education at home (Wise *et al.*, 1985) and in the local community (Hopkins *et al.*, 1994), a supportive climate within the school (Hopkins *et al*, 1994;

Wise *et al.*, 1985), the relationship between the teacher and the principal (Barth, 1990), external support for the school and a system for monitoring performance and achievement (Hopkins *et al*, 1994) and the dynamics of human interaction between a particular teacher and particular students (Wise *et al.*, 1985) as well as other factors which may influence individuals students, such as their exposure to the mass media, the quality of their friendships and their relationships at home (Wragg *et al*, 1996).

Collett (1997) maintains that it is even more inequitable to hold teachers individually accountable when the school culture is organised around team. To pursue a model of individual teacher accountability is actually working against the culture of the school and so is counterproductive, as evaluation works against collegiality, according to Barth (1990). It follows a managerialist model which is educationally unsound and is harmful to the organisational culture of schools, as discussed by Codd (1990). Accountability, however, can be applicable to the team or group, according to O'Neill (1997) and Duke (1995b). The whole drive towards accountability cannot be pigeonholed into an hierarchical system where those who don't perform are blamed, according to Tacheny (1999). Instead, true accountability requires a change in culture, the provision of support and the articulation of values. These points will be elaborated in the section on the importance of school culture.

4.   Appraisal for professional development

The Performance Management System in New Zealand requires all schools to ensure that policies and procedures for the appraisal of teacher performance have a professional development orientation (Fancy, 1996). This follows earlier New Zealand work (Principals' Implementation Task Force, 1990) emphasising a focus on teaching and learning, the identification of individual development needs and the allocation of resources to follow through the appraisal process. Above all, this document calls for a supportive environment and for staff ownership of the appraisal process.

In the United States, there has been a trend towards increasing the emphasis of teacher appraisal on professional development (Duke, 1995a, 1995c). In Connecticut, this has meant altering the appraisal system from a one-year cycle to a three-year cycle to allow time for real professional growth, with appraisal occurring in only one of the three

years, according to Iwanicki and Rindone (1995). In Louisiana, it means that State policy requires two separate appraisal systems: one for professional development and one for accountability, while North Carolina, Connecticut and Washington State allow for two systems (Duke, 1995c). This follows research which shows that when a single system is used for both professional development and accountability, the accountability factor tends to dominate and can actually inhibit teachers from taking risks and growing professionally (*ibid.*) and so the system becomes dysfunctional and counterproductive, according to Popham (1988).

In England and Wales, the teacher appraisal system was introduced as being solely for professional development (*ibid.;* McMahon,1994) as "the emphasis was primarily on the development of the performance of individual teachers" (HMCI, 1996 p 7). This was based on a two-year cycle (*ibid.*) as opposed to New Zealand's annual cycle.

In New Zealand, schools which introduced appraisal schemes before they were mandatory tended to have a strong professional development focus, with over 75% of high school principals from a sample of 82 (Peel and Inkson, 1993), 66% of secondary principals from a sample of 188 (Timperley and Robinson, 1996) and over 90% of the sample of 55 primary school teachers (Irons, 1993) believing that the professional development aspect of appraisal was more important than the accountability aspect, or, in the case of Timperley and Robinson (1996), more important than the combination of professional development and accountability.

Some commentators believe that there is enormous potential for professional development in teacher appraisal.

> Teacher evaluation can be a routine, pro-forma activity with little utility for what goes on in schools, or it can be an important vehicle for communicating organisational and professional norms and for stimulating improvement (Darling-Hammond, 1990).

Even those who are most sceptical about the value and validity of teacher appraisal, such as Popham (1988) do not oppose the use of appraisal for professional development but there are significant doubts from many writers, including Popham (1988), Barth (1990), O'Neill (1997), Collett (1997) and Sergiovanni (1996), about its value if it is

linked with individual accountability as these two functions may be counter-productive with each other or with the ethos of the school.

5. A unified appraisal system?

The New Zealand Performance Management System (Fancy, 1996) mandated a unified appraisal system, incorporating both professional development and accountability factors. This system required each individual teacher to be appraised at least once every 12 months and it anticipated that there could be disputes – these requirements and provisions reflected a focus on accountability. There were also features of professional development: the teacher was to be consulted about the choice of appraiser, the teacher was to be consulted in the writing of performance expectations, assistance and support was to be provided, there had to be self-appraisal and the overall policy had to have a professional development orientation. Several of these aspects, including the selection of appraiser, the use of group-based professional development and the provision of assistance and support, were examined in some detail in the Ministry's publication on Performance Management Systems (Ministry of Education, 1997c). It was also envisaged that individual schools would set their own standards of performance, provided that these standards were at least as high as those of the Teacher Registration Board (Ministry of Education, 1997b).

Changes in 1999 (Ministry of Education, 1999a) have altered the balance between accountability and professional development as is shown in the following table:

Accountability Features	Professional Development Features
(Those in italics indicate additions made in 1999; the others are from 1996)	*(Those in italics indicate changes made in 1999; the others are from 1996)*
• Each teacher to be appraised every 12 months	• Teacher to be consulted about choice of appraiser *(Use of word managers implies hierarchical appraisal)*
• Anticipation of disputes	
• Provision for initiating competency procedures	• The teacher is to be consulted in the writing of performance expectations *(Professional standards now written for all teachers – any others are an add-on)*
• *"Enable a stronger link between performance and remuneration" (Ministry of Education, 1999a, 5)*	
	• Assistance and support is to be provided
• *Provision for deferred progression in salary*	• The overall policy is to have a professional development focus.

Table 2.1 Accountability and professional development features in Ministry of Education documents, 1996 and 1999.

There is widespread agreement among writers, such as McLaughlin and Pfeifer (1988), Musella (1988), Popham (1988), Poster and Poster (1991), Edwards (1992a), O'Neill, Middlewood and Glover (1994), Cardno and Piggot-Irvine (1997) and Bailey (1997), that there is a tension between the requirements of appraisal for accountability and appraisal for professional development.

However, there is profound disagreement about whether this tension can be profitably managed within the one system, as argued by McLaughlin and Pfeifer (1988), Edwards (1992b), in a reversal of his previous opinion, (Edwards, 1992a) and Cardno and Piggot-Irvine (1997). Duncan (1999) is perhaps the most optimistic of all, arguing that the New Zealand secondary teachers' professional standards provide

> an opportunity for teachers to begin to recapture control of education... Professional standards may have purposes other than that of reinforcing professionalism, but if they are operated by educators with the goal of supporting high standards of professional practice, then their operation will be beneficial to both secondary teachers and their students. (p38)

In this he is supported by Bunker, the secretary of the New Zealand Post Primary Teachers' Association, who wrote to all principals of secondary schools in New Zealand regarding the introduction of Professional Standards in late 1999: "The present exercise provides an opportunity for teachers to reassert their ownership of professional issues" (Bunker, 1999, 3). Timperley and Robinson (1996) believe that a unified system is the only practical and legal way of managing teacher appraisal in New Zealand and that professional development must be based on accountability, or else it lacks focus and can even be a waste of resources.

On the other hand, Wise *et al.* (1985), Popham (1988) and Bailey (1997) have argued that these two functions are so diametrically opposed that they destroy each other. Wise *et al.* base this statement on the nature of the criteria required. For professional development purposes, they say, there should be different criteria for each teacher, taking them from where they are now and indicating areas for individual development. For accountability, however, there should be standard criteria that apply to all teachers, so that comparison is seen to be fair.

This disagreement between the experts, as to whether teacher appraisal can serve two purposes at the same time, has led to the wording of several questions in the questionnaire distributed to teachers at Kapiti College to check whether they perceive it to be possible to combine appraisal for both accountability and professional development in their own particular circumstances.

It would appear, however, that school and school system culture (McLaughlin and Pfeifer, 1988) or the ability of the organisation to learn (Cardno and Piggot-Irvine, 1997) is a vital factor influencing the success of teacher appraisal schemes which attempt to combine accountability and professional development. This aspect is investigated in interviews with the principal of Kapiti College.

6.   The over-riding importance of culture

"Unless we address the issue of school culture in a direct way there is little chance that school improvement will be achieved." (Hopkins, Ainscow and West, 1994, 85)

Legge (1989) states that the management of culture is now a central activity of senior management. She goes on to suggest that, if this is the case, then senior management must have a number of means to manage the culture, appraisal being one of these, and that these Human Resource Management techniques should be in keeping with the culture of the organisation. This resonates well with what others write about the creation of a culture within a school, and there is a great deal of consonance in their message. Bevan and Thompson (1991) found that an important objective for businesses using a Performance Management System was to change the culture of the organisation.

Sergiovanni (1996) points out that schools are fundamentally different from businesses and that different types of leadership are required, based on moral connections that are more closely linked with families than with businesses. This type of leadership frees schools from an hierarchical approach and allows them to develop a more collegial relationship (Barth, 1990) with strong adult relationships based on a community of learners. If strong line-management and "hard" human resource management techniques

are applied to schools, then these may militate against the very culture of learning within the institution (O'Neill, Middlewood and Glover, 1994), creating an atmosphere of conservatism rather than one of creativity (Edwards, 1991).

Hopkins, Ainscow and West (1994) maintain that school improvement occurs when a school uses change that has been forced upon it as a catalyst for re-examining its own practice and working through an improvement that has direct repercussions on the quality of teaching and learning in the classroom, affecting individual teachers and learners. They maintain that recent research strongly indicates that schools can make a difference to students, and that school staff can move the culture of the school. They also demonstrate that schools have four possible reactions to the management of change:

- they can accept all change, without testing whether it will be good or bad for the school and its culture
- they can reject, resist and delay all change
- they can reject, resist and delay change which would be of value to the school while accepting change which is of little or no value to the school
- They can test change and accept that which is good for the school and reject, resist or delay that which is bad.

Hopkins *et al* maintain that schools should take the last of these possibilities and work to ensure that change is carried right through into the classroom and that it does make a difference to student learning.

Musella (1988, 177) also considers that it is not enough to have appraisal systems which focus "on improving individual performance and/or meeting the needs of accountability rather than improving school effectiveness."

Loader (1994) provides a real-life example of such a culture shift through the introduction of an appraisal system in the school of which he is principal:

> From this the realisation emerged that teacher evaluation provided a means for modifying a school culture, refocusing a school towards a different destination and creating a new workforce skill profile. ...

> The emphasis is now on learning and a new interest in the teacher as learner. This is not just a change from inputs (teaching) to outputs in education (student learning). Rather it is a paradigm shift in conceptualisation of the school. Now

the school is to be seen as a learning community, with the main activity being learning, not teaching. (Loader, 1994, 236f)

This comment is checked with the principal of Kapiti College in his interview but evaluating the successful implementation of teacher appraisal could only be done properly after a number of years.

Within the New Zealand educational sphere, Mak (1995) has emphasised the importance of studying culture in schools and of the ways in which the principal can influence the culture of the school. McLellan and Ramsey (1993) and Good (1997) have also linked formative teacher appraisal with the school culture, with Good stating that a strong school culture will "alleviate the need for traditional forms of supervision and control" (p 65). He emphasises the principal's role in articulating and promoting the school culture and states that "any appraisal process adopted by a learning community must be demonstrably compatible with the culture of that community by reflecting underlying values and assumptions". (p77) This is because the appraisal process itself influences and reinforces the school culture.

This is generally true, according to Rudman (1999) and not just confined to schools:

> The key to successful performance management is not a performance appraisal or performance planning and review system. Rather, performance management processes are likely to be most effective:
> - when senior managers have a clear and shared understanding of where they want to lead the organisation and how they want to achieve its objectives
> - when all the management and human resources practices are working together to influence individual and collective behaviour to support the organisation's strategy.
>
> If, for any reason, those two circumstances do not or cannot exist, it would probably be better to delay the introduction of a performance management system." (Rudman, 1999, p 376.)

Rudman has been quoted at length, because his words have been used to provide the definition of performance management in the Ministry's own documents (Ministry of Education, 1995 p 5) and he is currently recognised as a leading New Zealand authority in the area of performance management for businesses. His cautions have not been heeded by the Ministry in their uniform mandating of Performance Management for all New Zealand schools, effective from 1 January 1997 (Fancy, 1996).

Educational theorists also agree with Rudman: "Our contention is that effective teacher evaluation programs are productive to the extent that they are consistent with and integrated into the organizational context of the school system and its schools." (Iwanicki and Rindone, 1995, p78)

This is echoed by the Ofsted report (HMCI, 1996) which summarises five years of appraisal practice in England by stating that "overall, the impact of appraisal on teaching and learning has not been substantial" (*ibid.*, p 10) partly because "appraisal has remained too isolated from school development" (*ibid.*, p10). A New Zealand survey, conducted by Timperley and Robinson (1996), involving 188 secondary school principals found that only one principal rated their appraisal system as successful because of improved curriculum delivery.

The need for appraisal to be integrated within school culture has also been supported by Battersby (1991), who regards the time spent in preparation and creating the right collegial climate for appraisal as crucial. One of the most important factors within this climate is the element of trust. Townsend (1995) points out that trust is a fairly fragile creature within the interpersonal relationships of secondary school staffs but that teachers are willing to trust each other to face challenges in improving their teaching and that this trust is built into the appraisal process. This trust can be betrayed if the appraiser does not report back fully to the appraisee, often because of a desire to avoid negative feedback. This desire is shared with many business leaders in New Zealand who also have difficulty in confronting staff with hard messages about their performance, often speaking about "problem staff" with trusted associates behind the staff member's back and so denying the staff member the opportunity to discuss the evidence and the accusations. Because of the link between appraisal for professional development and appraisal for accountability, any covert judging of an appraisee by an appraiser has implications in all areas of the appraisee's career – professional development and promotion included. Townsend offers a number of suggestions to ensure that communication is full and frank within a climate of trust, as appraisal has the potential to improve teaching and learning if this can be achieved. Her suggestions include:

- acknowledging the temptation to deliver less than the truth
- emphasising the importance of the lead the Principal gives in his or her appraisal of staff
- providing for the needs of individual staff at different stages of their professional development
- ensuring that there is adequate, on-going training for appraisers and appraisees [this point, in particular, is picked up in the responses to the surveys of teachers at Kapiti College and in the interview with the Principal]
- focusing on the school as a "learning community"
- recognising the moral and ethical issues involved with appraisal.

Middlewood (1997) also states that appraisal must be:

> embedded within the culture of the organisation. The establishment of this culture, within which performance is monitored and feedback given, remains perhaps the key task of senior managers. (p 178)

However, he believes that the very implementation of appraisal can help to develop a culture of openness. This view is almost directly contradictory to that of Rudman, cited above.

If the appraisal process is imposed from outside the school, without reference to the school culture, then there is a high risk of either changing the school culture or merely paying the appraisal requirements lip service, according to Barth (1990), O'Neill (1996), Bailey (1997) and Collett (1997). In either case the introduction of teacher appraisal without reference to the culture of the school is extremely unlikely to lead to improvement in student learning (Hopkins *et al*, 1994; Barth, 1990) because of a mismatch between theories of teaching and learning, on the one hand, and of performance management, on the other (Wise *et al.*, 1985; Ker, 1994) or of disparate views of the nature of the teaching profession: Is the teacher a technical actor, who gives knowledge and follows and applies rules, or a moral actor who transforms students as discussed by Fullan (1991, 142)? Changes in school culture at Kapiti College are investigated in both the questionnaire to teachers and in the interview of the principal. However, it is not yet possible to properly evaluate the impact of the introduction of an hierarchical teacher appraisal system on teaching and learning at Kapiti College. Nevertheless, Musella (1988, 181f) has suggested some useful criteria for evaluating performance appraisal procedures, including

□ workability,
□ knowledge and skill of the appraisers,
□ good fit between the practices and the culture of the organization,
□ explicit and consistent purposes which are in accord with school policy
□ the value of the information gained – in terms of validity, reliability and
   relevance.

These criteria, together with those mentioned by Townsend and a similar list from Edwards (1992a), are examined in the data obtained from Kapiti College.

7.   Managing the change process

Most of the writers cited above have assumed that change can be managed within the school or the education system, through authority figures exerting direct influence, making demands and pressing for implementation as described by Huberman and Miles (1984). However, this is only one way of influencing change *(ibid.)* and there are many different factors which may initiate change, according to Fullan (1991). In fact, Fullan goes on, while vision is needed to provide clarity and energy in promoting change, it may get in the way if there is not sufficient recognition of the multiple realities of all of the players in the change process – this process needs to negotiated, not imposed, and should not be coming from just one strategist (Senge, 1990). Successful change is possible, if complex, and many of the reasons for successful change can be identified. However, successful educational change depends on teachers and "for most teachers daily demands crowd out serious sustained improvements" (Fullan, 1991, 118). Furthermore, each teacher experiences change personally and must work through the process individually. Because of these and other factors Fullan mentions "the evidence suggests that change attempts fail more often than not" *(ibid.,* 127). Wise *et al.* (1985) argue that for the introduction of successful teacher evaluation programmes there must be substantial input from teachers and teacher unions.

If teachers have an important role to play in the implementation of change in a school, then so does the principal, who "is central, especially to changes in the culture of the school" (Fullan, 1991, 145).

The teacher survey and the interview with the principal ask for reflections on the management of the change involved in the introduction of an hierarchical teacher appraisal system at Kapiti College. They do so because it is important to consider the management of the change process as a factor in evaluating the appraisal system – however this study does not focus on change management *per se* and so there is only a brief reference to an extensive literature on this topic.

8.   Conclusion of literature review

The literature review has established a number of key issues which will be investigated further in this study. In summary these are:

- The variety of purposes for appraisal, and the relationship between these purposes
- The relationship between appraisal, school culture and improvement in teaching and learning
- The appropriateness of using appraisal with professionals, especially if teaching is considered a profession or an art, as opposed to labour or a craft (Wise *et al.*, 1985)
- Successful implementation of new practices – in this case, teacher appraisal.

Chapter Three
Methodology

1.   Overview

In this study, the writer has investigated the actual implementation of an hierarchical teacher appraisal system at Kapiti College, using research questions generated by the literature survey. These research questions, in turn, have formed the basis for analysis of documents from within Kapiti College or relating to it. Document analysis and research questions have then informed the wording of two questionnaire/surveys, one of which was posted to all members of staff (apart from the principal) who were both appraisers and appraisees and one of which was posted to all members of staff who were appraisees only. Anonymous responses from the questionnaire/survey, together with the document analysis and the original research questions, have then influenced the wording of the structured interview with the principal. Analysis of all responses and documents has been based on the original research questions. Each research question has multiple sources of evidence related to it, and these have been compared with one another. This methodology has been enormously influenced by complex ethical issues, as explained later.

2.   Research design

This study examines the implementation of an hierarchical teacher appraisal system in the real-life case of Kapiti College between February 1998 and April 2000. Therefore, it would seem to fit Yin's definition (1994, 13) of a case study almost exactly:

> A case study is an empirical inquiry that
> - investigates a contemporary phenomenon within its real-life context, especially when
> - the boundaries between phenomenon and context are not evident.

In other words, you would use the case study method because you deliberately wanted to cover contextual conditions – believing that they might be highly pertinent to your phenomenon of study.

This definition has been quoted at length, because it is highly appropriate for this study. The second area of study mentioned above – the relationship between appraisal, school culture and improvement in teaching and learning - crosses the boundaries between phenomenon and context but it is a key component in any new system, according to the research literature cited in the literature section of this study.

Kapiti College is a co-educational "decile 8 school … part of an urban satellite community and has 900 pupils. The school is undergoing a thorough review of its strategic plan under a new principal" (Ministry of Education, 1999b, 41). Until 1999, it used a professional development, peer appraisal model (Education Review Office, 1998). The arrival of a new principal in 1999, together with the legal requirement to use the Professional Standards agreed between the PPTA and the Ministry of Education (Ministry of Education, 1999a), led to a radical change in the teacher appraisal model in use. Kapiti College has been a relatively stable site in terms of staffing. The new principal is the fourth in forty years. He replaced a principal of nine years who had been teaching at Kapiti College for 26 years.

The choice of site was highly influenced by the criteria mentioned by Marshall and Rossman (1995, 51).

- Entry was possible, because of the researcher's knowledge of the site and because the school and principal were both interested in self-review
- There was a high probability that a rich mix of the processes, people, programs, interactions and structures of interest were present. This would be true in most New Zealand schools on this particular issue because of its high interest at the time. However, it was particularly true at Kapiti College because of the history of appraisal systems in the College and because of the impact on these systems and other aspects of the culture by the new principal.
- The researcher was likely to be able to build trusting relations with the participants in the study. This aspect was almost "over-true" in that the strength and complexity of relationships between the researcher and the participants led to many potential conflicts of role, which are dealt with in the section on ethics.

- Data quality and credibility of the study were reasonably assured because of the professional background of the participants, because of their interest in the topic and because their personal anonymity was assured, except in the case of the principal.

A further factor in the choice of site was that of reciprocity, as discussed by Flinders (1992). As a committed professional at Kapiti College, a parent and a board member, the researcher wanted the study to be of value for the professional life of staff at the college and for the education of the students attending the college.

Research methodology was highly influenced by ethical considerations in this study. While it would have been good to preserve the flexibility of design and reflexivity of qualitative studies mentioned by Marshall and Rossman (1995) and Bouma (1996); ethical considerations meant that data collection instruments had to be pre-planned and that there would be limited opportunity for the emerging data to shape new directions and questions, except in a highly sequential manner: the literature review generated the research questions, which then influenced the analysis of documents – both the choice of documents and the focus of analysis. The documents, in turn, added further information to help refine the statements for the surveys of teaching staff. Responses to the surveys then helped to highlight areas for questioning in the structured interview with the principal.

Massey University Human Ethics Committee's stipulation that there should be one survey/questionnaire of the staff only prevented any on-going cyclical development of data gathering. This meant that some of the advantages of qualitative research methodology mentioned by Yin (1994), such as its flexibility, were reduced to meet ethical requirements.

However, a qualitative study was still preferred because of its focus on the real world of the classroom, the staffroom and the office in actual schools as described by Hitchcock and Hughes (1989) and because it takes account of the context in which the phenomenon is being studied (Yin, 1994). There were, however, quantitative elements within the research design, as these helped ensure anonymity and made data analysis a simpler process.

Patton (1990) states that there are three elements which determine the credibility of a qualitative inquiry: the rigour of the techniques and methods used for gathering and analyzing the data, the credibility of the researcher and a philosophical acceptance of the phenomenological paradigm (cf. p461). Philosophical acceptance of the phenomenological paradigm is assumed in the readers and is certainly a part of the writer's belief. In effect this means that this study is looking at a number of perspectives on teacher appraisal, rather than aiming to state a single, uncompromising truth. These perspectives can then be judged in terms of their utility (*ibid.*).

3.   Data – gathering strategies

A variety of data gathering strategies was used, so that each of the research questions was answered from more than one source, thus assuring greater construct validity through triangulation as recommended by Patton (1990) and Yin (1994), involving both quantitative and qualitative data, thus enhancing the validity of the findings as discussed by Bryman (1988). Patton (1990) points out that this triangulation does not mean that each of the sources or methods should produce exactly the same data, but rather that they bring a new perspective and should provide a fuller picture by reducing systematic bias in the data. Using a variety of methods of data collection is analogous to using more than one tool from a kit of tools, according to Trow (1969) who states that it is foolish to regard any data gathering method as inherently superior to others.

The methods chosen for data collection were remarkably similar to those mentioned in this quotation from Bryman: "Participant observers are rarely simply participant observers: they often conduct unstructured interviews, examine documentary materials, and even carry out structured interviews and postal questionnaire surveys" (1988, 47).

Methods chosen for this study included the examination of documentary materials, structured interviews and postal questionnaire surveys. Knowledge of what to look for, and where to find it, came from the researcher's participant observation status for a number of years but direct use of participant observation techniques was avoided for ethical reasons.

a.   Documentary analysis

Documentary analysis was used as the first point of reference for evidence to each of the research questions. A number of documents were selected to provide a useful starting point for studying changes at Kapiti College over 1999.

Documentary analysis was chosen as a method of collecting data because these documents were readily available, relevant to the research questions and they provided another perspective (Marshall and Rossman, 1985), a different type of data (Yin, 1994) from that gathered by survey or structured interview, having been written, drafted and edited with considerable care. Hence, these documents can be scrutinised by other researchers and analysed through content analysis, a "more objectivist approach than other qualitative methods" (Marshall and Rossman, 1995, 85), which was also directly related to the research questions (Bouma, 1996).

However, documents may be misleading in themselves, according to Yin (1994) as they are written for a purpose, (Murphy, 1980) and the Education Review Office (1998) document, written by outsiders, was based on interviews with those within Kapiti College and then edited again by those within Kapiti College, so that it was essentially an edited second hand account, as discussed by Hitchcock and Hughes (1995), showing what the Education Review Office, in consultation with the management of Kapiti College, reported about the appraisal system at Kapiti College.

Murphy (1980) points out that documents reflect conditions at the time whereas people responding to survey and interview questions are more likely to overlay current issues on the events of the past. However, one must remember that these documents were not written to facilitate this research study and that therefore, they have their own audience and their own purpose, which must be taken into account, as discussed by Yin (1994). These documents reflect the "public face" of the college and, in particular, of its appraisal system and what it says it is doing (Murphy, 1980), or its "preferred image" (Taylor and Bogdan, 1998, 130).

Documents were sought and used on the basis of their relevance to each of the research questions. The content of these documents was then analysed in terms of the particular research question and with regard to the research literature which generated that question. Following this analysis, the documents influenced the wording of questions for the surveys and for the interview with the principal. Often the survey and interview questions sought clarification or interpretation of the wording in documents or else checked on the implementation of systems mentioned in the documents.

b.   Postal surveys

Postal surveys were used to gather information from teaching staff. There were two of these surveys. The first was used for all staff who had been appraised, but had not acted as appraisers. The second was used for staff who were both appraisers and appraisees – the deputy principals, the heads of department and the assistant heads of department in some departments where numbers demanded this. These surveys offered a number of statements, generated from the research questions, and required a "tick the box" response on a five-point Likert scale. Hence, these responses produced quantitative data that were both anonymous and easily analysed. There was provision for teachers to write their own views on the appraisal system as well, if they wanted, in a totally unstructured format (see Appendices B2 and B3). These data were obviously qualitative and were analysed as such.

Postal surveys using statements with a Likert-scale response were used because they provided the best guarantee of anonymity, according to Judd *et al.* (1991), to the researcher's colleagues. Bouma (1996) points out that a questionnaire separates the participant from the researcher There were no unique identifiers attached to the questionnaire surveys as the five reasons for including such identifiers given by Sieber (1992, 56) did not apply. There was no requirement to use any handwriting at all – a simple tick or shading of a box was all that was required. For those who did wish to add their own comments, the form suggested that they use a word-processor if they believed that the researcher would recognise their handwriting. This was because the researcher feared that he would be able to recognise the handwriting of about 20% of his colleagues. The process of consent and its possible reduction of anonymity was neatly

dealt with in a postal survey, where consent is assumed in the return of the questionnaire and where any questions can be left unanswered for whatever reason, as discussed by Sieber (1992).

Postal surveys provide genuine protection from any form of coercion as there is no way in which the researcher knows who has completed any questionnaire, or who left out which parts of a questionnaire. In an attempt to provide as much protection from coercion as possible, the respondents were not required to even complete separate postcards, as suggested by Sieber (1992), to show that they had completed the survey.

Massey University Human Ethics Committee did not allow the researcher to interview his colleagues because of the conflict of roles when the researcher, who was also a board member, would know individual colleagues' attitudes towards appraisal. The researcher added the postal dimension to prevent any accidental discovery of identity through seeing a colleague return a questionnaire to his pigeon-hole and then being able to read it immediately afterwards. This accorded with Marshall and Rossman's advice to use a survey to avoid both "ethical and political difficulties" (1995, 96) with research, particularly important advice for this internal study. There was also less chance of the researcher influencing the responses of the participants; the problem of reactivity, described by Bryman (1988) or "interviewer effects", the term used by Judd *et al.* (1991) and Hitchcock and Hughes (1995), was reduced in a survey. This was particularly important given that the researcher was a member of the Board of Trustees and an older member of staff and so liable to influence others, according to Hitchcock and Hughes (1995). Raffe *et al.* (1989) point out that questionnaire/surveys are also less intrusive and inconvenient than other forms of data collection, such as interviewing.

The fact that the questionnaire was posted to colleagues at their home address towards the end of the school holidays, rather than pushed into each of about sixty pigeon-holes gave it added status in the "paper war" that teachers face every day. The researcher believed that there was more chance of the questionnaire being completed if it were posted home than if it were simply one of a pile of papers in a pigeonhole.

The researcher attempted a pilot survey/questionnaire using five volunteers from the staff who were instructed to answer in a "persona" of their own choice rather than being

sincere. This survey used open-ended questions. It was changed considerably and the final version used Likert-scale responses because the triallists commented that the open-ended questionnaire was very time-consuming to complete, because it was too easy for the researcher to identify the respondents by handwriting and because it was too difficult to analyse the responses to carelessly worded open-ended questions. More time was put into the wording of the statements for response. Some of these statements were stimulated by the work of Irons (1994) and James (1995) following Sudman and Bradburn's (1982) advice to use existing satisfactory questions rather than creating new ones. Questions were checked to ensure that they related to the research questions, as advised by Anderson (1990), and that there were checks on data within the questionnaire, to aid analysis and increase internal consistency, as suggested by Vidich and Shapiro (1969). The number of questions was kept between 20 and 50, as recommended by Bouma (1996, 72) and Werner and Schoepfle (1987, 344). There was still provision for open-ended responses because in this way respondents could include material which was important for them (Bell, 1993). The use of Likert scale responses not only helped anonymity but also assisted with analysis and comparison between responses to other questions, as demonstrated by Anderson (1990). The revised questionnaire/survey was then pilot-tested with two colleagues, mainly to check for ambiguity in wording or unclear directions, and final changes were made prior to distribution.

Forty-seven copies of this survey were posted out to teachers who were not appraisers, with stamped addressed envelopes provided for anonymous reply. Thirty-one responses were received. This gave a 66% response rate.

For the appraisers and appraisees, twelve questionnaire/surveys were posted out and eight were returned; also a 66% response rate. One of the HODs was overseas for the term and would not have received the survey. Three others did not reply.

One teacher advised that she had not completed the appraisee survey because she was not at the top of the basic scale and so had not returned the survey as it was not relevant, as she was not being appraised in this manner. Two other teachers, not at the top of the scale, sought the researcher's advice on how to respond and were told to complete the sections that were relevant to them and to leave the rest blank. Sixteen teachers were not

at the top of the basic scale and so this survey would not have been fully relevant to them. Because of the anonymous nature of the forms, there was no way of telling how many of the non-responses came from this group.

c.   Structured interview

A recorded structured interview was used for the principal. Questions for this interview were generated from the research questions. The principal was aware that anonymity could not be guaranteed for him (cf. Murphy, 1980, 89) and accepted that fact (see Appendix C1) so it was not necessary to separate the principal from the researcher. Mishler (1986) argues that assurance of confidentiality is in fact a decontextualising tool in standard interviews and does not allow individuals to be credited with their own thoughts.

A recorded structured interview was chosen because, according to Judd *et al.* (1991), it allowed the opportunity for greater depth in obtaining data with the potential to be "an incomparably rich source of data" (Anderson, 1990, 222) particularly in finding out how decisions were made, the context of the decision and "what the program means to key participants and influentials" (Murphy, 1980, 77). There is the opportunity to clarify and probe, as described by Judd *et al.* (1991) and Marshall and Rossman (1995), which was particularly important with the principal as some of the questions arose from his document of 1 October 1999.

The interview built on the rapport already established between the principal and the interviewer and their shared interest in the appraisal system (Judd *et al.*, 1991) and became one further stage in an ongoing relationship as mentioned by Schatzman and Strauss (1973). Verification and "proof" of what was said was not required as the principal had been promised control of what was ascribed to him, including the right of editing comments and changing his mind following the interview. Bell (1993) also noted that the structured nature of the interview made note taking easier.

While there was the possibility of interviewer bias, as described by Judd *et al.* (1991), this was less likely to happen with the principal, who was the interviewer's boss and

who was knowledgeable about teacher appraisal, than it was with colleagues. Other factors, mentioned by Hitchcock and Hughes (1995), which have been found to influence interviewer bias, such as ethnicity, age and gender, were common to the principal and the researcher. Bell (1993, 98) reported on the paradoxical status of a staff member interviewing his own headmaster – as a researcher the staff member had a kind of advantage over the respondent, but as a teacher he was in a subordinate position to the headmaster. Bell noted that in this case diplomacy was an overriding consideration in the choice of responses. The effect of such diplomacy can be offset by the use of other forms of data collection and by comparison between the results obtained by these other forms of questionnaire/survey and documentary analysis. On the other hand a structured interview provides a different method for obtaining data (Yin, 1994), putting "flesh on the bones of questionnaire responses" (Bell, 1993, 91). Because the interview with the principal followed the return of surveys it was possible to use the interview to check out responses from the surveys with this source and this different method and so confirm or question data through triangulation and provide a different perspective as discussed by Marshall and Rossman (1995).

The interview offered the possibility of changing the status of the participant to that of informer rather than respondent as he (in this case) gave his own insights into the study (Yin, 1994). Mishler (1986) goes further and argues that an interview should be a means of allowing the interviewee to construct meaning within his or her real context through the freedom to construct narrative. This was highly appropriate for the principal, as he was well informed about teacher appraisal and "drove" the changes at Kapiti College.

An interview often elicits other information, through the revelation and availability of documentary evidence, according to Yin (1994). The principal was well placed to offer such documentary evidence and interview questions triggered connections. This access to further documentary evidence is one of the advantages of an "elite interview", according to Marshall and Rossman (1995). Other advantages come if the interviewer asks open-ended questions as an opportunity for the well-informed respondent to reply in depth, effectively "teach[ing] the interviewer about events and personal perspectives" (Anderson, 1990, 224). The interviewer must be well-versed in the topic to understand the relevance of the replies.

An interview is particularly strong in uncovering and describing the respondent's perspective on a topic, according to Marshall and Rossman (1995). The principal's perspective on the current teacher appraisal system was an important aspect of this study. Zelditch (1969) maintains that the best way of gaining such a personal perspective is through interview particularly as the questions could be open-ended, so that the answers revealed the respondent's priorities and values as well as demonstrating the depth of his or her knowledge, as also discussed by Anderson (1990).

4.   Research questions

Questions dealing with the purposes of appraisal and the relationship between these purposes were:

Research Question 1: How strong is the professional development aspect of the current teacher appraisal system?

Research Question 2: How strong is the emphasis on remuneration?

Research Question 3: How strong is the emphasis on incompetent teachers?

Questions dealing with the relationship between appraisal, school culture and improvement in teaching and learning were:

Research Question 4: What is the relationship between the current appraisal system and the culture or ethos of Kapiti College?

Research Question 5: What will the impact of this system be on student learning?

Research Question 6: Does the new system enhance professional relationships?

Questions dealing with the successful implementation of new practices – in this case teacher appraisal were:

Research Question 7: How was the decision to change the appraisal system made?

Research Question 8: How much priority and centrality did the changed system have?

Research Question 9: How well was the change managed?

Finally, there was a group of over-arching questions which sought to examine perceptions of the value of the appraisal system. They included:

Research Question 10: Is the new system fair?

Research Question 11: Did teachers gain new information from the process?

Research Question 12: Was the time spent on appraisal worthwhile?

5. Matrix of evidence for questions and answers.

Research Question	Evidence from documents	Evidence from teacher surveys	Evidence from principal interview	Evidence from appraiser surveys
Research Question 1: How strong is the professional development aspect of the current teacher appraisal system?	Ministry of Education, 1999b; Appendix A3; Appendix A4; Education Review Office, 1998.	1 6 10 12 13 14 17 18 19	4, 5, 6	1 6 10 12 13 14 17 18 19 34 35 39
Research Question 2: How strong is the emphasis on remuneration?	Appendix A2; Appendix A7; Bunker, 1999, 3	2	1	2
Research Question 3: How strong is the emphasis on incompetent teachers?	Appendix A2; Appendix A7; Bunker, 1999, 5.	3	2	3 36
Research Question 4: What is the relationship between the current appraisal system and the culture or ethos of Kapiti College?	Ministry of Education, 1999b, 41; Appendix A1; Appendix A6; Education Review Office, 1998; Appendix A7.	4 21 22 23	9	4 21 22 23
Research Question 5: What will the impact of this system be on student learning?	Education Review Office, 1998; Appendix A4; Appendix A7.	19 24	9b	19 24
Research Question 6: Does the new system enhance professional relationships?	Ministry of Education, 1999b; Bunker, 1999, 3; Appendix A4; Appendix A5; Appendix A6.	6 7 16 (5 to be checked with 8 9 11 30.)	7, 8	6 7 16 32 34 35 37 38 41 (5 to be checked with 8 9 11 30)
Research Question 7: How was the decision to change the appraisal system made? – both who and how?	Ministry of Education, 1999b, 41; Appendix A7; Bunker, 1999,1.	26	10	26
Research Question 8: How much priority and centrality did the changed system have?	Ministry of Education, 1999b, 41; Appendix A1ff.	25	12	25
Research Question 9: How well was the change managed?	Ministry of Education, 1999b, 41; Appendix A3.	27 28	11	27 28 31
Research Question 10: Is the new system fair?	Ministry of Education, 1999b, 41; Appendix A2; Appendix A7; Bunker, 1999, 3f.	11 29 30	3	11 29 30
Research Question 11: Did teachers gain new information from the process?	No documentary evidence	12 13 15	8	12 13 15 36 37 38
Research Question 12: Was the time spent on appraisal worthwhile?	No documentary evidence	20	12	20 40 41

Table 3.1 Matrix of sources of evidence for research questions.

For example, evidence for research question 1 was found in four documents: Ministry of Education, 1999b; Appendix A3; Appendix A4 and Education Review Office, 1998. Statements 1, 6, 10, 12, 13, 14, 17, 18 and 19 in the teacher surveys were relevant to this research question. Questions 4, 5 and 6 in the principal's interview were related to this research question. Teachers who were both appraisers and appraisees were asked to respond to the same statements as those listed for teacher surveys but also responded to statements 34, 35 and 39 which were relevant to this topic.

6. Timeframe

The initial proposal for this study was written in August 1998. This proposal was amplified in January 1999 and submitted to the Massey University Human Ethics Committee, which specified requirements that would have to be met for the study to proceed (Appendix D1).

The initial, open-ended questions were written and circulated as a small-scale pilot test in August 1999. The results of this pilot test caused a radical re-thinking about data collection, further aided by extensive reading on the topic of teacher appraisal and research methodology in December 1999, January, February and March 2000. The researcher was fortunate to be given a term's paid study leave to work on this study and so was able to dedicate some nineteen weeks (December 1999 – April 2000) to this work. First draft material, sent to the supervisor in late January, was very raw and required considerable reworking. Throughout February, March and April work focused on one chapter at a time, which was then sent to the supervisor for comment while work progressed on the next chapter. In this way by the end of the period of leave, the chapters on literature review and methodology were at a reasonable stage of development.

The research questions emerged from the literature and these, together with the ethical considerations which had first been articulated by the Massey University Human Ethics Committee in March 1999, and which had then become even more focused by reading, by discussion with colleagues and by reflection and writing the section dealing with ethics in February and March 2000, indicated the need for an anonymous postal survey

and for a number of supplementary data collection methods to allow for verification of material.

In February 2000, it also became obvious that there was a need for two different surveys - one for those staff members who had been appraisees only and one, with additional material, for those who had been both appraisers and appraisees. These surveys went through five drafts each over a period of approximately six weeks. Changes in the drafts were influenced by continued reading, response from the supervisor and response from the two colleagues who piloted the survey at its fourth draft stage. Surveys were posted to staff on Tuesday 18 April, to allow them to receive them as near as possible to the end of the school holidays, when thoughts were again returning to school matters. A return date of Friday 5 May was given. Surveys were analysed immediately after 5 May. Late returns were analysed as they arrived. The writer thanked all staff for their contribution by providing a morning tea on Friday 12 May. A few returns arrived shortly after this time!

At this stage the writer had returned to the classroom and the demands of teaching, exams and report-writing prevented very much further progress until the July holidays, when the analysis of teacher surveys was completed and a first draft of questions for the principal's interview submitted to the supervisor. These were revised several times before the interview with the principal took place on Tuesday 22 August. The transcript from the interview was typed up immediately and returned to the principal for verification and for any alterations that he wanted to make. His checked version was received on Friday 25 August. A draft version of the research findings was sent to the supervisor on Saturday 26 August.

The first draft of the complete thesis was finished on 24 September. Copies of this first draft were made available to the supervisor, the chairperson of the Board of Trustees of Kapiti College, the principal and two colleagues who had completed post-graduate degrees in educational administration. Their comments have all been invaluable in the final editing of this thesis, but the final responsibility for what is written lies with the writer.

The Personnel Committee of the Kapiti College Board of Trustees, which included the principal and the chairperson, recommended that the college and the principal should be named and identified in the thesis. This decision was ratified by the full board on December 6, 2000 (see Appendix D4). The supervisor suggested that teachers should also be consulted about the identification of Kapiti College and so the writer distributed a memo (see Appendix C4) to all teachers on Monday 29 January. The memo asked any teacher who was uncomfortable with the identification of Kapiti College to see the writer by Friday 2 February. Two teachers said that they were comfortable with the identification. There was no other communication with the writer to indicate any difficulty with identification.

Face-to-face meetings with the supervisor were invaluable in maintaining an overview of the thesis and in providing motivation. Three of these took place – in January 1999, July 2000 and December 2000.

7.   Ethics

Ethical considerations in this research were critical and multi-dimensioned – ethics and values were at the very core of this qualitative research and complete objectivity was neither possible nor desirable, as discussed by Hitchcock and Hughes (1995) because of the researcher's personal involvement in the area under research.

The Massey University *Code of Ethical Conduct for Teaching and Research involving Human Subjects* (Massey University Human Ethics Committee, 2000) specifies five major ethical principles:
- Informed Consent of the participants
- Confidentiality of the data and the individuals providing it
- Minimising of harm to all involved
- Truthfulness
- Social sensitivity.

a.   Informed consent

This is an ethical corner-stone protecting the rights of research participants, according to Bouma (1996) and Hitchcock and Hughes (1995). Within the context of the current study, this was far less problematic than many of the other ethical concerns. This was because the research was carried out among the researcher's colleagues, many of whom had conducted educational research themselves and were well aware of their rights. The nature of the data-gathering instruments also ensured that the researcher held no persuasive or coercive power over the respondents. All staff information was gathered through an anonymous postal survey, so that there was no way that the researcher could know who had taken part in the survey and who had not. All teaching staff were sent information about the nature of the research with the questionnaire (see Appendices C2 and C3 for copies). Individual staff were not asked to sign a consent form as this would have identified their response; or at the very least have allowed the researcher to know which of his colleagues had participated in the study and which had not. For this same reason, staff were not even asked to send in a separate postcard to show that they had completed the questionnaire, a technique recommended for some situations by Sieber (1992), as this could have provided too many clues to identity and may also have been construed as pressure to complete a questionnaire. Consent was assumed in the return of the questionnaire. Of course, the questionnaire also allowed participants to leave out any questions that they did not wish to answer, for whatever reason, as explained by Anderson (1990). The researcher had informed the principal of the nature of the research when seeking approval from the Board of Trustees, and had also kept him aware of ethical concerns during the progress of the study, both in writing and in focused discussion of the ethical issues raised in the letter (see Appendix C1 for a copy of the letter).

b.   Confidentiality

In an attempt to protect the confidentiality of data and of the participants, the researcher posted identical, non-identifiable copies of the questionnaire (see Appendices B2 and B3) to all teaching staff at their home addresses. The survey instructions emphasised that they were to be filled in anonymously and posted back to the researcher's home

address – for which a stamped addressed envelope was supplied. This was to ensure that there was no accidental contact between the researcher and a respondent as a survey was returned within the school environment. The survey required ticks or shading of boxes only, so that identification of handwriting would not be possible. There was the opportunity for participants to add comments of their own, but it was suggested that if they chose to do this, they might wish to use a word-processor.

While these precautions protected teachers from the researcher and from each other, it was impossible to keep the principal anonymous, at least within his own institution. It is also true that he is one of the individuals who stands to gain or lose the most by the published results of this study and so should have some control over the publication of the information, particularly that ascribed to him, as recommended by Simons (1989). For this reason, all of the material ascribed to the principal has been checked by him, and edited where there has been any misunderstanding or development in thought. Nevertheless, the material remains his views at one point of time and he, like everyone else, is entitled to change his views. To deal with this the principal's comments have been prefaced with a caveat to state that they represent his views at one particular point in time and that he, like anyone else, is able to change his mind and develop his ideas further. The researcher and the principal discussed the fact that the principal would be identifiable, even with the use of pseudonyms, and the principal was comfortable with this reality, given the value of internal review and review by professional peers through the public availability of the study.

The Board of Trustees, the principal and all of the teachers were comfortable with the identification of Kapiti College (see Appendices C4 and D4).

c.   Minimising harm

Any request for teachers to fill out another form is a nuisance. In an attempt to minimise harm the researcher has tried to reduce the "intrusive potential" (Raffe *et al*, 1989, 17) of the survey and its risk of identifying individuals by posting it to the homes of colleagues, and by including a stamped addressed envelope. The researcher also consciously chose to post the survey out at a time of the year (towards the end of the

April school holidays) when there were not undue pressures on colleagues and when the appraisal events were fresh in their minds. Bouma (1996) suggests that one should not waste others' time in researching a topic that is not of demonstrable value; so that the possible advantage to be gained from the study justifies any discomfort or risk involved. The topic was of interest and value for several reasons. Teacher appraisal was causing concern among a number of teachers because of fears of how it could be used. Teacher appraisal requires a great deal of time and effort if it is to be done well, and current research is ambivalent about the results, especially in terms of student learning, from this investment of time (HMCI, 1996). This study aimed to evaluate current practice at Kapiti College and to make recommendations that might well lead to modifications that mean teacher and administration time is used more effectively in furthering student learning. It also had the potential to confirm current practices and so give teachers and administrators greater confidence in what they were doing.

Sieber (1992) maintains that potential benefits from a study such as this one are most obvious at the local level – an abstract of literature on teacher appraisal is available to the teachers and the principal of Kapiti College, who also have the opportunity to "think through" some of the issues involved with this important professional activity. The principal has stated to the researcher that he anticipated benefit from having an internal review of a developing practice. Kapiti College should gain from reflection on professional practice and possible adaptation of current systems. Ideally this should flow on to the learning of the students enrolled at Kapiti College; this assertion is based on the literature's emphasis on the importance of linking school improvement with teacher appraisal. The researcher has gained benefits from having the opportunity to read widely in this field, through the discipline of having to communicate his own findings and by completing a prestigious qualification. It is possible that there may be gains beyond the local community, possibly through the policy division of the Ministry of Education and the Post Primary Teachers' Association; but it would be more likely that those involved in Kapiti College are the ones to gain most benefit from access to current thought and reflection on teacher appraisal and its link with student learning through school improvement.

d.   Truthfulness

This principle was not problematic in this topic. The aim of the research was to evaluate the teacher appraisal system at Kapiti College. The researcher made known his own conflict of roles in carrying out the study and has sought advice openly from the principal and the board. He has made copies of the draft report available to all interested parties so that any errors of fact could be corrected and so that any disagreements could be discussed, and, if necessary, noted in the final report.

e.   Social sensitivity

This area was much more problematic.

A major issue was that of the ongoing conflict of roles (Hitchcock and Hughes, 1995) of the researcher, who is a staff member at Kapiti College, the staff Trustee, a parent of five children who have been or are being educated at Kapiti College, a colleague, a friend and confidante of many of the staff, including the principal, a mentor to several staff and a researcher. This issue of conflict of roles was discussed with the Massey University Human Ethics Committee (MUHEC) and profoundly influenced the research design. MUHEC did not allow the researcher to conduct face-to-face interviews with any teachers, nor use any data from teachers other than that gained by an anonymous questionnaire. MUHEC also asked the researcher to be sensitive to his position at the school and his position on the Board of Trustees. (See Appendices D1 and D2 for copies of the two letters from Massey University Human Ethics Committee). Barth (1990) regards potential problems with colleagues as a major disincentive for teachers to write about their own practice but urges them to work through the issues and write as a way of reflecting on practice and improving it.   Miles and Huberman (1994) regard it as a great advantage for the researcher to have familiarity with the setting and the phenomenon being studied, claiming that it is likely to add to valid and relevant findings and to save time in data collection. Bell (1993) acknowledges these advantages but also warns of potential problems.   Simons (1989) deals with some of these potential problems that come from being involved in an internal case study. She points out that the researcher will not "go away" at the end of the research, and that all participants will

need to continue to work together within the context of the institution as it comes to terms with the research findings and with possibly new relationships. She regards the use of internal evaluators as even more problematic than the use of external researchers and suggests that the research design needs to include provision for discussion of conflict and disagreement arising from the research. To this end, the researcher made available to all interested colleagues copies of his draft thesis (see Appendix C4) and sought approval from the principal to set up opportunities for this draft to be discussed, either with individuals or with groups of staff, as recommended by Sieber (1992). Through this forum, errors of fact could be corrected and areas of disagreement discussed and, if necessary, noted in the final copy, as advocated by Yin (1994). The researcher approached his supervisor as a precaution, asking him to chair this discussion if there were particularly contentious issues and the supervisor made himself available for this. Four people associated with Kapiti College, the principal, the chairperson of the Board of Trustees and two colleagues who have completed post-graduate studies in educational administration, read the first draft copy of this thesis and none of these mentioned any disagreement with the writer. No other teacher has asked to read a copy of this thesis.

The relationship between the researcher and the principal was the most problematic for a number of reasons. In the first place, there was the fact that the principal could not be guaranteed anonymity, at least not within the school itself or with the researcher, as discussed by Bell (1993). His views were going to be known as his views. In the second place, the relationship itself was complex. The researcher was part of the board appointments committee that short-listed and then appointed the current principal. Both researcher and principal are members of the board and as such work as peers. The principal chairs one board sub-committee on which the researcher also serves; the researcher chairs another on which the principal serves. The principal regularly dines with the researcher's family. All of these relationships put both the researcher and the principal on a more or less equal footing. However, the researcher is employed as a teacher at Kapiti College, and the principal is his boss. The researcher and the principal share many values in common, but they have clashed at times and have been able to each speak their minds openly and still maintain good relationships. This piece of research had the potential to jeopardise this relationship more than any other and the researcher considered leaving the principal out of the research; but such an omission

would have left a great deal of relevant information out of the picture. The researcher wrote to the principal, alerting him to the potential problems and pointing out again that participation in the study was voluntary and that the principal could choose which, if any, questions to answer. (See Appendix C1.) These issues have been discussed with the principal and both the principal and the researcher felt that they could be part of an internal review without it jeopardising their relationship.

The researcher sought permission from the Board of Trustees to carry out the study, and after he had briefed them and answered their questions, left them to deliberate. The board gave both permission and encouragement for the study (see Appendix D3 for a copy of the board's letter of permission; the encouragement was given orally.) The researcher discussed with the principal the possibility of applying for one term's leave to focus fully on the study and both the principal and the board were extremely supportive of this. In December 2000, the board gave permission for Kapiti College and its principal to be identified in this thesis (see Appendix D4) and in January 2001 teachers were advised that the college was to be identified and invited to contact the writer if they had any reservations (see Appendix C4).

There were ethical issues involved in the topic for research, a point raised by Anderson (1990), as it was an evaluation of teacher evaluation, and so covered the sensitive area of judgement of others' performance. Because the study also sought to compare policy with practice, it could have come into conflict with some of the hierarchical forces within the school, according to Hitchcock and Hughes (1995).

Despite the best efforts to resolve them, there must remain tensions when policies and practices within an institution are under review because these policies and practices are instruments of power, as discussed by Hoy and Miskel (1991) and the review could result in a shift in power distribution, according to Sayer (1989) and Barth (1991) as both individuals and the institution itself may gain or lose through the publication of the findings of an evaluation, as shown by Simons (1989). A number of authors, including Owens (1991) and Hopkins, Ainscow and West (1994) maintain that it is necessary for the health of an organisation to review itself from time to time. Of course, this review has to be conducted by some person or persons.

Kapiti College has a tradition of self-review[1]. Many of these reviews have led to power changes and shifts in culture. These reviews, and the consequent decisions and implementation of policy, have led to conflict as the result of change. Conflict is a part of organisational life, and can, if handled properly, lead to improvement of the organisation through the discussion and negotiation of divergent ideas and goals, provided no party is intent on simply destroying the other party (Owens, 1991).

To help to minimise the potential for destructive or distracting conflict, the researcher wrote to the principal and sought a face-to-face interview with him outlining the risks before beginning any data collection from teachers in the school. (See Appendix D1 for a copy of this letter). He also arranged for a representative group of staff and board to have access to a draft copy of the study and the opportunity to discuss with the author any disagreements or issue of contention, either individually or as a group, with the understanding that these issues of contention could then be incorporated into the final report if that was desired, as recommended by Yin (1994) and Simons (1989).

f. Relational ethics

This discussion of ethics has begun from a utilitarian point of view, as reflected in Massey University's *Code of Ethical Conduct for Research and Teaching Involving Human Subjects* (2000); but has moved into relational ethics, as defined by Flinders (1992) because of the nature of the researcher's relations with the research participants, particularly the principal. This has meant greater emphasis on collaboration, and an attempt to avoid imposing on colleagues, rather than a simple avoidance of harm. It has also led to discussion of findings with the people who generated them, and to willingness of the institution to be identified both as a collaborative act with the educational community of New Zealand and an acceptance of the fact that even the use of elaborate pseudonyms as used by Delamont and Galton (1986) will not disguise

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[1] Including reviews of
- "Barriers to Learning" which pointed out many counter-productive practices and led to a radical change in culture
- Individual departments.
- Policy regarding the provision of special needs education
- Curriculum provision
- Administrative structure – leading to a change in the organisation of departments and new job descriptions.

Kapiti College within the New Zealand educational community. In other words, the relational ethics do not just belong with the researcher, but also with the research participants, as articulated by the principal, passed by the Board of Trustees and confirmed by the teachers (see Appendices C4 and D4).

The basic ethical issues in this study centred around social relationships and conflict of roles, on the one hand; and control of data, on the other. The issues of control of data were strongly provided for through the principles of informed consent, the use of anonymous written surveys and the checking and editing of material by representatives of all parties before final copy stage.

The issue of conflict of roles was not so easily "solved". Partly this was because the researcher was in a conflict of roles anyway – even before beginning the research. He could take all of the precautions mentioned above, but ultimately this was a human problem and the writer endeavoured to follow the advice of MUHEC: "be sensitive to your position at the school and your position on the Board of Trustees," (See Appendix D1) and that of Flinders (1992) to be sensitive to the values of the relational ethical framework, largely through open discussion of the issues with those most affected by them.

8. Method of entry

The researcher discussed his interest in investigating personnel management at Kapiti College with the previous principal in 1998 and negotiated a refinement of the topic to a study of the teacher appraisal system, for which informal permission was given. Formal permission was sought from the Board of Trustees in March 1999; the researcher presented his request, answered some questions and left the rest of the Board to deliberate and make their decision. They granted permission in a letter dated 6 May 1999 (Appendix D3).

9.   Data collection

Initial data collection was through written documents. Surveys were posted to all teachers, sorted according to whether they were appraisees only or appraisers and appraisees, together with a stamped addressed envelope to allow anonymous return to the researcher. The principal was interviewed after these surveys had been analysed. This followed the advice of Murphy (1980) to interview high level officials later when one knows the important questions to ask and can explore particular areas in more depth.

11.   Data analysis

Initial reading of authors such as Tesch (1990), Delamont (1992), Creswell (1994), Miles and Huberman (1994) and Weitzman and Miles (1995), together with experimental work on a demonstration copy of NUD.IST downloaded from the Internet, led to the development of quite elaborate coding systems which were trialled and expanded with two of the documents. However, Notman's thesis (1995) demonstrated the advantages of using a simplified and focused coding system based on the research questions. The advantages of adopting such a system was that only data that was relevant to the research questions would be coded, and so all irrelevant data would "drop out" at an early stage of analysis. This method made explicit links between research questions, data collection instruments and data analysis. An evaluation of a management team's performance by Edwards (1999) was also valuable in modeling methods of analysing survey data and interview records.

The first point of data analysis was through existing documents dealing with the appraisal process at Kapiti College. These were scanned with reference to each of the twelve research questions and thus provided a first set of responses to these questions. In most instances, the documents also raised further queries regarding each of the research questions. These queries were then incorporated in the statements in the survey for teachers.

Each of the statements in the surveys for teachers was constructed so that the responses formed a Likert scale. To enable easier analysis of the figures, mathematical values were given to each point of the Likert scale, so that it was possible to calculate the relative degree of agreement with each of the statements. This approach was based on Edwards (1957) where he demonstrated that one can use a "normal deviate weighting of response categories" which involves a six-step mathematical process for each category of response on the Likert scale, or one can use values rounded to the nearest integer – 0, 1, 2, 3, 4. Furthermore he cited Likert's own research [without giving a complete reference, only saying that it was a monograph published in 1932] to show that there is a .99 correlation between this simple system and the more complicated "pure" system. The simpler system was used here, with translated values for the integers to more easily pick up trends: the category of "strongly disagree" was given a value of -2, disagree was given -1, neutral or no response or not applicable was given 0, agree was given a value of 1 and strongly agree one of 2. In this way, "neutral", "no response" or "not applicable" categories have had no impact on the total and a "strongly agree" cancelled out a "strongly disagree", with an "agree" cancelling out a "disagree".

The number of responses in a particular category was then multiplied by the appropriate factor to produce a "weighted figure", so that seven persons disagreeing with a statement produced a weighted figure of negative seven (7×-1), while three people strongly agreeing produced a weighted figure of six.

The weighted figures for each statement could then be added together to produce a total. The highest total possible for the appraisees' questionnaire was 62, and the lowest possible was -62. A high positive total represented general agreement with the statement. A total around zero represented lukewarm responses, or a divided response. A low negative total represented general disagreement with the statement.

It is important to realise that these figures do not represent a definite value as there is no mathematically known distance between the categories, since a Likert scale is an ordinal scale, rather than an interval scale, as defined by Pilcher (1990) and there is no attempt made to ensure equality of units, as discussed by Shaw and Wright (1967). This means that the mathematical totals can only be used to indicate a trend, not as absolutes in themselves. Nevertheless, they provided a summary of responses and indicated where

response was in favour of the statement made, where it was divided and where it was opposed to the statement.

Questions for the principal's interview were then based on each of the twelve original research questions. The wording of each interview question was further influenced by the documents read and by the responses to the teacher surveys.

All information gathered was then grouped under the heading of one of the twelve research questions. The multiple responses to the teacher surveys were analysed mathematically, as explained above, and the single responses from each of the relevant documents and from the interview with the Principal were each analysed in terms of the relevant research question itself.

Chapter Four

Research Findings

Introduction

This chapter provides information gathered from documentary sources, surveys and from an interview with the principal. The writer gathered this information under headings related to each of the research questions and analysed the information with regard to the appropriate research question.

1. Emphasis on professional development.

The first research question asked: "How strong is the professional development aspect of the current teacher appraisal system?" This question was investigated through documentary sources, surveys posted to all teachers and through an interview with the principal.

a. Documentary sources.

The first step was to consult the documents that dealt with this topic, for they should set out the "official" position and its philosophical basis.

Four documents were directly relevant to this question. The first one of these stated:

> We are determined to ensure that ... the appraisal process focuses on our professional development priorities. (Ministry of Education, 1999b, p 41.)

The second asked:

> How does appraisal and performance review link to ... collegial professional development? (Appendix A3: *A review of progress*)

The third document (Appendix A4: *Notes for Appraisers*) gave appraisers advice on how to encourage a professional development approach to the appraisal interview.

The fourth document included the following recommendation:

> Most importantly, staff should be able to receive more focused professional development that supports improved teaching performance and learning outcomes for students. (Education Review Office, 1998).

Documentary evidence repeatedly emphasised the need for an emphasis on professional development, while acknowledging that this would be problematic. This seemed to indicate that there was an awareness of the research findings concerning the need for a link with professional development. In the sourced documents, however, there was little specific evidence on how this link would actually be made. This tentative finding helped in generating some of the survey statements and some of the questions for the interview with the principal in order to test whether this link was made, and if so, how it was made.

b. Survey results

Statements in the teacher survey were designed to elicit information regarding the perceptions of appraisers and appraisees about the emphasis placed on professional development and how this was manifested in the appraisal process. All questions were asked in such a way that a strong response on the Likert scale (strongly agree) would indicate a high value being placed on professional development in one of its aspects. Appraisees were asked a total of nine questions (from 30) which dealt with professional development. Those who were both appraisees and appraisers were asked a total of 12 questions on this topic (from 41). The high proportion of questions on this topic reflected the commitment made in the documentation to this aspect of appraisal and the importance of this aspect as found in much of the literature (e.g. Darling-Hammond, 1990; Irons, 1993), meaning that any evaluation of the teacher appraisal system in current use at Kapiti College would need to check with teachers on the relative importance and effectiveness of the professional development aspect of the system.

The following table of results for appraisees' responses to statements regarding professional development provides this summary of results and indicates trends in the responses.

Statement	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	N/A or No Response	total
1. A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development.	0	7	4	15	4	1	
Weighted figures	0	-7	0	15	8	0	16
6. I could openly discuss my own professional issues in the interview with my HOD.	0	5	4	10	10	2	
Weighted figures	0	-5	0	10	20	0	25
10. My interview focused on matters that are important for me professionally.	1	5	4	11	8	2	
Weighted figures	-2	-5	0	11	16	0	20
12. My appraisal process provided me with new information about my teaching.	7	11	2	9	0	2	
Weighted figures	-14	-11	0	9	0	0	-16
13. The new information provided through the appraisal process was valid.	0	1	1	9	0	20	
Weighted figures	0	-1	0	9	0	0	8
14. The student evaluations of my teaching were a useful source of information.	1	7	8	9	4	2	
Weighted figures	-2	-7	0	9	8	0	8
17. The appraisal process led to specific plans for my professional development.	4	7	6	10	2	2	
Weighted figures	-8	-7	0	10	4	0	-1
18. I am in agreement with the specific plans for my professional development.	0	1	3	12	1	14	
Weighted figures	0	-1	0	12	2	0	13
19. I believe that the teacher appraisal process will help me to improve my classroom teaching.	4	7	5	10	3	2	
Weighted figures	-8	-7	0	10	6	0	1

Table 4.1: Weighted figures for appraisee responses regarding professional development. N=31

i.   Analysis of appraisee survey responses with reference to Table 4.1.

One of the appraisees, in an additional written comment, pointed out that the professional development focus for the year had already been "pre-determined by the school-wide focus on up-skilling staff in IT" and so the current system was primarily set up to meet the legal requirements of the new contract.

The first statement in Table 4.1: "A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development" had support from most respondents. No-one strongly disagreed with it. Seven appraisees disagreed and four were neutral. Fifteen agreed and four strongly agreed. There was one person

who did not respond to this statement, which was deliberately placed as the first statement on the survey to reflect both the Ministry of Education's and the literature's emphasis on the importance of the professional development aspect of appraisal – an importance that was echoed in the documents cited above. The weighted total of 16, from a possible range of 62 (unanimous strong agreement with the statement) - -62 (unanimous strong disagreement with the statement) was lower than might be expected from the wording of the documents.

The second statement in the table: "I could openly discuss my own professional issues in the interview with my HOD" was more strongly supported, with ten respondents strongly agreeing, ten others agreeing, two non-responses and four neutral. Five appraisees, from a total of 31, disagreed with this statement, which was phrased quite strongly and personally with the inclusion of words such as "openly" and "my own". The weighted total of 25 reflected a positive experience for the majority of respondents.

Responses to statement ten, "My interview focused on matters that are important for me professionally" were also reasonably positive, with a weighted total of 20, although this time one appraisee strongly disagreed with the statement. The other change from the previous statement regarding professional development was a movement of one respondent from "strongly agree" to "agree".

Statement 12, "My appraisal process provided me with new information about my teaching", elicited a different range of responses and the first negative weighted total, -16. Seven respondents strongly disagreed and eleven disagreed, with a further four either neutral or not responding. Nine respondents agreed with the statement and none strongly agreed. The statement made deliberately included the whole appraisal process, not just the interview, although this may have been differently interpreted by the respondents, a feature investigated by Belson (1981). The negative weighted total was a surprise to the writer.

The following statement checked on the validity of the new information by asking appraisees to respond to "The new information provided through the appraisal process was valid." Given that 24 respondents did not agree with statement 12, it was logical that 20 respondents did not find the statement applicable or did not give a response. A

total of nine appraisees agreed with the statement, thus showing that they obtained both new and valid information about their teaching through the appraisal process.

All teaching staff were required to have their students evaluate their teaching and then to provide their appraiser with the evaluation forms and a summary of the results. This practice led to the inclusion of statement 14: "The student evaluations of my teaching were a useful source of information." This statement did not measure whether the information was new, and so took a different approach from the previous two statements. There was a range of response here, with a comparatively high number, eight, choosing to remain neutral and two not responding. One strongly disagreed and seven disagreed with the statement, whilst nine agreed and four strongly agreed. The weighted total of eight reflects the division of opinion on this statement.

One would normally expect there to be a link between the appraisal process and plans for professional development, and this expectation led to the wording of statement 17: "The appraisal process led to specific plans for my professional development." Responses were almost evenly divided between the 12 respondents who agreed and the 11 who disagreed, but four of those who disagreed did so strongly, where only two of those who agreed did so strongly. The weighted figure total of −1 reflected this balance and suggested that the professional development aspect of this round of appraisal was not, in reality, a dominant feature.

Understandably there were a high number of appraisees, 14, who gave no response or said that the statement did not apply when asked to comment on the statement: "I am in agreement with the specific plans for my professional development." One respondent disagreed, three were neutral, twelve agreed and one agreed strongly. The weighted total of 13 did indicate that when plans were made, they were supported by the appraisee.

Response to the final statement in Table 4.1 was also balanced, as reflected in the total weighted figure of one. Four appraisees disagreed strongly and seven disagreed with the statement: "I believe that the teacher appraisal process will help me to improve my classroom teaching." On the other hand, ten respondents agreed and three strongly agreed. Five were neutral and two did not respond to this item.

The figures for those teachers, middle and senior managers, who were appraised and also acted as appraisers, are as follows:

Statement	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	NA or No response	Total
1. A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development.	1	0	0	6	1	0	
Weighted figures	-2	0	0	6	2	0	6
6. I could openly discuss my own professional issues in the interview with my supervisor.	1	1	0	2	4	0	
Weighted figures	-2	-1	0	2	8	0	7
10. My interview focused on matters that are important for me professionally.	0	1	1	5	1	0	
Weighted figures	0	-1	0	5	2	0	6
12. My appraisal process provided me with new information about my teaching and professional tasks	1	2	1	4	0	0	
Weighted figures	-2	-2	0	4	0	0	0
13. The new information provided through the appraisal process was valid.	0	0	1	2	0	5	
Weighted figures	0	0	0	2	0	0	2
14. The student evaluations of my teaching were a useful source of information.	0	0	0	6	2	0	
Weighted figures	0	0	0	6	4	0	10
17. The appraisal process led to specific plans for my professional development.	0	3	1	4	0	0	
Weighted figures	0	-3	0	4	0	0	1
18. I am in agreement with the specific plans for my professional development.	0	0	1	3	0	4	
Weighted figures	0	0	0	3	0	0	3
19. I believe that the teacher appraisal process will help me to improve my classroom teaching.	1	2	1	3	1	0	
Weighted figures	-2	-2	0	3	2	0	1
34. I believe that I challenged others through my role as appraiser.	0	2	2	3	1	0	
Weighted figures	0	-2	0	3	2	0	3
35. I believe that I affirmed and encouraged others through my role as appraiser.	0	1	1	6	0	0	
Weighted figures	0	-1	0	6	0	0	5
39. Appraising others has led to my own professional growth.	0	1	1	5	1	0	
Weighted figures	0	-1	0	5	2	0	6

Table 4.2: Weighted figures for appraiser/appraisees' responses regarding professional development. N=8.

ii.   Analysis of appraiser/appraisee survey responses with reference to Table 4.2.

It is important to note that the early responses in this table, while they came from appraiser/ appraisees, were based on their own experience in being appraised. For this reason this group has been called "managers" in the following paragraphs, rather than "appraisers", the term used in referring to the group when they responded as appraisers.

The total group included the two deputy principals, the heads of large departments and the assistant heads of very large departments. This group numbered twelve people, eight of whom returned surveys. There was no way of identifying who among these eight was a deputy principal, who a head of department and who an assistant head of department.

Responses to the first statement in Table 4.2: " A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development" were weighted towards agreement, with one manager strongly disagreeing, six agreeing and one strongly agreeing. The weighted total of six reflected general agreement with the statement.

A slightly different pattern emerged with the responses to the second statement in the table: " I could openly discuss my own professional issues in the interview with my supervisor." One manager strongly disagreed, one disagreed, two agreed and four strongly agreed. Although the weighted total of seven was higher than for the previous response, this was caused by the strong agreement of four of the respondents. Two of the eight respondents did not agree with this statement, one of these strongly disagreed.

Managers' responses to the statement: "My interview focused on matters that are important to me professionally" were more clustered, with one respondent disagreeing, one neutral, five agreeing and one strongly agreeing. The weighted total of six indicated general agreement with the statement.

The weighted total of zero for the responses to the statement "My appraisal process provided me with new information about my teaching and professional tasks" reflected the ambivalent replies and was similar to the weighted total of responses from appraisees to the same statement. One manager strongly disagreed, two disagreed, one was neutral and four agreed. No-one strongly agreed with the statement. The writer was surprised with the low weighted total for the responses to this statement.

Five managers chose "not applicable" or gave no response to the statement: "The new information provided through the appraisal process was valid." Two agreed with the statement and one was neutral.

There was a different pattern of response to the statement: "The student evaluations of my teaching were a useful source of information." Six managers agreed with this statement and two strongly agreed. The weighted total of ten was high for this group and was, in fact, higher than that recorded by the much larger group of appraisees.

Opinions were divided in responding to the statement: "The appraisal process led to specific plans for my professional development." Three managers disagreed, one was neutral and four agreed. The weighted total of one shows the balance, indicating that professional development was not a dominant feature of this round of appraisal.

As a result, responses to the consequent statement, "I am in agreement with the specific plans for my professional development," showed four choosing "not applicable", one neutral and three agreeing. The low weighted total of three is a result of the higher number regarding the statement as not applicable.

Managers were also divided in their response to the statement: "I believe that the teacher appraisal process will help me to improve my classroom teaching" as shown by the weighted total of one, the same low figure as that recorded by the group of appraisees. One manager strongly disagreed with this statement, two disagreed, one was neutral, three agreed and one strongly agreed.

The remaining statements in Table 4.2 referred to the managers' role as appraisers in dealing with professional development with regard to their appraisees. To reflect the change in emphasis, the term appraiser has been used in referring to this group.

Two appraisers disagreed with the statement, " I believe that I challenged others through my role as appraiser." Two appraisers were neutral, three agreed and one strongly agreed. The weighted total of three reflects the variety of responses.

Six of the appraisers agreed that they had affirmed and encouraged others in their role as appraisers, but one was neutral and one disagreed. This pattern of responses gave a weighted total of five, showing more general agreement with this statement.

Most appraisers did find that appraising others led to their own professional growth as indicated by the weighted total of six. One strongly agreed with this statement, five agreed, one was neutral and one disagreed.

iii. Combined analysis of the two groups.

When these two groups were combined, a totally positive response to any particular statement would have given a weighted total of 62 (31 respondents strongly agreeing with the statement) for appraisees only, and a weighted total of 16 for appraisers/ appraisees. Therefore a totally positive response overall would have given an overall weighted total of 78. A division of opinion, or all respondents replying neutrally would have given an overall weighted total of zero and the most extreme negative position possible would have been −78.

Table 4.3 combined the weighted scores of each group to show overall trends in responses to statements about professional development.

Statement	Weighted total for appraisees	Weighted total for appraisers/ appraisees	Total weighted response
1. A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development.	16	6	22
6. I could openly discuss my own professional issues in the interview with my supervisor.	25	7	32
10. My interview focused on matters that are important for me professionally.	20	6	26
12. My appraisal process provided me with new information about my teaching and professional tasks	-16	0	-16
13. The new information provided through the appraisal process was valid.	8	2	10
14. The student evaluations of my teaching were a useful source of information.	8	10	18
17. The appraisal process led to specific plans for my professional development.	-1	1	0
18. I am in agreement with the specific plans for my professional development.	13	3	16
19. I believe that the teacher appraisal process will help me to improve my classroom teaching.	1	1	2
34. I believe that I challenged others through my role as appraiser.	NA	3	NA
35. I believe that I affirmed and encouraged others through my role as appraiser.	NA	4	NA
39. Appraising others has led to my own professional growth.	NA	6	NA

Table 4.3: Combined weighted totals regarding professional development statements. N=39.

As Table 4.3 shows, the highest weighted total received to any question was 37, from a possible 78. This reflected the strength of response to the statement "I could openly discuss my own professional issues with my supervisor (or HOD), " and taken together with the weighting of 26 given to the statement "My interview focused on matters that are important for me professionally" indicated that teachers found the appraisal interview the most positive aspect of the appraisal process.

Other responses reflected at best a lukewarm reaction to the professional development aspect of the teacher appraisal system, with some divisions between those who were both appraisers and appraisees and those who were only appraisees. The appraiser/appraisee group had a significantly stronger positive response to the statement "A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development" and to the perceived value of student evaluations.

However, both groups perceived little evidence of specific plans for their own professional development arising from the appraisal process and showed little enthusiasm for the statement that the appraisal process would lead to better classroom teaching. This overall response was the result of bringing together a wide range of opinions on these two topics, and so reflected a split in the perception of teachers.

The appraisal process also seemed to have provided little new information for appraisees in each group, with a strong negative response from the appraisee-only group.

iv. Individual respondent's overall view on the importance of professional development.

It is also possible to indicate an individual's perception on how strong the emphasis was on professional development by summing the individual's responses to the nine statements related to professional development and then weighting these in a similar manner to that explained above. This is the preferred use of "summated ratings" as each

respondent is setting his or her own standards, and so there should be internal consistency, according to Edwards (1957).

When individual responses were tallied for responses on the nine questions on professional development, the following table represented the responses of the 8 respondents who were both appraisers and appraisees (each respondent is now identified by a letter, to enable cross-checking with responses to other parts of the survey):

Statement	A	B	C	D	E	F	G	H
1. A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development.	1	1	1	1	1	2	-2	1
6. I could openly discuss my own professional issues in the interview with my supervisor.	-1	1	1	2	2	2	-2	2
10. My interview focused on matters that are important for me professionally.	0	1	-1	1	1	2	1	1
12. My appraisal process provided me with new information about my teaching and professional tasks	-1	0	1	1	-1	1	-2	1
13. The new information provided through the appraisal process was valid.	0	0	0	0	0	1	0	1
14. The student evaluations of my teaching were a useful source of information.	1	1	1	1	1	2	1	2
17. The appraisal process led to specific plans for my professional development.	-1	0	1	1	-1	1	-1	1
18. I am in agreement with the specific plans for my professional development.	0	0	0	1	0	1	0	1
19. I believe that the teacher appraisal process will help me to improve my classroom teaching.	0	1	-1	1	-1	1	-2	2
INDIVIDUAL TOTAL SCORES – the higher the score, the more the individual sees professional development as being a key factor in the current appraisal system	-1	5	3	9	2	13	-7	12

Table 4.4: Appraiser/appraisees' summated ratings dealing with professional development. N=8.

The highest score possible in this table was 18, so two respondents, F and H, with scores of 13 and 12, felt that the professional development aspect was a key factor in the current appraisal system. Both of these respondents agreed (shown by the figure 1) or strongly agreed (shown by the figure 2) with all of the statements made about professional development. However, respondent G, with a total of negative seven, gave a very different profile of response, strongly disagreeing (shown by the figure –2) with four statements, disagreeing (shown by the figure –1) with one and recording a neutral response, or perhaps a "not applicable", (shown by the figure 0) for two statements.

For those who were appraisees only, the following responses were recorded. Space restrictions caused the negative symbol to appear above the number, rather than in front of it. Space restrictions have also prevented the printing of the full statement, the first column on the left gives the number of the statement and these are in the same order as Table 4.4. Respondents are identified alphabetically from I (following A – H used for appraiser/appraisees) through to AQ. Some two letter combinations, such as AM or AP, were omitted as these were used at Kapiti College as initials for individual teachers and their use in this context would have been misleading.

	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	AA	AB	AC	AD	AE	AF	AJ	AK	AL	AN	AO	AQ
1	1	-1	0	1	2	-1	2	0	1	1	-1	1	1	-1	1	0	1	1	1	-1	-1	0	-1	1	1	2	1	0	2	1
6	-1	2	1	0	0	2	0	0	2	1	2	1	2	-1	1	-1	1	2	0	1	1	1	-1	0	2	2	2	-1	2	1
10	-2	1	-1	1	0	1	0	0	2	2	1	1	2	2	1	0	1	2	0	2	-1	-1	-1	0	1	1	2	-1	2	1
12	1	-2	0	1	1	-1	0	0	-1	-2	-2	1	1	-2	1	-2	1	1	-1	-1	-1	-1	-2	-2	-1	-1	1	0	-1	-1
13	-1	0	0	1	1	0	0	0	0	0	0	0	1	1	1	0	1	1	0	0	0	0	0	0	0	1	1	0	0	0
14	0	2	1	0	1	-1	0	0	0	2	2	0	0	-1	0	-2	-1	0	-1	1	-1	1	1	-1	-1	1	1	1	2	1
17	0	-2	0	1	1	1	0	0	-1	0	0	1	1	-1	1	-2	1	1	-2	-1	-1	-1	-2	-1	-1	1	2	0	2	1
18	0	1	0	1	1	1	0	0	0	0	0	1	1	-1	1	0	1	1	0	0	0	0	0	0	1	1	0	0	2	1
19	1	-2	1	0	1	1	0	0	1	-1	-1	0	0	-1	1	-2	1	1	0	2	-2	-1	-2	-1	0	1	2	-1	2	1
TOTAL	-1	-1	2	6	8	3	2	0	4	3	1	6	9	-5	8	-9	7	10	-3	3	-6	-2	-8	-4	1	9	12	-2	13	6

Table 4.5: Appraisees' summated ratings dealing with professional development. N = 31.

The most positive response was recorded by the teacher labelled as AO, who strongly agreed with seven statements, disagreed with statement 12 and therefore found statement 13 to be not applicable. This teacher's total weighted score was 13. The most negative response came from the teacher labelled as AE, who strongly disagreed with three of the statements, disagreed with another three, was neutral for two and agreed with one, giving a total weighted score of negative eight. This range of responses is similar to that recorded by the appraiser/appraisee group.

c. Interview with the principal

The principal was interviewed (see Appendix B1 for the questions) following the analysis of data from the survey responses, so questions were shaped to cover areas that needed further explanation. The following questions and answers have been transcribed by the writer and then edited by the principal to accurately reflect his views at the time of writing. Of course, he is entitled to change his opinion and so it must be emphasised that these views were his in August 2000.

The first question, which was related to professional development, asked if the principal believed that the new system gave adequate weighting and importance to the professional development side of appraisal. He replied:

> It didn't, because it was a forced pace, out of context situation. We now need to go backwards and re-establish trust and the link to Professional Development.

The principal was then asked to talk through the link between hierarchical teacher appraisal and the professional development of the individual staff member and explain how this link should actually happen. His response was:

> We see it as an hierarchical appraisal but the core is self-reflection and self-appraisal with a mentor who is experienced and who understands your job and has the wisdom to reflect back professionally. There doesn't have to be such a gap between things like quality learning circles and hierarchical appraisal. The appraiser needs to be a good listener and be able to point out any credibility gap between self-perception and the perception of others. In the end there is a degree of accountability – the more you accept that for yourself the better – the best teachers are highly accountable to themselves.
> We're trying to work towards a model where we learn things and we set goals. These fit in with school strategic goals, departmental goals and pure personal professional development. Everybody should have a balance of goals: something for themselves, something for the team that they work in, and something that we recognise that we're all trying to get better at. Professional development resourcing is available from three pools: the school pool, departmental funds and the personnel committee for personal development. Responsibility for the choice of professional development would normally be left to the teacher unless there were areas of real concern that must be addressed.

The final question in this area was to ask if he thought that this link was made strongly at Kapiti College in Term One of this year, to which he answered: "No, it wasn't because it was out of cycle and we were doing it because we had to."

d. Summary of findings on the emphasis on professional development.

While the documentary sources emphasised the importance of professional development in the appraisal process, teachers did not find that emphasis carried through in the setting of specific plans for their professional development and were very cautious in response to the statement that the teacher appraisal process would help to improve their classroom teaching. On the other hand, there were positive responses regarding the open discussion of teachers' professional issues and regarding the professional focus of discussions. The principal acknowledged the need to alter the focus of the next round of appraisal and to make a closer link to professional development.

3.   Emphasis on rate of pay.

a.   Documentary sources.

Three documents dealt with this issue. The first of these (Appendix A2: *Teacher Appraisal Against the New Performance Standards*) dealt with the mechanisms for actioning pay increases and also for advising the principal if any teacher was not judged to be meeting the required standard.

The second document   (Appendix A7: Greater Wellington Secondary Schools' Principals' Association) argued that the links with pay were not helpful and would require much more time and care, presumably to ensure that some teachers did not progress in salary.

The third document (Bunker, 1999, 3) assured members of the Post Primary Teachers' Association that the link with pay was for the year 2000 only, and urged any member who was not attested for a pay increase to contact their Field Officer immediately.

There was relatively little emphasis on remuneration. However, it was made clear to all staff that this was a factor. Secondary School Principals in Wellington were not convinced that the link with remuneration was a good idea. The Post Primary Teachers'

Association, through Kevin Bunker, saw it as a minor issue for most; but as a real issue for some individuals who should immediately seek support from the Association.

The Wellington Secondary Schools' Principals' views, and some of the reasons behind them, were investigated in the interview with the principal of Kapiti College.

The view, that the emphasis on remuneration was minor when viewed as a universal factor but loomed larger when one looked at it individually, was also picked up in survey responses, as shown below.

b. Survey responses

The following statement was made in surveys posted to teachers at Kapiti College:
"A key purpose of the teacher appraisal system in current use at Kapiti College is to decide on my rate of pay."
Survey responses from teachers at Kapiti College were distributed as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	0	5	4	15	5	
Weighted figures	0	0	-5	0	15	10	20
Appraisee / appraiser	0	4	0	1	2	1	
Weighted figures	0	-8	0	0	2	2	-4
Overall total							16

Table 4.6: Responses from appraiser/appraisees and from appraisees only to the statement:
"A key purpose of the teacher appraisal system in current use at Kapiti College is to decide on my rate of pay." N=39

Two appraisees did not respond to this statement. Four appraiser/appraisees strongly disagreed with the statement, while no appraisees strongly disagreed with it. Five appraisees disagreed with the statement, with no managers taking that position. Four appraisees were neutral and so was one appraiser/appraisee. Fifteen appraisees agreed with the statement, and so did two managers. Five appraisees strongly agreed with it, as did one appraiser/ appraisee. The total weighted figure for appraisees was twenty, showing general agreement with the statement. The total   weighted figure for

appraiser/appraisees was negative four, showing mild disagreement with the statement. This statement was one where the responses from the two groups were sharply divided.

c. Interview with the principal

The principal was asked only one question on this issue, seeking his opinion on linking pay with appraisal. He replied:

> I think it's fraught with difficulties. It's not a good motivator for schools. People get offended and affronted because it is a negative driver. On the other hand, in terms of people progressing up the pay progression scale it does provide some degree of accountability.

d. Summary of findings on the emphasis on rate of pay.

Teachers who were appraisees scored the emphasis on rate of pay more highly, with a weighted total of 20, than they did the emphasis on professional development, with a weighted total of 16. Teachers who were both appraisers and appraisees reversed these priorities, with the emphasis on rate of pay scoring a weighted total of negative four and the emphasis on professional development having a weighted total of six.

The documents and the principal's interview also reflect an ambivalent response to the use of teacher appraisal to attest to a salary increase. The documents dealt mainly with mechanisms for just decisions, but also reflected a care for the individual who was not attested and an underlying philosophical unease about the use of appraisal to determine rate of pay. The principal articulated this philosophical unease, but also credited the current system with providing a mechanism for accountability.

4.   Emphasis on incompetent teachers.

Cardno and Piggot-Irvine (1997) maintain that it would be only "rare cases of incompetence which might be uncovered by appraisal processes". Nevertheless, the possibility is present and was a factor in teachers' perceptions about the new appraisal system.

a.   Documentary sources

There were three documents which dealt with this issue. The first of these (Appendix A2: *Teacher Appraisal Against the New Performance Standards*) outlined the steps to be taken for any teachers who were not judged to meet the required standard. This statement did not include the beginning of competence procedures, but referred instead to professional development requirements and salary implications.

The second document (Appendix A7: Greater Wellington Secondary Schools' Principals' Association) argued that the current processes for dealing with incompetent teachers were clear, and that the introduction of criteria for judging experienced classroom teachers only confused the issue.

The third document (Bunker, 1999, 5) urged individual members of the Post Primary Teachers' Association to contact the Field Office immediately if they were told that their performance as a teacher was of concern.

There was relatively little emphasis on incompetent teachers. However, it was made clear to all staff that teachers who did not initially meet the standards would have the opportunity to be reassessed. Principals in the Wellington area believed that current procedures were sufficient to cover issues of competence, and that the inclusion of a set of criteria for experienced classroom teachers confused the issue of competence. The Post Primary Teachers' Association signaled quite clearly that the issue of competence would be taken out of the appraisal process (which is in-house) and dealt with in terms of the competence procedures in the Contract.

b. Survey responses

The survey dealt with this area in question 3, which was common to both groups of respondents, and in question 36, which was directed only to appraisers.

Question 3 asked teachers to respond to the statement: "A key purpose of the teacher appraisal system in current use at Kapiti College is to identify incompetent teachers."

Survey responses from teachers at Kapiti College were distributed as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	4	5	6	10	4	
Weighted figures	**0**	**-8**	**-5**	**0**	**10**	**8**	**5**
Appraisee / appraiser	0	1	1	3	2	1	
Weighted figures	**0**	**-2**	**-1**	**0**	**2**	**2**	**1**
Overall total							**6**

Table 4.7: Responses from appraiser/appraisees and from appraisees only to the statement: "A key purpose of the teacher appraisal system in current use at Kapiti College is to identify incompetent teachers." N = 39.

Two appraisees did not respond to the statement, four appraisees and one appraiser/appraisee strongly disagreed with it. Five appraisees and one manager disagreed with the statement while six appraisees and three managers were neutral about it. Ten appraisees and two managers agreed with the statement and four appraisees and one appraiser/appraisee strongly agreed.

The statement itself was quite definite, asserting that one of the **key** purposes of the new system was to **identify** incompetent teachers – not to confirm suspicions, but to identify them. The weighted totals, five for the appraisees and one for the managers, are the result of opinions on either side being cancelled out.

Two appraisees made their own comments regarding this question. One added to their response by saying that they believed that nationwide the intention was to identify

incompetent teachers but that this did not apply at Kapiti College. The other did refer to a colleague at Kapiti College, writing:

> I am aware of at least one case where this [the identification of incompetent teachers] appears to have occurred. I say 'appears' because I am not party to all the information and the individual has been circumspect.

Appraisers were asked to respond to the statement (No 36): "I discovered material in the appraisal process that made me doubt a teacher's competence, where I had previously had no concerns about that teacher's competence."

Responses from the eight appraisers were as follows:

No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted total
0	2	5	0	1	0	
Weighted figures	-4	-5	0	1	0	-8

Table 4.8: Responses from appraiser/appraisees to the statement:
"I discovered material in the appraisal process that made me doubt a teacher's
competence, where I had previously had no concerns about that teacher's competence." N = 8.

Two managers strongly disagreed with the statement and five disagreed. One agreed with it. The weighted total of negative eight gives the overall trend, but the fact that one manager agreed with the statement is significant.

It was also interesting to co-relate the response to the above statement, which implied that new material was gained in the appraisal process, with the responses to statement 37, also directed only to appraisers: "The appraisal process caused me to significantly revise my judgement about the professional work of one or more of my appraisees."

Responses from the eight appraisers were as follows:

No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted total
0	1	4	1	2	0	
Weighted figures	-2	-4	0	2	0	-8

Table 4.9: Responses from appraiser/appraisees to the statement:
"The appraisal process caused me to significantly revise my judgement about the professional
work of one or more of my appraisees." N = 8.

One manager strongly disagreed, four disagreed, one was neutral and this time two managers agreed with the statement, an increase from the previous statement, reflected in the change in the weighted total of negative four. The statement itself was broader than the previous one, and allowed for positive changes in impression and for less serious negative changes, as well as including new doubts about competence. However, the statement did include the word **significantly**; it was not discussing minor revisions of judgement.

This response also indicated that there was a change in professional judgement for 25% of the sample group. In turn, this can be co-related with responses to statement 12, directed to both groups, which sought an appraisee's point of view regarding new information and was worded: " My appraisal process provided me with new information about my teaching and professional tasks."

Survey responses from teachers at Kapiti College were distributed as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
Appraisees only	2	7	11	2	9	0
Appraisee / appraiser	0	1	2	1	4	0

Table 4.10: Responses from appraiser/appraisees and from appraisees only to the statement:
" My appraisal process provided me with new information about my teaching and professional tasks." N = 39.

Fewer than one third of the appraisee-only respondents felt that they had learnt any new information about their teaching and professional tasks, while half the appraiser/appraisee group believed that they had learnt new information.

Therefore it is possible that some of this new information could have impacted on judgements about teacher competence: there was sufficient acknowledgement from both parties that some new information did become available through the appraisal process.

c. Interview with the principal

This new knowledge, some of it quite radical, raised questions about the degree of knowledge that HODs and supervisors had about the professional work of teachers they were supervising, and the basis of their judgements about their staff. This area was investigated in the interview with the principal who was asked if he anticipated that the current appraisal system would identify incompetent teachers, or those who border on incompetence. He replied:

> Those who are bordering, struggling or likely to be incompetent are self-evident without the appraisal process. The appraisal process does give a formal structure in which to be quite specific about the areas of weakness. It is a good check because it is balanced and consistent.

The principal was also asked to comment on the amount of new knowledge that HODs and supervisors had gained about their staff, and their consequent revision of their judgements of these staff. He commented:

> I certainly wouldn't be surprised that there were surprises first time round. There's been very nominal and casual classroom visiting really. There have been comments such as "This is the first time I've been appraised in twenty five years."

d. Summary of findings on the emphasis on incompetent teachers.

The documents all emphasise the fact that competence procedures already exist and that appraisal should not duplicate these procedures. Teacher surveys showed that the average view was that there was not a strong emphasis on identifying incompetent teachers in the current system but this average masked a significant number of teachers who believed that there was such an emphasis. One appraiser reported discovering new material that made that appraiser doubt a teacher's competence where the appraiser had had no previous concerns about that teacher's competence. The principal believed that incompetent teachers were self-evident without the appraisal process but was not surprised that appraisers learnt a lot of new information about their appraisees.

5. The current appraisal system and the culture or ethos of Kapiti College.

Interest in this topic was based on the work of Bevan and Thompson (1991), Loader (1994), Legge (1989) and many others who have maintained that a performance management system could be used to change the culture of an organisation, and that, according to Barth (1990), O'Neill, Middlewood and Glover (1994) and Edwards (1991) it would change the culture of a school, whether that was an intended effect or not.

a. Documentary Sources.

There were five documents which dealt with this question, reflecting an appreciation of the findings of research literature on the link between appraisal and school culture.

The first document stated:

> We are determined to ensure that
> - the system we use is consistent with the ethos and goals of the school
> - we measure what we value. (Ministry of Education, 1999b, 41)

The second document (Appendix A1: *School Development 2000*) asked whether the appraisal process measured what the school valued, and how it linked to the school strategic plan, school, department and personal goals, and whether we could actually articulate what we valued and where we were going.

The third document (Appendix A6: *Principles of implementation of assessment against the Professional Standards.)* was an internal document which repeated the same basic message as the first, quoted above.

The fourth document (Education Review Office, 1998) was the earliest written and recommended that the College's appraisal system needed to link teachers' individual objectives with departmental and school-wide objectives from the strategic plan. As seen from the first and third documents above, this linkage has now been made, at least in official school and Ministry documents.

The fifth document (Appendix A7: *Greater Wellington Secondary Schools' Principals' Association*) criticised the Ministry's model of teacher appraisal and reflected research findings in its statement:

> The single theme that drives effective schools is "Articulate what you value and commit your time and resources to measuring and improving those things. Avoid mechanistic processes that reduce ownership and commitment, especially such processes imposed from the outside".

These recent documents picked up the suggestion from the Education Review Office and acknowledged that there needed to be a stronger link between the Performance Appraisal system and the culture or ethos of Kapiti College, in particular, and of each school in general. They also suggested that the imposition of a single model worked against this link.

b.   Survey Results

The survey dealt with this research question in statements 4, 21, 22 and 23; but in a rather indirect manner. Elements of culture being probed were, in order of statements: emphasis on teaching and learning, professionalism in the teaching staff, trust among the teaching staff and co-operation among the teaching staff. These obviously did not include all the elements of the culture of any learning institution, but they were elements that might well be influenced by the introduction of an hierarchical appraisal system.

Statement 4 read: "A key purpose of the teacher appraisal system in current use at Kapiti College is to emphasise important aspects of teaching and learning." This statement was generated from the research literature findings on the importance of ensuring that the implementation of teacher appraisal systems flow through into the classrooms, as discussed by Hopkins, Ainscow and West (1994), Darling-Hammond (1990), Loader (1994) and HMCI (1996).

Responses to Statement 4 were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	0	0	7	5	15	4	
Weighted figures	**0**	**0**	**-7**	**0**	**15**	**8**	**16**
Appraisee / appraiser	0	0	1	1	4	2	
Weighted figures	**0**	**0**	**-1**	**0**	**4**	**4**	**7**
Overall total							**23**

Table 4.11: Responses from appraiser/appraisees and from appraisees only to the statement:
"A key purpose of the teacher appraisal system in current use at Kapiti College is to emphasise important aspects of teaching and learning." N = 39.

All respondents replied to this statement. No-one strongly disagreed with it. Seven appraisees and one appraiser/appraisee disagreed. Five appraisees and one manager were neutral. Fifteen appraisees (almost half the total number) and four appraiser/appraisees (exactly half the total number) agreed with the statement. A further four appraisees and another two managers strongly agreed with it. The weighted totals, 16 for appraisees and seven for appraisers, showed general agreement with the statement, proportionally almost twice as strong amongst the appraisers.

One appraisee noted:

> That appears to be the intention. The close affiliation of the majority of the evidence indicators to specific skills required for effective teaching and learning would support this.

However, another appraisee felt that the emphasis on teaching and learning was to the detriment of other professional duties:

> I was concerned that only one person was involved in the appraisal of each teacher. In some cases this person did not know the appraisee as a total staff member: e.g. are they are a good form teacher, pastoral care [sic]. I know that some staff who were appraised and "passed" are not good in some situations related to form duties. Others who "missed" are excellent. Why were deans not asked for input with regard to teachers and their professionalism as form teachers? The fact that Curriculum Executives [Heads of Department] appraised indicates that attestation is mainly to do with classroom teaching and not the whole package.

Statement 21 read: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will strengthen professionalism in the teaching staff." Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	0	9	3	8	10	1	
Weighted figures	**0**	**-18**	**-3**	**0**	**10**	**2**	**-9**
Appraisee / appraiser	0	1	1	2	2	2	
Weighted figures	**0**	**-2**	**-1**	**0**	**2**	**4**	**3**
Overall total							**-6**

Table 4.12: Responses from appraiser/appraisees and from appraisees only to the statement: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will strengthen professionalism in the teaching staff." N = 39.

The term "professionalism" was not defined in the question but it and its derivatives were often used in conversations and documents involving staff at Kapiti College. If the term had proved problematic, one would have expected a number of "no responses"; in fact, all respondents replied to this statement. In using the term, the writer was envisaging a growth in dialogue about teaching practice and about student learning, and an encouragement to reflect on what makes for good practice in teaching. The term was also used because it reflected a division in the research literature: is teacher appraisal a sound method of increasing the professional status of teachers and of encouraging professional self-reflection? Some writers, such as Fullan (1991) and Sergiovanni (1996), believe that appraisal is the wrong tool and that, in fact, it will destroy professionalism.

Nine appraisees and one appraisee/appraiser strongly disagreed with this statement. Three appraisees and one manager disagreed with it. Eight appraisees and two appraisee/appraisers were neutral. In sum, therefore, more than half of the appraisees and exactly half of the managers were unable to agree with the statement. Ten appraisees and two managers agreed with it, while one appraisee and two appraiser/appraisees strongly agreed with it. The weighted totals show a tendency towards rejection of the statement.

A number of respondents added comments to this statement. One respondent wrote:

> I know that HOD's had the responsibility to ensure the professionalism of their staff (i.e. their competence) under the old contract but all did not fulfil that responsibility. If this gives them the tools to do it then something is gained.

Another appraisee wrote: "I have no problem with the idea of appraisal. I think it keeps accountability and it gives wonderful opportunities to reflect on the good and to set goals for the weaker areas" but then qualified this view with comments on the lack of consistency perceived between departments – quoted later in response to statement 30, under Research Question 11. Another appraisee put it this way: "Appraisal is necessary, however should be done by appraisee chosen appraisers. Hierarchical appraisal systems are detrimental to staff relations." Another appraisee went further:

> Appraisal is done within myself. I am accountable to myself first. I don't need an hierarchical system to make me a better teacher. I see it as a way of keeping the hierarchy and the media happy. It was time consuming and teachers with little time, it was a demand they did not need.

Statement 22 dealt with the issue of trust. This statement was included for two reasons: because the issue of trust between colleagues is fundamental to the culture of an institution and because of the strong views on appraisal as a betrayal of trust if is not full and complete, as put forward by Townsend (1995). Middlewood (1997) believes that appraisal can create a climate of trust, whereas Rudman (1999) urges managers not to institute an appraisal system unless there is already a climate of trust. Statement 22 could only reflect individuals' views in one place and at one time, and it was speculative as it looked to the future; but on the other hand all staff who responded had actually experienced the appraisal process and reflected on it.

Statement 22 read:

"I believe that the introduction of teacher appraisal at Kapiti College will increase trust among the teaching staff."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	0	9	9	8	4	1	
Weighted figures	**0**	**-18**	**-9**	**0**	**4**	**2**	**-21**
Appraisee / appraiser	0	1	3	3	1	0	
Weighted figures	**0**	**-2**	**-3**	**0**	**1**	**0**	**-4**
Overall total							**-25**

Table 4.13: Responses from appraiser/appraisees and from appraisees only to the statement: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase trust among the teaching staff." N = 39.

All respondents replied to this statement. Nine appraisees and one appraisee/appraiser strongly disagreed with it. A further nine appraisees and another three managers disagreed. Eight appraisees and three appraiser/appraisees were neutral. Four appraisees and one manager agreed. One appraisee strongly agreed with it. The weighted totals indicate a general rejection of the statement from the appraisees and rejection from half of the appraisers.

One of the appraisees wrote:

> I would not call it a system that leads to trust between the various levels of the hierarchy, if anything it militates against it, not for me personally, but for those who may be insecure in their level of competence, both HOD and assistant teacher.

This individual view regarding trust is one possible explanation for the paradoxically positive response to statement 6: "I could openly discuss my own professional issues with my HOD/Supervisor," reflecting the view that teachers found their own interview satisfactory but were concerned about the climate being created; another possible explanation is that teachers had fears for the future, but that the actual process, for most, was better than feared.

Statement 23 raised the issue of co-operation among staff. This statement was triggered by Barth's concern (1990) that evaluation could work against a team culture within a school – a concern echoed by Collett (1997).

Teachers at Kapiti College were asked to respond to the statement:

"I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase co-operation among the teaching staff."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	0	9	6	9	5	2	
Weighted figures	0	-18	-6	0	5	4	-15
Appraisee / appraiser	0	1	1	5	1	0	
Weighted figures	0	-2	-1	0	1	0	-2
Overall total							-17

Table 4.14: Responses from appraiser/appraisees and from appraisees only to the statement: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase co-operation among the teaching staff." N = 39.

All respondents replied to this statement. Nine appraisees and one appraisee/appraiser strongly disagreed with it. Six appraisees and one manager disagreed. Nine appraisees and five appraiser/appraisees were neutral. Five appraisees and one manager agreed with the statement and two appraisees strongly agreed with it. The weighted total of responses was negative seventeen, higher than the negative twenty five recorded for the similar statement regarding trust but still an area of concern.

From these results it is possible to provide an overview of individuals' responses to survey statements made regarding the impact of the current teacher appraisal system on the culture or ethos of Kapiti College.

Statement	A	B	C	D	E	F	G	H
4. A key purpose of the teacher appraisal system in current use at Kapiti College is to emphasise important aspects of teaching and learning.	1	1	1	1	0	2	-1	2
21. I believe that the introduction of hierarchical teacher appraisal at Kapiti College will strengthen professionalism in the teaching staff.	-1	1	0	0	1	2	-2	2
22. I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase trust among the teaching staff.	-1	0	-1	-1	0	0	-2	1
23. I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase co-operation among the teaching staff.	0	0	0	-1	0	0	-2	1
TOTALS	-1	2	0	-1	1	4	-7	6
OVERALL TOTAL FOR THIS GROUP = 4.								

Table 4.15: Overview of appraiser/appraisees' responses to statements regarding culture and ethos. N=8.

Respondent H had the strongest positive response, scoring an overall weighted total of six, made up of agreeing or strongly agreeing with all four of the statements. Three other respondents, B, E and F, also recorded positive weighted scores, reflecting an optimistic view of the impact of the current teacher appraisal system on selected aspects of the culture and ethos of Kapiti College. Respondent C was neutral overall, agreeing with one statement, disagreeing with another and recording neutral for the remaining two. Respondents A and D were slightly negative, with a weighted total of negative one. Respondent G was very strongly negative, recording negative seven on a scale that goes only as far as negative eight, by choosing "strongly disagree" for three of the statements and "disagree" for the other.

A similar overview for appraisees showed the following:

Question	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z
4	1	1	0	0	1	1	1	1	1	1	1	1	-1	-1	1	0	-1	1
21	-1	-1	-2	-1	1	1	2	1	-2	-2	0	1	0	-2	0	-2	1	0
22	-1	-1	-2	-1	-2	0	2	0	-1	-2	0	1	0	-2	-1	-2	-1	-1
23	-1	2	-2	-1	-2	0	2	0	-1	-2	0	1	0	-2	0	-2	1	0
TOTAL	-2	1	-6	-3	-2	2	7	2	-3	-5	1	4	-1	-7	0	-6	0	0

Question	A A	A B	A C	A D	A E	A F	A I	A J	A K	A L	A N	A O	A Q
4	1	-1	-1	0	-1	1	1	1	2	2	0	2	2
21	-2	1	-2	0	-2	1	1	0	1	0	-2	0	1
22	-2	1	-2	0	-1	-2	1	0	0	-1	-2	0	1
23	-2	-1	-2	-1	-2	-1	1	0	1	0	-2	0	1
TOTAL	-5	0	-7	-1	-6	-1	4	1	4	1	-6	2	6

Table 4.16: Overview of appraisees' responses to statements regarding culture and ethos. N=31.

Twelve respondents recorded an overall weighted total that was positive, with respondent O, recording a weighted total of seven out of a possible eight, the most optimistic about the impact of the change on these aspects of school culture. One respondent, AQ, recorded six; three recorded a total of four; three recorded a total of two and four recorded a total of one. Four respondents recorded an overall weighted

total of zero for these four statements, reflecting a neutral position. A total of fifteen respondents, almost half the group, recorded overall weighted totals that were negative. Three of these scored negative one; two scored negative two; two scored negative three; two scored negative five; four scored negative six and two scored negative seven, with the most extreme negative score possible being negative eight.

When the individual weighted totals were weighted together, the appraisee/appraisers' group recorded an overall weighted total of positive four, reflecting a very small degree of positivity about the impact of the current teacher appraisal system on the culture of Kapiti College. The thirty one appraisees' responses came to an overall weighted total of negative 27 reflecting a small degree of negativity about the same impact.

c.   Interview with the principal

The principal was asked a number of questions in this area. The first of these outlined the emphasis in the literature that teacher appraisal will only have an impact on student learning if the culture of the school is open to learning and self-reflection and that some author's claim that an hierarchical appraisal system, with a strong individual accountability focus, works against such a culture. He responded to this statement by saying:

> Can   you have an appraisal system which doesn't have accountability? Accountability is an element of an hierarchical appraisal system, but the focus is quite clearly on self-appraisal, self-reflection and finding your own solutions with support and I think pragmatically we don't have a lot of choice but to wrap it into a single process and be good at those sort of relationships. Life is all wrapped up – the role of a parent is wrapped up in the role of encourager and authority figure and standard setter. We change roles and we recognise that.

He was then asked to describe the professional culture of Kapiti College – both as he arrived in 1999 and as it has developed over the past year. In reply he stated:

> There has been a change in the culture. Right at the moment I would suspect that there is less buoyancy and creativity energy in the teaching and learning process than there was this time last year. I hope this is part of the change process, that actually performance in one sense diminishes while you make change in order to improve in the long run.

One of the potential areas of change in the professional culture is in the quality of the professional relationship between appraisers and appraisees. The principal was asked if he thought that there would be an improvement in these relationships. He replied:

> We've given HODs ten hours per cycle to try and do something about it. At the moment, by their own admission, they are not using this time for this purpose. Now we could take the time away from them and use it for other purposes, or we could make a concerted effort with more training so that they do use this time for this purpose, or we could take another tack and perhaps use another person in each department, perhaps the assistant HOD, to provide this sort of support – one step up from a buddy – it's got be someone you admire enough for their skills to be able to help you through it rather than just hold your hand – more a mentor. So it can be curriculum advisor, cross-curriculum advisor, and that could be rotated through HODs – a support person and pedagogical advisor.

d. **Summary of findings on the impact on the culture or ethos of Kapiti College.**

While the documents reflect an appreciation of the link between appraisal and school culture, teachers at Kapiti College were very cautious about the impact of the new appraisal system on key aspects of culture involving teaching and learning, trust, co-operation and professionalism among the teaching staff. The principal was aware that there was a change taking place in the culture of Kapiti College and was hopeful that this would be positive.

6 . Weightings for key purposes

It is now possible to see some relativity in perceived strengths between the purposes of the current appraisal system, remembering that these ordinal scale figures are indications only , but some comparison is possible as they have been completed by the same respondents.

	Appraisees Only average of 31 responses	Appraisers and appraisees: Average of 8 responses
Professional development emphasis (based only on statement no 1)	0.5	0.75
Remuneration emphasis (based on 1 question: statement no 2)	0.65	-0.5
Identification of incompetent teachers (based on 1 question: statement no 3)	0.16	0.13
To emphasise important aspects of teaching and learning (based on 1 question: statement no 4	0.52	0.88

Table 4.17: Relative perceived strength of purposes of current teacher appraisal system: N=39.

This table shows the average weighting of responses from each group, continuing to assign the figures of positive one for agreement, positive two for strong agreement, negative one for disagreement and negative two for strong disagreement with each statement. All other responses were recorded as zero. Totaling the weighted responses and then averaging them for each group gave the figures recorded in the table above. All figures must lie within a range between negative two and positive two. With the exception of the response from appraisers and appraisees to the emphasis on remuneration, all average responses were positive. In other words both groups regarded, on average, all of the four purposes postulated as being important.

Because the groups are of different sizes the scale of difference between the two groups regarding their response to the identification of incompetent teachers is insignificant.

The appraisees rated the emphasis on remuneration most highly, followed by emphasis on professional development and emphasis on important aspects of teaching and

learning in almost equal positions. Emphasis on the identification of incompetent teachers was placed fourth.

Appraiser/appraisees had a different order. They placed emphasis on important aspects of teaching and learning first, emphasis on professional development second, identification of incompetent teachers third and emphasis on remuneration last.

7. The impact of this system on student learning.

Research literature, especially HMCI (1996), questions the value of teacher appraisal if it does not lead to improved student learning. It is not yet possible to measure any changes in student learning at Kapiti College, because of the time span involved. It would also be difficult to decide how to measure student learning, and how much to attribute any changes to the introduction of a teacher appraisal system, particularly given the nature of both staff and student changes over a period of time.

a. Documentary evidence

This area was treated very lightly in the documents. The Education Review Office (1998) made suggestions for improvement in 1998. Recent internal documentation (Appendix A4: *Notes for appraisers)* had not made the link between teacher appraisal and student learning as explicit as that made by the Greater Wellington Secondary Schools' Principals' Association (Appendix A7).

b. Survey responses

Teachers at Kapiti College have experienced one round of the new appraisal system. This included a requirement to survey students on their teaching. While anecdotal evidence suggested that Heads of Department used this evidence in various ways, there was still a consistent requirement for teachers to obtain feedback from students, using a standard form. Managers, in particular, found this a useful source of information (see Table 4.2 for more information.) An appraisee commented:

Student evaluations of teachers' teaching should be done later in the year. [These evaluations] need to be carefully worded and require students to qualify their answers.

All teachers were asked to respond to two statements based on this experience. Statement 19 read: "I believe the teacher appraisal process will help me to improve my classroom teaching."

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	NA or No response	Total
Appraisee Responses	4	7	5	10	3	2	
Weighted figures	-8	-7	0	10	6	0	1
Appraiser/ appraisee responses	1	2	1	3	1	0	
Weighted figures	-2	-2	0	3	2	0	1
Overall Total							2

Table 4.18: Responses from appraiser/appraisees and from appraisees only to the statement: "I believe the teacher appraisal process will help me to improve my classroom teaching." N=39.

Four appraisees and one appraisee/appraiser strongly disagreed with this statement. Seven appraisees and two managers disagreed. Five appraisees and one appraiser/appraisee were neutral. Ten appraisees and three managers agreed with it. Three appraisees and one appraiser/appraisee strongly agreed and two appraisees did not reply. The overall weighted figures were positive one for both groups, reflecting considerable difference of opinion among the respondents, with responses effectively cancelling each other out.

An appraisee added the comment that the desire and motivation to improve his or her teaching did not come from the appraisal process.

Statement 24 changed the emphasis from the teacher to the student, stating: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will improve student learning."

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	NA or No response	Total
Appraisee Responses	6	5	10	7	3	0	
Weighted figures	-12	-5	0	7	6	0	-4
Appraiser/appraisee Responses	1	0	3	3	1	0	
Weighted figures	-2	0	0	3	2	0	3
Overall total							-1

Table 4.19: Responses from appraiser/appraisees and from appraisees only to the statement: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will improve student learning." N=39.

All respondents replied to this statement which moved the emphasis away from the individual teacher completing the response to students in general. This meant that respondents could answer on the basis of their beliefs about their colleagues' teaching and on student learning, rather than on their own personal experience.

Six appraisees and one appraiser/appraisee strongly disagreed with the statement. Five appraisees disagreed with it. Ten appraisees and three managers were neutral. Seven appraisees and three appraiser/appraisees agreed with the statement while three appraisees and one manager strongly agreed. Weighted totals reflected a difference in the two groups: appraisees had an overall weighted total of negative four, while appraiser/appraisees had a weighted total of positive three. Once again the respondents largely cancelled each others' opinions.

One of the appraiser/appraisees wrote:

> I get the feeling that the aim of the appraisal is to try to get all staff teaching the same way. If you don't fit the mould then you are not as good as someone who does. Surely the strength of the teaching profession is the individuality that each staff member brings. A school and management needs [sic] to harness these differences for the betterment of the students and the school. It's in the classroom where we count.

An appraisee believed:

> It could if it deals with incompetence. It will not if it continues to consume hours of time for both appraisee and appraiser without any reduction in current workload.

c.   Interview with the principal

The principal was asked if he thought that the introduction of an hierarchical appraisal system would improve student learning at Kapiti College. He replied:

> Well I don't know what you would attribute to the appraisal system. I mean appraisal is just one element in a complex matrix of things. There's the departmental restructuring, bigger teams, bigger approach, trying to get some more connections across, then there's the ITPD [Information technology professional development – the main whole-staff professional development focus for 2000] and there's people's roles on committees. It's a package deal and appraisal is just the way we reflect on how these bits come together. Appraisal is just a time to reflect and evaluate and set new goals. Our appraisal needs to focus on how we collectively achieve our number one and two goals – have a focus and change the focus as we develop. We've got those contract performance criteria but we can alter the text on the right hand side any time we choose. Why don't we look at what we want to measure and then it comes right back to what I said fairly early on: "We measure what we value."

d.   Summary of findings on the impact on student learning.

No source was prepared to claim that the teacher appraisal system would have a significant positive impact on student learning. There was a fear expressed by the Greater Wellington Secondary Schools' Principals' Association that the reverse could occur as teacher goodwill was undermined. Teacher responses were ambivalent on this issue and the principal emphasised the fact that appraisal needed to be seen as part of a whole package and that it was important that it reflected and evaluated the school's own goals.

8. Impact of the teacher appraisal system on professional relationships.

a. Documentary sources

Two of the documents available spoke favourably of the opportunity for all to be involved and take ownership of the process (Ministry of Education, 1999b, 41; Bunker, 1999, 3). Others emphasised the need for transparency and consistency (Appendix A4: *Notes for Appraisers;* Appendix A6: *Principles of implementation against the Professional Standards).*

Hierarchical relationships were emphasised, as shown in the diagram shown in Appendix A5, *Performance Appraisal Structure.* The strongest reservations came from the Greater Wellington Secondary Schools' Principals' Association in these words:

> The imposition of these standards without prior discussion and apparently without compromise risks losing the goodwill of teachers. And because they have this appearance of being a "non-trust" model, they also risk losing the trust of teachers. (Appendix A7: Greater Wellington Secondary Schools' Principals' Association).

b. Survey results

To help measure staff responses in this area, statement 5: "I was initially apprehensive about my appraisal" was included to indicate the state of professional relationships at the beginning of the appraisal process. Of course apprehension could be due to one's own self-assessment of teaching ability.

Responses to this statement could then be compared with responses to each of these statements:

8 "I was satisfied with appraisal interview when I was being appraised."

9 "I am confident that the matters discussed in my own appraisal interview will remain confidential."

11 "I believe that my supervisor has acted fairly in conducting my appraisal."

30 "I am now comfortable with the appraisal process in current use at Kapiti College."

Individual responses were tracked, using the same numbering system. If there was stability, or an increase, in the average value of responses given to statements 8, 9, 11, 30 as compared with statement 5 (which had to be expressed as a negative, so a strongly agree response scored –2, a strongly disagree scored 2) then there had been a maintenance or an improvement in relationships. If there had been a decrease, then relationships had deteriorated in the mind of the respondent.

Respondent	S 5		S8	S9	S11	S30	Ave. 8,9,11,30		Difference Ave. – S5
A	-1		1	1	1	-1	0.5		1.5
B	-1		1	1	1	1	1		2
C	1		1	0	1	-1	0.25		-0.75
D	1		-1	0	2	0	0.25		-0.75
E	1		1	2	1	1	1.25		0.25
F	2		2	2	2	1	1.75		-0.25
G	0		-1	2	-1	-1	-0.25		-0.25
H	1		1	2	2	1	1.5		0.5

Table 4.20: Comparisons between appraiser/ appraisee responses to Statement 5 "I was initially apprehensive about my appraisal" and their responses to four other statements about the appraisal process. N = 8.

Respondent A agreed that s/he was initially apprehensive about their appraisal and so was scored, for this table, at negative one in the column headed S5. A shaded column separates S5, which is regarded as baseline data, from the responses to the next four statements and the calculation of their average score. Respondent A agreed that they were satisfied with the appraisal interview when they were being appraised and so was scored as positive one in the column headed S8.They agreed with statement nine, "I am confident that the matters discussed in my own appraisal interview will remain confidential", and so had positive one recorded in the column headed S9. They agreed with statement 11, "I believe that my supervisor has acted fairly in conducting my appraisal" and so had positive one recorded in the column headed S11 and they disagreed with statement 30, " I am now comfortable with the appraisal process in current use at Kapiti College", and so had negative one recorded in the column headed S30. Respondent A's scores for statements eight, nine, eleven and thirty were then averaged to give 0.5, recorded under the column headed Ave. 8,9,11,30. Another shaded column then sets these figures apart from the calculated difference between the average scores and the score for statement 5. In the case of respondent A this difference is 1.5, calculated by subtracting negative one from positive 0.5.

Of course, if a respondent was not apprehensive about the appraisal interview, this made it more difficult to score positively. Given this proviso, there did not appear to have been a significant deterioration in relationships as a result of the appraisal process for those who were both appraisers and appraisees, although Respondent C (an appraiser and appraisee, and one who did record a decrease in score) wrote:

> Because of senior management's attitudes, some staff saw this appraisal process as a possible threat... and so were somewhat hesitant to open up.

The greatest possible improvement would have been a figure of positive four in the final column, showing a difference between negative two in response to statement five and positive two scored consistently for statements eight, nine, eleven and thirty. In this context respondents A and B have shown a significant change in attitude, with differences of 1.5 and 2, respectively. All of the other respondents have shown less significant differences.

The results for appraisees only were as follows:

Respondent	S 5		S8	S9	S11	S30	Ave. 8,9,11,30		Difference Ave. – S5
I	0		0	0	-1	-1	-0.5		-0.5
J	2		2	1	2	-1	1		-1
K	0		1	1	1	-2	0.25		0.25
L	-2		1	-1	1	0	0.25		2.25
M	1		0	0	0	-2	-0.5		-1.5
N	-1		1	1	2	0	1		2
O	0		0	2	0	0	0.5		0.5
P	0		0	0	0	-1	-0.25		-0.25
Q	2		1	0	1	0	0.5		-1.5
R	-2		-2	2	2	-2	0		2
S	2		2	2	2	1	1.75		-0.25
T	-1		1	1	2	0	1		2
U	-2		1	2	2	0	1		3
V	-2		-2	-1	0	-2	-1.25		0.75
W	-1		1	2	1	1	1.25		2.25
X	-2		-1	0	-2	-2	-1.25		0.75
Y	-1		1	1	1	0	0.75		1.75
Z	-2		1	2	1	0	1		3
AA	-1		0	-2	1	-2	-0.75		0.25
AB	-2		1	2	2	1	1.5		3.5
AC	0		1	0	2	-2	0.25		0.25
AD	-2		-1	0	-1	0	-0.5		1.5
AE	2		0	0	0	-1	-0.25		-2.25
AF	-1		0	0	0	-1	-0.25		0.75
AI	-1		2	0	1	1	1		2
AJ	1		1	2	2	0	1.25		0.25
AK	-2		1	1	1	1	1		3
AL	-1		2	2	2	2	2		3
AN	-1		-1	-1	0	-1	-0.75		0.25
AO	-1		2	2	2	2	2		3
AQ	1		1	1	1	1	1		0

Table 4.21: Comparisons between appraisee responses to Statement 5 "I was initially apprehensive about my appraisal" and their responses to four other statements about the appraisal process. N = 31.

The difference for each respondent is clearly indicated in the final column. There are some significant individual changes, with respondent AB recording a difference of 3.5, showing that this person was extremely apprehensive about the appraisal process and agreed that they were satisfied with the appraisal interview, strongly agreed that they believed that the matters discussed in the interview would remain confidential, strongly

agreed that their appraiser had acted fairly in conducting their appraisal and agreed that they were now comfortable with the appraisal system in use at Kapiti College. Respondents U, Z, AK, AL and AO all recorded positive difference of three.

When all the appraisees' responses were summed together, these differences gave a total of 31 which was an exact average of an increase of 1 point per respondent. This indicated that most of the appraisees found the appraisal process better than they had expected.

Respondent J (an appraisee) commented on a number of these statements. With regard to statement 5, the respondent said:

> I have given up being anxious about the process of being 'checked on' by those in the hierarchy above me, be they my HOD or ERO. I have my own standards which keep me up to the mark.

In speaking of statement 9, the same person noted that while s/he was confident that details of the appraisal would be kept confidential to the Head of Department, Senior Management and ERO, this was far less confidentiality than had applied under the previous, peer appraisal, model, where the only record kept was that the appraisal had been completed.

This colleague's response to statement 11 is quoted in full: "My HOD is a person of integrity so fulfilled the role professionally within the guidelines laid down."

The same person's response to statement 30 is more provocative and is again quoted in full:

> I am conscious that the current system is essentially a competency checking system. As a motivational tool it is, in my opinion, the wrong one for true professional development of teachers. I believe our past system was highly motivational, was truly confidential, allowed for staff to fearlessly deal with areas of difficulty and allowed for professional goals that were teacher generated rather than imposed. The only area of weakness in the system was the lack of willingness of senior management to enforce it so that all staff participated and completed the cycle. I wonder if the current principal is not comfortable with too much independence on the part of teachers.

Responses to the following three statements also are relevant when considering professional relationships.

Statement 6: "I could openly discuss my own professional issues in the interview with my supervisor/HOD."

Statement 7: "I did most of the talking in the appraisal interview when I was being appraised."

Statement 16: " I believe that all relevant areas have been covered in my appraisal."

Responses to Statement 6 were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	0	5	4	10	10	
Weighted figures	0	0	-5	0	10	20	25
Appraisee / appraiser	0	1	1	0	2	4	
Weighted figures	0	-2	-1	0	2	8	7
Overall total							32

Table 4.22: Responses from teachers to the statement:
"I could openly discuss my own professional issues in the interview with my supervisor/HOD." N=39.

Two appraisees did not respond to this statement, which was based on personal experience. One appraisee/appraiser strongly disagreed with it. Five appraisees and one manager disagreed. Four appraisees were neutral. Ten appraisees and two managers agreed. Ten appraisees and four appraisee/appraisers strongly agreed. The overall weighted total of 32 reflected general agreement with the statement.

Responses to Statement 7 : "I did most of the talking in the appraisal interview when I was being appraised" were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	0	9	10	7	3	
Weighted figures	0	0	-9	0	7	6	4
Appraisee / appraiser	0	0	1	2	5	0	
Weighted figures	0	0	-1	0	5	0	4
Overall total							8

Table 4.23: Responses from teachers to the statement: N=39
"I did most of the talking in the appraisal interview when I was being appraised."

The responses to this statement were very subjective. The statement was trying to measure the degree of control and involvement that the appraisee felt that s/he had in the interview. Two appraisees did not respond to this statement. No-one strongly

disagreed with it. Nine appraisees and one appraisee/appraiser disagreed. Ten appraisees and two managers were neutral in their response. Seven appraisees agreed and so did five appraisee/appraisers. Three appraisees strongly agreed. The results from this question surprised the author, who expected a number of respondents to strongly disagree with the statement.

Statement 16: " I believe that all relevant areas have been covered in my appraisal" was included to take account of Townsend's (1995) views that appraisal was a betrayal of trust unless it involved a candid discussion of all relevant issues.

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	3	8	5	11	2	
Weighted figures	0	-6	-8	0	11	4	1
Appraisee / appraiser	0	0	2	2	3	1	
Weighted figures	0	0	-2	0	3	2	3
Overall total							4

Table 4.24: Responses from teachers to the statement:
"I believe that all relevant areas have been covered in my appraisal." N=39

Two appraisees did not respond to this statement. Three appraisees strongly disagreed with it. Eight appraisees and two appraisee/appraisers disagreed. Five appraisees and two managers were neutral in their response. Eleven appraisees agreed and so did three appraisee/appraisers. Two appraisees and one manager strongly agreed. The appraisees' weighted total of one reflected a cancelling out of opposite responses. Appraisers' responses were cautious, apart from one person who strongly agreed with the statement and so influenced the weighted total of three.

One area that has already featured in a written response is that of pastoral care as a form-teacher, although this view was contradicted by a comment from an appraiser/appraisee, who wrote: "There are far too many areas of the appraisal process that focus on things that are outside the classroom." Another respondent waived his right to anonymity and filled in his questionnaire with the writer, commenting on statements as we went through them. His overall impression was that there was "too much politically correct crap in it." Another appraisee noted that the appraisal process

was limited to the short term and the legal obligations of being an experienced teacher and took no account of long term goals or of motivational factors, a very similar view to that expressed by Bevan and Thompson (1991).

Those who were both appraisers and appraisees were asked to respond to a number of further statements relevant to professional relationships. These were:

32: "I felt comfortable in the role of appraiser."

34: "I believe that I challenged others through my role as an appraiser."

35: "I believe that I affirmed and encouraged others through my role as an appraiser."

37: "The appraisal process caused me to significantly revise my judgement about the professional work of one or more of my appraisees."

38: "I gained no real new knowledge about the professional work of my appraisees – my previous judgements were all largely confirmed."

41: "I consider this time [the time spent in appraisal] extremely well spent in my role as DP, HOD or Asst. HOD."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted total
	0	0	2	1	5	0	
Weighted figures	0	0	-2	0	5	0	3

Table 4.25: Responses from appraisers to the statement: N=8

" I felt comfortable in the role of appraiser."

Two managers disagreed with this statement. One was neutral and five agreed. The weighted total of three reflects the majority view.

The next two statements and their responses should be considered together:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
I believe that I challenged others through my role as appraiser	0	0	2	2	3	1	
Weighted figures	0	0	-2	0	3	2	3
I believe that I affirmed and encouraged others through my role as an appraiser.	0	0	1	1	6	0	
Weighted figures	0	0	-1	0	6	0	5

Table 4.26 : Responses from appraisers to the two statements.   **N = 8**

No manager strongly disagreed with either statement. Two disagreed with the statement that they had challenged others and one disagreed that they had affirmed and encouraged others. Two were neutral with regard to challenging others and one was neutral about affirming and encouraging others. Three agreed that they had challenged others and six agreed that they had affirmed and encouraged others. One strongly agreed that they had challenged others, none strongly agreed that they had affirmed and encouraged others. The weighted totals indicate that there was slightly more agreement with the belief that appraisers had encouraged and affirmed others, rather than that they had challenged others.

These statements were included for two reasons. The first was to check on Townsend's views (1995) by asking if appraisers had challenged their appraisees. The second was because appraisers had been urged to "reinforce the positive and do not avoid the negative" (Notes for Appraisers, Appendix A4) and these statements would check on how well policy was being carried through into practice. One appraiser commented:

> The whole process was so rushed and there was nowhere near enough professional development for staff, especially for those being appraisers.

The next two statements mirrored each other in examining whether the appraisal process contributed significant new knowledge about the professional work of appraisees. They have been considered together, but statement 38 needed to be scored inversely.

Respondent	37: The appraisal process caused me to significantly revise my judgement about the professional work of one or more of my appraisees.		38. I gained no real new knowledge about the professional work of my appraisees – my previous judgements were all largely confirmed.	
A	Disagree	-1	Agree	-1
B	Disagree	-1	Disagree	1
C	Disagree	-1	Strongly agree	-2
D	Agree	1	Disagree	1
E	Strongly disagree	-2	Agree	1
F	Neutral	0	Neutral	0
G	Agree	1	Disagree	1
H	Disagree	-1	Disagree	1
TOTALS	-4		2	

Table 4.27: Comparison of appraiser responses to two statements concerning their judgements of their appraisees.   N = 8

In theory, the two columns should have balanced – an agreement for statement 37 should have led to a disagreement with statement 38. However, respondents B, C, E and H; 50% of the sample; saw the two statements differently than they were intended, which was in accord with Belson's (1981) research into the interpretation of survey questions. Two respondents to statement 37 significantly revised their judgement about the professional work of one or more of their appraisees. Four respondents to statement 38 gained new knowledge about the professional work of their appraisees or changed their previous judgements. In other words, the appraisal process led to a change in attitudes and beliefs about some appraisees for 25 – 50% of the appraisers who responded to this survey.

c.   Interview with the principal

The principal was asked two questions which arose from data gathered from the surveys. The first of these sought his response to the finding that some of the new information shared in the appraisal process caused one appraiser to doubt a teacher's competence when the appraiser had had no such doubts about that teacher before. The question asked the principal's opinion on how best to handle the potentially threatening revelation of new information in an appraisal process. He replied:

> There is no simple answer to that because you are, in the end, playing a number
> of roles – you're playing a mentor, peer reviewer sort of role, a professional
> development role, but you are also playing the judge and jury role and saying
> something has to be done about this. I think the role of the HOD is a really tricky

balance between being one of the team and also having clear leadership expectations.

He was also asked to comment on the state of professional supervision and accountability at Kapiti College when so many respondents were acknowledging that there was new information being gathered. His response was:

> I certainly wouldn't be surprised that there were surprises first time round. There's been very nominal and casual classroom visiting really. There have been comments such as "This is the first time I've been appraised in twenty five years."

d. Summary of findings on the impact on professional relationships.

Documents emphasised the need for all to take ownership of the process but there was also concern about the low-trust model put forward. Survey responses indicated that most appraisees found the appraisal process better than they had anticipated. Results for managers were more ambivalent. Appraisers were not all comfortable in their role, a role which the principal acknowledged as being very difficult.

9. Responsibility for decision making.

a. Documentary sources

There were three relevant documents and all of them pointed to the decision being made externally. The first was written by the principal of Kapiti College and outlined the need to ensure that the external decision was adopted in such a way that it served the goals of Kapiti College, as recommended by Hopkins *et al.* (1994).

> While professional standards are an external requirement, we are determined to ensure that:
> - the system we use is consistent with the ethos and goals of the school
> - we measure what we value and
> - the appraisal process focuses on our professional development priorities...
> We will personalise the sample performance indicators to suit our objectives. In consultation with the full staff, we will develop a set of indicators for each of the three levels of teaching. However, while our own goals are critical to the effectiveness of the system, we need to remember that we are accountable for

performance against the professional standards and our indicators need to cover those requirements."
(Ministry of Education, 1999b, 41)

The second document (Appendix A7: Greater Wellington Secondary Schools' Principals' Association) was considerably blunter in its approach and in explaining how the decision was made by the Government in its negotiations with the Post Primary Teachers' Association:

> The imposition of these standards without prior discussion and apparently without compromise risks losing the goodwill of teachers.

The Post Primary Teachers' Association, however, sought to help with the implementation of the system which it had accepted (Bunker, 1999, 1).

b.   Survey results

Because the external pressure for change was so great, there was only one statement related to this research question in the survey, aimed at finding out how much ownership teachers had of the system developed for Kapiti College.

The statement was: " I felt that I was consulted and had a say in the development of the teacher appraisal system now used at Kapiti College."
Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	6	14	4	4	1	
Weighted figures	0	-12	-14	0	4	2	-20
Appraisee / appraiser	0	0	4	0	4	0	
Weighted figures	0	0	-4	0	4	0	0
Overall total							-20

Table 4.28: Responses from teachers to the statement: N=39
" I felt that I was consulted and had a say in the development of the teacher appraisal system now used at Kapiti College."

Two appraisees did not respond to this statement. Six appraisees strongly disagreed with it. Fourteen appraisees and four managers disagreed. Four appraisees were neutral. Four appraisees and four appraisee/appraisers agreed. One appraisee strongly agreed.

Weighted totals were negative twenty for appraisees, reflecting general disagreement with the statement, and zero for appraisee/appraisers, reflecting an even split between those who agreed with the statement and those who disagreed.

An appraisee agreed with the statement and wrote:

> There was some consultation. I would have to say the consultation was superficial. There was a strong case made to drop the system that was then running because a) it was not deemed hierarchical enough b) doing it and the attestation process would be too time consuming and c) this was a way of both reducing workload and meeting ministry requirements. These arguments were the Principal's. At the time there was a high level of hope and trust in him because he was new to the college.

c.   Interview with the principal

The principal was asked if he would have moved Kapiti College to an hierarchical appraisal system if Professional Standards had not been introduced by the Ministry in 1999. He replied:

> Yes - to integrate school goals, departmental goals and personal goals and to create an ethos and a mechanism for reflecting on where we are on this journey towards creating a community of learners. It's a unity thing. We've got to know where on the chart we're at and we have to know where we've got to go. Personal goals have to be pushed and pushed until we get collective goals.

d.   Summary of findings on the responsibility for decision-making.

It is quite clear that the decision was made externally but that the principal would have made the change to an hierarchical model of appraisal, probably at a less forced pace. Ownership of the decision appears to follow an hierarchical pattern, with assistant teachers feeling the least consulted.

10.   Priority and centrality of the change to a new system.

This topic was suggested by the work of Hopkins *et al.* (1994) and by Louis and Miles (1990) who viewed the management of change as a deliberate act and suggested that for a change to be successful it must be recognised as having priority in the lives of the staff and be central to the work of the school. Sergiovanni (1996) questioned this view of

change management as being inappropriate to schools which tend to be managerially loose but culturally tight. Sergiovanni, drawing on Fullan (1991) suggested that the real goal for change in schools is changing the culture of the institution, and that this happens through the professional socialization of schools. Sergiovanni's views are crucial to the whole issue of teacher appraisal – where do we look for improvement in teachers and schools? Do we look for external systems or do we look to the professionalism of teachers? His words are worth quoting at length because they resonate with some of the comments made by teachers in their surveys:

> It is a truism that schools must change continually to keep up with changes in their environment. But are there ways in which conditions can be created for this kind of continual change to occur naturally? Or must we view the process of change as something someone must do to others? ... Is it possible to shift the lion's share of responsibility for providing leadership for change away from hierarchies, and give this responsibility to individuals as part of their personal and professional obligation to do what is best for children? Must change be something that comes primarily from the outside? Or can people be compelled to change by inner voices, and the moral voice of the community? (Sergiovanni, 1996, 165f).

a. Documentary sources

The first document relevant to this question was written by the principal and clearly placed the changes in performance appraisal as part of the school's strategic plan – in other words this change was central to the school:

> There is a strong desire in the school to link professional development and performance appraisal with the school's strategic plan and annual goals. I see the introduction of the professional standards as an opportunity to reinforce those links by reviewing the existing peer appraisal system and developing an integrated approach to performance management (Ministry of Education, 1999b, 41).

These links were also mentioned in internal documents (cf. Appendix A1: *School Development 2000*) and a large number of documents written by the principal on this topic (see Part A of the Appendix), spaced over several months, from June 1999 through to February 2000. The June 1999 document refers back to earlier discussion, which in fact began in February 1999, almost as soon as the new principal took up office. It would seem clear from the documents that the principal saw the change in the appraisal system as a priority, possibly because of external pressure, and as centrally linked with the strategic planning for the school.

b.   Survey responses

Teacher responses were gathered in their reactions to statement 25: " I believe that the change in the teacher appraisal process at Kapiti College was one of the most significant events in my professional life in the last 16 months."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	1	7	5	12	2	4	
Weighted figures	0	-14	-5	0	2	8	-9
Appraisee / appraiser	0	1	4	2	1	0	
Weighted figures	0	-2	-4	0	1	0	-5
Overall total							-14

Table 4.29: Responses from teachers to the statement: **N=39**

" I believe that the change in the teacher appraisal process at Kapiti College was one of the most significant events in my professional life in the last 16 months."

One appraisee did not respond to this statement. Seven appraisees and one appraisee/appraiser strongly disagreed with it. Five appraisees and four managers disagreed. Twelve appraisees and two appraisee/appraisers were neutral. Two appraisees and one manager agreed. Four appraisees strongly agreed. The weighted totals for all groups were negative, showing that teachers generally did not agree that this change was one of the most significant events in their professional lives in the time span given.

c.   Interview with the principal

The teaching staff may have seen the change as less significant, but the principal had different views. He was asked two questions on this topic. The first of these began with a statement that he had placed a great deal of emphasis on "strategic" changes to Kapiti College in the last year, with the implementation of a smaller number of departments, emphasis on the hierarchical teacher appraisal scheme and the development of a strategic plan. He was asked how these are linked to one another and how they influence learning for students in the classroom. He answered:

I think when we reflect back in three years' time we will actually notice a significant difference in people's articulation of what has happened for them, as classroom practitioners. I think from a pedagogical point of view, we'll be much clearer about what we're on about and what we're trying to do.

He was then asked how important the change in the appraisal system was in the professional life of Kapiti College. His response was:

People have to articulate for themselves what they value and where they want to go. This process offers a check on this, together with mentoring and accountability.

Our most precious commodity is time. By and large teachers are highly motivated to do a good job. To the degree that it encourages and supports people's professional development and goals alignment and creates effective teamwork it's a very good thing. To the degree that it is a compliance routine it's a negative thing. It is very important to get it right.

d.   Summary of findings on the priority and centrality of the change.

There was a clear difference of opinion between the principal and most of the teachers on this issue. All of the documents cited were written by the principal and they, together with his interview, emphasised the strategic nature of the change and how the new appraisal system was linked with other initiatives within the school. Teachers did not see the change as significant in their professional lives and this was one of the few statements that attracted no written comments.

11. Management of the change

a. Documentary sources

The principal explained the steps for the change in a public document (Ministry of Education, 1999b, 41f). His memo in February gave an extremely detailed timeframe for implementation *(Appendix A3: 7 February 2000 Memo to HODs)*.

b. Survey results

Teachers were asked to comment on this aspect by responding to statements 27 and 28, with managers also responding to statement 31. Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	2	10	3	12	2	
Weighted figures	0	-4	-10	0	12	4	2
Appraisee / appraiser	0	0	1	1	5	1	
Weighted figures	0	0	-1	0	5	2	6
Overall total							8

Table 4.30: Responses from teachers to the statement: N=39

"I felt well-informed about the planning and implementation of the current teacher appraisal system."

Two appraisees did not respond to this statement and two of them strongly disagreed with it. Ten appraisees and one appraisee/appraiser disagreed with the statement. Three appraisees and one manager were neutral. Twelve appraisees and five appraisee/appraisers agreed with the statement, while two appraisees and one manager strongly agreed with it. Weighted scores were positive two for appraisees, reflecting a split between respondents, and positive six for managers, showing general agreement with the statement.

Respondents were then asked to comment on the quality of implementation of the new system.

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	1	3	11	6	8	2	
Weighted figures	0	-6	-11	0	8	4	-5
Appraisee / appraiser	0	0	3	2	2	1	
Weighted figures	0	0	-3	0	2	2	1
Overall total							-4

Table 4.31: Responses from teachers to the statement: N = 39

"I found the implementation of the current teacher appraisal system at Kapiti College smooth and well-planned."

One appraisee did not respond to this statement and three of them strongly disagreed with it. Eleven appraisees and three appraisee/appraisers disagreed with the statement. Six appraisees and two managers were neutral. Eight appraisees and two appraisee/appraisers agreed with the statement, while two appraisees and one manager strongly agreed with it. Weighted scores were negative five for appraisees, showing a small majority in disagreement with the statement, and positive one for managers, reflecting a range of opinions which almost cancelled each other out.

Appraisers only were asked to comment on how well-prepared they felt to appraise others.

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisee / appraiser	0	1	4	0	3	0	
Weighted figures	0	-2	-4	0	3	0	-3

Table 4.32: Responses from appraisers to the statement: N=8

"I felt well-prepared to appraise others."

One appraiser strongly disagreed with the statement, four disagreed and three agreed. This gave a weighted total of negative three, reflecting the majority view which disagreed with the statement.

c.   Interview with the principal

The principal was asked if he thought that the change from peer appraisal to hierarchical appraisal was planned and implemented well. He responded:

> I felt quite good the way we started before the contract was settled. Go back to that opening – "measure what we value". The lead-in part I feel good about. The reality of March 2000 was out of context and rushed – on the other hand we learnt from it and yes – there were some fingers burnt and there were some punctured egos. It had constructive outcomes for the HOD team as they gained new skills.

d.   Summary of findings on the management of the change.

Most sources agreed that the change could have been managed better. The rushed nature of the change was a factor influencing change management.

12.   Fairness of the new system

a.   Documentary sources

The first document dealing with the issue of fairness stated quite clearly:

> We are committed to developing a high trust, moderate risk model that is transparent and consistently applied. (Ministry of Education, 1999b, 41)

Internal documents made it clear that the principal would be involved if any teacher was judged not to be meeting the required standard (Appendix A2: *Teacher Appraisal Against the New Performance Standards*). In this way there would be consistency between departments at the level where pay became involved.

While this may have been the case within Kapiti College, the Greater Wellington Secondary Schools' Principals' Association believed that the variation in performance criteria was unfair.

> It is evident from the table that, for example, to obtain a salary of $44, 500 on step 10 of the scale teachers may well be assessed against 3 different levels of competence. What happened to standards based assessment? The basic model is iniquitous. (Appendix A7: Greater Wellington Secondary Schools' Principals' Association.)

The Post Primary Teachers' Association was also concerned about fairness, and was willing to become involved to support members who were told that they would not be

attested for the pay increase. The PPTA also emphasised that this round of appraisal should not bring up matters of performance which were now causing concern, but which had not been identified previously (Bunker, 1999, 3f).

b.   Survey results

Three statements were included on the teachers' survey to test the teachers' perception of fairness in the current system. Statement 11 was: "I believe that my supervisor has acted fairly in conducting my appraisal."

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	1	2	5	10	11	
Weighted figures	0	-2	-2	0	10	22	28
Appraisee / appraiser	0	0	1	0	4	3	
Weighted figures	0	0	-1	0	4	6	9
Overall total							37

Table 4.33: Responses from teachers to the statement: N=39
"I believe that my supervisor has acted fairly in conducting my appraisal."

Two appraisees did not respond to this statement, which was based on personal experience. One appraisee strongly disagreed. Two appraisees and one appraisee/appraiser disagreed. Five appraisees were neutral. Ten appraisees and four managers agreed with the statement. Eleven appraisees and three appraisee/appraisers strongly agreed. The weighted total for appraisees was 28 and for managers it was nine. These weighted totals reflected general agreement with the statement.

Statement 29 said: "I believe that the teacher appraisal process at Kapiti College will be fair across all departments."

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	2	7	8	10	4	0	
Weighted figures	0	-14	-8	0	4	0	-18
Appraisee / appraiser	0	0	2	3	3	0	
Weighted figures	0	0	-2	0	3	0	1
Overall total							-17

Table 4.34: Responses from teachers to the statement: N=39
"I believe that the teacher appraisal process at Kapiti College will be fair across all departments."

Two appraisees did not respond to this statement. Seven appraisees strongly disagreed. Eight appraisees and two appraisee/appraisers disagreed. Ten appraisees and five managers were neutral. Four appraisees and three managers agreed with the statement. No respondents strongly agreed. The weighted total for appraisees was negative eighteen, showing general disagreement with the statement, and for managers it was one, reflecting a split in views. An appraisee commented:

> I have no problem with the idea of appraisal. I think it keeps accountability and it gives wonderful opportunities to reflect on the good and to set goals for the weaker areas. What I do have grave concerns about is the fact that presently here at Kapiti there is no consistency between departments in attitude towards this process ... I see this as a dangerous environment to be working in.

Another respondent was concerned about the power of the principal as the sole judge and employer, that there was no appeal.

Statement 30 read: "I am now (at the time of filling out this questionnaire) comfortable with the appraisal process in current use at Kapiti College." While this obviously involved more than just fairness, it would be reasonable to assume that a person who was concerned about fairness would not agree with the statement. In other words a negative response would not necessarily tell us that the respondent considered the process to be unfair; but a positive response should have meant that the respondent considered the process fair.

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Weighted totals
Appraisees only	1	7	6	9	6	2	
Weighted totals	0	-14	-6	0	6	4	-10
Appraisee / appraiser	0	0	3	1 .	4	0	
Weighted totals	0	0	-3	0	4	0	1
Overall total							-9

Table 4.35: Responses from teachers to the statement: N=39
"I am now comfortable with the appraisal process in current use at Kapiti College."

Four of the appraisers (50%) were comfortable with the process and so presumably considered it to be fair, but only eight (approximately 25%) of the appraisees were comfortable and so can be assumed to consider it fair. It is possible that more of both groups may have considered it fair, but have reservations on other grounds. One appraisee found the performance criteria threatening in the way that they were set out.

Weighted scores are not particularly useful in assessing the relevance of this statement to fairness in the system.

c. Interview with the principal

The principal was asked one question on this topic – whether he anticipated any problems with fairness and consistency in the process, or even in the perception of unfairness or inconsistency. He replied:

> It's exactly the same when you've got a variety of people doing the assessing – it's no different from what happens with School Certificate Art. It's a professional quality issue, a quality assurance issue. You train people, you talk about it, you practise on each other, and you try and get it better and better but in the end it is a people-dependent process.

d. Summary of findings on fairness.

All of the sources acknowledged that fairness was a potential problem. Teachers generally found their own personal experience to be fair but were concerned about potential problems elsewhere.

13. New information gained from the appraisal process.

a. Documentary sources

None of the documents dealt with this topic.

b. Survey results

Within the survey, item 12 asked for a response to the statement: "My appraisal process provided me with new information about my teaching."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Total
Appraisee	2	7	11	2	9	0	
Weighted figures	0	-14	-11	0	9	0	-16
Appraiser/appraisee	1	1	2	1	3	0	
Weighted figures	0	-2	-2	0	3	0	-1
Total							-17

Table 4.36: Responses from teachers to the statement: N=39

"My appraisal process provided me with new information about my teaching."

Two appraisees and one manager did not respond to this statement. Seven appraisees and one appraiser/appraisee strongly disagreed with it. Eleven appraisees and two managers disagreed with it. Two appraisees and one manager were neutral. Nine appraisees and three appraiser/appraisees agreed with it and no respondent strongly agreed. Weighted totals were negative sixteen for appraisees, reflecting general disagreement with the statement, and negative one for managers as a result of a split of views.

Teachers were then asked to respond to the statement: "The new information provided through the appraisal process was valid".

Responses were as follows:

	Not applicable	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Total
Appraisee Responses	18	2	0	1	1	9	0	
Weighted figures	0	0	0	-1	0	9	0	8
Appraiser/appraisee Responses	4	1	0	0	1	2	0	
Weighted figures	0	0	0	0	0	2	0	2
Total								10

Table 4.37: Responses from teachers to the statement: N=39

"The new information provided through the appraisal process was valid."

The majority of teachers (22 from 39) did not consider this question applicable, presumably following the 24 respondents who replied in the negative to statement 12, or who gave no response to it. A further three respondents gave no response. No-one strongly disagreed with it. One appraisee disagreed. Two respondents were neutral. Nine appraisees and two managers agreed with the statement and no-one strongly

agreed with it. Given the large number of respondents who stated that the statement was not applicable, it is not appropriate to use the weighted scores to draw conclusions as they reflect the views of fewer than 50% of respondents.

Item 15 checked these findings in reverse, asking for responses to the statement "My appraisal process confirmed what I already knew about my teaching."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Total
Appraisee Responses	4	1	3	6	17	0	
Weighted figures	**0**	**-2**	**-3**	**0**	**17**	**0**	**12**
Appraiser/appraisee Responses	1	0	0	1	5	1	
Weighted figures	**0**	**0**	**0**	**0**	**5**	**2**	**7**
Total							**19**

Table 4.38: Responses from teachers to the statement: **N=39**

"My appraisal process confirmed what I already knew about my teaching."

Five respondents, including one appraiser/appraisee, did not reply to this statement. One appraisee strongly disagreed and three appraisees disagreed. Six appraisees and one manager were neutral. Seventeen appraisees and five appraiser/appraisees agreed with the statement and one manager strongly agreed. The weighted total for the appraisees was 12, reflecting some level of agreement with the statement. The managers' weighted total was seven, indicating general agreement.

The focus of statements about new information had so far all been based on the experience of being appraised. When the focus shifted to ask for responses from appraisers about their experience of gaining new information, a different picture emerged. Three statements dealt with this area in the appraisers' survey. The first of these, statement 36, focused on the area of competence and stated: "I discovered material in the appraisal process that made me doubt a teacher's competence, where I had previously had no concerns about that teacher's competence."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Total
Appraiser Responses	0	2	5	0	1	0	
Weighted figures	0	-4	-5	0	1	0	-8

Table 4.39: Responses from appraisers to the statement: N=8

"I discovered material in the appraisal process that made me doubt a teacher's competence, where I had previously had no concerns about that teacher's competence."

Two appraisers strongly disagreed with this statement and five disagreed. One appraiser agreed with this statement. The weighted total of negative eight indicated general disagreement with the statement.

The next statement focused responses on a less serious level of new information, seeking appraiser responses to the statement: "The appraisal process caused me to significantly revise my judgement about the professional work of one or more of my appraisees."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Total
Appraiser Responses	0	1	4	1	2	0	
Weighted figures	0	-2	-4	0	2	0	-4

Table 4.40: Responses from appraisers to the statement: N=8

"The appraisal process caused me to significantly revise my judgement about the professional work of one or more of my appraisees."

One appraiser strongly disagreed with the statement, four disagreed and one was neutral. Two appraisers from a total of eight did significantly revise their judgement following the appraisal process. The weighted total of negative four indicated quite a shift in the pattern of responses compared to the previous statement.

When the results of this question were checked by rephrasing it to come from the opposite angle: "I gained no real new knowledge about the professional work of my appraisees – my previous judgements were all largely confirmed" the responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Total
Appraiser Responses	0	0	4	1	2	1	
Weighted figures	0	0	-4	0	2	2	0

Table 4.41: Responses from appraisers to the statement: **N=8**

"I gained no real new knowledge about the professional work of my appraisees – my previous judgements were all largely confirmed."

Four appraisees disagreed with the statement, one was neutral , two agreed and one strongly agreed. The weighted totals have continued to move towards the middle and now reflect a split in opinions within the group.

c.   Interview with the principal

The principal was asked to comment on the amount of new information acknowledged by appraisers as gathered in the appraisal process and on what sort of reflection this was on the state of professional supervision and accountability at Kapiti College. He replied:

> I certainly wouldn't be surprised that there were surprises first time round. There's been very nominal and casual classroom visiting really. There have been comments such as "This is the first time I've been appraised in twenty five years."

d.   Summary of findings on new information gained from the process.

There were some surprises in this area, particularly that one of the appraisers found information in the appraisal process that reversed that person's opinion about the competence of at least one of their appraisees. Because of the confidential and anonymous nature of the teacher surveys, it was not possible to investigate these surprises more fully.

14.   Value of the time spent on appraisal.

a.   Documentary evidence

None of the documents dealt with this topic.

b.   Survey responses

Appraisers and appraisees were asked to respond to the statement: "I believe that the time spent on my appraisal was well worthwhile."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Total
Appraisee Responses	2	3	3	13	7	3	
Weighted figures	0	-6	-3	0	7	6	4
Appraiser Responses	0	0	2	2	1	3	
Weighted figures	0	0	-2	0	1	6	5
Total							9

Table 4.42: Responses from teachers to the statement: N=39

"I believe that the time spent on my appraisal was well worthwhile."

Eight respondents from the 39 surveyed disagreed or strongly disagreed that the time spent was "well worthwhile" . One appraisee crossed out the word "well" and then ticked the "agree" response. Fifteen of the respondents indicated that they had a neutral response to this statement and fourteen agreed or strongly agreed with the statement. The weighted scores all indicated some degree of agreement with the statement although a higher number than has been normal chose to remain neutral.

Middle and senior managers who acted as appraisers and appraisees were asked to respond to two further statements about the time spent on appraisal. The first of these asked them to give an indication of the time they had spent in appraising others.

Responses were as follows:

	Less than 15 hours	15 – 30 hours	30 – 45 hours	45 – 60 hours	More than 60 hours
Appraiser Responses	0	3	3	1	1

Table 4. 43 Appraiser responses to the statement: N = 8

"The time I spent on appraising others (reading material, observing, interviewing, writing) was ..."

All appraisers spent at least fifteen hours on appraising others. Three spent between fifteen and thirty hours, three spent between thirty and forty-five hours, one spent between forty-five and sixty hours and one spent over sixty hours. This time included all the work involved in appraisal; such as observing class lessons, reading through student evaluations and self-appraisals, individual appraisal interviews, writing appraisal documents and consulting with senior management when that was required.

They were then asked to respond to the statement: "I considered this time extremely well spent in my role as DP, HOD or Asst. HOD."

Responses were as follows:

	No response	Strongly disagree	Disagree	Neutral	Agree	Strongly agree	Total
Appraiser Responses	0	0	3	0	3	2	
Weighted figures	0	0	-3	0	3	4	4

Table 4.44: Responses from appraisers to the statement: N=8

"I considered this time extremely well spent in my role as DP, HOD or Asst.HOD."

Five of the eight respondents agreed or strongly agreed that this was time well spent, none strongly disagreed and three disagreed. The weighted total of four reflected the influence of the two respondents who agreed strongly and somewhat masked the fact that the remaining six respondents were evenly split in their views.

c.   Interview with the principal

The principal thought that the process was important, stating:

> I think when we reflect back in three years' time we will actually notice a significant difference in people's articulation of what has happened for them, as classroom practitioners. I think from a pedagogical point of view, we'll be much clearer about what we're on about and what we're trying to do.

People have to articulate for themselves what they value and where they want to go. This process offers a check on this, together with mentoring and accountability.

Our most precious commodity is time. By and large teachers are highly motivated to do a good job. To the degree that it encourages and supports people's professional development and goals alignment and creates effective teamwork it's a very good thing. To the degree that it is a compliance routine it's a negative thing. It is very important to get it right.

d.   Summary of findings on the value of the time spent on appraisal.

There was a range of opinions on this topic. The principal considered the time well spent and so did five of the eight managers. Many of the appraisees were neutral in their response, with six disagreeing that the time spent was well worthwhile.

15   Correlation between responses dealing with personal experience and responses on a theoretical basis.

There have been a number of occasions during data analysis where there has appeared to be a discrepancy between responses based on the respondents' own personal experiences and those where they have responded to more theoretical statements. This section attempts to investigate whether this discrepancy has been significant and systematic. It does so by comparing the weighted scores for all items based on personal experiences with the weighted scores for all items which required a response to a theoretical or hypothetical statement. To ensure that similar numbers of responses are involved, only the statements that were put to both appraisees and to managers are included for comparison. Statement 15 was also omitted from the comparison because it was re-phrasing statement 12 and so would not add new data.

The weighted scores for responses based on personal experiences were as follows:

Statement	Weighted total for appraisees	Weighted total for appraisers/ appraisees	Total weighted response
5. I was initially apprehensive about my appraisal. *(Note: weighted total values have been given inverse value to reflect the negative aspect of this statement.)*	-18	4	-14
6. I could openly discuss my own professional issues in the interview with my supervisor.	30	7	37
7. I did most of the talking in the appraisal interview when I was being appraised.	4	4	8
8. I was satisfied with my appraisal interview when I was being appraised.	17	5	22
9. I am confident that the matters discussed in my own appraisal interview will remain confidential.	22	10	32
10. My interview focused on matters that are important for me professionally.	20	6	26
11. I believe that my supervisor has acted fairly in conducting my appraisal.	28	9	37
12. My appraisal process provided me with new information about my teaching and professional tasks	-16	0	-16
13. The new information provided through the appraisal process was valid.	8	2	10
14. The student evaluations of my teaching were a useful source of information.	8	10	18
16. I believe that all relevant areas have been covered in my appraisal.	1	3	4
17. The appraisal process led to specific plans for my professional development.	-1	1	0
18. I am in agreement with the specific plans for my professional development.	13	3	16
19. I believe that the teacher appraisal process will help me to improve my classroom teaching.	1	1	2
20. I believe that the time spent on my appraisal was well worthwhile.	4	5	9
25. I believe that the change in the teacher appraisal process at Kapiti College was one of the most significant events in my professional life in the last 16 months.	-9	-5	-14
26. I felt that I was consulted and had a say in the development of the teacher appraisal process now used at Kapiti College.	-20	0	-20
27. I felt well-informed about the planning and implementation of the current teacher appraisal system.	2	6	8
28. I found the implementation of the current teacher appraisal system at Kapiti College smooth and well-planned.	-5	1	-4
30. I am now comfortable with the appraisal process in current use at Kapiti College.	-10	1	-9
OVERALL WEIGHTED TOTAL			152

Table 4.45 Weighted scores for responses based on personal experiences. N = 39

There were twenty statements which related to personal experience with regard to the introduction of the new teacher appraisal system at Kapiti College. As can be seen, the weighted totals for thirteen of these responses were positive numbers, reflecting a positive personal response. One response had a score of zero and six had scores of negative numbers.

It is apparent from this table that there was strongest agreement with the following five statements, listed in ranked order.

"I could openly discuss my professional issues in the interview with my supervisor" had a weighted score of 37.

"I believe that my supervisor has acted fairly in conducting my appraisal" also had a weighted score of 37.

"I am confident that the matters discussed in my own appraisal interview will remain confidential" had a weighted score of 32.

"My interview focused on matters that were important for me professionally" had a weighted score of 26.

"I was satisfied with my appraisal interview when I was being appraised" had a weighted score of 22.

All of these five statements focused on the appraisal interview and on the relationship between the appraiser and the appraisee. The general experience for teachers in these areas was positive.

The general experience for teachers was predominantly negative according to the responses to these three statements:

"I felt that I was consulted and had a say in the development of the teacher appraisal process now used at Kapiti College" had a weighted score of negative twenty.

"My appraisal process provided me with new information about my teaching and professional tasks" had a weighted score of negative sixteen.

"I believe that the change in the teacher appraisal system at Kapiti College was one of the most significant events in my professional life in the last 16 months" had a weighted score of negative fourteen.

Two of these statements related to the planning and status of the appraisal system, the other one to new information.

The overall weighted total for all statements that were based on personal experience was positive one hundred and fifty two.

The weighted scores for responses to theoretical or hypothetical statements were as follows:

Statement	Weighted total for appraisees	Weighted total for appraisers/ appraisees	Total weighted response
1. A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development.	16	6	22
2. A key purpose of the teacher appraisal system in current use at Kapiti College is to decide on my rate of pay.	20	-4	16
3. A key purpose of the teacher appraisal system in current use at Kapiti College is to identify incompetent teachers.	5	1	6
4. A key purpose of the teacher appraisal system in current use at Kapiti College is to emphasise important aspects of teaching and learning.	16	7	23
21. I believe that the introduction of hierarchical teacher appraisal at Kapiti College will strengthen professionalism among the teaching staff.	-9	3	-6
22. I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase trust among the teaching staff.	-21	-4	-25
23. I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase co-operation among the teaching staff.	-15	-2	-17
24. I believe that the introduction of hierarchical teacher appraisal at Kapiti College will improve student learning.	-4	3	-1
29. I believe that the teacher appraisal process at Kapiti College will be fair across all departments.	-18	1	-17
OVERALL TOTAL			1

Table 4.46 Weighted scores for responses based on theoretical or hypothetical cases.

Nine statements dealt with theoretical or hypothetical situations which went beyond individual personal experience. Four of these statements had weighted totals that were positive numbers. All four of these statements related to the perceived purposes of the appraisal system. Five statements had weighted totals that were negative numbers. All of these dealt with beliefs about the future impact of teacher appraisal at Kapiti College.

The twenty statements based on personal response (table 4.47) aggregated a weighted response total of 152 – an average of 7.6. Nine statements required a response based on general beliefs rather than on personal experience. These nine statements (table 4.48) aggregated a weighted response total of 1 – an average of 0.11.

In general then, respondents were more positive about their personal experience of the appraisal system than they were in responding to theoretical or hypothetical statements.

Chapter Five
Discussion of the Results

Questions for the teacher surveys and for the principal's interview were based on the research questions generated by the literature review. In this chapter, therefore, the results from the answers to these questions and the information gathered from documentary sources have been compared with the findings discussed in the literature review.

Alkin *et al* (1979) suggested that, for research information to be valuable, there must be evaluation "information", which can be used by one of the "clients" or a sanctioned user as part of the process in deciding whether to continue, discontinue or alter a programme, or as a means of modifying attitudes towards the programme. For this study, therefore, to be of value to the principal and Board of Trustees of Kapiti College, there must be clear information on the value of the current teacher appraisal system.

The structure of this chapter follows the twelve research questions listed on page 35. The chapter discusses the findings for each of the research questions with regard to Kapiti College and then links these findings with the relevant research literature.

1. Purposes of the appraisal system at Kapiti College.

a. Professional Development

Professional development was seen as one of the key purposes of the current model of teacher appraisal at Kapiti College. Documents at Kapiti College, however, were strong on the rhetoric about professional development but did not provide a practical plan of how this was to be achieved. The majority of teachers agreed that professional development was a key purpose of the appraisal scheme and reported favourably on their appraisal interview, stating that they could discuss professional matters openly with their head of department or supervisor.

However, the professional development focus then seemed to be lost for many teachers. This loss of focus paralleled the lack of a practical plan found in the relevant documents.

While the majority of appraisees agreed with the statement, "A key purpose of the teacher appraisal system in current use at Kapiti College is to improve my professional development" (see Table 4.1), it is significant that seven respondents disagreed, four were neutral and one gave no response. This means that, of the 31 appraisees who replied to the survey, 12 did not agree that their own professional development was a key purpose of the current teacher appraisal system. If this 39% of appraisee respondents did not agree that professional development was a key purpose of the current appraisal system, then presumably they were not expecting any professional benefits from it.

Appraisers seemed to have a more positive outlook about the professional development aspect of the appraisal system than did those teachers who were appraisees only. Only one appraiser disagreed, albeit strongly, with the statement that one of the key purposes of the current appraisal system was to improve personal professional development.

Appraisees did feel that they could openly discuss their own professional issues with their HODs (see Table 4.1) – the level of trust shown by respondents was very high. This statement, together with two others in the survey, attracted the highest number, ten, of "strongly agree" responses and had no "strongly disagree" replies, unlike the other two statements which had strong support. The goodwill and trust shown in these responses emphasised the fact that most teachers did feel comfortable with professional discussions with their managers.

However, two of the managers felt that they could not openly discuss their own professional issues with their supervisors (see Table 4.2). This may have reflected the fact that heads of department reported to the principal or one of the deputy principals and that they may have felt that this person did not have sufficient background in their own subject area. Six of the appraisers did feel they could openly discuss such professional issues, and four of these strongly agreed with the statement.

Not only did they feel that they could openly discuss their own professional issues, but most appraisees believed that the interview focused on matters that were important for them professionally, with eight respondents strongly agreeing with the statement (see Table 4.1). It would appear, therefore, that, for 19 appraisees of 31 respondents, there was an open and focused discussion on matters that were important for them professionally and that eight to ten of the respondents were quite enthusiastic about the quality of the discussion, agreeing strongly with the statements. The managers also generally agreed that the interview was focused on matters that were important for them professionally (see Table 4.2).

Despite the fact that respondents felt that they could take part in such professional discussions, few respondents believed that they learned anything new about their own teaching in the appraisal process, which involved much more than the interview. Only nine appraisees from a total of 31 agreed that they had learned new information about their teaching. The total weighted score (see Table 4.1) of –16 is one of the four lowest scores recorded in the survey of appraisees and so indicated the depth of disagreement with the statement. This could mean that appraisees generally had excellent self-knowledge about their teaching but made the most of the opportunity to talk about it with their Head of Department, particularly as the previous appraisal regime at Kapiti College involved peer appraisal with the appraisee selecting the appraiser and, so, the Head of Department may not have been involved in appraising his or her own staff. Of course there are other interpretations possible, including questions regarding the appraisal process used and whether it would be likely to provide new information and questions regarding the degree to which individuals filter information to fit their own pre-conceptions and patterns of thought. Managers were evenly divided about whether they received new information about their own teaching and professional tasks but none of them strongly agreed that they did (see Table 4.2). Their weighted score for this statement was also one of the lowest recorded in the survey, so overall the whole appraisal process did not appear to have given appraisees, of whatever status in the school, a great deal of new information about their teaching and professional duties.

Appraisees were divided over the usefulness of student evaluations as a source of information. The statement was deliberately worded with the broad descriptor, "useful

source of information" and yet only 13 out of 31 appraisees agreed with it. This was one area where there was a significant difference between the responses of the appraisees (see Table 4.1), considered as a group, and those of the managers (see Table 4.2). All of the managers agreed, two of them strongly, that these evaluations were a useful source of information for their own appraisals. It would be useful to know why there should be such a marked difference between the two groups. There was considerable work involved in preparing, distributing, collecting and collating results from the student evaluations and it would appear that a great deal of this work, in the views of the 18 appraisees who were unable to agree with the statement, was at best wasted effort or even counter-productive. This is an area that needs further investigation because, in September 2000, all students were asked to evaluate their teachers again on a standard form; so students completed up to eleven of these forms each. If more than half of the appraisees responding to this survey found these evaluations of little or no use in March 2000, how useful would they have found them when repeated a few months later? If the managers found the information useful for themselves, then how were they using it differently than the 18 appraisees?

Almost half the appraisees felt that the appraisal process did not lead to specific plans for their professional development (see Table 4.1). Managers were also equally divided (see Table 4.2). One respondent stated that such plans would have been unrealistic, as professional development foci for 2000 had already been decided in the latter half of 1999. The principal also stated that this appraisal cycle had been at the wrong time of the year and had been held to satisfy the Government's requirements for attestation for pay increases. Nevertheless, it would seem reasonable that, even at this time of the year, it would have made sense to include a more focused link to professional development, perhaps confirming or altering existing professional development plans or else foreshadowing areas for consideration later in the year. This loss of a link to professional development plans had the potential to influence teacher thinking about the purpose of hierarchical appraisal, not just for this cycle, but for future cycles at Kapiti College.

Where the link was made, there was a high degree of agreement with the specific plans, with only one teacher disagreeing with the specific plans for their own professional development and with thirteen agreeing or strongly agreeing (see Table 4.1). Of the

managers, three agreed with the plans and one was neutral, the other four did not regard the statement as applicable to them (see Table 4.2). This result emphasised the loss of a great opportunity, in so many cases, to build on the professional discussion, move through, and show how appraisal could be linked to personal professional development.

Perhaps because of the loss of this link, in many cases, teachers and managers were almost evenly divided in their belief in the effectiveness of the appraisal system in helping them to improve their classroom teaching (see Tables 4.1 and 4.2). This is a secondary issue when compared with the issue of linking the appraisal process with specific plans for individual professional development. Without this link, it would seem to be very difficult to improve one's classroom teaching as a result of the appraisal process. The principal was aware of this lost opportunity in his interview and articulated the need to rebuild trust because of the haste involved in creating an appraisal system to comply with Ministry requirements.

Results from the statements included in the appraisers' survey with regard to their role in the professional development of their appraisees (see Table 4.2) also reflected an opportunity lost. Given the atmosphere of trust and focused discussion on professional matters that were important to the appraisee, it seemed a pity that only half of the appraisers believed that they challenged their appraisees in the appraisal process, despite the written guidelines such as "As you go through present a genuinely balanced view. Reinforce the positives and do not avoid the negatives" (See Appendix A4 – Notes for Appraisers). Two of the eight either did not affirm and encourage their appraisees or were not sure if they had done so.

The emphasis on accountability may well have been counterproductive to a desire for professional development. This finding would be in accordance with the work of a number of writers such as Popham (1988), Barth (1990), Sergiovanni (1996), O'Neill (1997) and Collett (1997) who do not believe that the two purposes should be mixed. It was certainly true that the appraisal cycle at Kapiti College in 2000 was very strongly weighted towards accountability and that this had repercussions on this cycle's value for professional development purposes.

There was growth and development for most of the appraisers in the appraisal process. Six of the eight respondents found that appraising others had led to their own professional development. Only one disagreed with the statement; the other was neutral. This is a positive and promising result and, taken together with the results on the open and focused professional discussion, gives hope for the development of strong professional relationships at Kapiti College.

These responses, from teachers and from the principal, were consistent with the documentary evidence cited above, which stated a strong commitment to professional development but did not explain how this commitment was to be executed. It would appear that the appraisal interviews were viewed as open and professional discussions but that they did not generally lead to specific plans for personal professional development. It is significant that, when there were specific plans for personal professional development, these plans were strongly endorsed by the appraisees.

It is difficult to see how an appraisal system can lead to strong professional development and to improved classroom teaching without the link being made through specific plans for personal professional development. One is left wondering how other responses throughout this survey would have been completed if this link had been made more consistently. The principal recognised that, by not making this link, there was a resulting need to re-establish trust.

If hierarchical appraisal is to continue to be used at Kapiti College, it would seem that it would be valuable to investigate making the links more transparent between appraisal and actual professional development for each teacher. In this round, it would appear that teacher appraisal at Kapiti College was, in Darling-Hammond's words, "a routine, pro-forma activity with little utility for what goes on" but that it could relatively easily be transformed into "an important vehicle for communicating organizational and professional norms and for stimulating improvement" (Darling-Hammond, 1990).

In the foreseeable future, there will be a change in the purposes of teacher appraisal for experienced classroom teachers. The next cycle will not require any attestation for pay increases and it will occur at a better time of the year to enable reflection on the year's

work to occur more naturally. It would be worth considering, however, whether the requirement for annual appraisal (Fancy, 1996 and Ministry of Education, 1999a) works against the fostering of meaningful professional development goals as teachers and organisations focus on short-term planning to the detriment of long-term strategies, as discussed by Bevan and Thompson (1991). A change to a biennial cycle, as practised in England and Wales (HMCI, 1996), together with the removal of the link to salary, might well lead to meaningful professional development.

b.   Emphasis on rate of pay.

This topic elicited a marked difference in perception between the two groups, with almost two thirds of those who were appraised, but were not appraisers, agreeing or strongly agreeing with the statement, "A key purpose of the teacher appraisal system in current use at Kapiti College is to decide on my rate of pay, " while fewer than half of those who were both appraisers and appraisees agreed or strongly agreed (see Table 4.6).

This again showed the strength of the difference in perceptions between the 8 respondents who were both appraisers and appraisees and the 31 respondents who were appraisees only. Overall, those who were appraisees felt weakly that one of the key purposes of the appraisal system was to decide on their rate of pay; while those who were both appraisers and appraisees (all of whom hold management units) leant towards the view that deciding on their rate of pay was not a key purpose of the appraisal system.

It is possible that those who were acting as both appraisers and appraisees felt more secure about their own performance as teachers and so believed that they would be attested as performing satisfactorily and would gain the increase in salary. Such a belief would be reasonable – surely, if they had been asked to appraise others then their own basic competence, as experienced classroom teachers, must not be in question.

Appraisees might not have felt such confidence and might have wondered if they would "make the grade". After all, the whole appraisal system had been rushed into place so

that teachers could get a salary increase, so it seemed reasonable to assume that one of the main purposes of the teacher appraisal system was to decide on their rates of pay.

The link between this round of appraisal, the first of a new system, and a decision about pay increases seemed to have driven the pace of change and the emphasis of this cycle for many people. As the principal commented, pay does not work well as a motivator for schools, acting more as a "hygiene factor", as discussed by Herzberg *et al* (1959), than as a motivator.

Using payment as an incentive for people to improve their professional performance is an example of "coercive accountability" (Joyce and Showers, 1995) and is unlikely to be successful because it puts the entire responsibility for change on to the individual teacher and does not consider the social climate of the school as a whole.

Pre-occupation with the meeting of standards for individuals to gain a pay increase means that energy and time is being spent in monitoring individual performance instead of the school using the appraisal process as a catalyst to re-examine its own process and work through an improvement that would have direct impact on the quality of teaching and learning in the classroom as advocated by Hopkins, Ainscow and West (1994).

Unfortunately, salary has been used as a motivator and the timing of the appraisal cycle to fit the attestation for salary increase has also severely truncated the professional development aspects of appraisal.

The next round of the appraisal process at Kapiti College will be free of this influence. This freedom should lead to greater emphasis on professional development – but will the focus be on the individual or the team?

c.   Emphasis on incompetent teachers

Both appraisers and appraisees showed a similar pattern of responses to the statement, "A key purpose of the teacher appraisal system in current use at Kapiti College is to identify incompetent teachers" (see Table 4.7), with an almost insignificant tendency towards affirming that one of the key purposes of the current teacher appraisal system was to identify incompetent teachers. While the overall results seem relatively neutral, fully 25% of both groups took up positions at the extreme ends of the response scale, effectively cancelling each other out.

However, when one considers how the statement definitely asserted that a **key** purpose of the appraisal system was to **identify** incompetent teachers, then the overall positive response to the statement, from both appraisees and managers, becomes a matter of surprise and some concern – particularly when 32% of the appraisees agreed with it and a further 13% strongly agreed with it. This implies that almost a half of the appraisees went into the appraisal process believing that this could be the beginning of competence procedures – if not for themselves personally, then for other colleagues.

Furthermore, if they interpreted the statement literally, then they believed that these potential competence procedures had not been foreshadowed in any other way, for this appraisal process was designed and intended to identify incompetent teachers. In other words, there had been no previous signs of incompetence shown.

These responses paint a very grim picture indeed, and make the appraisal process loom like some form of "grim reaper." It is surprising, therefore, that so many respondents indicated that they could openly discuss their own professional issues with their HOD (see Table 4.1), with only five respondents saying they could not have such a discussion and yet fourteen of the same respondents saying that they believed that a key purpose of the appraisal process was to identify incompetent teachers (see table 4.7). This fits in with Natriello's findings (1990) that for teachers to be more positive about appraisal they need to have a prior understanding of what is expected of them, to have adequate information collected on their performance, to have frequent and informative feedback and to have resources made available to help them improve. In the Kapiti College 2000

cycle of appraisal, teachers did have an adequate understanding of what was expected of them. Some survey responses indicated that teachers did not believe that there was adequate information collected on their performance because pastoral care was not included. There has not been frequent and informative feedback to all staff, as mentioned by the principal in his interview. There was no direct link made to professional development in many cases and certainly no feedback to resourcing improvements.

A possible clue to this apparent paradox, that teachers could trust their own appraiser but believed that a key purpose of teacher appraisal was to identify incompetent teachers, is given in the comment reported from one appraisee who believed that this was a national key purpose which did not apply at Kapiti College. One of the trends that seemed to come through the survey was that individuals found the appraisal process "better" than their suspicions had led them to believe. This trend to have more favourable personal and individual experiences but to be suspicious about the experience and intentions of others was investigated in Tables 4.45 and 4.46.

Managers were asked if they had discovered any material in the appraisal process which made them doubt a teacher's competence where they had previously had no concerns about that teacher's competence (see Table 4.8). The single "agree" response indicated that perhaps the beliefs, that teachers had that the identification of teacher incompetence was a key purpose, might have had some foundation. It also called into question the reliance by the Greater Wellington Secondary Schools Principals' Association on current mechanisms for dealing with matters of competence – in at least one case these mechanisms were not sufficient to draw the attention of one supervisor or HOD. Because of the protection of anonymity, it was not possible to follow up on this single "agree" statement to find out how strong the concerns were, or how they arose. The response also indicated a possible problem with the degree of supervision previously exercised by the manager.

The responses in this area were of concern because one is inclined to agree with Popham (1988) who stated that the combination of formative and summative evaluation "constitutes a classic instance wherein the coalescing of inherently contradictory functions renders both dysfunctional" (p322). If an individual teacher was fearful that a

key purpose of their own appraisal was to discover evidence that they were incompetent, then that teacher would be unlikely to admit to any area of weakness that required professional development.

A robust and routine system of professional supervision should mean that any concerns about competency are addressed as they arise and that teachers can go into an appraisal process knowing that their job is secure and that what is under review is the possibility of further improvement and the setting of goals for the next one or two years.

d.   Emphasis on teaching and learning

Table 4.11 showed a total weighted score of 23 in response to the statement: "A key purpose of the teacher appraisal system in current use at Kapiti College is to emphasise important aspects of teaching and learning." This was one of the largest total weighted scores recorded for the thirty statements given to all respondents. Only eight respondents, from a total of 39, disagreed with the statement.

The statement was included because the writer wanted to test his hypothesis, based on the writing of Hopkins, Ainscow and West (1994) and Loader (1994), that the principal was using the appraisal system as a lever for adjusting the culture of Kapiti College and, in particular, that he wanted to strengthen the emphasis on teaching and learning in his bid to create a "community of learners." It would appear that staff did see appraisal being used as a means to emphasise important aspects of teaching and learning and so to change aspects of the culture of Kapiti College. This view was also confirmed in the principal's interview.

e.   Will the current appraisal system enhance professionalism?

Overall, staff did not seem to view the current teacher appraisal system as enhancing professionalism. Table 4.12 showed an overall rejection of the statement that introduction of hierarchical teacher appraisal would strengthen professionalism in the teaching staff with a total weighted score of negative six. More than 25% of respondents strongly disagreed with the statement. The view articulated by one respondent,

"Appraisal is done within myself. I am accountable to myself first. I don't need an hierarchical system to make me a better teacher," resonated with the views of writers such as Sergiovanni (1996) and Fullan (1991) who argue that, by definition, a professional is responsible for his or her own monitoring and that an imposed hierarchical system actually undermines professionalism. The principal of Kapiti College was aware of this view and regarded self-accountability as primary but he also valued the role of the appraiser as that of a mentor who performed a "reality check" on the self-image. The writer believes that the ambivalence about the status of teaching as a profession, as discussed by writers such as Wise *et al.* (1985) and Fullan (1991), is responsible for much of the conflict in this area. On the one hand, teachers are urged to "act professionally", "use professional judgement" and so on. On the other hand, they are paid a fixed salary, deal with hundreds of interpersonal contacts each day, cope with very little para-professional assistance and, in general, do not work in the same sort of professional environment and have the same uninterrupted one-on-one time that lawyers, doctors and dentists do with their clients. Hierarchical appraisal is yet another way in which teachers are treated as not really being professionals, particularly if it is repeated on an annual basis and if teachers are required to meet all of the criteria each year. Wise *et al.* warned of this possibility as early as 1985, writing that teacher appraisal, "can either reinforce the idea of teaching as a profession, or it can further deprofessionalize teaching, making it less able to attract and retain talented teachers."

e. Will the current system increase trust among the teaching staff?

The only respondent who strongly agreed with the statement: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase trust among the teaching staff', appeared[*] to be a teacher who was not yet on the top of the scale and, hence, was subject to annual attestation (see Table 4.13). None of the more experienced staff strongly agreed with this statement and only five agreed with it. This was the most strongly negative view recorded in this survey and it implied that the introduction of hierarchical teacher appraisal was perceived to have a negative, or at

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[*] This judgement is based on the fact that the respondent has not replied to a large number of the statements which do not apply to teachers who have not yet reached the top of the scale.

best neutral, effect on trust among the staff. This correlated with Rudman's views (1999) that appraisal should only be introduced in an atmosphere of trust.

An alternative view is possible: that the more experienced teachers have become cynical or, as Huberman (1988) would say, "disenchanted, withdrawn and bitter." In this view, teaching is seen as a career with particular patterns of behaviour, with only some exceptions. If this view is accepted, then it would be very difficult indeed to build trust among teachers who have been teaching for more than twenty years. Joyce and Showers (1995) are more optimistic and affirm that teachers are capable learners and should not be maligned as being "burned-out" or "aging". In their view, it would be possible to introduce innovations with experienced staff, and one would then tend to agree with Rudman (1999) that other conditions must be addressed first if trust is to grow along with the introduction of an hierarchical appraisal system.

It would also seem that trust has not been enhanced in this first round of an hierarchical appraisal system at Kapiti College because many of the harder questions have not been asked and so there has been "less than the truth" in the dialogue between appraiser and appraisee with an ensuing reduction in trust between the parties. This missed opportunity to cover all the issues, including the hard ones, leads to a reduction in trust according to Townsend (1995).

g.   Will the current system increase co-operation among the teachers?

One appraisee added the words "some of" before the final three words of the statement: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase co-operation among the teaching staff", before ticking the "agree" box. These words indicated some of the reservations felt by staff about this statement, which again has a weighted score of negative seventeen (see Table 4.14). Again, one of the two "strongly agree" responses came from a teacher who appeared not yet to be at the top of the scale. Experienced teachers seemed to be lining up with Barth (1990) and Collett (1997) in their belief that individual teacher appraisal will not enhance team-building. It is possible to postulate that up to 17 out of a total of 39 respondents went further and

believed that individual appraisal would actually militate against team building, depending on how one reads the "disagree" and "strongly disagree" responses.

h.   What will be the impact of the current system on the school's culture?

Given the nature of the indicators for culture (emphasis on important aspects of teaching and learning; strengthening of professionalism, increase of trust, increase in co-operation) it is rather concerning that the sum total of responses (see Tables 4.15 and 4.16 and commentary following) was negative. There was also a division of perception between those who were appraisees only, who recorded an overall weighted total of negative 27 to the four statements about the influence of the appraisal system on aspects of Kapiti College's culture, and those who were both appraisers and appraisees who recorded an overall weighted total of positive four.

On the one hand, it must be remembered that three of these statements dealt with projections into the future. On the other hand, the teachers making these responses had just experienced their first completed round of the new appraisal system and were answering the response towards the end of a two week holiday or at the beginning of a new term – a time when cynicism tends to be comparatively low in a staff.

The negative nature of the responses was not a surprise to the principal. In his interview he acknowledged that the pace of introduction was forced from outside the college and, so, the process was not set up properly and that there would be a need to re-establish trust in the staff. He also believed that the change process itself involved a dip in performance and morale on the way to establishing improvements.

The negative reaction was also consistent with the factors noted above: the fact that the appraisal was strongly linked with a salary increase, the lack of links to professional development, the perceived emphasis on incompetence, the perception that this system did not enhance professionalism, trust or co-operation. These views were reflected in the teacher surveys and supported by much of the literature, including Rudman (1999), Townsend (1995) and Barth (1990). The major positive aspect was the view that there

was an emphasis on teaching and learning and that there was potential for professional development but otherwise the majority view was that the hasty introduction of the hierarchical appraisal process had a negative impact on the culture of Kapiti College.

i. What is the relative importance given to each of the key purposes?

Identification of incompetent teachers was seen by both groups as a less important purpose of the appraisal system (see Table 4.17). The emphasis on important aspects of teaching and learning was seen as important by both groups – for the appraiser/appraisees it was clearly the most important purpose while it rated similarly with professional development for the appraisees.

The area where there was the greatest discrepancy was that of remuneration. Appraisees only rated this, on average, as the most important purpose of the current appraisal system, where middle and senior managers rated it as the least important purpose. This might have reflected greater security among the managers; that they would be found competent as experienced classroom teachers and so they considered the emphasis on their own professional development and on teaching and learning as more important for them. It may also have reflected a more global view of the school and its purposes, particularly as they had been briefed more extensively on the appraisal process.

However, the timing of the introduction of the hierarchical appraisal process at Kapiti College was driven entirely by pay considerations and the need to meet this timeframe meant, according to the principal, that short-cuts had to be taken which distorted the true nature of the appraisal process and truncated the link with professional development.

According to the Ministry of Education (Fancy, 1996) the prime purpose of teacher appraisal is professional development. The timing of the requirements to show that one met the professional standards (Ministry of Education, 1999a) counteracted this. This result is compatible with the findings of Wise *et al.* (1985) who demonstrated at some length (pages 106 – 108) why one purpose for teacher evaluation will dominate over

others. In particular they stated that appraisal for professional development does not demand the same criteria for all teachers, but appraisal for accountability does. By adapting the same criteria for all teachers, the Ministry of Education in New Zealand has indicated the primacy of accountability, particularly in then linking this with pay increases and in providing a rigid timeline for events.

j.   The impact of this system on student learning

Teachers at Kapiti College were rather sceptical about the potential of the new system to improve their own classroom teaching and student learning (see Tables 4.18 and 4.19). This scepticism was also reflected in the literature, especially HMCI (1996). The principal of Kapiti College felt that he would not be able to ascribe improvement in student learning to just the teacher appraisal system; there were too many other factors involved.

Once again, there is a question of the way in which the motivation of teachers is seen. Whence comes the impetus for improvement? Joyce and Showers (1995) argue that external accountability pressures will not improve classroom teaching. Sergiovanni (1996) claims that moral accountability belongs with the individual professional. If these views are right, then trying to improve student learning, and even classroom teaching, through a school-wide, or rather a national system, is unlikely to be effective. It is true that some classroom teachers will improve – but the issue is whether they improve because of the appraisal system or because of their own intrinsic motivation.

It is possible to see the appraisal system as setting a bench-mark for performance, so that no teacher will be allowed to fall below that bench-mark and that those who are intrinsically motivated will, of course, set their own standards beyond the bench-mark. However, this is making the appraisal process one of judging competence and there is very little support for such a step.

It is interesting to note that there was a slight difference in perception between the managers and the appraisees with regard to the statement: "I believe that the introduction of hierarchical teacher appraisal at Kapiti College will improve student

learning" (see Table 4.19). This difference in perception is understandable; one would expect that appraisers would be more optimistic about the possible impact of an appraisal system on student learning, and would perhaps be hoping that this appraisal system offered a suitable tool to encourage this development.

k.   Impact of the teacher appraisal system on professional relationships.

The change in attitudes measured and recorded in table 4.21 was one of the clearest mathematical indicators obtained within this study and seemed to indicate that most appraisees were apprehensive about the appraisal but that they had a more positive experience than they expected.

It would appear, therefore, from these figures, that the reality of personal experience with appraisal for appraisees was not as bad as was feared. However, one must remember that the apprehension was very strong for nine of the thirty-one respondents. This degree of apprehension in itself raises more questions: on what was this apprehension based? Possible answers include: self-criticism, existing poor relations with the HOD, past experiences with the HOD, fear of the appraisal system itself, fear/poor relations with regard to senior management in the school, and so the list could go on. If the answer to this question was located outside the individual teacher and within Kapiti College, and if there has been a positive improvement in responses, then it would be fair to conclude that the new system has enhanced professional relationships in this regard.

The extremely positive responses to statement six, "I could openly discuss my own professional issues in the interview with my supervisor/HOD", (see Table 4.22 which shows that only seven respondents out of a total of 39 disagreed with the statement) and, to a lesser extent, to statement seven, " I did most of the talking in the appraisal interview when I was being appraised", also support the view that the new system has enhanced professional relationships. It is remarkable that no-one disagreed strongly

with statement seven (see Table 4.23), which perhaps indicates that all appraisees felt that they had had a reasonable opportunity to have their say in the interview.

However, there was a much more guarded response to statement 16: "I believe that all relevant areas have been covered in my appraisal" (see Table 4.24), with positive and negative reactions virtually canceling each other out and with a total of only 6 respondents taking up extreme positions of strong agreement or disagreement. This may be because respondents did not understand the relevance of the statement – there was no reference to Townsend (1995) or her findings on the betrayal of trust in the survey document – or because to assert that all relevant areas have been covered is a fairly sweeping judgement. However, those who actively disagreed with the statement, a total of 13 out of 39 respondents, could presumably name areas that they believed had not been covered.

It would appear from the quoted comments and from the strongly positive response to statement 6, as opposed to the lukewarm response to statement 16, that the appraisal process itself may have limited the scope of professional dialogue, or, the appraiser may have limited the topics of conversation, perhaps, as posited by Townsend (1995) out of reluctance to tackle "hard" or "negative" issues. Whatever the reason, there does appear to have been an opportunity for full and honest professional discussion, which many appraisees felt was missed.

If managers did not feel comfortable in the role of appraiser, then that was a significant handicap to the enhancement of professional relationships. This was obviously an issue for 25% of respondents (see table 4.27) and may need following up before the next round of appraisal, particularly given that four appraisers did not return surveys.

It would appear that the responding appraisers were more likely to affirm and encourage appraisees, at least in their own judgement, than to challenge them (see Table 4.26). This is compatible with the findings regarding statement 16, where there was an equivocal response by appraisees to the statement "I believe that all relevant areas have been covered in my appraisal." Both appraisers and appraisees seemed to be aware that some of the more difficult areas had not been discussed in the appraisal process.

Twenty five to fifty percent of appraisers gained information that led to a change in their judgements about at least one of their appraisees (see Table 4.27). Again this raises the question of what the previous state of knowledge had been, and how accurate the new information was – but at least the new information was out in the open, and the appraisee has sighted and signed the appraisal report. Surely, this new and open knowledge should enhance professional relationships.

In looking back over Research Question 6 which asked, "Does the new system enhance professional relationships?" the answer is that it did seem to enhance professional relationships. This finding matches that of Wise *et al.* (1985) in their survey of teacher evaluation practices in 32 districts. They found that one of the most consistent effects of teacher evaluation reported to them was improved teacher-administrator communication. Appraisees at Kapiti College found the actual appraisal process better than they had feared, they were able to openly discuss professional issues with their supervisor or HOD, they felt that they have had their fair say. A significant number of appraisers felt that they learnt new information about the professional work of their appraisees. There were areas that needed further attention – particularly the coverage of the appraisal interview, with special attention needed in the area of addressing the harder issues.

l. Responsibility for decision making.

As one would expect, middle and senior managers felt more consulted than did staff who did not appraise others (see Table 4.28). However, middle and senior managers were evenly divided in their opinion as to whether they did have a say in the development of the current teacher appraisal system.

It is clear that the decision to change the appraisal system was a top-down decision, made externally to the college and then implemented hierarchically with some consultation. According to Wise *et al.* (1985, 110), "teacher involvement and responsibility improve the quality of teacher evaluation". Darling-Hammond (1990, 76) calls for "increased peer involvement in design and implementation of evaluation" to promote professional accountability. This call is based on her earlier work on teachers

as professionals who should be controlling "technical decisions about the structure, form and content of their work" (Darling-Hammond, 1986, 544). The writer considers such involvement and responsibility to be one of the areas requiring attention at Kapiti College in the near future.

m.   Priority and centrality of the change to a new system.

Weighted scores for Table 4.29 showed totals of negative nine for appraisees and negative five for appraisee/appraisers for the statement: "I believe that the change in the teacher appraisal process at Kapiti College was one of the most significant events in my professional life in the last 16 months." The overwhelming response was that teachers did not see the change in the teacher appraisal system as one of the most significant events in their professional life in the last 16 months.

Given the generally negative teacher responses to the statements about centrality and consultation one wonders about the impact that the new system could have had. If one accepts the traditional theories about change management, then there does not seem to have been enough centrality or commitment to the change. If one accepts Sergiovanni's views on the teacher as a morally accountable professional (1996) then the whole exercise of teacher appraisal was a move in the wrong direction and teachers were quite right to keep the change to a low priority and just "go through the motions". They are also likely to take this stance if they have no ownership of the appraisal process but experience it as something "done to them".

n.   Management of the change

There was a clear difference in response to the statement, "I felt well-informed about the planning and implementation of the current teacher appraisal system" (see Table 4.30), between those who were appraisers and those who were appraisees only. The two respondents who strongly disagreed with the statement were appraisees and, despite the fact that there were 31 appraisee responses as opposed to eight manager responses, the weighted total is higher for the managers. This is reasonable, given the training and

consultation that went on with appraisers, but it is clear that a lot of the information was not perceived to have filtered down to appraisees.

A total of 13 respondents (33.3%) found the implementation process smooth and well-planned (see Table 4.31). This proportion was similar in both managers and those who were appraisees only. Despite the careful planning outlined in the documents cited above, the experience for teachers was not smooth.

Of the eight appraisers, three agreed that they felt well-prepared to appraise others, four disagreed and one disagreed strongly (see Table 4.32). This result is compatible with the results cited earlier for the statement "I felt comfortable in the role of appraiser." As mentioned earlier, the flow-on effects from this feeling of not being well-prepared to appraise others were considerable and this appears to be an area that needs further work. The principal acknowledged that there were mistakes and that the HOD team learned new skills but he believed that "we learnt from it."

o.   Fairness of the new system

The response to the statement, "I believe that my supervisor has acted fairly in conducting my appraisal", was a huge vote of confidence in appraisers, with only four out of thirty nine respondents disagreeing with the statement, and with fourteen strongly agreeing (see Table 4.33). The weighted scores' total of 37 was the strongest expression of support for any statement in the survey, sharing this position with an equally strong endorsement of the statement: "I could openly discuss my own professional issues in the interview with my supervisor."

Statement 29, "I believe that the teacher appraisal process at Kapiti College will be fair across all departments", was a much more speculative statement than statement 11. The weighted total score for appraisees of negative eighteen for statement 29 may reflect the fact that this group of teachers did not feel well-informed about the appraisal process (see Table 4.34). Appraisers, with a little more information, were not quite so cynical; but still were not as convinced about the principles of fairness applying across the whole school as they were about having been personally treated fairly. A comparison between

the scores of responses based on personal experience and those based on speculation was provided in Tables 4.45 and 4.46 to see whether there was a trend to answer more positively about personal experience and more negatively when responding to hypothetical or speculative statements.

According to Bollington, Hopkins and West (1990), one of the factors to be considered in training and in preparing a staff for appraisal is the need for the teachers, "to have belief in the school's capacity to introduce appraisal fairly and professionally" (pp. 81f.). It would seem that, in the accelerated pace of the introduction of the changed system at Kapiti College, this belief did not spread to all, at least in theory, although their own personal experience was reasonable.

However, the issue of fairness goes deeper than the behaviour of individual supervisors. It is possible that they were acting with integrity but that the system itself was flawed, because it is wrong to hold educators individually responsible for the learning of their students because there are too many other factors involved, as discussed by Ondrack and Oliver (1988) and Snook (1990).

p. New information gained from the appraisal process

Twelve respondents agreed with the statement: "My appraisal process provided me with new information about my teaching" (see Table 4.36). The remaining nineteen disagreed or were neutral regarding a very wide-ranging statement. If these nineteen respondents did not learn anything new about their teaching from the whole appraisal process, which included student evaluations, self appraisal and an appraisal interview, then it seems that a great deal of effort was expended for very little return.

Of the twelve respondents who did agree that they learnt new information, nine agreed that the new information was valid and one disagreed. It would seem, therefore, that the appraisal process was generally capable of providing some valid new information and one is left wondering why so few respondents were able to learn anything from it.

The results shown in Table 4.38 correlate quite closely with those shown in Table 4.36. A weighted total of 19 supported the statement that "the appraisal process confirmed what I already knew about my teaching", corresponding closely with the weighted total of 17 rejecting the statement: "My appraisal process provided me with new information about my teaching."

However, when new information was examined from the appraisers' point of view, as opposed to the appraisees, a slightly different picture emerged. One of the eight appraisers discovered material in the appraisal process that caused that person to doubt a teacher's competence, where the appraiser had previously had no concerns about that teacher's competence (see Table 4.39). This was rather significant new information for it has radically turned around the professional judgement of one of the eight appraiser respondents. Furthermore, two appraisers, or 25% of the respondent group, replied that the appraisal process caused them to significantly revise their judgement about the professional work of one of more of their appraisees. The principal commented that he was not surprised that there were these sort of surprises for appraisers, adding that it was a very long time since some staff had been appraised. Did this mean that the new appraisal system was doing its job – at the very least by acting as a competence check?

There was a shift in the results of Tables 4.40 and 4.41. Four appraisers believed that they did gain real new knowledge about the professional work of their appraisees, and that their previous judgements were not all confirmed. However, only two agreed that the appraisal process caused them to significantly revise their judgement about the professional work of one or more of their appraisees.

However, it is possible that the two results did not contradict one another, because the word "significantly" had been removed and replaced with a more universal negative equivalent "no real new knowledge". In other words, four appraisers learnt some new information from the appraisal process; two of these learnt enough new information that they significantly changed their judgement about the professional work of one or more of their appraisees and one appraiser gained information of such consequence that an appraisee's competence was in doubt, where it was not before the appraisal process.

q.   Value of the time spent on appraisal

When asked to respond to the statement: "I believe that the time spent on my appraisal was well worthwhile" respondents tended to choose a neutral response, with fifteen of the thirty nine respondents choosing this option, a further eight choosing to agree and five to disagree (see Table4.42). There was not a lot of strong disagreement with the statement.

Appraisers invested a great deal of time in the appraisal process. As the principal noted in his interview, heads of large departments had ten hours of non-contact time per thirty hour timetable cycle, largely to allow for professional supervision, and the two deputy principals taught for only five hours per thirty hour cycle, partly to allow for professional supervision. The task of appraising teachers at the top of the scale was complex and was new for all involved, although most had taken part in attesting less experienced teachers for salary increases as they progressed up the scale. This was quite different in at least three major respects. First, appraisers were not dealing with just one or two staff members but with at least five each. Secondly, some of the teachers they were appraising were older and more experienced than they were. Thirdly, some of the teachers they were appraising were likely to be more resistant to advice and change than beginning teachers – these appraisees had been teaching for years without "interference" from heads of department or anyone else. So not only was there a considerable input of time, which is measurable, but for some of the HODs there was a considerable drain on emotional energy as they dealt with the interpersonal aspects of the task under considerable time pressure; a fact observed by the writer and acknowledged by the principal in his interview when he stated:

> The reality of March 2000 was out of context and rushed – on the other hand we learnt from it and yes – there were some fingers burnt and there were some punctured egos. It had positive and constructive outcomes for the HOD team as they gained new skills.

Three of the appraisers disagreed that the appraisal process was a good use of their time (see table 4.44), but two of them strongly agreed and three agreed with the statement. One of the areas that has become clear in the course of studying this issue is that professional supervision has had some gaps in it, and that heads of department have not all been using their ten hours per cycle to work with their staff in this way. It would

have been interesting to be able to follow up with the three appraisers and find out why they did not consider the appraisal process a good use of their time and what they would consider good use of time – but the anonymity of response prevented such follow up. One possible future avenue of inquiry within Kapiti College is to ask heads of department to discuss and rank in importance their professional duties. Of course these will vary from person to person, depending on the nature of the personnel within the department and the personality of the head of department, but there did appear to be a weakness in some departments in the supervision or mentoring or appraisal of teachers.

r.   Correlation between responses dealing with personal experience and responses on a theoretical basis.

Respondents were generally more positive about their own personal experience of appraisal than they were when asked to comment on general questions about the appraisal system (see Tables 4.45 and 4.46). It was also interesting to note that the statements which attracted the most consistently negative responses were those dealing with beliefs about the future impact of the appraisal system at Kapiti College.

There are two possible explanations of this pattern of responses. The first is that teachers at Kapiti College feared the worst, but were pleasantly surprised by their own experience with their own colleagues. If this view is correct, then more appraisal cycles will lead to greater ease with the system and all will be well.

An alternative view is that teachers perceived that the appraisal system has the potential to change the culture of teaching and destroy trust and co-operation as it deprofessionalises teaching and externalises motivation. If this view is correct, and there is considerable research literature to support it, including Popham (1988), Barth (1990), and Sergiovanni (1996), or at least raise it as a possibility (Wise *et al.* 1985), then more appraisal cycles will lead to more and more dis-ease, including a negative shift in the culture of Kapiti College and all will not be well.

s.   Conclusion

Most of the results discussed in this chapter flow from three main principles, discussed at length in the research literature, which have underpinned this study.

The first of these principles is the purpose of teacher appraisal. Teachers at Kapiti College were confused about the purposes of this round of hierarchical appraisal. On the one hand, they were told that it was for professional development and that it was linked to the strategic plan of the school. On the other hand, they were told that a salary increase depended on it, and that the round had to be finished by April 19 to meet this purpose. As well as these two factors, there were concerns about teacher competence and a wide perception of the principal using the appraisal process as a lever to change the school culture. Many writers, including Wise *et al*, (1985), Popham (1988) and Bailey (1997) have warned that confusion of purpose will lead to no purpose being achieved.

The second principle involves the matching of the appraisal system with the culture of the institution. Teachers at Kapiti College were apprehensive about what the hierarchical appraisal system was doing to the culture of the college. Trust is a very important part of this culture and this point is emphasised by both Rudman (1999) and Townsend (1995). Because of the Government-imposed timeline for this appraisal round, there was not time for the newly-appointed principal to build trust in himself before appraisal took place in a radically different format from that of the past. Appraisers were not all confident in their roles and so did not open up all areas in the discussion. As a result, some teachers believed that the appraisal process in 2000 reduced trust in the staff and the principal acknowledged that there was further work to do in rebuilding trust before the next round of appraisal begins.

Linked with this area of trust is that of the nature of teaching. The shift from peer appraisal, with both the appraiser and the criteria for appraisal selected by the appraisee, to a legislated hierarchical appraisal model was an abrupt change and seemed to deprofessionalize teachers at Kapiti College, particularly when most felt that they had had very little input into the change. The current legislation in New Zealand regarding

secondary teacher appraisal does not treat teachers as "professionals", in the way that Darling-Hammond (1990) regards as desirable. Nor does it treat teachers as morally accountable, as discussed by Sergiovanni (1996), for the quality of their own work. Several teachers from Kapiti College commented on this in their survey responses. The writer believes that it would be possible to regain professional ownership of the teacher appraisal process at Kapiti College and that this would involve a helpful discussion about the nature of teaching itself.

Chapter Six

Conclusion

Will the introduction of an hierarchical teacher appraisal system at Kapiti College improve teaching and learning? Fundamentally, the answer to this question depends on how one views teaching – as a form of labour, a craft, a profession or an art, as explained by Wise *et al.* (1985). Another approach it to ask if the teacher is a technical actor, who gives knowledge and follows and applies rules, or a moral actor who transforms students, as described by Fullan (1991). Is it possible that a teacher is all of these, but at different times? Is it also possible that various teachers function in one or more of these modes? Is the introduction of an hierarchical teacher appraisal system at Kapiti College an effective way of improving teaching and learning?

There has been a cost involved in the introduction of this system. This is seen most obviously in the figures on the time involved for the appraisers; but time, effort, and some emotional tension have also been expended by those who were appraisees only. Could this time, effort and emotional energy have been better used?

Political forces have shaped the current national appraisal system. These political forces are neither confined to New Zealand, nor are they restricted to teaching. A business model of individual accountability for results has been applied to teachers. Whether this is appropriate depends, again, on one's views of the nature of teaching. If all teachers always work at the level of labourers, craftspeople or technical actors, then it is definitely appropriate.

However, if there is no agreement about the nature of teaching itself, then how can one appraise teachers? Sergiovanni (1996) argues that it is a false path for schools to follow business methods and that teachers should be bound by moral accountability which is to themselves firstly, and then to a wide range of others, as opposed to contractual accountability. The use of contracts and performance agreements is a feature of the New Right attitudes towards the management of labour in all aspects of the economy, from

couriers and cleaners to chief executives. Edwards (1991) argues that teaching demands a balance of accountability and professional autonomy.

Furthermore, if one is going to introduce an appraisal system for teachers, with or without agreement on the nature of teaching, then there is still the issue of the purpose of that appraisal system. Again, there is division of opinion over whether it is possible to have a single appraisal system that is used for both accountability and professional development. The timing of the change to an hierarchical system at Kapiti College certainly emphasised the importance of the accountability factor, particularly with regard to a salary increase. Because of the need to establish the system quickly and fairly, and the time of the year in which it was introduced, there was very little emphasis on the professional development aspect. It is clear from the responses to the teacher survey that, generally, there was open discussion of important personal professional issues but that this was not followed up with specific plans for individual professional development and neither were the "hard issues" raised. There is now a credibility issue for some teachers at Kapiti College regarding the commitment to appraisal as a means of focusing professional development for individual needs.

There is no doubt that the hierarchical teacher appraisal system was imposed on Kapiti College from outside the school and following an external timeframe. Hopkins, Ainscow and West (1994) believe that a school can react in four possible ways to such externally imposed change. The question for Kapiti College to decide is whether this external requirement will benefit teaching and learning – and again this question goes back to the fundamental issue of perceptions of teaching and the motivation factors of teachers. If the change will benefit teaching and learning, then it should be accepted and enculturated. If it will not benefit teaching and learning then it should be resisted or delayed – or, to add another option to those offered - compliance should be minimal and the change should not distract from the main business of teaching and learning. It is clear from school documents, from the interview with the principal, and from the time spent in introducing the new system, that the principal of Kapiti College has decided to accept and enculturate the change. There is evidence, for example Loader (1994), that an appraisal system can be used to change the culture of a school into a learning community and this is an avowed goal for Kapiti College, according to its strategic plan.

The principal's interview made it clear that he was well aware of most of the issues already discussed in this chapter. He was hopeful that self-appraisal would be the core of the appraisal process and that the supervisor would act as a "reality checker".

The principal was fully aware of the rushed timing and implementation of the imposed system, studied in this thesis, to meet external deadlines and of the over-emphasis on accountability for pay increases that this created. There is a residual problem, however, of credibly shifting the emphasis for the next round of teacher appraisal, particularly when it involves the same people as appraiser and appraisee.

According to Hopkins *et al.*, there is an alternative strategy to dealing with this imposed change. If it is seen as not being beneficial to teaching and learning, then one can merely comply with the requirements to a minimal degree. If this course of action is taken, then it must be because of a shared view of moral accountability within the school as a community. The issue of "quality control" and professional development will not then go away but it will need to be resolved in a totally different and more collegial manner. This is an idealistic solution with no large-scale proven examples for schools with large teaching staffs.

Loader (1994) offers a proven solution in adopting and adapting an externally imposed appraisal system. Unfortunately, it is a rare example (HMCI, 1996) and there are many factors working against it. So much of Kapiti College's system worked well, despite the rushed implementation, that it is worth working on modifications to strengthen the links between appraisal and professional development. This strengthening will be assisted by the fact that pay will not be an issue for the next round of appraisal. It could be further strengthened by moving to a two-year cycle for appraisal; thus, emphasising the long-term nature of goals and giving time for professional development, implementation and evaluation to take place. The principal is currently advocating the implementation of an 18-month cycle. Another factor that would help to strengthen the link between appraisal and professional development would be stronger ownership of the appraisal process by the teachers of Kapiti College, in accordance with the principles espoused by Wise *et al.* (1985) and Darling-Hammond (1986 and 1990).

Other areas that appear to need more work include the need for more extensive training of appraisers in their role, including their role in both challenging and supporting their appraisees and a greater collegial discussion of the importance of self-appraisal. If self-appraisal were to become the key focus of the appraisal process, then this would be reflected in a more positive response to the statement: "My appraisal process provided me with new information about my teaching and professional tasks." It would also shift the collegial perception of teaching from the labour/craft model to the profession/art model.

Implications beyond Kapiti College

While this study has focused on one college, there are a number of issues that may be worth considering at national level. The forced pace of the implementation of this system at Kapiti College distorted the purposes of appraisal and this distortion will take some time and effort to remedy. It would appear that political and industrial forces prevailed at the cost of educational values and goals. It is possible that this rushed implementation may have tarnished appraisal in the minds of many teachers, not just at Kapiti College, as a "politically correct" process to guarantee the quality of teachers before they get a pay rise.

How often should appraisal take place? New Zealand requires annual appraisal. Is this necessary for either accountability or professional development? Would it not be better to have annual attestation until a teacher reaches the top of the pay scale, as is the current practice, and then move to biannual or even triennial appraisal, as is the case in some other education systems, for example, England and Wales (HMCI, 1996) and Connecticut (Iwanicki and Rindone, 1995)? This would then allow teachers to set long-term goals and evaluate them, thus avoiding one of the potential traps of an annual appraisal cycle, which is to concentrate on short-term measurable goals at the expense of longer term goals which are less easily measurable, as discussed by Bevan and Thompson (1991).

Some brief evaluative comments on the appraisal system

Musella (1988, 181f)   suggested some useful criteria for evaluating performance appraisal procedures, including

□   workability,

□   knowledge and skill of the appraisers,

□   good fit between the practices and the culture of the organization,

□   explicit and consistent purposes which are in accord with school policy

□   the value of the information gained – in terms of validity, reliability and relevance.

The system used at Kapiti College did seem to be workable, even though it was rushed into place. Some appraisers stated that they were not well-prepared to appraise others and so the knowledge and skill of the appraisers does need some attention. Because of the co-relation between the strategic plan and the implementation of teacher appraisal, there was a good fit between appraisal and the board and principal's desired practices and culture. However, at the time, there was a transition happening in the culture as a new principal was taking over the school and so the current appraisal system did not sit entirely comfortably with the culture of the recent past. In fact, the current appraisal system could be seen as a touchstone of the change in culture. There was considerable division over the value of the information gained. This feedback must be considered in light of the fact that the current appraisal process did not focus on professional development and should therefore be reviewed following a more complete appraisal cycle.

Edwards (1992a) also offered a list of criteria that would indicate that an appraisal system is working. These criteria are:

> First, *participants understand the system* – and will value it, want it and be committed to it.
> Second, *the procedures are realistic* – they are open, they are known and considered worthwhile, they are not unnecessarily time consuming, time wasting or time serving.
> Third, *the procedures are kept under review* – they are not immovably set in concrete for all time!
> Fourth, the *data are confidential to the particular participants* – a crucial point mentioned earlier.

Fifth, *self-assessment and professional development are promoted* – needs and opportunities are identified and the system celebrates past growth and promotes future growth.

Sixth, *the system uses accurate and valid data* – not hearsay, biased opinions or gossip.

Seventh, *the system produces a broad and accurate picture.*

Eighth, *the system does good* – not harm! It is purposeful, non-threatening, supportive, developmental, cyclical and it enhances teaching and learning.

Ninth, *the system is just* – people are trained and prepared for it, appropriate growth opportunities are actually available, people have equal opportunities and are treated fairly. (p. 3)

Evaluation of the Kapiti College appraisal scheme as used in 2000 would suggest that the first criteria would have mixed judgement on understanding and valuing. Commitment was not measured. Judgement on the realistic nature of procedures would be more favourable, with some concern about the pupil evaluation process. Procedures certainly have been kept under review, and this study is part of that review process which is welcomed by the board and the principal. Confidentiality of data has not been an issue. While self-assessment and professional development have not been greatly promoted in this round of appraisal, there is every indication that internal review of the appraisal round has led to plans to increase this promotion. The system certainly did not use hearsay, biased opinions or gossip and most of the data seemed to the direct participants to have been accurate and valid. It is difficult to judge whether the system did produce a broad and accurate picture, although most participants did feel that they had been treated fairly. The eighth criterion is very broad and evidence already cited in this study would indicate a range of responses. The appraisal process was certainly purposeful, a significant number of teachers did find it threatening, there was a range of responses on whether it was supportive and on this occasion it was not developmental or enhancing teaching and learning. Most teachers, when speaking of their own direct experience, considered the system to be just although there were concerns about the training of appraisers.

On balance therefore, the system at Kapiti College in 2000 passed four of the criteria quite definitely – those of keeping procedures under review, keeping the data confidential, using accurate and valid data and being just. There was a range of responses to three of the criteria – whether participants valued the system, whether the procedures were realistic, whether the system did good or harm. There is not yet enough evidence to support a sound judgement on the other two criteria – whether self-

assessment and professional development are promoted, and whether the system produces a broad and accurate picture.

Summary of findings

This evaluation of a teacher appraisal system over sixteen months in one school has involved many issues about the nature of teaching as a profession, about human resource management, about leadership and about change management. The introduction of such a system can fail and can undermine the morale of staff and the learning culture of an organisation in many ways.

There have been mistakes in the implementation of an hierarchical teacher appraisal system at Kapiti College but there has also been a strong professional awareness of the issues involved as revealed in the documents read in this study, the surveys completed by teachers and the interview with the principal. Further development of the appraisal system should follow honest professional discussion on the nature of teaching, the desired culture of Kapiti College and a decision on whether teachers should minimally comply with the legal requirements for appraisal, or whether this system should be embraced and enculturated to work as a tool to improve teaching and learning.

There will be changes in the current system. The Government no longer requires experienced teachers to be attested for a salary increase. The principal is intending to change from an annual cycle to a cycle of eighteen months. These changes are top-down. If they are the only changes, then it is difficult to see teachers taking ownership of the appraisal process and regarding their job as a profession or art, rather than a craft or a form of labour.

Teachers at Kapiti College need to discuss the nature of teaching and the potential use of appraisal. Their survey responses show that they are quite capable of doing this. In this way they can be part of the decision on any changes in the current system and, ideally, can be more fully committed to rigorous self-appraisal.

Recommendations

The following recommendations arise from this study and are supported by some of the research literature on appraisal.

a.   Within Kapiti College

- That all teachers have the opportunity to discuss the nature of teaching as a labour, a craft, an art or a profession and from this move to shaping and owning a suitable model of teacher appraisal. In this way appraisal would be a professional action rather than an imposed system. This professional approach should then lead to a greater degree of self-appraisal.

This recommendation is based on the findings from the teacher surveys that most teachers did not believe that this appraisal system would increase co-operation among the teaching staff (see Table 4.14) and that they did not regard the introduction of the hierarchical teacher appraisal system as one of the most significant events in their recent professional lives (see Table 4.29) possibly because they were not sufficiently actively involved in the design of the process. This lack of involvement could also have been the basis for this comment from the principal, "We now need to go backwards and re-establish trust and the link to professional development."

The recommendation is more directly sourced from advice from other writers calling for staff ownership of the appraisal system (Principals' Implementation Task Force, 1990) and for substantial input from teachers and teacher unions for the successful introduction of successful teacher evaluation programmes (Wise *et al.* 1985). Darling-Hammond (1990, 76) called for "increased peer involvement in design and implementation of evaluation" to promote professional accountability.

- That, following this discussion, appraisers are trained in dealing with the interpersonal communication involved in appraisal, especially in dealing with the hard issues in an open manner.

This recommendation follows the results shown in Table 4.24, where there was some concern that all relevant areas had been covered in teachers' appraisals. This concern was reinforced by appraisers' responses to the statements "I felt comfortable in the role of appraiser (see Table 4.25) and "I felt well-prepared to appraise others" (see Table 4.32). Responses and comments both revealed a need for greater training as acknowledged by the principal in his comment, "there were some fingers burnt and there were some punctured egos."

Townsend (1995) believes that appraisers need adequate and on-going training partly because of their temptation to deliver less than the truth.

- That heads of department discuss and rank in importance their professional duties. This discussion should include a focus on professional supervision of teachers in their departments. This professional supervision should be seen as distinct from the appraisal process.

This recommendation arose because of the responses of appraisers revealing that they discovered material that caused them to significantly revise their judgements about the professional work of one or more of their appraisees, in one case to the point of competence judgements (see Tables 4.39 and 4.40). The principal was also asked to comment on the amount of new knowledge that HODs and supervisors had gained about their staff, and their consequent revision of their judgements of these staff. He commented:

> I certainly wouldn't be surprised that there were surprises first time round. There's been very nominal and casual classroom visiting really. There have been comments such as "This is the first time I've been appraised in twenty-five years."

This was despite the fact, according to the principal,

> We've given HODs ten hours per cycle to try and do something about it. At the moment, by their own admission, they are not using this time for this purpose.

The recommendation that this professional supervision be kept separate from the appraisal system is based on the principal's statement that heads of department have a time allowance throughout the year for professional supervision and on the comments from the Greater Wellington Secondary Schools' Principals' Association (Appendix

A7) calling for separation between teacher appraisal and competence procedures. Competence procedures should arise from routine supervision, not from appraisal.

- That a strong link is made between appraisal and professional development for the individual teacher, including the provision of resources for identified needs. This link should also lead to an improvement in teaching and learning.

This recommendation is based on the disappointing responses to the statement: "The appraisal process led to specific plans for my professional development" as shown in Tables 4.1 and 4.2, so that in this round, it would appear that teacher appraisal at Kapiti College was, in Darling-Hammond's words, "a routine, pro-forma activity with little utility for what goes on" but that it could relatively easily be transformed into "an important vehicle for communicating organizational and professional norms and for stimulating improvement" (Darling-Hammond, 1990).

- That appraisal for experienced teachers should happen once every two years rather than annually. This should lead to a greater professional development focus and encourage a focus on long-term goals.

This recommendation is based on the work of Bevan and Thompson (1991), who warn against neglecting long-term goals, and on the systems adopted in Britain, following a two-year cycle, and in Connecticut, which has altered the appraisal system from a one-year cycle to a three-year cycle to allow time for real professional growth, with appraisal occurring in only one of the three years (Iwanicki and Rindone, 1995).

b.   Nationally

Recommendations for national changes are only credible to the extent that they are based on general patterns which are likely to apply beyond Kapiti College and which have been shown to exist in the literature on the topic of appraisal.

- That the current requirement for annual appraisal should be relaxed in favour of a requirement for appraisal to be carried out at least once every three years.

This recommendation follows the literature basis supporting the recommendation for Kapiti College to change to a two-year cycle. The suggested national minimum requirement for a three year cycle is based on the cycle followed in Connecticut and also matches the three year terms of New Zealand schools' Board of Trustees.

- That there should not be a repetition of the use of appraisal as a means of attestation for a salary increase for experienced teachers. This use of appraisal has "tainted" the appraisal process and its contribution to the professional development of teachers.

This recommendation is based on the writings of the Greater Wellington Secondary Schools' Principals' Association (Appendix A7), the views of the principal of Kapiti College on the use of pay as a motivator for teachers and the writing of Bevan and Thompson (1991) who argue that the use of salary increases as a reward for a successful appraisal can lead to distortions in long-term planning.

- That any future changes in legislation regarding teacher appraisal allow a longer period for implementation. The pressure to introduce the current system at Kapiti College, at a time when a new principal had just been appointed, distorted the change management process, the priorities of the school and the purposes of the appraisal system.

This recommendation is based on the work of Hopkins, Ainscow and West (1994) who argue that school improvement only takes place when the school has the time to examine the external change and work through it. Rudman (1999) also argues that a performance management system should be introduced only when the organisation is ready for it. The recommendation is also based on the comments made by the principal of Kapiti College about the pace of change being forced by external constraints.

Reflections on methodology

One of the prime concerns about the methodology for this study was the role of the writer, and the huge potential for conflict of interests. On reflection, this has not been an issue, perhaps because the potential problem was so great that it had to be faced directly. All parties – the board of Kapiti College, the principal and the teaching staff – have been very interested and supportive of the study without being in any way intrusive. As stated earlier, Kapiti College has a tradition of self-review and this culture has helped enormously. The principal and the board have given formal permission for the school and principal to be named and identified in this thesis. This permission was discussed at a personnel committee meeting and ratified by the full board on 6 December 2000 (see Appendix D4). The Chairperson of the board and the principal at that stage had both read draft copies of the thesis, as had other members of the staff. The permission for naming and identification was given on the understanding that there would still be changes in the material finally published. The decision to allow identification and naming was based on the principle that self-review was beneficial and that it was helpful to the educational community for the college and principal to be identified. Teachers of Kapiti College were also consulted on the naming of Kapiti College (see Appendix C4). They did not have a problem with such identification.

The use of anonymous questionnaires for teachers was a mixed success. On the one hand, there was a high response rate and some excellent written responses. A 66% return from both groups of respondents compares very favourably with traditional response rates for non-mandatory written feedback from teachers. This high response rate would seem to be due to a combination of the following factors: high teacher interest in the topic, the timing of the mail-out of the questionnaires, personal support for the writer, the method of mailing the material to home addresses and providing a stamped addressed envelope for returns, the guarantee of anonymity. The provision of opportunity for teachers to write their own comments gave rise to some excellent, thoughtful comments which revealed the professionalism of many of the respondents in far greater depth than their Likert-scale responses had done. On the other hand, the anonymous nature of responses was frustrating when there were several responses that cried out for greater investigation, perhaps through an interview. There does not seem to

be an ethical way of resolving this issue unless the research had been done by a person from outside the college. Such a person would have had other disadvantages.

Documents used in this study were useful to provide background but they did not provide the same depth of response as that found in the questionnaires and in the interview with the principal. Many of the documents written by the principal revealed an understanding of the research literature on teacher appraisal and this understanding was confirmed in the interview.

The interview with the principal was very useful. It would have been good to have interviewed other teachers as well but this was not ethically feasible. The interview allowed for a probing of views and for commentary on the findings from the questionnaires.

The research questions were all helpful. Some of them could be answered very simply but almost all of them helped to generate the above recommendations. The fact that these research questions were generated from the literature ensured that they were relevant and important.

In sum, therefore, the methodology adopted was very useful and fit for the purpose of this study. More importantly, it was highly influenced by ethical considerations and would seem to have given valid and reliable results for each of the research questions from a number of diverse sources.

Suggestions for further research

This study has raised a number of further questions. It would be interesting to investigate some of these, such as:

- A similar study based within a secondary school of similar size which already had an hierarchical model of teacher appraisal in place, and where there had been no change of principal within the last three years.

- A study of the effects of the appointment of a new principal on teacher appraisal systems.

- A study of the impact of appraisal systems on the stress levels of teachers.

Final words

In their written responses to the survey, two of the teachers at Kapiti College used their own words to encapsulate a view of appraisal which highlights the responsibility of being a professional and which resonates with much of the literature. One wrote:

> I am conscious that the current system is essentially a competency checking system. As a motivational tool it is, in my opinion, the wrong one for true professional development of teachers. I believe our past system was highly motivational, was truly confidential, allowed for staff to fearlessly deal with areas of difficulty and allowed for professional goals that were teacher generated rather than imposed.

Another teacher wrote:

> Appraisal is done within myself. I am accountable to myself first. I don't need an hierarchical system to make me a better teacher.

It is my own hope that such teachers will continue to work in education and that all teachers will reflect on their own professional work and will support each other in improving it. The use of an appraisal system can only act as a safety net to support genuine professionalism in teaching.

Appendices

A - Source documents

1   School development 2000

2   Teacher appraisal against the new performance standards

3   7 February 2000 memo to HODs

4   Notes for appraisers

5   Performance appraisal structure- Kapiti College, 2000

6   Principles of implementation of assessment against the professional standards

7   Greater Wellington Secondary Schools Principals' Association

B – Data gathering instruments

1   Interview questions for the principal.

2   Survey questionnaire as posted out to 47 teachers of Kapiti College who were appraisees only.

3.   Survey questionnaire as posted out to 12 teachers of Kapiti College who were both appraisers and appraisees

C – Documents produced by the writer in preparing this thesis.

1   Letter to the principal, regarding ethical considerations in this thesis.

2   Letter to teachers of Kapiti College, sent with surveys on personal paper.

3   Information sheet on Massey University letterhead. Sent to teachers of Kapiti College with letter (C2) and with appropriate survey questionnaire (B2 or B3).

4   Memo, distributed to teachers of Kapiti College on 29 January 2001, regarding identification of Kapiti College.

D – Other documents

1   Letter from Massey University Human Ethics Committee, dated 29 March 1999.

2   Letter from Massey University Human Ethics Committee, dated 27 July 1999.

3   Letter from Kapiti College Board of Trustees, dated 6 May 1999.

4   Minutes of Kapiti College Board of Trustees, Wednesday 6 December 2000, ratifying decision of Personnel Committee meeting, 15 November 2000.

Appendix A 1

School Development 2000

The Review Process February- June 1999 by John Russell, Principal.

Principal asks	Clarifying ownership of existing Documentation • BOT ownership/ understanding of the School Strategic Plan • Staff ownership of the plan • Links between BOT, School and Department Strategic Plans	
Teacher PD day	Appraisal Model- Does it measure what we value? How does appraisal and performance review link to: • The school Strategic plan- annual school goals • Department / team goals • Personal Goals • Collegial professional development How do we incorporate the new professional standards being negotiated as part of the Collective Contract? Can we actually articulate what we value and where we are going?	
All staff	Review of model of Curriculum Management Full staff discussion on draft model based on the Essential Areas of Learning of the National Curriculum. Basic rationalisation from 18 to 8 departments, consistent with reviews and reports completed in the school over the last 3 years.	Discussion Group reports collated and circulated. Yet to revisit and refine.
All staff	Further development of Form 3 reports and the whole philosophy of reporting and assessment for better learning- Ruth Sutton seminar	reviewed by HOD's – comments being collated by GG
HOD's	Evaluation of homework in the Junior school	Quantities set for each subject- target to be reached through term 3 and then sustained.

		Review by surveys end terms 2 and 3
BOT	What is our model of decision making? What balance do we want between governance and management? (CEO/ BOT) Strong bias towards CEO model - It's the Principal's responsibility to articulate the vision and run the school. This includes full delegation of responsibility for personnel management of appointments, leave applications up to 1 term etc.	
Principal Response	Public articulation for BOT, community and staff of values and purposes to give framework for discussion. Important that if any vision is to be of any use it must be owned by the school at large. • Questionnaire to community • TOD discussion by staff • Student group to comment • BOT strategic planning day	Responses all being collated and available as public documents. This is an ongoing sifting and clarifying process. We must be able to articulate out purposes, both for ourselves and into the market place.

	Refining the model: Actions to date • Expansion of College Purpose statement into 6 sub statements with bullet points for prospectus • Draft discussion statements covering external factors of NZ Curriculum, new Qualifications framework (Achievement 2001), property management, appraisal with performance standards, market competition of Hadfield Collegiate School for Girls • Curriculum Management and Committee structure • The role of the HOD in expanded departments • Resource analysis for proposed Departments- size scoping for the allocation of management units, time allowances and paraprofessional support. • Curriculum Financial Management. • An overview of the management of the learning process focused on the learner - assessing/ reporting/ programme evaluation/ record keeping/ targeting of	

	support and advise and guidance. • Student Guidance and Support Systems • The management and coordination of programmes related to health and physical wellbeing.	
2000 curriculum	• Recommendations of Curriculum committee adopted by the introduction of Yr. 11 Science Applied, Art and Craft and Yr12 Drama Speech. • Full curriculum Commitment schedule being prepared for 1999/2000 to ratify/ rationalise resource demands of staffing, rooming etc. • Asked to consider offering Technology classes to Year 8-9 students from Waikanae Primary School- resource and timetable considerations • Place of Te Reo Maori (and other languages?) in the junior curriculum to be discussed. This must be resolved for 2000	Still need to look at junior curriculum balance in the light of our philosophy and position in the market. See separate analysis of this.
BOT	Submission to the MOE re the proposal to establish an Integrated Form 1-7 College at Lindale, to be known as Hadfield Collegiate School for Girls Copies to all local and other relevant MP's Press release Discussion with Roger Sowry	Opportunity for oral submission with the Ministry if required. (Dave Carpenter)

Appendix A2
Teacher Appraisal against the new Performance Standards

All staff currently at the top of the salary scale (with or without management units) will be appraised against the Experienced Teacher Standards. This process must be completed by 1 April to facilitate movement to the new Step 13 of the scale, which takes effect on 19 April.

The principles of implementation, process and performance indicators are included in the yellow booklet *Curriculum Management 2000* issued to all staff at the beginning of the year.

To date we have worked through steps 1-3 on the implementation process.

The process from here is as follows:

Monday 21 February – Full staff professional development meeting.
- Principal's overview
- Staff break into department groups and discuss details specifically with appraiser (HOD)
  - Self Evaluation forms
  - evidence requirements
  - classroom observations
  - survey summary data from student evaluations 1999

Friday 25 February – all Self-Evaluation forms back to appraisers.

Beginning Monday 28 February –
Classroom visits and personal appraisal interviews begin. In general, terms appraisers will do two informal (15min) classroom visits (without written feedback) and one full lesson classroom teaching evaluation, with written feedback. During these visits, judgement will also be made about the physical environment, display of student work, etc.

Prior to interview evidence will be sighted in roll book, lesson plan book and student exercise books of implementation of the department scheme of work, record keeping, marking and feedback, formal evaluation, homework setting, etc.
The Interview (1 hour)
This is the formal opportunity to share and clarify the evidence presented. It will essentially be a "listen and reflect" session with the appraisee speaking to their self-evaluation and sharing evidence and the appraiser asking clarifying questions and providing feedback. There will be no pass/fail judgement given at interview.

24 March – Deadline for completion of interviews.

1 April – Deadline for completion of appraisal reports. These reports will be checked by senior management to ensure they are even across departments.

Once this is done, reports will be given to appraisees. Appraisees will reflect on the outcomes and draft their goals for the next 12-month cycle.

3-6 April –

Appraisers will meet individually with appraisees to discuss outcomes and clarify and confirm personal goals for the next cycle. These goals will relate closely to the performance indicators.

For teachers meeting the standards, the Payroll Service Centre will be notified of their increment entitlement. For any teacher who is judged not to be meeting the required standard against any of the nine criteria, the Principal will be involved. Steps required to improve performance will be identified and the timeline set to achieve this. If things are not rectified prior to 14 April the salary increment will be delayed until such time as the standard is deemed to be met.

Teachers not at the top of the basic scale

Appraisals will be completed at an appropriate time during the year prior to your salary review dates. Your appraisal will have two phases:

Phase 1   Clarification of responsibilities and confirmation of goals for the year
Phase 2   Formal appraisal of outcomes as per the above process.

We will endeavour to provide as much space between Phase 1 and Phase 2 as possible!

J S Russell
Principal

Appendix A3

DATE: 7 February 2000

MEMO TO: HODs

FROM: J Russell

TOPIC: **Performance Appraisal**

Your completed Appraisal Summary Evaluation will be given to you today or tomorrow. This document is absolutely personal to you, your appraiser and the Principal.

The feedback has been very protracted with the intervening Christmas break but I hope this has not compromised the judgements made. The following points are worth noting:

- The appraisal is based on your performance as an Experienced Classroom Teacher, not as a HOD. We are trying to model the sort of feedback you will give your staff. Your personal appraisal as an HOD/Middle Manager is yet to come, so accept that for the purpose of this exercise a significant part of your contribution to the college is not acknowledged. Inevitably, there is, however, some 'creep' in the summative comments.

- Most interviews were conducted in a reflective listening mode with limited direct feedback given, or judgements made at the time. There may well be assessment comments that are therefore 'new' to you.

- When you read your report for the first time put on your 'Classroom teacher' hat and note your own reactions on that basis. Read it through as 'this is me'. Then read it a second time thinking of yourself in the appraiser role. It is important to 'feel' the two perspectives.

On Thursday we will discuss the process to date and future steps. We will not discuss any personal information. If you would like to have a personal feedback/clarification session with your appraiser please make an appointment with them.

Regards

John Russell

Appendix A4

Notes for Appraisers

Before commencing an interview, make sure you have done your homework, and know what the key issues are that need to be dealt with. The balance of each interview will be different:

- Read all the evidence
- Read the self-evaluation profile – note both strengths and weaknesses, and things that you do not concur with.
- Complete your own notes on the appraisers assessment.

Anticipating the Problems

- For whom do you have general concerns?
- Can you identify specific concerns
  - relational style in Classroom Room
  - care of resources/own room/desks
  - punctuality
  - homework/marking/feedback/record keeping
  - contribution to the department

If you don't identify the things now the window of opportunity will be lost. This is the moment.

Dealing with the Tough Issues

As you go through present a genuinely balanced view. Reinforce the positives and do not avoid the negatives.

- I appreciate your openness in relation to ......
- Do you have a strategy to improve this aspect of your work?
- Do you need help with this? (P.D./observation)
- To be honest I do not agree that you are currently meeting this standard. Evidence suggests that...
- What specifically is your goal in relation to improving your skills/delivery in this area?
- Are you satisfied in your performance in relation to...?

You are looking for and building on a spirit of willingness to:
    Acknowledge shortfalls and own problems
    Address the issues positively
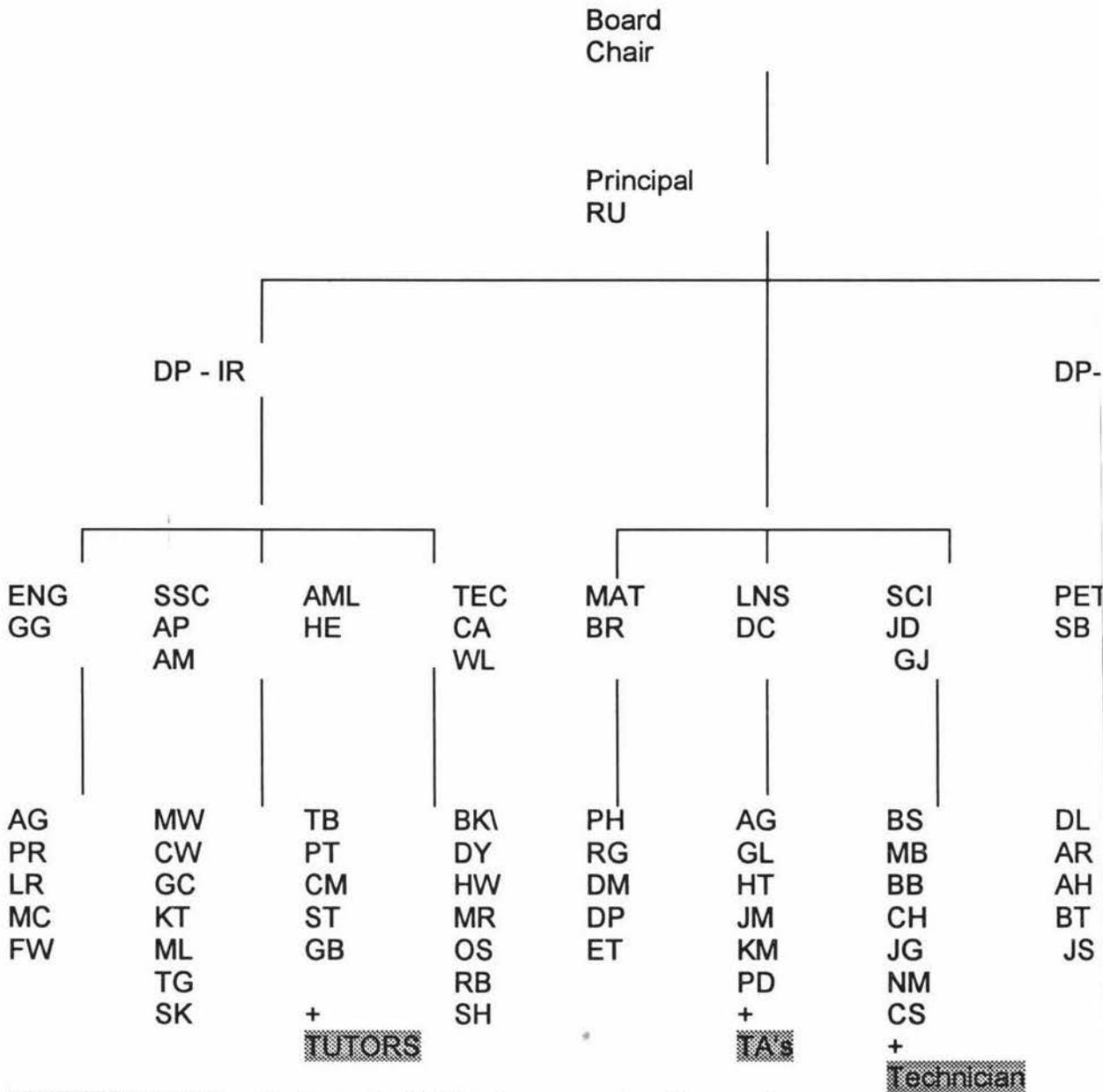Re-balance priorities
"How can we best serve our students?"

Have I passed?

The interview is an analyses process. Do not tell people whether they have 'passed' or not.

When you have completed your analysis if you have any doubt at all that the person meets the required standard on any aspect, you must share that concern with your own appraiser (RU, JT, IR). Recommendations must then come to the Principal for ratification before the appraisee is informed.

Appendix A5
Performance Appraisal Structure- Kapiti College, 2000
(Partial chart)

```
                                    Board
                                    Chair
                                      |
                                    Principal
                                    RU
                                      |
        +-----------------------------+----------------------------+
        |                                                          |
      DP - IR                                                    DP-
        |
   +-----------+-----------+                      +-----------+-----------+
   |           |           |                      |           |           |
  ENG        SSC         AML        TEC          MAT         LNS         SCI          PET
  GG         AP          HE         CA           BR          DC          JD           SB
             AM                     WL                                   GJ
   |           |           |          |            |           |           |
  AG         MW          TB         BK\          PH          AG          BS           DL
  PR         CW          PT         DY           RG          GL          MB           AR
  LR         GC          CM         HW           DM          HT          BB           AH
  MC         KT          ST         MR           DP          JM          CH           BT
  FW         ML          GB         OS           ET          KM          JG           JS
             TG                     RB                       PD          NM
             SK          +          SH                       +           CS
                       TUTORS                               TA's         +
                                                                       Technician
```

Shaded portions not included in initial classroom teacher performance appraisal

Appendix A6

Principles of implementation of assessment against the Professional Standards

It is unrealistic to maintain a dual system of *peer appraisal / appraisal for professional development* and *performance appraisal against the contractual professional Standards.*

Any system implemented must:

- Be consistent with the ethos and goals of the school.

- Measure what we value and focus on developmental priorities as set out in the college strategic plan and department operational objectives.

- Be unified and sustainable.

- Be transparent and consistently implemented by individual appraisers in any given year and forward over time.

- Be rigorous and actively encourage achievable but high professional standards.

- Complement other elements of our self-review and accountability processes.

The legal accountability is against the **performance criteria,** not any **evidence indicators** that we might adopt. Evidence indicators are a useful aide to clarify our purposes and establish consistency of interpretation. They are negotiable and reviewable within the school over time as we grow and change.

The most effective performance review starts with personal reflection and honest self-review against goals that are valued by the appraisee and the school. This requires a high degree of personal integrity on behalf of the appraisee.

The most important role of the appraiser is to encourage this ownership and provide a reality check. (to see ourselves as others see us!) This involves a sharing of evidence, positive affirmation of things well done and improvements made in the cycle and the identification of skills and behaviours needing further development. It also involves helping to shape an action plan to prioritise and address the identified development tasks for the next cycle. It may involve the appraiser concluding that, on the weight of evidence, the current performance of the appraisee does not meet the expected professional standards and that specific further actions or skill developments will need to occur to meet the expected standard.

It is important for all parties that professional standards are not compromised and issues are addressed in a positive and professional manner. In cases where the appraisee is not at their maximum salary this will mean a delay in awarding the next increment until there is clear evidence that the standard is being met. (This applies to all staff this cycle.) In the year ahead the rigor of the process must be maintained even when staff are on their salary maximum. The appraisal cycle cannot be considered to be complete until the expected standard is met.

J Russell
1/10/99

Appendix A 7

A response to the Interim Professional Standards as presented to the PPTA for inclusion in the Collective Contract.
Greater Wellington Secondary Schools Principals' Association

Rationale:

- Principals are committed to promoting the highest possible standards of educational outcomes for all students in New Zealand Secondary Schools.

- Implicit in this is quality learning and **teaching**, which in turn implies the highest possible overall level of professional competence and accountability of teachers within the usual restraints of limited resources (time and money)

- We seek to promote, create and sustain a culture of high productivity of human endeavour. We accept our social, moral and economic responsibilities to both individuals and the collective society.

- To achieve such ends it is imperative that schools have the freedom to create an inclusive, high trust/ high personal commitment model of operation, where goodwill is maximised and fostered.

- Simple and sustainable mechanisms need to be in place to deal effectively with teachers who are unwilling or unable to deliver in a sustained manner at an identified level of professional competency and commitment.

How would the interim professional standards as proposed help to achieve these goals?

1.   Summary of Standards

1.1   The standards are defined at 3 levels of competence: Beginning Teacher, Fully Registered teacher and Experienced teacher. The criteria for the mid range are drawn from the existing Appendix G of the award and from the TRB documentation used for Registration. The others are ostensibly watered down/ heated up versions.

2. Summary of Process

	Contract Defined Process	Our Comments
2.1	For the purposes of determining pay progression from one step to the next each teachers performance will be assess annually against the relevant professional standards (3 levels)	This implies a comprehensive evaluation against each and every criteria defined each and every year.
2.2	Experienced teachers will continue to be assessed annually.	This presumes an issue of sustained competency rather than pay entitlement for those already at step 11.
2.3	Performance expectations and development objectives will be set and confirmed with individual teachers for the coming year.	Is this as well as, or as an alternative process to 2.1?

2.4	For each teacher to progress to their next step they will have to demonstrate that they have met the professional standards at the relevant level.	Do they meet the performance and development objectives set in 2.3 or every criteria of 2.1? There are 2 confused processes here
2.5	If progression is deferred then an appropriate time frame will be established for a second assessment. A successful outcome will establish a new anniversary date for salary purposes.	Who decides what is an appropriate time frame for someone to demonstrate (sustained) competence? It would work OK if its only about completing defined tasks. How many reassessments will a teacher be entitled to in any 12-month period? Are we getting into a model of continual assessment and review?
2.6	A teacher may seek a formal review.	As above
2.7	Failure to meet the standard within the specified period will lead to competency procedures	How can one implement competency procedures against someone who meets the FRT criteria, but not the Experienced teacher criteria? Do they lose their job or have a salary deduction?
2.8	Nothing in this prevents the employee taking a personal grievance.	Can this be based on such factors as " I was assessed more closely than teacher x"? "We were not all done evenly" etc., etc.

3.   Other Issues Arising

3.1 Equity of standards for pay rates: Comparison of assessment criteria for different teachers

Salary step	5	6	7	8	9	10	10a
Salary 2000	29,750	31,750	34,750	37,550	39,750	44,500	45,500
New G3	B	B	F	F	F	E	E
New G4		B	B	F	F	F	E
New G5			B	B`	F	F	F
G4 with 3 years credit					B	B/F	F

It is evident from the table that, for example, to obtain a salary of $44, 500 on step 10 of the scale teachers may well be assessed against 3 different levels of competence.   What happened to standards based assessment?   The basic model is iniquitous.

If experienced teachers are to continue to be assessed after they have reached step 11 and invariably have Management Units, why are they not being assessed against Appendix G- Criteria for Teachers with Responsibilities, TRB guidelines?

Conclusions:

- Schools already have much better appraisal systems and mechanisms in place to ensure total quality performance of staff.   These include full appraisal processes that measure what we value in terms of both individual contribution and team outputs.   These are linked to the school strategic plan and annual goals negotiated and set by the board, principal and staff with management responsibilities.

- The single theme that drives effective schools is " Articulate what you value and commit your time and resources to measuring and improving those things.   Avoid mechanistic processes that reduce ownership and commitment, especially such processes imposed from the outside"

- There are already clear legal mechanisms for dealing with incompetent teachers. This confuses the criteria and process by the introduction of "The Experienced Teacher" criteria.

- The sole purpose of including the defined process in the contract appears to be to create a mechanism for withholding pay progression for teachers as they move up the basic scale. The mechanism for this already exists at the Provisionally registered/ Fully registered interface.   Once a teacher has gained Full Registration they have demonstrated competence and the only issue for the next 3 years is their ability / willingness to maintain that performance level. Teachers can reach the top of the scale against FRT

criteria. In practical terms nothing is gained that will stand up against a personal grievance case.

- Nearly 80% of teachers are beyond the reach of the control mechanisms built into this process because they are already at step 11 of the scale. One of the biggest challenges facing schools is how to keep long standing staff moving forward, engaged and contributing to the total life of the school.

- The imposition of these standards without prior discussion and apparently without compromise risks losing the goodwill of teachers. And because they have this appearance of being a "non-trust" model, they also risk losing the trust of teachers.

- The time needed to carry out what is required to check all teachers against these standards will be excessive, because their links with salary will require much time and care to be taken. Perhaps the Government has plans to provide extra time/resources to schools for this purpose. If however it is thought that only teachers "causing concern" need to be thoroughly assessed, then current procedures are adequate, and the process envisaged puts impositions on everyone (assessors and assessed alike) for the sake of a few.

Recommendations:

1. Without prior discussions and apparently without compromise Performance Standards included in the contract should be based on a single standard of competence for all basic scale positions defined by the Teachers Registration Board for full registration. Additional competencies should be similarly defined for holders of Management Units. They can be revised from time to time by the board, with appropriate consultation, independent of employment contract negotiations.

2. Schools must be free to choose an appropriate evaluation procedure of best fit for any teacher in any year. This may take the form of a review against the specific elements of the standards, or against negotiated achievement targets consistent with the teachers job description.

3. When there is an issue of competency, a teacher must be fully evaluated against the appropriate performance standards. Other current procedures apply.

Appendix B1
Interview Questions for the principal of Kapiti College

1. What is your opinion on linking pay with appraisal?

2. Do you anticipate that the current appraisal system will identify incompetent teachers, or those who border on incompetence?

3. Do you anticipate any problems with fairness and consistency in the process, or even in the perception of unfairness or inconsistency?

4. Do you believe that the new system will give adequate weighting and importance to the professional development side of appraisal?

5. John, talk me through the link between hierarchical teacher appraisal and the professional development of the individual staff member – how should this link actually happen?

6. Do you think that this link was made strongly at Kapiti College in term 1 of this year?

7. Both appraisers and appraisees commented that there was new information gathered in the appraisal process. One appraiser commented that the new information caused him or her to doubt a teacher's competence, where he or she had no such doubts about that teacher before. If the appraisal process is to be worthwhile, then it would seem that new information must arise – but in that case, the new information could lead to new doubts about a teacher's competence. How can this potentially threatening revelation of new information best be handled in an appraisal process?

8. I have a concern about the amount of new information acknowledged as gathered in term one of this year. What does this say about the state of professional supervision and accountability at Kapiti College?

9. John, a great deal of the literature emphasises that teacher appraisal will only have an impact on student learning if the culture of the school is open to learning and self-reflection. Some authors claim that an hierarchical appraisal system, with a strong individual accountability focus, works against such a culture.

Question a: How would you describe the professional culture of Kapiti College – both as you arrived in 1999 and as it has developed over the past year?

Question b: Do you think that there will be an improvement in professional relationships between appraisers and appraisees?

Question c: Do you think that the introduction of an hierarchical appraisal system will improve student learning at Kapiti College?

10. If Professional Standards had not been introduced by the Ministry last year, would you have moved Kapiti College to an hierarchical appraisal system?

11. Do you think that the change from peer appraisal to hierarchical appraisal was planned and implemented well?

12. You have put a great deal of emphasis on "strategic" changes to Kapiti College in the past year – the implementation of a smaller number of departments, emphasis on the hierarchical teacher appraisal scheme and development of a strategic plan.

Question a: How are these linked to one another and how do they influence learning for students in the classroom?

Question b: How important do you see the change in the appraisal system in the professional life of Kapiti College?

Appendix B2

Questionnaire / Survey on the

Current Teacher Appraisal System

in Use at Kapiti College.

This survey will help to provide some of the data for Peter Ryan's thesis.

Your assistance in completing and returning it is very much appreciated.

Please **DO NOT** put your name on this survey.

It should be anonymous.

If you want to add any comments, you may prefer to word-process them if you think I may
be able to recognise your handwriting.

Please post your response back to me, using the enclosed stamped envelope, preferably by Friday 5 May.
The postal response should further safeguard your anonymity.

Please respond to **ANY** or **ALL** of the following statements by ticking or shading the appropriate box.

There is no obligation on you to answer any of the questions at all and you are quite free to leave out any. Obviously, the more complete the responses the more accurate my data will be.

1	A key purpose[2] of the teacher appraisal system in current use at Kapiti College is to improve my professional development.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
2	A key purpose of the teacher appraisal system in current use at Kapiti College is to decide on my rate of pay.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
3	A key purpose of the teacher appraisal system in current use at Kapiti College is to identify incompetent teachers.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
4	A key purpose of the teacher appraisal system in current use at Kapiti College is to emphasise important aspects of teaching and learning.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
5	I was initially apprehensive about my appraisal.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
6	I could openly discuss my own professional issues in the interview with my HOD.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
7	I did most of the talking in the appraisal interview.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
8	I was satisfied with my appraisal interview.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
9	I am confident that the matters discussed in the interview will remain confidential.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
10	My interview focused on matters that are important for my teaching.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

[2] There can be several "key purposes" and they may belong to a variety of people – the appraiser, the appraisee, the Principal, the Government …

11	I believe that my HOD has acted fairly in conducting my appraisal.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
12	My appraisal process provided me with new information about my teaching.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

13.	The new information provided through the appraisal process was valid.	This question is not applicable. ☐ **OR** Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly Agree ☐
14	The student evaluations of my teaching were a useful source of information.	Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly Agree ☐
15	My appraisal process confirmed what I already knew about my teaching.	Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly Agree ☐
16	I believe that all relevant areas have been covered in my appraisal.	Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly Agree ☐
17	The appraisal process led to specific plans for my professional development.	Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly Agree ☐
18	I am in agreement with the specific plans for my professional development.	This question is not applicable. ☐ **OR** Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly Agree ☐
19	I believe the teacher appraisal process will help me to improve my classroom teaching.	Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly Agree ☐
20	I believe that the time spent on my appraisal was well worthwhile.	Strongly disagree ☐ Disagree ☐ Neutral ☐ Agree ☐ Strongly Agree ☐

21	I believe that the introduction of hierarchical teacher appraisal at Kapiti College will strengthen professionalism in the teaching staff.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
22	I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase trust among the teaching staff.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

23	I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase co-operation among the teaching staff.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
24	I believe that the introduction of hierarchical teacher appraisal at Kapiti College will improve student learning.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
25	I believe that the change in the teacher appraisal process at Kapiti College was one of the most significant events in my professional life in the last 16 months.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
26	I felt that I was consulted and had a say in the development of the teacher appraisal system now used at Kapiti College. (Staff newly appointed in 2000 may choose to ignore this question or tick the neutral box.)	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
27	I felt well-informed about the planning and implementation of the current teacher appraisal system.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
28	I found the implementation of the current teacher appraisal system at Kapiti College smooth and well-planned.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
29	I believe that the teacher appraisal process at Kapiti College will be fair across all departments.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
30	I am now (at the time of filling out this questionnaire) comfortable with the appraisal process in current use at Kapiti College.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

If you would like to make any additional comments on teacher appraisal at Kapiti College – please feel free to do so on a separate sheet of paper.

If you believe that I may recognise your handwriting, you may prefer to word-process your comments.

Thank you for the time and thought that you have put into answering this questionnaire.

Please return it in the stamped addressed envelope as soon as possible.

I would appreciate receiving your response by **FRIDAY 5 MAY.**

Appendix B3

Questionnaire / Survey on the
Teacher Appraisal System in Current Use at Kapiti College.

This survey will help to provide some of the data for Peter Ryan's thesis.

Your assistance in completing and returning it is very much appreciated.

Please **DO NOT** put your name on this survey.
It should be anonymous.

If you want to add any comments, you may prefer to word-process them if you think I may
be able to recognise your handwriting.

Please post your response back to me, using the enclosed stamped envelope, by Friday 5 May.
This should further safeguard your anonymity.

Please respond to **ANY** or **ALL** of the following statements by ticking or shading the appropriate box.
There is no obligation on you to answer any of the questions at all and you are quite free to leave out any.

Questions 1 – 30 deal with your experience of appraisal as an appraisee; being appraised by your supervisor.

1	A key purpose[3] of the teacher appraisal system in current use at Kapiti College is to improve my professional development.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
2	A key purpose of the teacher appraisal system in current use at Kapiti College is to decide on my rate of pay.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
3	A key purpose of the teacher appraisal system in current use at Kapiti College is to identify incompetent teachers.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

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[3] There can be several "key purposes" and they may belong to a variety of people – the appraiser, the appraisee, the Principal, the Government ...

4	A key purpose of the teacher appraisal system in current use at Kapiti College is to emphasise important aspects of teaching and learning.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
5	I was initially apprehensive about my appraisal.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
6	I could openly discuss my own professional issues in the interview with my supervisor.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
7	I did most of the talking in the appraisal interview when I was being appraised.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
8	I was satisfied with my appraisal interview when I was being appraised.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
9	I am confident that the matters discussed in my own appraisal interview will remain confidential.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
10	My interview focused on matters that are important for me professionally.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
11	I believe that my supervisor has acted fairly in conducting my appraisal.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
12	My appraisal process provided me with new information about my teaching and professional tasks.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
13.	The new information provided through the appraisal process was valid.	This question is not applicable. ☐ OR Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
14	The student evaluations of my teaching were a useful source of information.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

15	My appraisal process confirmed what I already knew about my teaching.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
16	I believe that all relevant areas have been covered in my appraisal.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
17	The appraisal process led to specific plans for my professional development.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
18	I am in agreement with the specific plans for my professional development.	This question is not applicable. ☐ OR Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
19	I believe the teacher appraisal process will help me to improve my classroom teaching.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
20	I believe that the time spent on my appraisal was well worthwhile.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
21	I believe that the introduction of hierarchical teacher appraisal at Kapiti College will strengthen professionalism in the teaching staff.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
22	I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase trust among the teaching staff.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
23	I believe that the introduction of hierarchical teacher appraisal at Kapiti College will increase co-operation among the teaching staff.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
24	I believe that the introduction of hierarchical teacher appraisal at Kapiti College will improve student learning.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
25	I believe that the change in the teacher appraisal process at Kapiti College was one of the most significant events in my professional life in the last 16 months.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

26	I felt that I was consulted and had a say in the development of the teacher appraisal system now used at Kapiti College.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
27	I felt well-informed about the planning and implementation of the current teacher appraisal system.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
28	I found the implementation of the current teacher appraisal system at Kapiti College smooth and well-planned.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
29	I believe that the teacher appraisal process at Kapiti College will be fair across all departments.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
30	I am now (at the time of filling out this questionnaire) comfortable with the appraisal process in current use at Kapiti College.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

The remaining questions deal with your role as an appraiser of other staff.

31	I felt well prepared to appraise others	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
32	I fell comfortable in the role of appraiser.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
33	My appraisees spoke for most of the time in the appraisal interviews.	Never ☐	A few of them ☐	About 50% ☐	Mostly ☐	Always ☐
34	I believe that I challenged others through my role as an appraiser.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
35	I believe that I affirmed and encouraged others through my role as an appraiser.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
36	I discovered material in the appraisal process that made me doubt a teacher's competence, where I had previously had no concerns about that teacher's competence.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
37	The appraisal process caused me to significantly revise my judgement about the professional work of one or more of my appraisees.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐
38	I gained no real new knowledge about the professional work of my appraisees – my previous judgements were all largely confirmed.	Strongly disagree ☐	Disagree ☐	Neutral ☐	Agree ☐	Strongly Agree ☐

39	Appraising others has led to my own professional growth.	Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
		☐	☐	☐	☐	☐
40	The time I spent on appraising others (reading material, observing, interviewing, writing) was	Less than 15 hours	15 – 30 hrs	30 - 45	45 - 60	More than 60 hrs
		☐	☐	☐	☐	☐
41	I considered this time extremely well spent in my role as DP, HOD or Asst. HOD.	Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
		☐	☐	☐	☐	☐

If you would like to make any additional comments on teacher appraisal at Kapiti College – please feel free to do so on a separate sheet of paper. If you believe that I may recognise your handwriting, you may prefer to word-process your comments.

Thank you for the time and thought that you have put into answering this questionnaire.

Please return it in the stamped addressed envelope as soon as possible.
*I would appreciate receiving your response by **FRIDAY 5 MAY.***

Appendix C1

███████████

6 March 2000.

John Russell
Principal
Kapiti College

re: ethical considerations in Peter Ryan's thesis

Dear John,

As you are aware, I am now in the midst of reading for and writing up parts of my thesis, which is *An Evaluation of the Teacher Appraisal system in current use at Kapiti College.*

I am becoming more sensitive to a number of ethical issues involved. These include:
- my own conflict of roles
- your anonymity
- possible changes of relationships during or after the study and its publication
- the use of pseudonyms.

I am writing to you for a number of reasons: to alert you to these concerns; to propose actions to alleviate these concerns and to seek your response.

1. My conflict of roles
a. General conflict of roles:
Issue:
I wear many hats in my relationship with Kapiti College and with my colleagues: I am a teacher, a parent, a Board member, an Assistant HOD, a committee chairperson, a colleague, a friend, a mentor, a mentee.
To these hats I am now adding the one of researcher.
I perceive that there are, for most of my colleagues, more conflicts in the first list than there are posed by the addition of the role of researcher.

Proposed action:
I will do all I can to minimise conflict of roles through the use of posted, anonymous questionnaires to teaching staff.

b. Conflict of roles with my superiors:
Issue:
There is perhaps greater potential role conflict with my superiors – with Gina as my HOD and appraiser, with Ian and Jenny as senior managers. This arises from the fact that any review of policy and practice may contain criticisms which impact on the hierarchical organisation of the school.

Proposed action:
I think it would be prudent for me to discuss this with each of them face to face within the next month.

Response from you

Do you have any advice on this one?

c. **Conflict of roles with you:**

Issue:

This is where it gets really tricky. You are my boss; yet we are members of the same Board of Trustees and I was a member of the Appointments Committee that appointed you. You visit my home and share confidences with me – but you are still my boss. Now I am proposing to conduct research into an area of policy and practice where you have been responsible for major changes, and where you have been seen to drive these changes quite vigorously. Therefore the potential for conflict as in "b" becomes much more personal.

Proposed Action:

I believe that the risk is worth taking; because I think that we are both committed to honest self-evaluation and reflection and can listen to others' evaluation, discuss it with them and retain the relationship.

However, I would like to hear what you have to say about this potential problem, and would rather unnecessarily alert you to it now, than regret my silence at a later date.

Response from you

What do you think?

2. **Your anonymity**

Issue

I am hoping to interview you regarding the implementation of teacher appraisal at Kapiti College. Because of your position, it is impossible to guarantee your anonymity – at least within the confines of Kapiti College and those "in the know". (See section 4 on use of pseudonyms.)

Proposed Action

I would propose to show you a draft copy of all that purported to be your views and to allow you to edit that, including any changes of opinion or development of thought that you may have had between the interview and reading the draft.

I would also propose to introduce your input with a caveat that the material represented your thoughts and opinions at a particular point in time, and that these may alter as time progresses.

I will formally approach you for permission to interview you, and you know that you may decline to answer any or all questions.

Response from you

Do you have any comments or suggestions at this stage on this issue?

3. **Possible changes of relationships during or after the study.**

Issue

One of the studies I have read[4] emphasised that one of the risks of having case study research done by an "insider" is the fact that the researcher doesn't "go away" and that people who have been part of the study may change in their

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[4] Simons, Helen (1989) "Case Study in Educational Research and Evaluation" in Burgess, Robert G. (ed) *The Ethics of Educational Research.* London: Falmer.

relationship with the researcher because of the research findings. She suggests that there should be provision for discussion of conflicts and disagreements.

Proposed action:
To handle this, I would like to suggest that I make draft copies of my study available to all staff and make time available for interested staff to discuss the draft with me, either collectively or individually. If there were significant issues, it may be wise to involve an outside agent – possibly my supervisor.

Response from you
This is both to inform you and to seek your advice if you have any suggestions.

4. The use of pseudonyms
Issue:

Once I have completed a draft and submitted it to you and the Board, I would like to discuss whether Kapiti College (and by inference, you) should be identified. In the meantime I am using a pseudonym in all of my writing. All teaching staff are being approached by post to fill in an anonymous survey. Their anonymity is assured – yours and that of Kapiti College as an institution are more problematic. As you know, it is very difficult to preserve anonymity of institutions in New Zealand, and the fact that I am identified as author will give many people significant clues.

Proposed action:
At this stage, I want only to draw this matter to your attention. The time for a decision is when you and the Board have seen a draft copy of my thesis.

Conclusion

I have e-mailed my supervisor a copy of this letter up to this point. He thinks it is appropriate and that I should talk with you directly about these topics, taking careful and full notes. He is uneasy about my proposal to show people other than you a draft of my thesis, and he and I need to discuss this more fully. He is concerned about my academic freedom. I believe that if there are to be conflicts, it would be better to identify them before my thesis becomes public property. I do not propose a right of censorship (except for you regarding your own data) but in an extreme case I would be prepared to note alternative points of view or interpretations. My supervisor has indicated that he would be happy to help resolve any conflicts involved in this process.

I will give you time to read this through, and then phone or pop in to arrange a time for talking about the issues, unless you would prefer to reply in writing.

Thanks for taking the time to read this through and think about the issues – I am aware that it is yet another demand on your time; but would much rather alert you to these issues now than brush over them and then have to deal with potential trouble turned real!

Thanks very much,

Peter.

Appendix C2

[redacted]

17 April 2000.

Dear

I know that you don't need any more paper in your life, especially during holiday time but I would appreciate your professional input into this questionnaire on the implementation of the new appraisal system at Kapiti College.

It would help me a great deal, if you could complete the anonymous questionnaire, as far as you are able and willing, and return it to me in the stamped addressed envelope. I estimate that it will take 20 – 40 minutes to complete.

I have chosen to post this questionnaire out this week because you have just completed the appraisal process and have had a little time to reflect on it. I would have liked you to receive it just before the beginning of the new term, but public holidays have prevented that.

Because of the strict conditions of anonymity, I have no way of personally thanking those who complete and return the questionnaires, as I will not know who has returned them and who has not. However, I am aware that I am asking a favour of all staff and would like to show my appreciation of the time and effort involved in responding to yet more paper, so I will be shouting morning tea for all staff early in term 2.

I hope that you enjoy the rest of your holiday.

Regards,

Appendix C3

An Evaluation of the Teacher Appraisal System in current use at Kapiti College

INFORMATION SHEET
General Background:

As part of the requirement for my MEdAdmin degree, I am working on a thesis that aims to evaluate the appraisal system in current use for teaching staff at Kapiti College. I initially registered this topic for my thesis in 1998 – if anything it has become more topical rather than less.

Because of this topicality; there is potential for benefit from this thesis (ranked in order of likelihood)
1. I will gain from your participation, as this thesis represents my final requirement for gaining this degree.
2. I will make available to the staff a summary of the reading I have done on the topic of appraisal, so that teachers can be readily aware of the major issues and findings of the past twenty years from New Zealand, Australia, Canada, the United States and Britain.
3. I hope that the results of my research may be of benefit to teachers at Kapiti College. There is a lot of time and professional effort involved in appraisal and it would be good to know if this time and effort is being used to the best advantage.
4. I hope that our students will gain, indirectly, from this study: if the study indicates that our current appraisal system is working well this should boost teacher morale, if it indicates areas for improvement this should lead to a better model of teacher appraisal.
5. This thesis will join a body of research on teacher appraisal in New Zealand and may help to inform policy and practice on a national level.

Who is doing the research:

I am doing the research and will be the only person handling raw data (questionnaires, documents and notes).

As you are aware, I am the Staff Representative on the Board of Trustees and this position is a potential cause of conflict of role. However, I am interested in looking for trends in my study, rather than in focusing on individuals, and so all data collection is anonymous. I believe that my position on the Board should not compromise the study in any way, nor should it compromise any staff member involved in it.

My supervisor is Associate Professor Wayne Edwards of Massey University College of Education. Should you have any concerns or questions at any stage you can contact me at school or him at ███████████████████████

What do I want from you?

❑ I would like to invite all teaching staff at Kapiti College to take part in a questionnaire about our appraisal system. This is entirely voluntary.

- ❏ This questionnaire will be anonymous and confidential and will take about 20 – 40 minutes of your time. It is assumed that filling in the questionnaire implies consent. You have the right to decline to answer any particular questions.

- ❏ Every prospective participant has the right:
- ➤ to decline to participate
- ➤ to refuse to answer any particular questions
- ➤ to withdraw from the study at any time
- ➤ to ask any questions about the study at any time during participation
- ➤ to provide information on the understanding that your name will not be used unless you give permission to the researcher
- ➤ to be given access to a summary of the findings of the study when it is concluded.

How does this fit into the overall study?

My thesis will have 6 chapters:

1. Introduction
2. Review of literature (a summary of what is already known about teacher appraisal, leading to the questions I want to investigate)
3. Methodology (the ways in which I will conduct the study, and the reasons I have chosen these methods)
4. **Results of data collection** (documents from the school, ERO, Ministry etc.; **teacher questionnaire results;** results of interview with the Principal)
5. Data analysis, discussion and conclusions
6. Conclusion.

As you can see, the questionnaires fit in as an important part of Chapter 4, and help to drive the analysis for chapter 5.

What happens to the questionnaires?

The questionnaires are all totally anonymous. I have asked you to return them in the stamped addressed envelope so that I don't see an individual putting a questionnaire in my pigeon-hole and so know who answered that particular one. I have also avoided written answers so that ticks or shading can preserve your anonymity where handwriting might be distinctive.

I will keep them all, as part of the "quality assurance checking" with research is to preserve sources of information so that a colleague could repeat the study and verify or challenge the results. It is therefore very important that you don't identify yourself in any way on the forms. If your ticks are distinctive, then shade the boxes. If you would like to write extra comments, please use a word-processor and attach them.

The results from the questionnaire will be collated and analysed statistically. These statistics will include the number of returns as a proportion of the number of questionnaires sent out.

Obviously, the higher the number of returns, the more reliable the data becomes. However, I am aware that I am asking you a favour and encroaching on your time in

completing this questionnaire – so you are perfectly entitled to "bin it", and I have no way of knowing who binned it and who returned it.

Thank you for taking the time to read this and for considering completing the questionnaire.

Appendix C4
MEMO TO TEACHERS OF KAPITI COLLEGE

re **specific identification of Kapiti College** in Peter Ryan's thesis on teacher appraisal at Kapiti College

First: Thanks again for your help in this – for completing and filling in the surveys last year and for your general support and interest.

I am now in the final stages of drawing it all together and have approval from the Board and the Principal for Kapiti College to be named in the thesis. Such naming identifies John as Principal, but does not identify any other individual as your anonymity was guaranteed throughout.

However, you may have reservations about the College being identified in this way – for whatever reasons.

You may want to:
> respond to this note in writing
> discuss the situation with me
> read, or skim, the thesis as it is written at this stage.

Gloria Hakkens, John Russell, Gina Garrett and Steve Bargh have read the September draft of my thesis. I am happy to make copies of the draft thesis available to any staff member or Board member – but it is still under constant revision. (For example a decision not to specifically identify Kapiti College would lead to a number of changes.)

I do not anticipate any problems with identifying Kapiti College, and neither did the Board and the Principal in giving their approval – but you are also "stakeholders" in this decision and should have the right to voice your own opinion.

DO NOT REPLY TO THIS MEMO
> if you are happy for Kapiti College to be specifically identified and
> you have no wish to read or skim a copy of the thesis as it is written at this stage.

REPLY TO THIS MEMO BY 5PM FRIDAY 2nd FEBRUARY
> if you have any reservations about Kapiti College being specifically identified – we can then discuss what course of action is best to follow.
> if you would like to read, or skim read, a copy of my thesis as it now stands.

Thanks again for your help, support and interest.

Peter Ryan
29 January 2001.

Appendices

D1 – Letter from Massey University Human Ethics Committee, dated 29 March 1999.

D2 - Letter from Massey University Human Ethics Committee, dated 27 July 1999.

D3- Letter from Kapiti College Board of Trustees, dated 6 May 1999.

D4 – Minutes of the meeting of Kapiti College Board of Trustees, dated 6 December 2000, ratifying minutes of the Personnel Committee meeting of 15 November 2000.

are photocopies of letters and documents and are attached in the order listed.

KAPITI COLLEGE BOARD OF TRUSTEES
PERSONNEL COMMITTEE MINUTES
MEETING 15 NOVEMBER 2000

Present
John Russell, Gloria Hakkens, Peter Ryan, John Bryson, Carol Leeming.

Apologies
Nil

Staffing
- Sue Rys has been appointed HOD Learning Support
- Karlene Tipler has been appointed assistant teacher Social Science Dept
- A replacement for Anita Stark is yet to be confirmed.
- A replacement for Debbie Louisson is also yet to be confirmed.

General
John Bryson will put forward a recommendation to the Board of Trustees that Peter Ryan's thesis on 'Teacher Appraisal at Kapiti College" may include the name of Kapiti College in the document and as such it also identifies the Principal as an individual. J Russell has indicated he consents to being identified in the thesis.

Strategic Plan for Kapiti College
The Personnel issues of the plan were discussed:
- John Russell stated that an excellent meeting had been held with the bi-cultural committee at a 2-hour hui for 25 Maori students and 4 or 5 parents. The meeting discussed at length the students' perspectives of what a perfect school would be like. Excellent feedback had been received.
- It was felt that good relations between student and teacher were extremely important.
- We have staff offering to do extra-curriculum activities but these are not tied in to the Strategic Plan. It was felt that these opportunities should not go amiss and that the bigger picture should be upheld for the college.
- Rewards for staff involved in co-curricular activities needed to be looked at.
- Parent involvement in co-curricular should be encouraged.
- Expert help from the public for such activities as drama, dance or major productions could be paid for by the College.
- With the extra funding being received from the Ministry, it was felt that these moneys could be spent on para-professionals in terms of human resources.
- Semi-retired people could be encouraged to come to the school and help with students who are falling behind in their studies. These students tend to be 'class clowns' or feel that it is not 'cool' to achieve.

Action List	Person Responsible	Date	Next Action Date
Abuse Policy	JR – to draft policy once 'procedures' handbook finalised	9/2	Pending
Sexual Harassment	" "	9/2	Pending
Special Needs	" "	9/2	Pending

KAPITI COLLEGE BOARD OF TRUSTEES

MINUTES OF THE BOARD MEETING HELD

WEDNESDAY 6 DECEMBER 2000

1.0 PRESENT

G Hakkens (Chairperson), J Russell (Principal); P Ryan (Staff Trustee), N Walmsley, D McDonald, L Parker, J Bryson, G Nicol, S Edwin and C Leeming (Secretary).

2.0 APOLOGIES
P Karauria

3.0 MINUTES OF THE LAST MEETING held 1 November 2000

> The Minutes of the meeting held 1 November 2000 were accepted as a true and correct record with the following amendments:
> 5.0 Matters Arising – School Marketing Plan – We have 14 foreign students for 2001 not <u>25</u> as stated in the Minutes.
> 10.0 Committee Reports – Strategic Planning – sentence should be deleted and the following inserted *"Full discussion occurred on the Strategic Plan for 2001. Themes discussed will come through on the final version."*
>
> Hakkens/Walmsley   CARRIED

5.0 MATTERS ARISING
Nil

6.0 NOTIFICATION OF GENERAL BUSINESS
Staff Christmas thank-you.
Appointment of Returning Officer

7.0 CORRESPONDENCE

Correspondence received but too late to include in the Agenda were:
- Nick Smith MP Nelson, Opposition Education Spokesperson – acknowledging our letter regarding teacher workload
- MoE Education Circular re Bargaining Issues: Collective Agreements for Principals, Support Staff
- MoE Education Circular – re Guidelines on the Protected Disclosures Act

8.0   GENERAL BUSINESS

Date for Next Board Meeting – **Wednesday 7 February 2001 (For Budget Approval)**

Appointment of Returning Officer:

> **MOVED that Carol Leeming be appointed Returning Officer for the upcoming 2001 triennial Board of Trustees elections.**
> **Bryson/Edwin   CARRIED**

Notes to Staff at Christmas
* The Board of Trustees will provide a lunch to all staff at the beginning of next year during one of the TET training days.
* Board members were invited to attend the Junior Prizegiving on Friday 8 December.

9.0   PRINCIPAL'S REPORT

The Principal's report was taken as read.

International Students – Tony Gan from the Kapiti English Language Academy and local Colleges are working together (along with Massey University) to promote the Kapiti Coast overseas to foreign students.

10.0   COMMITTEE REPORTS

Strategic Plan – J Russell
Document tabled was taken as read.
Timetabling – only two teachers have been allotted a 26 hour per week cycle; others are only 23 or 24 hours. There will be a pairing system operating next year in the college. ie two teachers taking one class together and then swapping over.

A further edit of this document will be carried out by John Russell.

> **MOVED that the Strategic Planning report be accepted.**
> **Russell/Walmsley   CARRIED**

Resource Management –N Walmsley
1999 Annual Accounts – Ministry of Education are well aware that the accounts are late due to the software packaging 'falling over'.

The document was discussed at length and any issues/problems were clarified by Mr Walmsley.

> **MOVED that the Board of Trustees accept the Financial Accounts for the year ended 31 December 1999 subject to the following two issues being clarified to the Principal's satisfaction:**

1. **Page 4 - $112,000 for Funds Due to Ministry of Education**
2. **Page 14 – last sentence – "There are no contingent liabilities…"**
   should be changed to 'There is a contingent liability …"
   Walmsley/McDonald   **CARRIED**

Noted that the Year 2000 accounts will be ready for January when the 2001 Budget will be authorised by the Board.

We are requesting an extension of time for presenting our audited 31 December 2000 accounts to the Ministry. These accounts are due to be filed with the Ministry by 1 April.

New reporting formats for monthly and quarterly reportings to the Board for 2001 are being finalised now.

Draft Budget
With the help of accompanying notes prepared by Mr Russell the Board discussed the draft Budget for 2001.

Noted that while the roll has dropped, there are still significant committed costs that do not change.

A marketing plan will be produced by John Russell for the February 2001 Board meeting.

The Budget will be finalised on 7th February 2001.

Noted that Duncan McDonald has offered his services on the Resource Management sub-committee for next year. He will be invited to attend meetings until Mr Walmsley resigns in March.

> **MOVED that the Resource Management Committee report be accepted.**
> **Walmsley/Nicol**   **CARRIED**

Student Trustee Report – Lesley Parker
A written tabled written was presented to the Board

Lesley had carried out a small survey of students requesting their reasons for coming to Kapiti College. Most had chosen the fact that their friends were going to attend the college.

Personnel – J Bryson
The written tabled report was taken as read.

> **MOVED that the Personnel Committee report be accepted.**
> **Bryson/Russell**   **CARRIED**

Staff Trustee Report – P Ryan

Mr Ryan's written tabled report was taken as read.

- Many of the issues raised by staff are for management to handle in the first place, then the Board of Trustees Personnel Committee.
- It was felt that the Staff Trustee should report to the BOT Personnel Committee rather than address a written report each month to the Board of Trustees.
- The Staff Trustees report will be taken off as an Agenda item.

MOVED that the Staff Trustees Report be accepted.
Ryan/McDonald   **CARRIED**

Whanau Support Group – S Edwin

A formal letter from the Board to Whakarongotai Marae requesting an urgent reply to our agreement between the two organisations, will be given to Shirley Edwin to take to the upcoming meeting on Saturday.

10.0   DATE OF NEXT MEETING

Wednesday 7 February 2001 at 6:30 p.m.

The meeting closed at 8:50 p.m.

G Hakkens   C G Leeming
Chairperson   Secretary

ACTION ROLLING LIST

Date	Item	Action by	Completion Date
1/12/99	No Smoking signage	RM	Jan 2001
23/8/00	Plan for marketing international students overseas	RU/sub-committee	Jan 2001

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