Redefining Appraisal:
Giving teachers ownership of their practice.

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Abstract

Appraisal has, for many years, been seen as something 'done to' teachers. It has simply been that bit extra that needed to be completed each year to ensure teachers could teach one more year. It was seen as having little benefit or significance, simply being a 'tick box' exercise. This study aimed to change this view and give teachers ownership of the appraisal process through self-directed professional development within a collaborative and collegial environment. In doing so teachers could then claim their practice as their own.

This study explores the issues with the appraisal system, the perceptions of teachers and possible solutions using action research methodology to plan, create and evaluate potential changes to the appraisal process. Throughout this process, staff at a secondary school participated in developing a shared understanding of the performance management criteria, provided feedback on the changes developed, and began the journey toward greater reflection on their practice.

The main aim of this study was to create a structured portfolio that could be individualised by teachers, allowing them to take control of the process by developing their own professional development plan based on their areas of need and interest. The building in of discussion and reflection time where possible helped to reinforce improvements in practice with the aim of meeting the Ministry of Education's focus of creating 'quality teachers'. Integration of the New Zealand Teachers Council's recently developed Registered Teacher Criteria created a backbone upon which the changes could be structured.

This study has demonstrated that teachers can take ownership of their appraisal processes. In doing so, teachers can improve their practice and engage in life-long learning. The structured portfolio not only allows this process to occur but also enables the integration of formative and summative assessment within one system, thus lessening the amount of work necessary to meet both attestation and

registration requirements. Central to this 'new' system is the need for it to be driven by the professional development needs of the teachers – this is the key component that enables teachers to drive the process rather than being the passive passengers of previous systems.

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Acronyms Used in this Thesis

AR   Action Research

BoT   Board of Trustees

DAR   Developmental Action Research – research undertaken in one's own institution where a group works together to address an issue

E4E   Education for Enterprise – a MOE initiative where students are exposed to authentic learning opportunities with stakeholders

ECE   Early Childhood Education

ERO   Education Review Office

FO   Finance Officer

HOD   Head of Department

MOE   Ministry of Education

NCEA   National Certificate of Educational Achievement – this certificate is gained by students in Years 11 to 13 at levels 1 to 3 respectively

NZC   New Zealand Curriculum

NZEI   New Zealand Education Institute – the union for the primary sector

NZTC   New Zealand Teacher Council

NZQA   New Zealand Qualifications Authority

PAR   Participatory Action Research – the researcher participates in the research process and is not an impartial observer

PD   Professional Development

PL   Professional Learning

PMS   Performance Management System – the means of managing staff and their evaluation

PPTA   Post Primary Teachers Association – secondary union

RTC   Registered Teacher Criteria – the current assessment tool for registration in New Zealand

SCT   Specialist Classroom Teacher – has the role of support and guidance for other teachers within the school – usually at secondary level

WPR   Work Plan Review – an initial document used to help establish professional development plans prior to the research

Chapter One

Introduction

Performance management in schools plays a key role in ensuring the quality of teaching staff. Through this system teachers are appraised and evaluated against a set of standards to establish their effectiveness as educators. With new accountabilities introduced into the education system and greater expectations placed on teachers (Codd, 2005), the appraisal system is under pressure to evidence the value and efficacy of teachers. However, the current appraisal system used in many schools does not meet this increased need, with teachers seeing little value in the process (McKenzie, 2005; Piggot-Irvine, 2001). This study explores the New Zealand performance management processes in place for teachers, identifying issues inherent in the system and potential areas of change.

Education in New Zealand has seen much reform. The *Tomorrow's Schools* policy, in particular, "shifted substantial financial and administrative responsibilities for managing schools to elected boards of trustees" (Wylie, 2008, p. 1). Schools now have to continue doing all the tasks they had done prior to the reform, but also those not undertaken by the Ministry of Education (MOE) due to the decentralisation of education administration. While this gave schools a lot more freedom, it also made them much more accountable for their actions. It is safe to say that education in New Zealand has been in a constant state of flux. No sooner has one change been implemented than another is ready to take its place. Even the curriculum itself has had a 'make over' on more than one occasion. It would seem that the only thing to remain constant in all this time is the teacher.

But is this really the case? The role of the teacher *has* changed, as have the expectations of those who take on this demanding profession. As Naidu (2011) notes, the "restructuring of the academic workplace has been marked by increased accountability demands put upon teachers" (p. 3). Life both in and out of school is

subject to inspection (O'Neill & Adams, 2008) and those found 'wanting' are often slated in the media, bringing into question the reliability and professionalism – the skill and ability to teach – of all teachers. With all these additional challenges placed on teachers, one is led to wonder whether any of them will actually endeavour to improve their practice and thus the learning of their students. Improving students' achievement is, after all, the main aim of education, in general, and of teachers, in particular.

One aspect is certain, and is supported by a range of research (e.g., Fitzsimons & Haynes, 1997; Kleinhenz & Ingvarson, 2004; Mojkowski, 1999; Whitehurst, 2002), that quality teachers promote quality learning. However, two key questions arise from this: what is a 'quality' teacher? And how do we establish who the 'quality' teachers are? In England "good teaching is represented as a matter of displaying a number of prescribed behaviours which are to be used to grade teacher performance" (Reeves, 2007, p. 57). So it appears, at least in England, that the answer to these questions comes in the form of teacher evaluation through appraisal. Appraisal is a combination of both product (an information base on teacher performance) and process (the stimulation of learning in teaching). One without the other lacks meaning and quickly becomes seen "as a waste of valuable time and energy" (Day, 1999, p. 96).

In New Zealand teachers have also been assessed against a range of criteria in varying forms through the process of the Performance Management System (PMS). Appraisal falls under the broad umbrella of performance management. PMS involves the evaluation of teachers with regard to their competence to teach, their suitability for registration and their on-going professional development. Much has been written about teacher appraisal and accountability and varying solutions have been put forward to address the how, who, what, when and why questions of appraisal (McKenzie, 2005; Sachs, 2003; Vossler, 2005). A common thread with the literature is that appraisal and accountability are essential in the teaching profession to show that teaching is exactly that – a profession - and that teachers' practices are beyond reproach. Teachers need to be assessed to reflect their

professionalism. All professions have some form of accountability to ensure practitioners meet the required standards established for that profession. For example, the Nursing Council has a framework in place to ensure the "competence of practitioners to protect public safety" (Nursing Council of New Zealand, 2007, p. 1). So, too, does teaching need a process whereby it can prove to 'stakeholders' that teachers are doing the job they have been employed to do. However, as Codd (2005) states, "education requires a form of accountability which enhances rather than diminishes the professionalism of teachers" (p. 203). In order to achieve this enhancement there must be a high trust environment. This view is supported by Larsen (2009):

> The more teachers perceive the evaluation system to be consistent, the more likely they will view it as being just, equitable and fair, and consequently devote more effort in response to their evaluations. However, if this does not happen … teachers will come to believe that their evaluations depend more on the evaluator than on their performance. (pp. 25-26)

Under the current regime teachers have become highly accountable for their practice, yet see little benefit in the appraisal process. They demonstrate a lack of trust and belief in its efficacy, especially since the performance standards have been *imposed* on them by the MOE (McKenzie, 2005).

In my research into the area of teacher competency (McKenzie, 2005), I found while appraisal may seem to address the issue of teacher quality, there are numerous questions and ambiguity in the overall PMS and in appraisal, in particular. One aspect was very clear from the research: teachers feel a lack of ownership in an appraisal process that has consistently been seen as something that is '*done to them'*. From this earlier research, appraisal was identified as an area requiring further exploration. This need is given further impetus by a recent context of major changes in teachers' work that came into effect in 2010. The first of these is the revised New Zealand Curriculum (NZC) which is already initiating changes in schools. The NZC espouses principles and values that appear to mesh well with the ideals of the second change, the Registered Teacher Criteria (RTC). In

2010 the New Zealand Teachers' Council (NZTC) made changes to the Teachers' Dimensions, the measures of teachers' professionalism, creating the RTC. These new 'measures' could have a marked effect on the PMS in schools and on the development of an integrated system of performance management that allows teachers ownership of the *process* of appraisal as well as the *product*. Both these changes came 'on line' at almost the same time. The question arises as to how the RTC, alongside the principles and values of the revised curriculum, can be used to improve learning outcomes for students.

Currently, New Zealand teachers are assessed through 'interim' standards, the use of which has ensured teachers' accountability for their practice each year since 1997 (McKenzie, 2005). The standards resulted from a ministerial Green Paper exploring teacher quality and a media campaign alleging widespread teacher incompetence (Upsall, 2001). Upsall explains that these standards were labelled 'interim' "because of the expectation that a professional body of teachers would be established to review and ratify them" (p. 172). The review and ratification did not happen, although the NZTC has recently completed work on a definitive set of standards for the purpose of teacher registration. The 'interim' standards are still in use for attestation and its associated remuneration. Irrespective of the 'standard' used, Smith (2005) cautions: "Standards need to be applied with professional caution and a great deal of common sense when evaluating teachers" (p. 100).

Chapman (2000, cited in Upsall, 2001) notes that performance management was made particularly difficult "by the imposition of three different sets of requirements" (p. 173): Teacher Registration Board 'dimensions' (now the NZTC Registered Teacher Criteria), PMS 'aspects', and further 'performance dimensions' to be demonstrated as required by the MOE and the teachers' unions. Grudnoff, Hawe, and Tuck (2005) also identified three different sets of requirements: the Teachers' Council criteria for registration purposes, PMS for the MOE, and ERO who devised their own framework of standards for teacher assessment. They go on to add that "the standards terrain in New Zealand is thus contested by a number of

independent agencies, and is confused, incoherent and fragmented" (p. 97). The two dominant sets of standards currently cause the most confusion.

> It is the Satisfactory Teacher Dimensions [now the RTC] which are the NZTC standards for registration. They are the benchmarks for deciding who should become and remain a teacher. They are not to be confused with the Professional Standards developed by the MOE and the unions – though clearly many people do have that confusion. (Shaw, Lind, & Thomas, 2006, p. 4)

While the NZTC is negotiating change with the MOE and the teachers' unions (NZPPTA, 2010), agreement between these organisations is still a long way off.

The area of appraisal has been explored by other researchers. Piggot-Irvine (2001), for example, found that while, in general, the current appraisal process was accepted in schools, it was not done well. She found that appraisers benefitted from training in the art of appraisal and that "there should be an emphasis on the establishment of appraisal procedures which ensure valid information gathering" (p. 303). Piggot-Irvine emphasised that "appraisal can lead to improvement in teaching and learning" (p. 303) and that there should be a strong internal focus in which teachers are encouraged to be self-directed and are motivated to engage with the appraisal process. These findings are supported by my own research that found that teachers benefit when they become active participants in their own appraisal (McKenzie, 2005).

The MOE (1997) clearly states in its *Performance Management Systems* (PMS) that professional development is a key part of appraisal in the evaluation of a teacher's performance. However, "school-based or centre-based professional development (a current dominant model of professional development in Aotearoa New Zealand) may not meet individual teachers' requirements and therefore create[s] tension between school/centre-wide development and individual development for purposes of the RTC" (Duncan, Martin, Haselden, & Pilcher, 2009, p. 46). Linking professional development and appraisal is the ideal, but is not something that currently has a high degree of take-up in New Zealand schools.

A further aspect of the PMS according to Julian (1997) is that of attestation, which is the verification of a teacher's ability to teach. It is a process that is very value laden and this can cause conflict and stress amongst those involved as the stakes are very high. Attached to this process is the issue of salary increments and, therefore, the financial security of the teacher. Thus to make appraisal effective and meaningful, it must, therefore, cover not only evidence of a teacher's ability to do his or her job, but also be balanced in terms of professional development and performance indicators. The difficulty arises in meeting all these needs *and* in making the process meaningful to the teacher, not something done, as Piggot-Irvine (2001) argues, "just to meet external requirements" (p. 304).

Many ways of evaluating teachers have been trialled, but the predominant method is teacher observation by senior and/or middle management. This process as it is currently implemented tends to exacerbate the feeling by teachers of a task that is done 'to' them rather than 'with' them. Therefore, other means of evaluating teachers need to be explored. One possibility is the use of portfolios. Over the past several years teaching portfolios have increasingly been used in the USA, Australia, England (Jones, 2001), Israel and the Netherlands (Smith & Tillema, 2007). They are also in use in New Zealand, particularly in pre-service education, tertiary education, and in nursing. In the USA portfolios have become a large part of the assessment of teachers aiming for recognition as 'outstanding teachers' under the National Board for Professional Teaching Standards scheme. Although the advantages of portfolios are well documented (Bishop, Clarke, Doecke, & Price, 2004), their potential in performance management in New Zealand has yet to be fully researched.

1.1 Statement of Purpose

This study investigated the use of a portfolio-based, collaborative approach to appraisal. It was hoped that an appraisal process could be developed that had direct relevance to one school and that could be transferable to a wider range of

educational facilities. Action research was used which focused on the identified professional learning needs of the teachers involved. Since the MOE has currently mandated that the appraisal cycle be yearly (Ministry of Education, 2004) the duration of this study was intended to fit within this parameter. The study was based within a single school, and while this school had determined a need for change to its PMS, the main motivation for this research was identified from my previous research (McKenzie, 2005). The needs of the school added impetus to the need and desire to improve the appraisal process.

As part of the research, the NZTC RTC were used as a basis for structuring professional teaching portfolios. It was intended that the teachers would analyse the criteria and apply them to their own practice. This use of portfolios followed two research projects conducted in Australia by Bishop, Clarke, Doecke, and Price (2004) and in the USA (Tucker, Stronge, Gareis, & Beers, 2003). Both research projects found numerous benefits of using portfolios in the evaluation and professional development of teachers. The intention of this research was to reconfigure some of the approaches taken in the Australian and USA research for a specifically New Zealand perspective.

This research had two main aims:

(i)   To develop a system of appraisal that meets MOE and NZTC requirements while providing ownership of the process to teachers.

(ii)   To investigate the effectiveness of portfolios based around the NZTC RTC and a professional development focus.

1.2   Research Questions

The following questions were designed to guide and focus this research:

1. In what ways might appraisal be redefined to give teachers ownership of the process and thereby control of their practice?

2. In what ways can professional development become fundamental to the appraisal process?

3. In what ways might appraisal meet the very different requirements of professional development and attestation – formative and summative assessment?

4. In what ways do teacher portfolios accommodate, in part or in whole, the needs of ownership, professional development, and formative and summative assessment?

1.3   Underpinning Philosophy

It is essential to establish one's philosophy when deciding on the methodology and methods to be used as this provides a sound structure upon which to build the research (Crotty, 1998; Gray, 2004). Crotty argues that the scaffolding for research should include one's epistemology, theoretical perspective, methodology and, finally, the methods. After much reading in this area I decided upon the following structure: sociocultural theory, interpretivism and action research. This scaffolding supports my strong belief in learners constructing their own understanding of situations through their interaction with that situation and with others.

Sociocultural theory is based on the work of Vygotsky (Scherba de Valenzuela, 2002). Vygotsky "posits that social experience shapes the ways of thinking and interpreting the world. He notes that individual cognition occurs in a social situation" (Jaramillo, 1996, p. 1). Social and collaborative interaction enhances the learning process as people jointly construct knowledge.

> One does not simply discover meaning as if it existed independent
> from the human mind, nor does one create meaning as if it could
> be made up independent from the natural world. Elements of the
> social and natural world are combined in the meaning
> constructed. (Heinrich, 2009, p. 1)

Sociocultural theory is essentially about learning and developing through social interactions using the cultural norms of that society to construct the learning. It is

through this interaction with people and the environment that learning occurs. The learning that is constructed is specific to the individual, but is influenced by the situation, the environment, and the people with whom they interact. For this reason, a group situation was established within this study in order for them to share, develop, and construct meaning for the purposes of better understanding and, thus, improving the PMS within the school.

Interpretivism involves the creation of meaning through interaction and the interpretation of those interactions (Gray, 2004). Williams (2000) adds that interpretivism "interpret[s] the meanings and actions of actors according to their own subjective frame of reference" (p. 210). Interpretivism helps to make clear the actions and experiences of a person or situation by interpreting what is seen – especially the behaviours and interactions observed. Meaning is then made from the interpretation of these behaviours and interactions. However, this meaning is constructed through the observer's own beliefs and understandings and is therefore subjective. "For interpretivists, 'facts' about behaviour can be established, but these are always context bound; they will not apply to all people, at all times, in all situations. They may not even apply to different people in the same situation" (Livesey, 2006, p. 3). Methods associated with this philosophy tend toward the collection of qualitative data. Livesey (2006) adds that "the methods used have to reflect the fact that people consciously and unconsciously construct their own sense of social reality" (p. 4) and could include interviews, surveys, observations and discussions.

These theories and perspectives underpin this research. They are appropriate in addressing the research aims as it is through interaction and collaboration that shared understandings can be developed and changes in processes and procedures can come about.

1.4   Thesis Structure

This document reports on the aspects of the research process undertaken. Chapter Two explores the literature and synthesises the views found in other research, both national and international. It delves into what appraisal actually is and the purpose behind it. The performance management of a variety of countries is discussed. Time allocations for appraisal, who is responsible for the process and the debate between formative and summative assessment are also covered. What is undertaken within appraisal including the standards or criteria used, professional development, and the use of portfolios are discussed with possible future directions for performance management established.

Chapter Three provides an overview of the research design utilised in this project. The main components discussed are mixed method research, survey research and action research (AR). AR is further explored with discussions on participatory action research (PAR) which involves the active participation in the research process of the researcher. The next section of this chapter looks at how interviews and journals were incorporated into the study. Chapter Three then discusses the research design process and looks at the step-by-step process of this study. Each step is discussed with a diagrammatic representation of this process included to show clearly the steps taken and the order in which they were taken. The sample, a secondary school, and how it was selected is explained, alongside the make-up and selection process for the group involved directly with the research process, and how access to the school was obtained. The methods taken for data collection and analysis comprise the next section of this chapter. Reliability and validity is a critical aspect of any research and is discussed in the final section of this chapter.

Chapter Four reports on the actual results obtained from this research. It looks at each step and what the outcomes for these were. It explores each step in a structured process that outlines the data gathered. The statistical data are analysed and a number of generalisations are drawn about understanding of performance management requirements of teachers in charge of the supervision process of other staff members. Themes including discussion groups, issues of time and funding, and professional development are explored.

The data collected and analysed in Chapter Four are further explored in Chapter Five. This chapter is structured around each research question and the relationship of the data to each of the research questions. The remaining section of this chapter explores the appraisal process developed in this study and includes a diagram representing the process. A detailed discussion of each step involved follows the diagram.

Chapter Six draws all the strands of this study together. The significance and the limitations of the research are discussed, and implications for schools and education identified. Issues, both those surrounding the research process and those arising from the research are explored. Possible future directions are then posited. The final section outlines suggestions for future research based on the findings identified in this thesis. Finally, recommendations are identified from this research, including aspects that have national and Ministerial implications, as well as those for the school – and other educational institutions undergoing changes in their appraisal process.

This thesis is concluded with an exploration of the journey I underwent while conducting this study. It delves into changes in perceptions I had about myself and the challenges undertaken to meet the requirements of this study. It became very clear that my learning was as equally important as the changes being established in the appraisal processes and this section is a critical reflection of my journey.

Chapter Two

Literature Review

Appraisal, in its current format, is a relatively new phenomenon within education in New Zealand. Prior to the 1990s the quality of teaching was assessed by inspectors who not only attested to the teacher's performance, but also provided feedback and advice (Kleinhenz & Ingvarson, 2004). *Tomorrows Schools* resulted in schools taking responsibility for the evaluation of their staff. In 1997, this aspect became mandatory and the *Performance Management Systems* (PMS) (Ministry of Education, 1997) was introduced (Fitzgerald, Youngs, & Grootenboer, 2003). The MOE (1997) clearly set out what was expected: "an effective PMS should encompass many personnel management policies" (p. 2). Listed in the MOE's Performance Management guidelines (1997), issued to schools in 1997, are ten policies that needed to be encompassed, among which includes: "the statutory requirements for teacher registration; the appraisal and assessment of staff; [and] professional development of staff" (p. 2). The MOE saw the performance management process as being flexible and allowing Boards of Trustees (BoTs) the freedom to design their own performance appraisal system "appropriate to their school and community" (p. 2).

The principles outlined by the MOE seem, on the surface, to encompass an holistic view of teacher appraisal and to suggest that BoTs ensure the appraisal process is consultative with teachers, open and transparent, linked to professional development and to the school's foci, and is timely and helpful to teachers (Ministry of Education, 1997). These requirements, while simple to list, are complex and time consuming to carry out and yet must be completed "at least once within a twelve-month period" (p. 5). The time limit places a huge commitment on schools to ensure that each teacher has an individual appraisal that meets the teacher's specific needs, is linked to the teacher's professional development and to the school's foci for the year, is consultative and transparent, and occurs at least once a year. It is no wonder that appraisal is a task not often performed well in

schools. Clements, McArdle, and Cole's research (2005) found that "although 90% of organisations use a performance appraisal system, less that 20% consider it effective" (p. 828).

There is also resistance from teachers who, as a profession, are reticent about embracing the appraisal/attestation processes. Kleinhenz and Ingvarson (2004) found that "as a profession, teaching is not accustomed or confident in evaluating its own practice and providing publicly convincing alternatives" (p. 32). Furthermore, they found that teachers do not see the validity of the imposed process of attestation and appraisal, believing it does not reflect the complexity of the teaching profession. Kane and Mallon (2006) found that teachers had "little confidence that the current appraisal systems could adequately deal with poor performance" (p. ix). Without teacher confidence in its effectiveness, the appraisal process is unlikely to improve teacher quality and even less likely to have a positive impact on student learning.

> Appraisal is an issue once removed from students; it is about encouraging the development of teachers that will, hopefully, flow on to better student experiences. For [this] reason it makes short-term sense for leaders to aim for compliance when it comes to formal appraisal, while putting real effort into other areas. (McLellan & Ramsey, 2007, p. 2)

McLellan and Ramsey go on to add that in the long term, focusing on appraisal with greater intensity helps the school and its teachers and creates an improvement in student learning.

It is clear that the 'greater intensity' noted by McLellan and Ramsey (2007) does not always happen in schools. The whole process of the current appraisal system on teaching and learning has come under question. In their research undertaken in Western Australia, Down, Chadbourne and Hogan (2000) found "empirical studies of teacher appraisal and performance management show that the impact of appraisal on teaching and learning has not been substantial" (p. 213). Down et al. add that "in a majority of cases, appraisal remained isolated from school

development and planning" (p. 214). Other research also carried out in Australia by Ingvarson and Chadbourne (1994) concluded that performance management can lack the capacity to provide teachers with a focus for improvement and is not an effective form of professional development. They add that performance management "does not validly assess the quality of teachers' work, and falls short of offering teachers adequate incentives to improve their performance" (cited in Down et al., 2000, p. 214). Humpreys' (1992) research looked at the appraisal system in both the United Kingdom and the United States. He found that very few appraisal systems actually encourage teachers to take responsibility for their own needs. This is supported by Harris, Day, Goodall, Linsday and Muijs (2006, p. 91) who note that "research evidence shows the importance of engaging teachers in continuing career-long development that meets their own personal and professional needs." Perhaps if this learning was the key aspect - the backbone - of the appraisal system then teachers would feel a greater sense of purpose and engagement with the process, and thus have greater confidence in its effectiveness.

This international research reflects the current situation here in New Zealand, although the evidence in support of this is less well documented. The current appraisal measures are, generally speaking, not supporting the ideals expressed by the MOE in their PMS scheme. As the MOE clearly states, "teachers should feel a sense of ownership of, and have confidence in, the appraisal procedures" (Ministry of Education, 1997, p. 6). According to research findings (Piggot-Irvine, 2001) this is obviously not how teachers find appraisal.

2.1 What is appraisal and what is its purpose?

In New Zealand schools appraisal is a means of evaluating teachers against a set of standards, ensuring their competence to teach. According to Collins (1997) it is "an evaluative and developmental activity carried out in a framework of professional accountability" (p. 8). This involves both judgement of the teacher and an estimation of their value – both highly subjective and moral-laden processes. In order for this to happen there must be both formative (on-going and developmental) and summative (accountability focused) assessment. Yet these two

forms of assessment do not *appear* to sit well together (Dymoke & Harrison, 2006) and can result in conflict, as is discussed later in this chapter.

On the surface the purpose of appraisal is quite simple: accountability and professional development. The MOE and the NZTC both stress that appraisal and attestation are aimed at the improvement of teacher quality (McKenzie, 2005) and to raise professional standards (Julian, 1997). It would appear, however, that the focus in schools currently is the former – accountability - as teacher performance is directly related to remuneration. If a teacher is not performing at a 'satisfactory' level, his or her pay increment can be deferred until such time as the criteria are met (NZPPTA, 2011). The uncertainty and potential loss of income can be a very stressful time for not only the teacher but also the person involved in the appraising of that teacher.

The NZTC (2010) requires that all teachers "demonstrate [meeting the teacher criteria] to appropriate levels of expertise" (p. 4) in order to maintain their registration. There is uncertainty, however, about what 'appropriate' means and how this might be attained. There is also no incentive to be better than 'appropriate'. Remedying this lack of incentive is an area that needs addressing in the New Zealand education system. One must ask, if without this incentive, is there really any reason to strive for improvement in practice if a teacher is already seen as 'appropriate'? And with all the other myriad of tasks in schools needing to be undertaken, is there time to establish a teacher's 'appropriateness' with the due care and diligence it deserves?

2.2   How long is long enough?

The MOE mandates an annual cycle for appraisal and attestation. Yet an annual cycle does not allow sufficient time for professional development to be embedded into a teacher's practice, nor does it allow time to reflect on one's own practice and moderate it accordingly. Bailey (1993) categorically states that appraisal "must be a continuous process not a once a year event" (p. 4) and that it must be an integral part of the process of professional development. Other countries (e.g., Canada and

the United States) conduct appraisal over longer periods of time. In Ontario the mandatory system adopted in 2001 requires that experienced teachers have evaluations once in each three-year period while new teachers have evaluations twice in each of their first two years of employment (Larsen, 2009). During their evaluation year, teachers are assessed at least twice. "In addition, each teacher is expected to prepare, in consultation with their vice/principal, an ALP [Annual Learning Plan] that includes professional growth objectives, rationale, proposed action plan and timelines" (Larsen, 2009, p. 8). In the Californian schools studied by Palazuelos and Conley (2008), "evaluations are conducted annually for beginning teachers and once every two years for permanent staff members" (p. 21).

From these international studies, it would appear that a longer, more focused cycle is required. Beginning teachers, as mentioned above, need greater support and guidance, therefore an annual cycle is appropriate. However, for an experienced teacher the requirement of annual assessment would almost seem to indicate a lack of trust in their ability to teach effectively. An annual cycle indicates that an experienced teacher is to be made *constantly* accountable for his or her practice. It is little wonder that teachers feel aggrieved over the whole process. A constant state of assessment is not conducive to life-long learning. And one must ask: to whom is the teacher *actually* accountable?

2.3 Who is responsible for appraisal?

The MOE makes it quite clear that appraisal is the responsibility of the school through the BoTs. BoTs are required to ensure that the appraisal process is integrated into a school-wide PMS that includes the "registration, professional development, career development, and remuneration management" of its staff (Ministry of Education, 1997, p. 8). Yet BoT's do not undertake appraisal. The process has been delegated to school managers who often then pass it on to middle managers, depending on the size of the school. "In terms of performance management for example, core activities such as interviewing, observation, report writing and review have been located as one of the responsibilities of middle

managers in New Zealand schools" (Fitzgerald et al., 2003, p. 92). Beall (1999) adds that in his experience "trustees are more concerned about programs of evaluation that hold teachers accountable and are less understanding of the need to support teachers' continuous learning" (p. 78). Programmes such as this may well be the case in some schools but not all. While trustees do devolve responsibility to those in senior management this is not necessarily due to a culture of 'passing the buck' but more a case of assigning the task to those with the expertise to facilitate the process. However, there is little research in this area to confirm this belief.

Middle/senior management in New Zealand have become responsible for appraisal. Importantly, the relationship between the appraiser and the appraisee can become strained, especially when there are issues of competency. This area in particular is one that senior management do not feel well-equipped to manage (McKenzie, 2005). Principals often find it difficult to inform teachers when they are not performing to the expected level. Because the teacher is not told, he or she assumes that everything is all right. "And so, *the undelivered message does not reach an unprepared audience*. Such hidden negative dynamics guarantee that the unfavourable situation [of having less than competent teachers on the staff] will never improve" (Yariv, 2009, p. 457, author emphasis). The teaching profession is unlike many other occupations in that being a teacher often reflects aspects of who that person is. Hargreaves (1993, cited in Day, Sammons, Stobart, Kington, & Gu, 2007, p. 34) notes that "understanding the teacher means understanding the person the teacher is". Timperley, Wilson, Barrar, and Fung (2007) support this notion by adding that it is not only who they are that affects a teacher's practice but also what they believe: "Teaching practice is influenced by individual teachers' personal theories about how to be effective" (p. xxxiii). Being told they are not performing at the expected level is akin to an attack on the person. This is something that senior management wish to avoid at all costs.

There are ways to mitigate this issue. Research undertaken by Earnshaw, Marchington, Ritchie, and Torrington (2004) shows that there was a strong need for training for senior management in the appraisal process. Such training would

provide principals with the confidence to deal with issues as they arise rather than allowing things to 'get out of hand'. It would also provide the principal with the skills to manage situations where a negative critique occurred, allowing them to manage the situation and the person without confrontation. The issue of a need for training is not unique to New Zealand. A recent study of performance management and appraisal in Portugal found that teachers were "critical of the lack of training and skills required of appraisers" (Flores, 2010, p. 50). Training is required; however, this training is not readily available.

As appraisers, middle and senior management must take on a dual, and sometimes conflicting, role. They have to be both a supportive colleague and an assessor. The supportive role needs to be based around identified needs of the teacher. The support provided is formative and builds on the teacher's professional development. The 'assessor' role is more judgemental and evaluative. The appraiser must attest to the teacher's performance against a set of established criteria and as such they have 'power' over the teacher being assessed. The summative assessment aspect is directly linked to remuneration (NZPPTA, 2011) and, in some cases, job security and promotion or tenure. These two roles can appear at odds with each other and can thus cause tension and disharmony among staff members. This disharmony reflects the belief of some researchers (Dymoke & Harrison, 2006) that formative and summative assessments 'do not sit well together'.

2.4   The Formative vs. Summative Debate

These forms of assessment seem to conflict with each other and can appear difficult to marry into the appraisal process. However, one system integrating both forms of assessment is exactly what the MOE expects the appraisal system to achieve. Arguments both for and against the dual purpose of appraisal have been documented. For example, Dymoke and Harrison (2006) state that there is an apparent tension between the identification and nurturing of professional development needs (formative assessment) and fulfilment of the performance management review processes (summative assessment). Aiken "argues that these

two contrasting models cannot be combined successfully" (cited in Upsall, 2001, p. 177). Bailey believes that the appraisal process should not be linked at all with the processes of registration or discipline. "Appraisal must be non-threatening. Disciplinary and dismissal procedures must be separated from it completely" (1993, p. 6). In his view, the appraisal system should be based around professional development, should be confidential to the teacher concerned and not used for formal assessment. Smith (2005) also sees the two systems as being in conflict for teachers. "Evaluation of teaching for summative decision-making purposes is formal, external and of little use to the teacher beyond the decision made, whereas formative assessment for professional development purposes is informal, on-going and engages teachers in self-assessment" (p. 96).

Other researchers, however, believe that formative and summative assessments can be tied together within the same appraisal system. Stronge (2006) states that if the PMS is to have the dual focus then there must be a rational link between both purposes. Teacher evaluation must be linked to teacher improvement which is linked to school improvement. Stronge implies that the two systems can be linked but that those links must be clear and explicit prior to the introduction of the process. Gordan (2006) would agree. He states that both formative and summative assessments are essential. Both must be consistent and co-ordinated with each other. Formative assessment, professional development and school improvement must be integrated in order to improve student learning. Burris and Welner (2011) note that "the key formative goal is to improve teaching and help educators become better at their profession. The formative role can and should co-exist with the summative role in a sound evaluative system" (p. 2). The Aspen Institute (2011) also supports the integration of formative and summative assessment: "Strong performance management systems integrate evaluation with supervision that supports growth and development and are akin to student assessment systems that provide formative, interim and summative data" (p. 2).

Mayer, Mitchell, Macdonald, and Bell (2005) would also agree that is it possible to integrate the two systems: "Professional learning and professional accountability are not necessarily incompatible concepts, particularly if the accountability is not

narrowly defined in terms of prescription and surveillance" (p. 162). They add that standards need to be used to "guide, extend and recognise professional learning" (p. 176). A 'basic' system that simply involves summative measures is not sufficient. "An enriched system [provides] a support system aimed at teacher improvement, involving formative evaluation" (Upsall, 2001, p. 177). Upsall does, however, go on to question whether a teacher would willingly admit to 'shortcomings' if they thought that information could be used to prejudice future employment and salary increments, suggesting that the response to this is likely to be 'no'. She also contests that "a peer appraisal scheme that enables reflection, self-analysis and the identification of areas of need for professional development is essential" (p. 179). Piggot-Irvine (2001) offers several recommendations for appraisal among which include: "That the intended balance of an integrated development and accountability approach to appraisal is upheld; [and] that under no circumstances should competency, or any other disciplinary processes, be incorporated with appraisal" (pp. 303-304). She believes that while both summative and formative assessment can be coupled, when matters turn more serious, competency or disciplinary processes rather than the appraisal process must be utilised.

While it is possible and necessary to integrate both formal and summative assessment, the process must be undertaken with care, ensuring teachers still have ownership of their professional development and their on-going learning. It would involve shared understandings of what criteria are being assessed, by whom and how, and also the importance of each aspect being evaluated. Developing a shared understanding can be contentious and stressful with different teachers having different understandings given their individual experiences. All parties must come to consensus about the meaning of the criteria of assessment and what it means to be a 'quality' teacher (Ministry of Education, 1997). This is somewhat problematic when the MOE has difficulty quantifying a 'quality teacher'. The difficulty then arises of how to assess something that is not understood by all equally (Cameron & Gunn, 1999). Cameron and Gunn found that each teacher, even after discussing the criteria, would still have to adjust this new understanding into their specific context, giving it relevance and meaning to their practice. Establishing meaning

and creating relevance in one's practice takes time but is essential in order to develop descriptors that can be used for assessment and evaluation. In that sense, an annual cycle for appraisal would be unrealistic.

2.5   What is assessed?

> Although research has shown that teachers are the most significant school-based factor in student achievement, traditional methods of evaluating teachers have not been able to capture or explain differences between effective and ineffective teachers. (Goe, Holdheide, & Miller, 2011, p. 2)

Standards have become the means for the assessment of teachers with the aim of showing the effectiveness of teachers. They are the tool behind appraisal and have three main uses: teacher appraisal; professional learning, and as regulatory devices (Mayer et al., 2005). The standards mandated by the MOE (Ministry of Education, 1997) allowed for these aspects, giving schools the freedom to develop their own programme that would meet the MOE's requirements (Ministry of Education, 1999). The possibilities were numerous, but schools had to find the time and consensus among staff for this to happen. By far the easiest solution was to take the standards and simply use these as the basis for appraisal and attestation – tick the boxes and the job is done.

What is actually assessed by the standards is as problematic as defining 'quality teaching'. There are three different types of standards: professional, content and performance. The 'professional' standards tend to incorporate the other two categories of standards. While content standards - "broad descriptors of teachers' skills and knowledge" (Thrupp, 2006, p. 6) - are more readily agreed upon due to their generic nature; for performance standards – there is no consensus on "operationalized definitions and concrete examples" (Grudnoff et al., 2005, p. 98). The New Zealand education system through the MOE and the Teachers' Unions in their Collective Agreements, add to the confusion by using the term 'professional standards' for standards that are actually content standards (Thrupp, 2006).

Typically, however, standards cover several broad areas: professional knowledge; teaching techniques; classroom management; and contribution to the wider school and community (McKenzie, 2005). Again a problem arises with this definition: "Teachers' professional knowledge takes two major forms: knowledge of content and knowledge of transmission" (Hoyle, 2001, p. 143). The former is not questioned as to its validity but the latter is often neglected. Both are equally important but one, the knowledge of how to teach, is frequently marginalised (Hoyle, 2001). Each school also places its own focus on what it assesses their staff against, be it a school-wide professional development focus or an initiative established to meet compliance requirements. Under the current New Zealand system, teachers are assessed against indicators under each dimension or area. If they do not meet the standards then there are consequences. Pay increments are ceased or withheld or, in more serious cases, competency procedures may be initiated.

Thus, a standard is a means of control. "It is only necessary to think of performance management schemes to recognize how professional standards easily lend themselves to regulatory purposes" (Bishop et al., 2004, p. 1). Grudnoff et al. (2005) support this view, adding that "public and political discussions about teacher quality and quality of teacher education programmes are embedded in a context of control and accountability" (p. 96), reflecting that conditions are forced on teachers from 'outside' their practice. Much of the focus of these standards looks for observable examples or behaviours that constitute 'quality teaching'. As Vossler (2005) points out, "this emphasis on observable skills … suggests that a discrete checklist can be derived from this agreed-upon set of competencies and that ERO reviewers can sit with pen and clipboard and tick off the skills they 'observe'" (p. 77). She adds that this is far removed from the view of a teacher showing professional judgement and ethics. Sachs (2003) notes that "standards cannot and should not be frozen in time; they must be flexible to the changing conditions of teaching and learning as they occur inside and outside of schools" (p. 175). A further caution must be noted: "it is possible to tick off a list of competencies and still not have quality teaching" (Upsall, 2001, p. 174). Providing a system of standards that is not set in concrete but that allows for an on-going,

developing process that changes to meet the needs of an ever-changing profession may be the way forward.

Owing to the control and accountability focus of the appraisal system and standards in general, benefits for teachers are few and far between. As Darling-Hammond states (cited in Sachs, 2003, p. 178), while standards should inform about "what teachers should know and be able to do" and thus improve teaching quality, this is not the case. Standards are seen as something that are done *to* teachers rather than done *with* them (McKenzie, 2005). Teachers regard many appraisal and "performance management schemes as invalid and an insult to the complexity of good teaching" (Kleinhenz & Ingvarson, 2004, p. 32). Bishop et al. (2004) note that even standards created *by* teachers are seen as the "products of others' work" (p. 2). As a consequence, ownership of the process of appraisal becomes null and void. Part of the issue is that teachers work very independently, a characteristic Whitehurst (2002) calls "the ethic of atomized teaching" (p. 15) where teachers shut themselves in their rooms and are wary of others entering their domain. "In an ideal situation, teachers and their supervisors work together to develop an evaluation system that (1) supports continued professional growth and (2) ensures accountability for the school and the school system" (Tucker & Stronge, 2005, p. 25). Until this happens, PMS and appraisal are unlikely to improve teaching quality unless there is an associated increase in trust, collaboration and collegiality, a situation far removed from the current accountability focus.

The MOE and NZTC began development of "a comprehensive set of standards for teachers and teacher educators [that was to be] implemented and aligned by 2009" (Grudnoff et al., 2005, p. 95). Grudnoff et al. add that "one outcome of the MOE's objective of an aligned and comprehensive set of standards could be greater bureaucratic control over teachers' work in New Zealand" (p. 96). This is not what teachers want nor is it what education needs. The current system of appraisal does not engender trust nor is it improving teacher quality. There is little to suggest that this new set of 'aligned' standards will achieve these goals either. The main improvement from the aligned set of standards was the hope that only *one* set of

standards would result, not the original three that existed. However, this has yet to happen.

In 2010 the NZTC introduced the Registered Teacher Criteria (RTC) for teacher registration purposes only. These were implemented in schools from 2010 onwards. The issue remains, however, that there are still two main sets of standards (or criteria) for teachers to meet – one for registration and one for attestation and pay increments. Now, not only do teachers have to work out what aspect meets each requirement – registration or attestation – they also have to come to grips with a whole new set of criteria that requires teachers to demonstrate their continuing development and learning over a three year cycle (New Zealand Teachers Council, 2010). These requirements are different from the MOE's currently mandated annual appraisal cycle.

From the above discussion, it is would seem that the current PMS for teacher appraisal has flaws (Piggot-Irvine & Cardno, 2005). There is also little doubt that if teaching is to improve its status as a profession that standards are an inevitable part of the process. As Mayer et al. (2005) argue, "professional standards provide a policy mechanism for making explicit [the] features of quality teaching" (p. 160). Kleinhenz and Ingvarson (2007) add "the ability to define and apply standards is the main avenue by which professions demonstrate their credentials as a profession" (p. v). Standards need to be utilised in such a way that the accreditation of practice process is transparent *and* that on-going professional learning becomes a continuous process in teaching practice (Mayer et al., 2005).

Sachs (2003) defines standards in three ways: a benchmark of what teachers can and should do (control); a process of quality assurance which involves public accountability through consistency, reliability and value for money by proving and justifying practice (control); and quality improvement which focuses on teachers' professional development, learning and career advancement over the long term and focuses on the teacher as a person rather than a commodity. It is this last category that Sachs argues must become the focus of teacher practice. Mayer et al. (2005) note "there is increasing support for the standards to be used by the

teachers for continuing professional learning that is directed and controlled by the teachers themselves" (p. 161), while Grudnoff et al. (2005) maintain that for standards to be effective and have a positive impact on student learning then schools must have a culture that focuses on professional learning. They add that "the focus must be on the teachers themselves identifying their needs for professional learning" (p. 103). Thrupp (2006) adds that schools need to have "programmes of excellent, critical, professional development to sustain and inform the existing professional culture of teachers" (p. 31) to help improve teacher practice. He states such a system would be of greater benefit to the quality of teaching in New Zealand "than a regime of specified standards" (Thrupp, 2006, p. 31). His point is that teachers need to drive their professional development which needs to be relevant to them and not dictated by 'outside' agencies such as the MOE. Bureaucratic control of performance management will cause resistance from teachers (Flores, 2010). The way to ensure that quality teaching does develop from the use of standards is to link them to teacher-focused professional development (Thrupp, 2006).

The MOE states that appraisal should be linked to professional development, but this does not happen consistently in all schools (Piggot-Irvine, 2001). As teachers are expected to act at four levels of competence: the individual level in their own classrooms; to work as members of professional groups, for example, within departments; as a member of the whole school staff; and within the teaching profession as a whole (Smith, 2005), the use of standards through the appraisal system must allow for teacher discretion and variation in contexts. Hager (1993) noted that "standards are typically about outcomes" and that they should be left "open as to how the outcomes are achieved" (p. 6). A process that had such openness would give teachers a choice about how to 'demonstrate' their abilities and what evidence to collect to support this, thus allowing them to build their practice through professional development.

2.6   Professional Development

Over recent years the MOE has expended large amounts of money on professional development in order to improve the quality of teachers. There is a valid reason behind this as Piggot-Irvine (2007) states: "Effective development … should have improvement outcomes – to teaching and learning as well as leadership. Effectiveness … means it promotes changed practice" (p. 1), particularly through the enhanced quality of teaching. The aim of changing practice is a view shared by Timperley et al. (2007): "Effective professional learning is a powerful lever for getting the kinds of change that can enhance student learning" (p. ix). The MOE (2007) gives a further reason for their focus on professional development: "Only highly capable people should become teachers, and on-going learning conditions should be maximised so that teachers gain and continually improve the skills and knowledge required of them" (p. 10). Piggot-Irvine (2007) clearly states that there is no 'one-size-fits-all' solution for professional development. Rather it is individualised and context specific and is influenced by the "developmental stage of the learner, their learning style, the outcomes sought and the appropriate learning context" (p. 1). It is also not something that is 'turned on' at random intervals.

Professional development must be worthwhile, on-going and of benefit to the teacher. Professional development needs to be "long-term, embedded in practice and context, professionally informed, and sustained" (Piggot-Irvine, 2007, p. 3). Lam, Yim, and Lam (2002) would tend to agree with this: "In spite of its importance, staff development for teachers is usually a one-shot deal in the form of course or workshop without on-site continual coaching. As a result, what teachers learn from staff development courses does not necessarily transfer to actual practice in the classroom" (p. 182). Remedying this lack of transference reflects the essential need that teachers develop a professional learning plan that is linked into their appraisal, and that is of their choosing. The needs of the teacher are not always recognised, as one international study shows. Flores (2010) found that the new appraisal system in Portugal required target setting for each teacher, completed in consultation with their supervisor. If there was disagreement with the targets set, the *supervisor's* view prevailed. In removing the self-directed

professional learning from the individual teacher's control results in a failure to meet his or her own needs. "Often teachers attended only what was offered through particular professional development providers rather than what was needed to address own teaching and learning needs" (Duncan et al., 2009, p. 46). Professional development in New Zealand is not needs-driven by teachers and as a consequence the system is fragmented. A similar situation appears to be happening in England. Government initiatives aimed to improve the effectiveness of professional development within schools. However, this thrust did not encourage teachers to develop their own PD based on individual needs, focusing instead on outcomes driven by central agencies (Day et al., 2007).

"While the ultimate purpose of CPD [continuing professional development] is to secure changes in classroom practice that will have a positive impact, directly or indirectly, on student learning", professional development must meet the needs of the teacher (Harris et al., 2006, p. 92). "It is not sufficient simply to provide time and opportunity" (Timperley et al., 2007, p. xxix) for professional learning, expertise is also necessary. External experts "who worked with teachers in more iterative ways, involving discussion and the development of meaning for their classroom contexts" (p. xxix) were found more effective than those who tried to get teachers to implement the experts practices. Kane and Mallon (2006) note that "provision of professional development needs to be of a higher and more consistent quality and accessible to all teachers as appropriate to their needs" (p. xv). High quality professional development targeted to meet individual teacher's needs will help to improve teacher practice and student learning. As Poskitt (2005) states:

> Teachers have varying requirements for professional development and it is important therefore that professional development programmes *adapt* content and delivery to suit the individual needs of teachers and schools. Moreover, teachers need to be involved in analysing their own professional needs and determining the content, pace and style of professional development if they are to develop their expertise, altruism and

autonomy and enhance their professional identity. (p. 140, author's emphasis)

There is a danger, however, that professional development can become driven from 'above' by senior management or BoTs. This situation can lead to collegiality and collaboration, often deemed essential for professional learning, becoming contrived. "Collaboration and collegiality are terms that indicate a preferred aspirational route (in opposition to isolation and individualism)" (Dymoke & Harrison, 2006, p. 72). Dymoke and Harrison note, however, that researchers differ in their opinion of the effects of collaborative work. Hargreaves (1988, cited in Lam et al., 2002) is cited as often finding collegiality artificial and regulated, limiting its effectiveness and that teachers feel coerced to conform. "Administratively imposed collegiality consists of 'top-down' attempts to manipulate directly the collaborative practices or behaviours of teachers. In other words, teachers were *mandated* to collaborate *voluntarily*" (Lam et al., 2002, p. 192, authors' emphasis). In this situation teachers do not own their learning and its transference into practice is extremely limited. Yet, in spite of this finding, "much of the responsibility for promoting the professional development of teachers rests with school leaders" (Timperley et al., 2007, p. 192).

Programmes of professional learning should meet the needs of the teachers and provide them with the opportunity to think about their practice. In order for learning to become embedded in a teacher's practice time is needed to internalise the learning. Glickman (cited in Poskitt, 2005, author's emphasis) points out that "*successful teachers* are *thoughtful* ones, contending that the ability to think about what they (teachers) do should be the aim of professional development" (p. 145). Piggot-Irvine (2007) identifies several aspects that are key to effective professional development:

- A school leader who fosters "collaboration, collegiality and a commitment to development";
- A programme that is well planned – adopting a "philosophy of 'do a few things well'";
- The programme should be focused on practical and relevant issues;

- It should draw on prior knowledge; and
- It should link theory to practice (p. 2).

Fleming, Shire, Jones, Pill, and McNamee (2004) also found several areas that were important, including:

- "To promote and enhance the quality of student learning through a process of continuing professional development; ... and
- To identify and address individual professional development needs related to teaching" (p. 167).

In all these aspects, learning – for the teacher and their students – is a focus. Easton (2008) argues that because of this focus, teachers should no longer attempt to 'develop' but must learn. She states that "in education, professional development has, in fact, often been what someone does to others" (p. 755). She goes on to argue that there is a need for *professional development* to be replaced by *professional learning*. Easton adds that professional *development* often begins at the top while professional *learning* starts at the bottom through the identification of student needs and thus what teachers themselves need to learn.

> Over time, the term 'professional development' has taken on connotations of delivering some kind of information to teachers in order to influence practice whereas 'professional learning' implies an internal process through which individuals create professional knowledge. The two, however, are closely intertwined, for without professional learning, professional development is unlikely to have any impact, so any well-constructed professional development experience should be designed to promote learning. (Timperley et al., 2007, p. 3)

Learning does not happen in isolation. Cameron (2003) states that "performance and capability are not just characteristics inherent in individuals; they are developed in the context of the unique contexts in which they practice" (p. 28). McLaughlin and Talbert (2006, cited in Day et al., 2007, p. 250) add that there is a need for school-based learning communities in which teachers are able to work collectively and collaboratively, and reflect on their practice with the aim of

making an improvement in practice and outcomes in their classrooms. Members of the staff and the school, in general, constitute such a learning community. Within a learning community, opportunities for professional learning are not restricted to outside courses. Coaching, mentoring, observing, looking at student work, examining teacher practice, participating in critical friends groups, facilitating learning, and general discussions among teachers are all valid learning opportunities. Within a learning community these practices become the norm rather than the exception. In order for the effective establishment of learning communities, the school needs to have strong and supportive leadership. "There is … increasing international recognition of the importance of the role of leaders in organising and promoting the learning of those they lead" (Timperley et al., 2007, p. 192). Timperley et al. go on to add that "part of the leader's job is to build capacity within a school by developing the intellectual and professional capital of its staff; this includes leadership potential" (p. 193). Easton (2008) notes, however, "time needs to be built into the schedule for these activities" (p. 758). However, ensuring there is sufficient time for the appraisal process is difficult. The single year, mandated by the MOE for this process, is not enough to support this on-going process of learning.

For professional learning to be effective, teachers must claim ownership of it and it must support their needs and the needs of their students. "Teachers' personal theories about effectiveness underpin all practice. Without engaging their current theories about why they do what they do, new practice is likely to become layered onto existing practice, not replace it" (Timperley et al., 2007, p. xxxix). Collaboration within a collegial climate will also help to reinforce learning. Planning can become less of a narrow individual exercise when 'teams' plan and evaluate units of work. Senior management and staff can work together to create appraisal systems that are collaboratively designed and implemented (Mojkowski, 1999). Creating such a system is a view for the near future. Yet, if this is to happen, how will teachers evidence their best practice and how will senior management have confidence in this evidence? The solution could be in the form of portfolios.

2.7   Portfolios

Portfolios are a collection of artefacts, planning, student surveys and other such evidence compiled by the teacher to support a particular purpose, such as appraisal and/or professional learning. They allow for the gathering of "authentic assessment" material (Gelfer, Xu, & Perkins, 2004, p. 127) not possible during many other forms of assessment. Their use has developed over the years around the world as education providers endeavour to find a means of teacher evaluation that reflects the complex nature of the job. They can be seen in the USA, Australia, England (Jones, 2001), Israel and the Netherlands (Smith & Tillema, 2007). They are also in use in New Zealand, particularly in pre-service and tertiary education, and in nursing. Alongside this, they have been extensively used in primary schools and early childhood education centres in New Zealand to showcase students' work. 'Showcasing of work' is, in essence, the focus for portfolio use for teachers.

Showcasing teachers' work is, however, only half the portfolio story. Portfolios have a variety of purposes from promotion and tenure to licensure and professional growth. They also provide teachers with the ownership of their appraisal through determining the content of the portfolio and their professional development path (Attinello, Lare, & Waters, 2006). Of greater importance perhaps, are the reflective and collaborative aspects of the process that allow a teacher to grow, develop and learn at greater depths than can be expected in isolation. "Deep learning is centred on the creation of personal understanding through reflection (individual and shared) which results in the creation of knowledge, which can then be transformed into action" (Bush & Glover, 2003, cited in Piggot-Irvine, 2010, p. 234). Portfolios give a teacher the opportunity to take control over their professional learning, goal setting and career advancement, empowering the teacher in the process (Zepeda, 2002). Cameron and Gunn (1999) found that teachers who improved "the quality of their teaching by selecting, describing, analyzing and reflecting on evidence of their own teaching" (p. 3) were helped by collaborative support groups. The group work played a significant role, if for no other reason than the benefits of 'bouncing ideas' off each other. "The collaboration [process] directly contributed to the teachers' [learning]. When teachers did not fully understand a concept, or could not anticipate the ways in

which a topic would be hard for students, they turned to one another for brief tutorials or ideas to bring into their own classrooms" (Horn, 2008, p. 754). In selecting appropriate material from their practice to show their skills, "the task of compiling a portfolio focuses the attention of the teacher on his/her teaching and teaching effectiveness" (Suddaby, 1998, p. 4). The need to improve teachers' focus on their practice is a view supported by Hurst, Wilson, and Cramer (1998) who add that the teaching portfolio refines both professional and personal goals, and can create "an awareness of a teacher's professional journey" (p. 583). Teaching portfolios provide teachers with an opportunity to 'take charge' of their practice and develop a learning programme that meets their individual needs while also reflecting the complexities and contexts of teaching more accurately than standards checklists.

While there is some debate over what should be included in a portfolio, several clear strands are apparent. Evidence or artefacts included in a portfolio might include: classroom research; artefacts (student work, course material, peer reviews); student evaluations; teaching awards; teacher development activities; and teaching-based publications and papers (Suddaby, 1998). While the content tends to reflect a tertiary focus, a similar content would also be appropriate for other levels of schooling modified to reflect the area and context of the school and the teacher. This process of data collection and reflection is best undertaken in a group scenario where collaboration, advice and support can be provided. Portfolios develop many skills for teachers. However, as Zepeda (2002) points out, without collaboration much of the value of the processes involved would be lost. Suddaby (1998) adds the portfolio must be reflective rather than simply an accumulation of artefacts. Zepeda (2002) argues a model for teacher growth should be based on "the 'what' (what is collected), the 'so what' (analysis of artefacts), and the 'now what' (recommendations and strategies to improve students' performance)" (p. 86). She adds that if a portfolio simply becomes a collection of artefacts it loses its value and will stagnate. However, reflection and self-assessment during the portfolio process provide the possibility to improve teacher practice.

Ideally, portfolios should be structured around and inclusive of the dimensions and/or standards of the profession. However, as Cameron and Gunn (1999) explain, the standards for use in the portfolios have to be 'translated' so that teachers could 'fit' them to their particular context. Teachers might then develop a shared understanding of what is required and how the standards relate to their practice. Cameron (2003) cites a study of 60 New Zealand teachers who trialled portfolios based around the National Board for Professional Teaching Standards (a set of standards developed by a United States non-governmental National Board aimed at teacher improvement and certification (National Board for Professional Teaching Standards, 2003)). "Assessment was built into the process and teachers worked with colleagues to provide evidence of their achievement of the standards. Evaluation of the project indicated that engagement with professional standards helped teachers to rethink and improve their practice" (Cameron, 2003, p. 34). Cameron and Gunn (1999) also found that "professional standards have the potential to strengthen the quality of teaching in New Zealand classrooms" (p. 11). They qualify this by adding that it is how the standards are used that is critical. In their view, they need to be part of a shared process as on their own standards will not achieve anything worthwhile and will instead be another set of unused documents. "Standards *could* make a difference if they are part of an educational system which is focussed on developing the learning capabilities of teachers, students and others" (Cameron & Gunn, 1999, p. 12, author emphasis). Suddaby (1998) argues that a more general structure makes it easier and provides greater freedom for the teacher to demonstrate the areas under observation. He goes on to note that the content should be established in collaboration between assessor and teacher, and that the content chosen will vary depending on the institution or the focus thereof. Through this process the portfolio should enable "teachers to demonstrate that they [have] achieved the performance standards" (Cameron & Gunn, 1999, p. 3). Smith and Tillema (2007) add that the "summative assessment of the portfolio for certification purposes is expected to be, and should be, carried out in light of explicit standards for teaching" (p. 105). As teachers will have developed a clearer understanding of the standards and their relation to teaching practice, summative assessment should be less mystifying and based more on trust and a belief in the teachers' abilities. The new criteria developed by the NZTC is

based on such a philosophy: "Teachers, professional leaders, mentor teachers, teacher educators and advisers need to seek to understand and engage with the *Registered Teacher Criteria* through on-going professional dialogue" (New Zealand Teachers Council, 2010, p. 3).

Can portfolios achieve an integration of the formative-summative issue? Again, there are contrary views amongst researchers as to whether this it possible. On the one hand, Wolf (2006, p. 170) identifies three main purposes for portfolios:

- To address evaluation requirements,
- To advance professional growth, and
- To aid employment searches.

He notes that these do not necessarily sit well together. Each requires a different focus for the portfolio making content different. He adds that while three separate purposes could be distinguished, it is possible to develop a portfolio that combines all three if the person developing the portfolio is clear about their intentions. Attinello et al. (2006) found that portfolios should be considered as an alternative source of teacher evaluation as they provide a means for improving practice. They also found that "portfolio-based assessments address both formative and summative issues" (Attinello et al., 2006, p. 134). Their view is supported by other researchers. "Portfolios do enhance the evaluation of teachers for both accountability and professional development purposes. [They also] provide an authentic and rich portrayal of teacher performance over time providing a more reliable basis for making important personnel decisions" (Tucker, et al., 2003, p. 592). On the other hand, Tillema and Smith (2007) identified issues with portfolios. "There seems to be confusion among teacher educators how to assess portfolios" (p. 443). Those assessing teachers may not see how portfolios can be used to assess both formative and summative purposes as the evaluation of a portfolio can potentially be very subjective. However, as noted earlier in this chapter, it is possible to integrate formative and summative assessment in a system as long as the purpose of each is clear and parties have established a shared understanding of what is required.

For all their benefits, portfolios do have shortcomings. Most research undertaken into the use of portfolios recognises the time factor – both in the development of the portfolio and in the evaluation of it (Attinello et al., 2006; Hurst et al., 1998; Jones, 2001; Tucker et al., 2003; Zepeda, 2002). Another issue identified by Attinello et al. (2006) was the perceived value of the portfolio, and the time and effort senior management were seen to pay to their evaluation. Portfolios were also identified as perhaps being another 'add-on' to an already busy professional life. A further negative was that even though a portfolio may be 'glitzy' it still could be full of insignificant data, and it may not necessarily reflect the ability of the teacher. In other words, 'failing' or poor teachers could put together a document that was astounding but not an accurate reflection on their ability. Other issues include the point that it can be difficult to strike a balance between the requirements of the school and the needs of the teacher (Jones, 2001). Alongside this are the potential anxiety and time pressures for teachers. Dymoke and Harrison (2006) found "portfolios were largely used retrospectively, as 'stores of evidence', rather than proactively as aids to reflection and future development" (p. 80). The last issue was also identified by Cameron and Gunn (1999). They found that some teachers had difficulty reflecting on their own practice and needed prompting questions to help with this process. Similarly, Bishop et al. (2004) found "it is obvious that much work needs to be done to create a professional culture in which teachers are prepared to share their knowledge and experience in a spirit of inquiry into teaching and learning" (p. 8). It has to be acknowledged that the teaching portfolio can only be effective within a collegial, collaborative culture *and* as part of a multi-method approach to appraisal that provides a broad picture of the teacher involved.

The portfolio is of benefit *over time* in that it can track changes in practice, identify goals and their accomplishment, and reflect the progress of professional development opportunities into classroom practice (Zepeda, 2002). Work within these documents can be captioned and annotated which provides insights into practice. Yet there is much that still needs to be 'discovered' about their benefits. Attinello et al. (2006) identify possible future research into portfolios – such as the importance of different elements involved within the development process and the

impact on student achievement. They also found that there has been little research into the use of use of portfolios in the evaluation of teachers. Tucker et al. (2003) researched the efficacy, usefulness and feasibility of portfolios. They found "from a usefulness perspective, portfolios were perceived as positively contributing to the process of teacher evaluation" (p. 576). However, they also found that "although there is encouraging news regarding the application of portfolios for the accountability and professional growth purposes of teacher evaluation, research regarding the effectiveness of portfolios as a measure of teacher quality is limited" (p. 577). It would therefore seem that portfolios can be part of a teacher-driven appraisal system based on identified professional development needs.

2.8 The Future

Where to from here? Can the existing system be modified to accommodate the very necessary changes to appraisal? While much research has identified that the current appraisal system has many flaws, little has been explored as to how these flaws might be minimised. Thrupp (2006) concludes his own paper with the comment that New Zealand policy makers "will achieve much more by taking a high-trust, collaborative approach with teachers than trying to steer them from a distance through specified standards" (p. 32). A new set of standards, whether by the MOE or the NZTC, may not be the answer. Teachers may still see them as imposed upon them by external agencies and will thus not 'buy into' the process. Teachers must own the processes and the evidence gathering that reflects their professionalism and competence.

The literature does put forward a variety of ideas that could help the teacher appraisal system and allow teachers to have ownership of the process and their practice. Career pathways that provide promotion opportunities for teachers, rather than for managers, were seen as vital. Lam et al. (2002) identify 'peer coaching' as a possible alternate career pathway, while Hanson and Moir (2008) favour mentoring for mid-career teachers. "Mid-career teachers have reported feeling replenished, having a renewed passion for teaching as a result of mentoring" (Hanson & Moir, 2008, p. 454). Beall (1999, p. 72) states that "the best

way to ensure a valuable and effective teachers' evaluation process is to link it to a planned program of professional development." He adds that the key to the success of such a programme is the building in of sufficient time into the school year to allow for the professional development to take effect. He also makes the suggestion that one per cent of the school's operation grant should be allocated to professional development. All of these aspects may provide a better, more appropriate appraisal system for teachers.

What is emerging from the literature and research undertaken in this area is that teachers need to take control of their own professional development "otherwise there is a danger that change becomes symbolic rather than real" (Humphreys, 1992, p. 124). Teachers need to take responsibility for their professional learning as this will empower them to make changes necessary in their practice, rather than having changes imposed on them 'from above' (Black, 2003). "Emphasis on collaboration among teachers as learners, rather than experts", is an essential element (Beall, 1999, p. 74). Yet teachers are not used to "taking responsibility for their own professional learning" (Humphreys, 1992, p. 118). Humphreys adds that "as long as teachers remain unsure of where to begin to assess themselves, then they will continue to rely on others to tell them what they need to learn" (p. 119). The use of a professional portfolio to help teachers plan, structure, showcase and evidence their practice could be the way forward.

Chapter Three

Methodology and Design

3.1   Introduction

Traditionally there were two main forms of research methodology: quantitative and qualitative. The former looks at 'hard' data, the scientific information that proves hypotheses and forms theories. For a long time it was seen as the only 'true' form of research. The latter looks at a much broader range of data and is generally associated with the social sciences and humanities. It has only been in relatively recent times that qualitative research has been given the credence it deserves. With these two types of individual methodology, specific foci needed to be established, yet in doing so aspects of a research topic could be missed, or ignored, depending on the methodology chosen. As Morse (2003) states, "the goal of social science research is to understand the complexity of human behaviour and experience. The researcher's task – to understand, describe, and explain the reality of this complexity – is limited by our research methods" (p. 189). Thus, should the researcher choose one or the other of these methodologies, they are limiting themselves, and their research, by constraining the type of data collected. Punch (2005) provides a different choice: quantitative, qualitative or both. In order to answer the research questions of this study, and to maximise its potential, both qualitative and quantitative methodology – a mixed method approach, was decided upon.

Table 3.1: Quantitative and Qualitative Designs and Methodological Tools

Quantitative Methodology	Qualitative Methodology
- Survey - Diagnostic – where were we at? - Confirmatory – where have we got to?	- Action Research (AR) - Interviews - Journals - Discussions groups - Document exploration

Data from both designs shown above in Table 3.1 are used to address the research questions in this mixed methods study.

3.2   Mixed Method Research:

Mixed method research provides a broader view of the research topic and can take into account the variations often found in social sciences and humanities. "Mixed methods designs incorporate techniques from both quantitative and qualitative research traditions yet combine them in unique ways to answer research questions that could not be answered in any other way" (Tashakkori & Teddlie, 2003, p. x). It is important, however, that "quantitative and qualitative data complement each other" (Youngs & Piggot-Irvine, 2011, p. 5). Youngs and Piggot-Irvine go on to add that:

> The quantitative strand should not just add to the qualitative (or vice versa) but rather the data should be integrated in a meaningful, complementary way that extends and clarifies each set of data, though the weighting between the two does not need to be equal in the mixed methods design. (p. 6)

Tashakkori and Teddlie (2003) suggest that a mixed methods approach is superior to a single method in three ways: 1) "Mixed methods research can answer research questions that other methodologies cannot"; 2) "Mixed methods research provides better (stronger) inferences"; and 3) "Mixed methods provide the opportunity for presenting a greater diversity of divergent views" (pp. 14-15).

Mixed methods research has gained much support in recent years and is beginning to be seen as a legitimate methodology in its own right (Tashakkori & Teddlie, 2003). As with any methodology it has both strengths and weaknesses. "The major strength of mixed methods is that they allow for research to develop as comprehensively and completely as possible" (Morse, 2003, p. 195). However, allowing the research to develop in its own way can also be seen as a weakness: "your research may be challenged on the grounds of being less rigorous" (Morse, 2003, p. 195) than more 'traditional' methodologies were used. This 'weakness' can be lessened by the triangulation of data through the support of multiple methods of collection. "Because all methods of data collection have limitations, the use of multiple methods can neutralize or cancel out some of the disadvantages of

certain methods … there is wide consensus that mixing different types of methods can strengthen a study" (Cresswell, Plano Clark, Gutman, & Hanson, 2003, p. 211).

For this research the methodology will include both qualitative and quantitative approaches in order to provide a broad view of the planned changes to the appraisal cycle and the perceptions of those changes for the staff involved. It will be a process of adding information a little at a time in order to create the final picture. As Morse (2003) states "research is a process – a puzzle-solving process. We come to understanding piece by piece, one step at a time. The researcher's comprehension of the phenomenon increases as data unfold, concepts are understood, and interconnections are made" (pp. 189,191). It is expected this research will be no less than a 'puzzle-solving process' using a variety of data collection methods to support both quantitative and qualitative aspects. The choice of whether to use one or the other or both depends on the type of data the researcher wants to collect and what they are trying to find out (Punch, 2005). The research questions in this study require both quantitative and qualitative data. Data collected in the study will come in steps or phases of planned stages and cycles. It will begin with quantitative data collection before moving into qualitative collection processes. "When the data are introduced in phases, either the qualitative or the quantitative approach may be gathered first, but the sequence relates to the objectives being sought by the researcher in the mixed methods study" (Cresswell et al., 2003, pp. 215, 217). This type of mixed method approach is referred to as *sequential* (Cresswell et al., 2003).

3.3   Research Design

3.3.1   Survey Research:

Surveys are quantitative in design although, depending on the type chosen, large quantities of qualitative data can also be gathered. Using survey research allows for the control of variables, means a large number of participants can be sampled, and usually can provide some form of generalisation from the results. "Surveys are beneficial because of their ability to target large populations more cost effectively than a field study and they are also adaptable to any type of research need"

(Russell, 2007, p. 1). The rationale for the survey in this study is to target a large population in a short time space to gather base-line data. Surveys were the most appropriate method of doing this. Surveys can be administered in a variety of ways including by post, in person, or via the internet. They can be presented in oral or written format, "but web-based surveys are growing in popularity" (Wright, n.d., p. 5). In this study survey forms were delivered by hand.

Surveys do, however, have weaknesses such as often requiring "special skills from the researcher in sampling, proper question design, and analysis" (Russell, 2007, p. 1). To help overcome these weaknesses the survey forms used in this study have been based on surveys developed by previous researchers, namely Fitzgerald, Youngs and Grootenboer (2003). Wright (n.d.) also identified weaknesses of surveys:

> Semantic problems can arise; a highly structured questionnaire generates information only on predetermined topics; forced choices may frustrate [participants] whose responses do not fit any of the categories; and data analysis is dependent on local expertise. Finally, obtaining the desired samples and an adequate response rate are perennial problems. (p. 6)

The use of survey design to gather data in this study provided information that helped direct the later AR. The survey group provided base information about what teachers thought to be important in an appraisal system and included their perceptions of the current system in use in their institution. The first survey (Appendix 9.2) was given to the whole teaching staff of the institution, one hundred participants. From the survey findings trends and ideas were developed that aided the direction of the AR.

At the end of the AR phase, a second survey was completed with all staff members (Appendix 9.8). This survey was essentially a repeat of the first one conducted, but without some of the qualitative questions. This survey had two main purposes: first, to see if there had been a shift in teachers' perceptions to the appraisal

process over the course of the year and, if so, what this shift showed; and second, to establish some 'next steps' in the redevelopment of the PMS at the school.

The initial survey provided breadth and depth of information that helped to develop an understanding of teachers' perception of the appraisal process and how it might be changed to make it more meaningful to them. The teacher survey was adapted from those of Fitzgerald, Youngs, and Grootenboer (2003) who carried out a study into "teachers' perception of bureaucratic and professional approaches to performance in their schools"(p. 91). The survey forms were modified to meet the specific needs of the school involved with this study. This aspect was especially important as the school had recently undertaken some changes to its current appraisal system in response to ERO suggestions. The survey included some focus questions aimed specifically at these changes and perceptions of the staff regarding these changes. This survey form was first trialled with a small group of experienced past educators, as well as the senior management team of the school, to ensure it was manageable and focused (See Appendix 9.2).

Both open and closed questions were used in the survey process. Closed questions are easy to tabulate, enhance consistency and are preferred by respondents, but require more questions to cover the topic and take time to construct (Fraenkel & Wallen, 2008). Open questions have both advantages and disadvantages, including allowing for freedom of response and follow-up interviews, and are easier to construct on the positive side. However, they also tend to produce inconsistent responses, are harder to tabulate and are open to misinterpretation. The rating questions 'rate' a product – in this case the appraisal system. These types of questions can be used at any time as they are not restricted by the need to observe, or any other behaviour, and they allow the person rating to make judgements about specific aspects of the product under question (Fraenkel & Wallen, 2008). Surveys also gathered demographic information on each teacher participant to further inform the responses obtained. This helped to establish whether those who had been in teaching a 'longer' time have different views than those who had been teaching for fewer years.

Adapting the survey from existing research helped to ensure its validity and reliability. The survey was undertaken by means of "direct administration" (Fraenkel & Wallen, 2008, p. 393) meaning that the monetary cost of the process was minimal, and the response return rates were higher than other methods. The survey also used a Likert scale responses with six possible responses. The use of six, rather than five, ensured that respondents made a decision one way or the other – they could not remain 'neutral'. However, some teachers still managed to achieve neutrality by circling options '3' and '4' together. This added further unexpected dimensions to the outcomes when the analysis was undertaken.

3.3.2   Action Research:

Action research (AR) has a different focus to surveys. It is "a comparative research on the conditions and effects of various forms of social action, and research leading to social action" that uses "a spiral of steps each of which is composed of a circle of planning, action, and fact-finding about the result of the action" (Lewin, 1946, pp. 35, 38). It can be highly structured and experimental, reflecting a quantitative approach to research, or it can be "unstructured and used inductively" (Gray, 2004, p. 26) reflecting a qualitative approach. AR is, however, not a difficult process to understand. As Cardno (2003) explains "*research* simply means systematic investigation into a subject in order to establish facts and reach new conclusions. *Action* implies that the researcher will not accept the status quo but will intervene – "take action" – to change it" (p. 1, author emphasis). She goes on the state that the implication of undertaking AR is that the researcher will have the "intention of taking action that will make a difference" (p. 1). Piggot-Irvine (2010) supports this view, adding: "The word 'action' in action research is key. It is an approach that always involves participants making or implementing change, rather than just investigating an issue" (p. 231). The goals of the AR process should be allowed to shift or be revised as the process goes on or develops (Elliott, 1996).

> Action   research,   as   a   methodology,   supports   continuing
> professional development of the teacher/researchers and all
> those involved in any research and teaching project. Action

research has been known to have transformative impacts on teaching practices. (Duncan et al., 2009, p. 15)

As the 'support of continuing professional development' was a key focus of this study, AR was the appropriate choice as a methodology. However, Somekh (2006) adds a word of warning where research is concerned: AR should not be solely aimed at the improvement of practice as this focuses on professional development rather than research.

Underlying AR is often a state of affairs or a situation one would like to improve. Elliot (1996) adds that the 'situation' that arises "impinges on one's field of action and is something one would like to change or improve on" (p. 72). This was certainly the case with this study as I identified gaps in the current processes around appraisal. I aimed to create a system that could alleviate some of these associated issues. However, as Elliott (1996) states: "the extent to which one is able to improve on it is a question which action research should address rather than assume the answer to" (p. 72). While I had a belief in what would work with regard to revisions to the appraisal system, I had to explore what developed from the AR process. I did not seek to prove a hypothesis. Elliott (1996) expands on this by adding that the original general idea may need to be constantly revised during the process of AR depending on the outcomes of the action taken. This study follows an AR process but it is informed and shaped by the analysis of initial or diagnostic survey data. A second, confirmatory, survey and final interviews provide an endpoint to the data collection.

AR is usually small scale and situational. This allows the process to be manageable and meet the aim of making a change to a specific issue/situation in a specific setting. AR does not simply explore an issue, identifying aspects of the problem; it goes further than accepting the status quo, aiming instead to make a difference. Before undertaking an AR project, the researcher needs to have spent time identifying an issue and examining its significance (Cardno, 2003). In this case, the issue for the AR was developed from previous research into the identification and

management of incompetent teachers (see McKenzie, 2005). This previous research also provided significant background to the issue of the current study.

At its most basic level AR involves the following cycle: plan – act – observe – reflect. This cycle is repeated until the process is complete or the change embedded. In reality AR is much more complex than this and has several key components or features, including a reflective process, a focus on the researcher's own organisation, and the use of multiple data sources and means of collection. Cardno's (2003) identified a seven-step model which fitted well to the overarching AR process undertaken for this study. The steps include:

Step 1: identify an issue and who might be needed to collaborate on the project

Step 2: investigate the issue – gather data/information

Step 3: analyse the situation – look at data and assess implications

Step 4: plan the action needed to change the situation

Step 5: act – use plan and monitor effects

Step 6: evaluate the effects, check for change, and "how change can be sustained"

Step 7: revise using evaluation or choose new issue (p. 4).

Each of the above steps formed a key part of the overall process and fitted into the steps discussed in Chapters 5 and 6 that follow.

AR is also developmental, aiding in the professional development of participants; transformative, emphasising change with the intention of improvement; and helping to narrow the gaps between theory and practice (Bartlett & Piggot-Irvine, 2008). "Improvement is therefore linked with participants collaboratively exploring the context and their practices in a reflective way that leads to improvement" (Piggot-Irvine, 2010, p. 231). This study aimed to use collaborative participation and reflection to achieve these goals.

3.3.2.1 Participatory Action Research:

Action research is strongly influenced by the values and culture of the participants because of their close involvement with the process (Somekh, 2006). Piggot-Irvine (2010) adds that AR "is based on the premise that the people in a specific context are best situated to understand the local situation and are in the position to develop changes that suit their own environment" (p. 232). In AR the researcher cannot be distant and unbiased as is the view of traditional research. The researcher is, in fact, an essential component as he or she is often "placed right in the middle of the situation being researched" (Cardno, 2003, p. 19). Cardno adds that "it is impossible for [the researcher] to follow the rule that researchers must be neutral and not influence the situation being studied" (pp. 19-20). Because of this, the role of the researcher is often seen as participatory and the researcher is researching both the events of the situation and their own part in it. The AR undertaken for this study is Participatory Action Research (PAR).

Participatory Action Research (PAR) is concerned with "social transformation and is characterised by shared ownership of research projects" (Cardno, 2003, p. 6). It works toward mutual understandings of "often difficult situations of social change" (Wadsworth, 1998, p. 14). Wadsworth asserts that PAR

> Is *aware* of its inevitable intervention in the social situations within which it operates and seeks to turn these to consciously-applied effect. Most participatory action research sets out to explicitly study something in order to change and improve it. It most often arises from an unsatisfactory situation that those most affected by it wish to alter for the better. (Wadsworth, 1998, p. 5, author's emphasis)

Wadsworth also notes that "this involves an imaginative leap from a world of 'as it is' to a glimpse of a world 'as it could be'" (p. 5). PAR is action that is researched, changed and then re-researched, within the research process by a group of participants working together. Fraenkel and Wallen (2008) add that PAR involves all the stakeholders and empowers "individuals and groups to improve their lives

and bring about social change at some level" (p. 590). The researcher works with the stakeholders to bring about the change, although the researcher contributes the expertise needed while still being a participant. PAR is a social, collaborative process.

> The goal is to investigate reality so it can be changed. This type of action research is considered to be emancipatory (the action researcher is able to explore practices within the limits of social structure), critical (the action researcher's goal is to challenge alienation, unproductive ways of working, and power struggles), and transformational (changing both theory and practice). (Hendricks, 2006, p. 10).

Cardno (2003) clearly explains PAR: researchers "research with participants in the project, rather than by using them as subjects for research" (p. 12).

Because of the collaborative nature of AR it is important that once the issue is identified, relevant participants need to be involved. A shared understanding needs to be developed from literature and readings, and a collaborative approach to the forming of questions and gathering of data undertaken. The whole group does not have to be involved in all aspects of the study. In my research ideas often developed outside the confines of the group discussion sessions. These were, however, discussed and further developed and trialled as appropriate by the group over the course of the year.

However, Cardno also describes AR undertaken within one's own organisation as "developmental action research" (DAR) (Cardno, 2003, p. 1). She adds that "in this form of action research, a group or team of people work together to address a significant issue or problem" (p. 2). Working together is certainly the case in my own research as PAR involves a group led by my participation. However, DAR encompasses all aspects of this study. It involves the researcher investigating an issue "where improvement or change is needed and then [acting] with relevant others to make a difference to practice" (Cardno, 2003, p. 9).

AR and PAR have benefits and weaknesses, as do any other research methods. One of the major benefits of AR/PAR is that is can be undertaken in relatively small situations; it can involve a number of data collection methods such as surveys, interviews, journals and focus groups. This range of collection methods helps with the triangulation of data sources which in turn reinforces validity of the findings. However, the small and situational aspects of AR/PAR can also be seen as a weakness to the methodology. First, it is too small to be transferrable to other situations because it is contextual. Second, the dependence on qualitative data where the focus is on reliability rather than validity, as seen in quantitative data, could be seen as a weakness. Using triangulation of data sources, can, however, overcome this issue (Cardno, 2003).

This study involves survey research (quantitative) and AR (qualitative). This combination of methodology means the researcher has a subjective approach to the research, focusing on the social context, the language and the phenomena involved rather than the objective reality of the situation – the facts and empiricism (Cohen, Manion, & Morrison, 2000). Focusing on a subjective approach is known as an idiographic approach to research (Barlow & Nock, 2009) where the researcher also becomes part of the process, a 'research instrument'. As Punch (1994) suggests: "much field research is dependent on one person's perception of the field situation at a given point in time, that that perception is shaped both by personality and by the nature of the interaction with the researched, and that this makes the researcher his or her own 'research instrument'" (p. 84). The researcher being a 'research instrument' can pose problems within the research as they can be seen as an influencing factor which could bias results. However, "the relationship the researcher has with participants in the study … is a key component of the research design and can have a major impact on the conduct and results of a study" (Maxwell & Loomis, 2003, p. 254). Maxwell and Loomis go on to add:

> The goal is not to create a standardised relationship but rather to create a relationship that maximises the understanding gained from each participant interviewed or each situation observed.

> Such a relationship is often much more personal and informal than is the case in quantitative studies. (p. 254)

Within this study, my role was that of the participating 'expert'. I had to make clear my intentions for the research prior to its commencement and state clearly why it was important to me, and what I wanted to achieve from it. Within the group I was not only the 'expert' and a participant, but also a facilitator, taking control and directing the group as necessary in both discussions and actions. This course of action is supported by Wadsworth (1998):

> a more participating researcher [rather than an independent expert researcher] would be more clear about why they are interested in the research – perhaps describing their own personal experiences that have led to the questions they are wanting to ask. This clarifies the purposes for the other participants, and helps each participant know where the other is 'coming from'. (p. 9)

Being an active participant alongside the volunteer group was a key factor of coming to a shared understanding of many of the steps within this study, and of the revised appraisal process that was developed.

3.4　Methodological Tools

3.4.1　Interviews:

As part of the AR process, interviews of those participating were undertaken. Interviewing, as Scott and Usher (2003) note, "is an essential tool of the researcher in educational enquiry" (p. 108) which provides data that are not always forthcoming through other methods. It is a valuable tool for gathering the perceptions, attitudes and beliefs of the participants (Fletcher, Zuber-Skerritt, Piggot-Irvine, & Bartlett, 2008). This study used a semi-structured interview process which involved the use of a set of open-ended questions asked to each member of the group in a place and at a time of their choosing. "Interviewing ... is

an important way for the researcher to check the accuracy of – to verify or refute – the impressions he or she has gained" (Fraenkel & Wallen, 2008, p. 445) throughout the research process. Fraenkel and Wallen (2008) add that "the purpose of interviewing people is to find out what is on their minds – what they think or how they feel about something" (p. 446). The use of open-ended questions allows for the exploration of a topic without any direction being given to the interviewee. Such questions also allow for a greater richness in the responses provided.

Again, weaknesses and benefits are found with the interview process. The biggest weakness is the issue of control. Unless the interviewer takes care to mitigate this issue, it can impact on the comfort and participation of the interviewee. Giving the interviewee the option of choosing the time and place of the interview minimised the issue. A second weakness of the semi-structured approach is that it may lack flexibility – "standardised wording of questions may constrain and limit the naturalness and relevance of questions and answers" (Fraenkel & Wallen, 2008, p. 447). There are however, a number of benefits of interviews. It is possible to clarify points as they arise; it allows for the development of ideas; and it allows the cross-checking of details (Scott & Usher, 2003). A further strength of using a semi-structured approach is that respondents are all answering the same questions which increases the comparability of answers (Fraenkel & Wallen, 2008).

Interviews were undertaken toward the end of the process to gather summative data, teachers' views on ownership of the appraisal process and to establish future directions for the teachers involved. This included an interview with each group member, and informal 'chats' with other members of the staff to establish the embedding of some of the changes made. The last interview completed was with the principal of the school to provide an overview perspective, but also to balance the views of the staff with that of senior management. A copy of the initial interview schedule for the group members can be seen in Appendix 9.7. All interviews and volunteer group discussion sessions were audio-taped and

transcribed by me. I found this invaluable as I became much more familiar with the data gathered than if I had had the sessions transcribed for me.

3.4.2 Journals:

Journals help to facilitate the construction of new knowledge by the recording of understandings as they develop (Fletcher et al., 2008) and allows for the triangulation of perspectives with other participants. They also provide insights into perceptions, beliefs and attitudes, all of which are invaluable for assessing the effectiveness of a proposed change. Use of journals can also lead to changes in the research design due to the reflective processes involved. In this study, the group's journals helped to focus the research process and gather the perceptions of participants throughout the journey. "Keeping and using reflective research journals can make the messiness of the research process visible to the researcher" (Ortlipp, 2008, p. 704).

Using journals to their full potential can be an issue within research, especially when there is little literature support given to this method of data collection (Clarke, 2003; Ortlipp, 2008). Often journals can become a jumble of random thoughts making them of little use. Clarke (2003) suggests using focusing questions to help over-come this issue. Clarke (2003) adds that journals are a valid medium for promoting self-reflection and for guiding the research process. The journals provided for the research group members each contained a set of 'reflective questions' to helping in structuring content within the documents, and also to promote thoughts, ideas and reflection on practice.

Alongside the journals kept by the group members were my own reflective field notes and journal. Reflective field notes and journals allow the researcher to speculate on what they are researching and what they are learning. They also allow for changes to be made to the research process as the reflective process establishes the benefits or otherwise of actions taken (Fletcher et al., 2008; Fraenkel & Wallen, 2008).

3.4.3 Portfolios:

An important measure of data collection was the professional teacher portfolios. These were critical in analysing the effects of changes instigated through the research process. While it was expected that the portfolios would provide a detailed picture of the final appraisal process, this did not eventuate. The portfolios were of interest, but they did not provide the depth of information initially thought; these documents were still 'in progress' at the end of the research cycle. The journals, interviews and discussions provided much more in-depth and detailed responses than the portfolios, providing themes and patterns that helped redevelop the appraisal process in the school.

The structure of the portfolio was initially negotiated by the participants based on the shared understandings of the RTC. It was hoped that the portfolio would become a measure of the teacher's own philosophy and their underpinning beliefs about the art of teaching. However, as mentioned above, these documents are still in progress and this aim has yet to be realised. The portfolios *did* contain evidence that reflected the RTC; student artefacts; extra-curricular activities as appropriate; and any other artefact that the teacher felt provided a clear picture of them as a teacher and of their practice (Rieman & Okrasinski, 2007), so some inferences of the portfolio's use in and support of the appraisal process could be made. Further discussion on this development process can be found in the following chapters.

3.5   Research Sequence

The research was cyclical in nature and could have continued over an extended period of time. A longitudinal study that investigated the embedding of professional learning would be the ideal, but this was outside the parameters of this study. The collection of data took place over approximately twelve months. This time span allowed for the development of initial of trends and patterns, and gave some idea of directions for future research. The general overview of the research plan can be seen on Figure 3.1, a flow chart of the research sequence specific to this study.

Figure 3.1: Research Sequence
for this study

Educational institute contacted to negotiate access — Step One

Initial interviews with school management re current PMS — Step Two

Collect and collate survey data for base data. Identify potential changes to PMS

Action group established

Cycle planning and meeting times scheduled — Step Three

Professional discussions to establish shared understandings of RTC.

Discussion groups, planning, further evaluation

- Identify individual professional learning needs.
- Links to PMS folder.

Action research Phases: Plan - Act - Evaluate

- Evaluate changes aimed at meeting professional learning needs.
- Trial and evaluate portfolio documents.

Plan changes to meet needs.

- Act on changes identified.
- Discuss and develop ideas for portfolios.

Summary document for portfolio developed.

Final group discussions and evaluations — Step Four

In-depth interviews with participants. Confirmatory survey completed

Preliminary analysis of data

Step Five — Initial reporting back to institution management

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3.5.1   Step One

Step one involved negotiating access to the educational institution. It involved not only an initial contact with the head of the school, but also the gaining of approval from the BoT (See Letter of Access, Appendix 9.1). Ethical considerations had to be addressed for this with regard to the preferred secondary school as this was my current place of employment. I was in a middle management position which could be seen as a 'position of power' and thus influence other potential participants and responses. This issue was resolved in part by all staff being involved with the change process, as directed by senior management, and with a small group involved specifically with the collection of data for this study. In addition, teachers from the English department were excluded from the group with whom I worked as this was the department in which I worked. This effectively removed any perceived power dynamics by and for participants.

3.5.2   Step Two

Step two involved research into the actual processes of appraisal and performance management at the educational institution. It looked at what was currently done and what processes were involved. To gather this information, discussions were held with members of the senior management team and other staff members, and document analysis was undertaken. This was followed by a survey of the teachers aimed at gathering perceptions of the appraisal system used and identifying any changes teachers would like to see. The data were collated and analysed and findings used to inform the AR - step three of the study.

3.5.3   Step Three

Step three required the establishment of a small group of teacher volunteers willing to participate in the AR. The AR phases can be visualised in Figure 3.1, shown in the shaded circular section. While there was a possibility of sufficient numbers of teachers volunteering to form two small groups, this did not eventuate. On reflection, this was a positive outcome for this study as the time needed to co-ordinate and gather data from both groups would have been unmanageable on my

part. The group who did volunteer participated in AR based around the use of a professional teaching portfolio and the mandatory requirements of the MOE, especially that of observation (Ministry of Education, 1997). The aim behind approach was to develop an appraisal system that was teacher driven with a professional development focus. The portfolios were structured around the NZTC's RTC which came into effect in 2010. To facilitate this, discussions of how the RTC could be interpreted to reflect teachers' practices and their place of work were undertaken. Professional discussion is the way the RTC are intended to be utilised (Thomas, 2009) and this became quite a strong focus with group sessions. The discussions led to quite different outcomes for individual teachers in the group as portfolio development strongly reflected each teacher's personality and individuality and their understandings of the RTC specific to their subject area. While a shared understanding of the RTC themselves was possible, how these were evidenced became quite individualised.

The cycles for the AR were conducted over the course of a year. It was anticipated that during the first school term only one or two cycles would be completed. In the remaining three terms, the aim was to have 3-4 cycles completed in each. This was to ensure a wide variety of actions were explored and evaluated with a variety of data collected. Each cycle was planned to build on the previous one allowing for the embedding of learning alongside the further development of ideas. The researcher's role in these groups was that of the expert facilitator in helping to provide direction but also as participant, contributing to the process.

The next step was the planning and implementing of a course of action that was based around professional learning and which demonstrated how the RTC were being met. This course of action was to be followed by evaluation of the process to date and planning further steps. Evaluation and planning were conducted through group sessions to enhance professional discussions and provide both support and guidance as necessary. Each teacher included with his or her portfolio a reflective journal. The timelines and meeting schedule for the group was decided in the initial meeting, and although it was envisaged that these would be 3-4 weekly, this

was not always possible within the busy school term, and times had to be carefully negotiated. Arrangements could not always be made too far in advance due to the repeated occurrence of 'unexpected' events.

While the plan was for repeated AR cycles, what eventuated was quite different. The flow chart representation (Figure 3.1) became more accurate than I initially anticipated. The study developed one main AR cycle, facilitated by me, that focused on the appraisal cycle and the processes involved. Within this cycle each participant, including me, undertook his or her own AR based on their professional development needs at the time. My role then became more of an expert for these smaller cycles rather than participant. The over-arching AR cycle was a process that involved all participants, who brought their understandings and ideas based on outcomes of their smaller, more specific AR cycles. Within this larger cycle, a school-wide focus of the processes of appraisal and the documentation necessary began to develop.

3.5.4   Step Four

Step four involved final interviews (See Interview Schedule, Appendix 9.7) with each participant who discussed their views on their ownership of the appraisal process and the research process undertaken the previous year. Further future directions of the process, including any necessary modifications to documents and strategies developed, were also established at this point. The principal of the institution was also interviewed to give his views on the appraisal process and provide a possible point of difference to comments made by the teacher volunteers. During this meeting time, a brief review of the research process and outcomes were discussed to provide initial feedback.

Also during this step, the second confirmatory survey (Appendix 9.8) was conducted which gathered information about how perceptions of the whole staff had changed toward performance management in the school. The survey responses also sought future directions for professional development, an area of

need identified in the initial data analysis. This survey helped to establish where the main 'gaps' were, particularly with regard to improving teachers' knowledge of opportunities available for their professional learning and access to these opportunities.

3.5.5 Step Five

Step five was critical for two reasons: first it involved the embedding of changes into the school and further adjustments to the PMS, and second, the final analysis of all data and the writing up of results were undertaken. A final report of the findings was presented to the institution at the completion of this stage of the research programme. This stage also saw the beginning of preparation of a paper with the intention of presenting this at a future education-focused conference.

3.6 Data Analysis

The analysis of the data needs to be structured in such a way that it answers the research questions. While this may seem a logical statement, it is very easy to have large data sources and be side-tracked into findings not related to the focus of the research. A systematic approach to analysis helped to maintain the focus of the research and to make the task more manageable.

The surveys were analysed using both 'themes' and statistical analysis. Descriptive statistics, used to describe and organise data, were used to summarise choices made by participants and the relationship of those choices to age. Inferential statistics were also used on this dataset to make inferences about the information gathered. As the group surveyed, 100 teachers, is a sample of a larger population some degree of inference can be made to the whole population. The analysis explored frequency of responses to get an indication of potential changes that would benefit the most people. Nominal data highlighted patterns. Ordinal data allowed for the ranking in order of preference of related data, again assisting in the identification of possible changes to the appraisal system (Salkind, 2008).

ANOVA data analysis was used between the datasets to see if there were any statistically significant correlations between the findings. Had this research been conducted over more than one educational site the differences between groups could have been significant. However, this was not possible at this point in time due to the scope of the study. Even though the statistical analysis was only a minor focus of this study, the computerised analysis programme SPSS was utilised for the interpretation and ordering of the data.

The qualitative data was much more time consuming and difficult to manage given the nature and quantity of data collected. With AR, making sense of the data is an on-going process as reflection on the data forms part of the cycle of the research process (Cresswell, 2002). The analysis of qualitative data was carried out on a regular basis as patterns and themes began to emerge. This progressive analysis helped to alter the overall structure of the study from its initial plan of numerous AR cycles, changing to one main AR cycle with individually focused AR cycles under this umbrella. Writing memos and notes while coding was helpful and made checking information later on much more straightforward (Gratton & Jones, 2003). It was the patterns that occurred that were of importance, and descriptive narratives have been used to interpret these within the school's context. This process, done manually, is time consuming. An alternative is the use of a computerised programme such as NVivo, as this allows the researcher to do all the manual manipulation with much more speed and potential accuracy. However, after some training on this programme and its initial use in analysing results, I returned to a manual method, arranging folders within Microsoft Word for each of the themes. Into these folders I not only put the relevant sections of transcripts from group sessions and interviews, but also quotes from literature to support each theme. While this may seem time consuming, I found that I had a much better understanding of the data collected and could begin organising the folders at an early stage in the analysis process. The use of the printed version of each theme and highlighters were invaluable in making connections across themes and ideas. I am aware that NViVo allows for this within its programme, but for me it was more

time expedient to use a method I knew well, and that seemed to work for me, rather than spending time I did not have trying to learn the intricacies of a programme that would add little value to the processes I was currently employing.

3.7   Reliability and Validity

"Valid research is 'plausible, credible, trustworthy, and, therefore, defendable'" (Johnson & Christensen, 2000, cited in Johnson & Turner, 2003, p. 300). It must be noted here that although the statistical data does have a degree of reliability and generalisability, that is not necessarily the case for the qualitative data. It is more important that this data have *validity* which has been achieved through several means such as the triangulation of information, checking details with participants, using "rich description", making the researcher's own position clear, and presenting and discussing data that does not 'fit' with the identified themes (Cresswell, 2002, p. 196). The variety of information is important as "the more sources of data you have the more likely it is your findings will be credible" (Hendricks, 2006, p. 73).

Johnson and Turner (2003) note, there are three main validity types that were originally developed for qualitative research:

1. "descriptive validity, refers to the factual accuracy of an account as reported by a researcher";

2. "interpretive validity, refers to the degree to which the researcher accurately portrays the participants'' meanings about what is being studied"; and

3. "theoretical validity, refers to the degree to which a theoretical explanation developed by the researcher fits the data" (p. 300).

Each of these validity types is equally appropriate in a mixed methods approach to research. A further two important validity types were also identified by Johnson and Turner (2003):

Internal validity is traditionally defined as what may be called 'causal validity' or one's justification in making a causal inference

from one's data ... External validity is traditionally defined as the degree to which one can generalise a research finding to other people, places, settings, and times. (p. 301)

These two aspects, however, focus more on the overall validity of the study than the internal validity of the data collected. All types of validity need to be carefully considered in mixed methods research.

Each step in the analysis was carefully documented to ensure that the process had and maintained reliability. Gratton and Jones (2003) support this by saying that "many researchers reporting qualitative research do not make it clear how the analysis has taken place" (p. 217), so by documenting each step the thought process and analysis steps become clear, eliminating potentially invalid findings.

A further ethical consideration with research is that it contributes to the body of knowledge in a particular field and that the research has adequacy. Research must have clear research goals that are attainable through the proposed research design; it must contribute to the current body of knowledge; and should be overseen by supervisors with appropriate qualifications (Massey University, 2009). This study met all these criteria.

3.8   Access

Access to the institution was negotiated with the Board of Trustees (BoTs). From initial discussion with the senior management of my secondary school this access was not likely to pose any problems, apart from the ethical issues associated with my employment and position at the school. I am currently a member of the middle management of the secondary school and so to alleviate this potential 'power' issue a volunteer process was employed for the recruitment of participants. All staff were involved in the change process on a whole school basis, so no bias of and for the volunteers resulted. To gain access I formally wrote to the institution outlining my plans, hopes and aspirations, and requesting an opportunity to

discuss the matter further with the BoT (Appendix 9.1). Their acceptance of my request was quickly forthcoming.

3.9 Research Participants

Prior to undertaking this study and actually working with participants I had to ensure that all potential ethical issues were considered. This is particularly so when one is working within a school environment. With this research several aspects needed careful thought including the consent process and protection of rights. For AR, initial general consent was needed prior to commencement. This was granted by the institution. A second consent was needed once the actual processes involved have been established and the research specified. Follow-up consents were necessary for interviews and group discussions, held later in the research cycles. The consent process had to be free from coercion and participants had to have a clear idea of the purpose of the research, what their role would be and how the data would be used. They also were made aware that they have the right to withdraw at any point (Massey University, 2009). Given that I was working with colleagues, it was necessary to provide reassurance that neither participation nor non-participation, whichever option was chosen, would have a negative impact on them. Privacy, confidentiality and preservation of anonymity were assured as far as was possible within the bounds of the law. The research did not involve deception. The participants were also informed that all raw data collected will only be accessible to me and my supervisor/s, again ensuring privacy and confidentiality. All this information was made clear to participants prior to their signing their consent forms. This thesis does not identify individuals involved, or the school where the research took place. It must be noted at this point that the professional relationships amongst the research volunteer group, myself and senior management were enhanced by the ethical considerations taken, thereby proving the benefit of utilising such systems to protect the rights of individuals and groups.

The sample for this research comprised teachers from a secondary school. The initial survey was randomly distributed among this sample and was anonymous in nature. One hundred surveys forms were delivered to each teacher at the school. Sixty four were returned, however, one of these was blank. This type of survey is termed cross-sectional as the population from which it is drawn is essentially pre-determined (Fraenkel & Wallen, 2008). Information was collected at one point in time and gave perceptions and opinions of the whole staff at that point.

The sample for the AR consisted of volunteers and the expectation was that sample size would be between five and ten participants. It was hoped that teachers with a variety of experiences, subject expertise and year level focus would participate. This range would allow for a much broader and diverse set of beliefs, experiences and understandings that would lead to robust and vigorous debate/professional discussion. It was noted in planning this research that AR "is nearly always a demanding experience" with "contending dimensions" (Miles & Huberman, 1994, p. 34) that it is possible to feel overwhelmed with the process and its analysis. By limiting the group to a manageable number it was hoped that some of these issues would be overcome. This proved to be the case. The final group consisted of eight teachers coming from subject areas which included Food Technology, Media Studies, Science, Social Sciences and Computer Studies. The group's composition included senior management, middle management, a Specialist Classroom Teacher (SCT), and classroom teachers. Ages and teaching experience also varied. The group did not include any year one or two teachers as their high workload precluded them from taking on the additional requirements of this research process. All teachers, both those in the volunteer group and the remaining staff were, however, involved in the whole school processes, as required by senior management.

Selection of the volunteer group was not, however, a straight-forward process. I first had to inform the whole staff of the research I wished to undertake and then ask for volunteers to help with the AR group component of the research. It was made clear at this point that there would be no special favours for those who did

volunteer and that the research would be on top of existing workloads. I asked that those who were interested in participating email me so I had a record of potential names. Several teachers came and asked further questions prior to making their decision. Once I had a group of possible participants I provided all with an information sheet (Appendix 9.3) and allowed them a period of time to read the information and assess the implications individually.

The information sheet (Appendix 9.3) outlined the purpose of the research and the expectations for those who volunteered. Once teachers had volunteered for the group, they were each given an Individual Permission Form (Appendix 9.4), a Group Permission Form (Appendix 9.5) and a Confidentiality Agreement (Appendix 9.6). All these documents were part of the requirements to gain ethical approval (Massey University, 2009), and helped to ensure the participants knew not only what was expected of them, but also their rights within the research process. All this information was given out prior to a school holiday so that teachers had time to make an informed and considered decision. The result of allowing this time was that several who had initially agreed to participate pulled out. Those still interested signed the consent forms and the study began in earnest.

Due to the small sample size, the results will have limited generalisability but as Carr and Kemmis (1986, p. 193) state "action research reminds the practitioner that he or she is, in some small way, changing the world". The findings of this research can, and do, inform the practice of the institution in improving their PMS.

Initially I had ten respondents who were interested, but work commitments and changes in people's lives meant that two had to withdraw. While this was disappointing at the time, it was also completely understandable. On reflection, it was probably beneficial as the final group numbered eight which was much more manageable. The group comprised a wide mix of people with a variety of teaching experiences and from different curriculum areas. The group comprised:

- 3 males, 5 females

- Number of years teaching ranging from 3 to 10+ years
- Curriculum areas including food technology, ICT, business studies, science, social sciences, and media studies
- Positions within the school ranging from teacher to senior management.

There was also a variation in levels of confidence – most teachers were comfortable with their practice, but one was very unsure and had chosen to take part in the group to gain support for changes in her practice. This became clear in individual discussions with her and comments made during the group sessions. Please note: no names are used throughout this thesis to protect participant identity. Each member of the group was assigned a letter on a random basis and will be referred to by that letter in the report and discussion of the findings that follow.

Chapter Four

The Findings – Step by Step

Over the last few chapters I have discussed what led me to undertake this research, the philosophical underpinnings and the methodology chosen. The literature surrounding the topic has also been explored, showing gaps in the research completed to date, and giving an indication of where this study fits in the bigger picture. In the next two chapters I look at what actually happened during the research process, outlining the results and findings in this chapter and then discussing these findings in relation to the research questions as outlined below in the following chapter. Each step of the research process will be explored to give a comprehensive picture of the results gained. The subsequent analysis in Chapter 5 will make links between the findings, the research questions and the literature review. Future directions for this research will also be explored in Chapter 5.

The research questions this study seeks to address are:

1. In what ways might appraisal be redefined to give teachers ownership of the process and thereby control of their practice?
2. In what ways can professional development become fundamental to the appraisal process?
3. In what ways might appraisal meet the very different requirements of professional development and attestation – formative and summative assessment?
4. In what ways do teacher portfolios accommodate, in part or in whole, the needs of ownership, professional development, and formative and summative assessment?

This chapter looks at what occurred at each step of the research process and outlines the findings. Figure 4.1 is a stylised version of Figure 3.1 in Chapter 3 and is included to provide a clear visual representation of the study. Smaller sections of Figure 4.1 will be used in the discussion of each step.
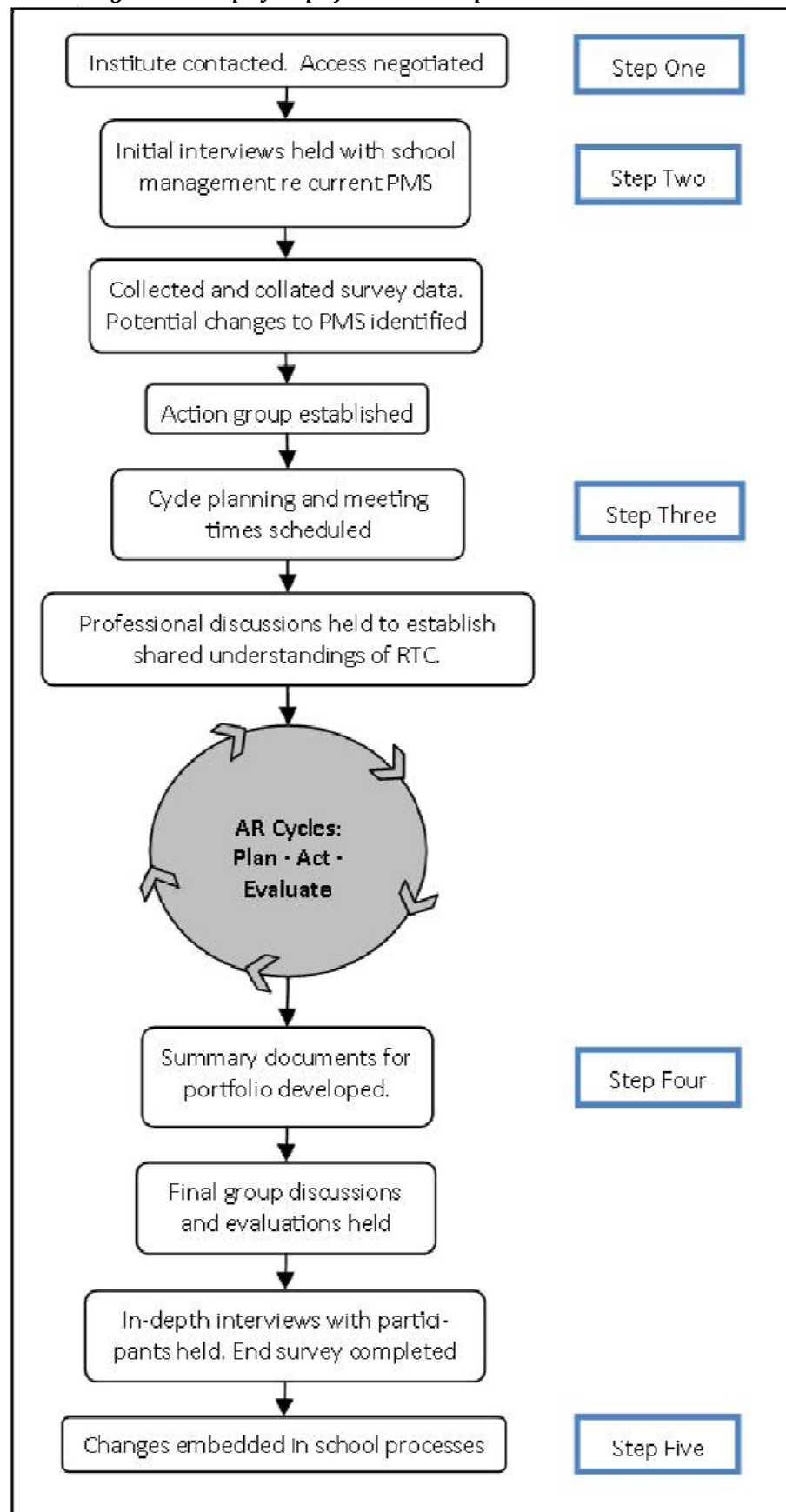
4.1 Step One

Figure 4.2: Section of Step by Step Research Process - Step One.
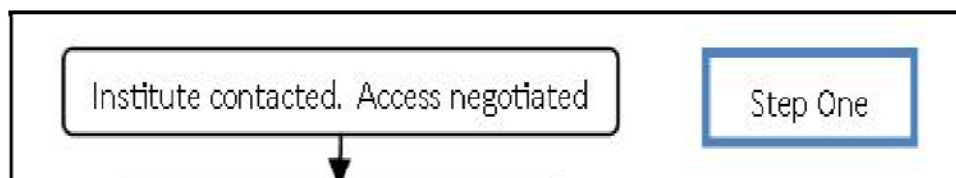
Step one (shown in Figure 4.2) appeared to me to be the simplest of the research process yet it was enmeshed with potential obstacles that needed to be overcome. Two aspects of it were run almost concurrently – the ethics approval and the permission to work within my own school to complete the research. While Ethics approval must be granted before any research can take place, it was also necessary to establish the likelihood of being able to work within my school and as such meet the necessary stipulations arising from the Ethics approval.

There were two main ethical obstacles to overcome: the first being my position of 'power' within the school – a middle management position of Assistant Head of English; and the second a potentially perceived bias for those participating in the research group. The first was overcome by the exclusion of any member of the English Department from involvement in the research group. This was good for me as I had to step out of my comfort zone and work with other people with whom I did not usually associate on a daily basis. It also provided a much broader and diverse range of ideas and hence a broader dataset that may not have been possible otherwise. Alongside this exclusion was the directive from the principal that everyone participated as a staff community in the change process. While this included the English Department, they were not under my direct influence as they were part of the homogenous staff community. The directive also aided in removing any potential bias toward those working in the group – if all were involved then each teacher had the potential to gain from the process.

Once ethics approval had been granted, I made the formal application to the BoT for access to the school. This ended up being a very straight-forward process since support was readily given. At the end of this step I have achieved my first goals: I

had gained ethics approval; and I had been granted access to the school. Alongside this, my own professional learning had taken a huge step forward.

4.2   Step Two

Figure 4.3: Section of Step by Step Research Process - Step Two
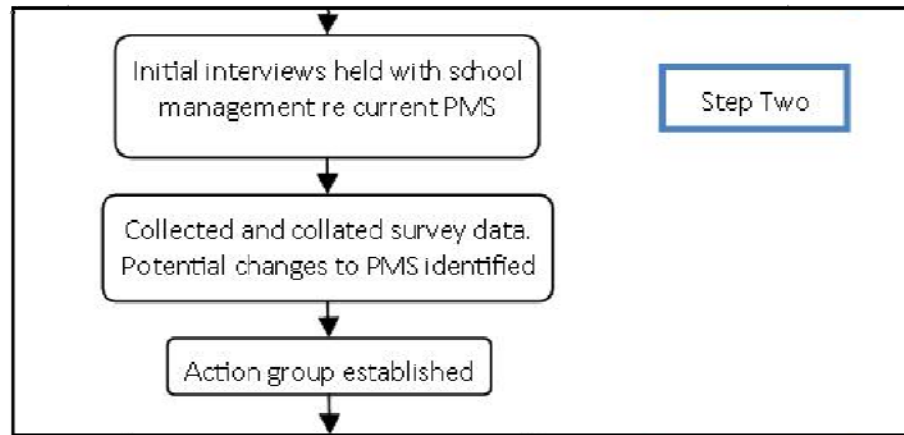
Step two involved three key components (shown in Figure 4.3): (i) finding out what the existing PMS was within the school; (ii) surveying staff about their perceptions of and changes for the appraisal system in use at that time; and (iii) establishing my volunteer AR group. Each of these components occurred concurrently, but will be discussed in the order indicated in Figure 4.3.

Current Situation

To discover the current situation within the school I discussed existing processes with two members of the senior management team on two separate occasions, and sourced documents from the computer system relating to the appraisal process. As noted earlier, some changes to the PMS had begun, spurred by recommendations made by the Education Review Office (ERO) in their 2005 and 2008 reviews of the school.

Prior to the commencement of this study the PMS utilised at the school fell short of expected standards. While it was recognised as being a component of the management of staff and while a policy document was in place, it was not an aspect 'done well', lending support to findings in my earlier research (McKenzie, 2005)

and that of Piggot-Irvine (2001). Both these studies found that while appraisal is included in a school's practice it is not undertaken well. The school policy (see Appendix 9.9) involved 'all staff in Performance Management with an immediate supervisor', and occurred 'at least once in every 12 months'. It was 'based on key performance areas' – the MOE's 'interim' standards. The policy included several aspects of performance management: a 'Work-Plan-Review' (WPR) that involved setting goals for staff around school and department foci. The WPR was intended to lead into requests from staff for PD to achieve these goals – if necessary. New staff and beginning teachers were catered for under a different system administered directly by a member of the senior management. Across the year six whole-school PD sessions were to be held, and were aimed at meeting the school's foci for the year, which in 2006, as shown on the policy document (Appendix 9.9), was on Information Literacy and ICT. Heads of Departments (HODs) had the responsibility of organising PD for department members as required. The aim of the WPR was for staff to set goals for the year, decide how these were to be attained, and 'to recognise their contribution to their school'. Teachers were to be assessed on 'key performance areas' - the Professional Standards for Secondary Teachers' as outlined in the PPTA collective agreement. Management or Unit Holders had four additional areas to address which included resource management; staff and student management; professional leadership, and responsibilities specific to their position. The policy document includes a brief timeline that requires the WPR to be established in term one, a job description to be agreed and signed, an observation and progress interview to be completed in term two or three, and an evaluation of goals in term four.

While this policy document does seem to cover all the required aspects of the PMS, it was not well implemented. Staff managed to avoid adhering to its principles with little or no consequence. The WPR aimed at setting PD goals for staff, but it regularly fell short of this target. Staff tended to include aspects of their practice they had already planned for the year, knowing they would achieve them without much effort. "Personal goals" for the year became just that – goals specific to the person such as 'getting fit', 'spending more time with the family' and 'losing weight'. These in themselves are admirable foci for people, in general, but did not

meet the requirements of the WPR for teachers, yet at the time were seen as acceptable. Although this document states PD was to be included, little significance was afforded it, partly because of the simplistic goals set by teachers. Some departments used a pro-forma (identical) WPR, written by the HOD with only the personal goals filled in by the teacher which allowed little personal professional growth. Senior members of each department checked this process was completed at the beginning of the year, and then 'signed it off' at the end of the year after a brief discussion of what had been done: was the goal achieved? To which the response was either 'Yes', 'partly', or 'not at all'. The appropriate response was circled, yet irrespective of the circled response, identified areas of concerns were not addressed. Once signed off this piece of paper was filed away within the school. It was seldom used to inform the subsequent year's WPR.

Alongside this, job descriptions were issued and expected to be updated each year. This did not always happen. Some teachers at the school had been working there for several years without having a job description at all. Observations, a key component of the MOE's requirements of schools, were also carried out poorly. The observation forms used were elementary, sketchy and out-dated. Those that were completed were often not included in the appraisal process. During the course of the 2005 review ERO identified the following concern: "while classroom observations form part of the college's performance management process, they are not included in all teachers' annual appraisal cycles" (Education Review Office, 2005). It is clear from this statement that changes needed to happen to improve the process at the school. In discussion with one member of the senior management the response was made that "observations were done by members of the senior management when attestation needed to be completed for a member of the staff. Observations happening outside this were rare."

Because of the 2005 ERO review, changes were made to the PMS – many of which are noted above and can be found in the school's 2006 policy document (Appendix 9.9). However, in a subsequent review in 2008 ERO found:

> The appraisal of teachers requires a focus on their performance
> against each dimension of the professional standards and at least

one observation of teaching in a yearly cycle. The board cannot be assured that the professional standards form the basis of appraisal for all teaching staff with teaching responsibilities or that they received classroom observations in 2007. (Education Review Office, 2008)

While it would seem from this statement that little was being undertaken to manage the school's staff in an appropriate manner, this was not the whole picture. Some areas within the school were performing at an acceptable level, with observations, WPR cycles and goal setting occurring. However, there was a lack of consistency across the school with the result that the BoT was not able to confirm that the required processes had been completed. It is within this contextual background that this study is set.

Survey Process

The next step involved surveying the staff to gather their perceptions of the PMS within the school, the effects of it and its effectiveness (Appendix 9.2). From the survey ideas for AR were generated. The population surveyed (one hundred teachers at a secondary school) was a sample of two larger populations - the first is the population of secondary teachers in New Zealand, and the second is the population of teachers, in general, in New Zealand (including all levels of education from early childhood (ECE) through to secondary). The results inferred from the research, in general, and the surveys, in particular, can therefore be transferred to other learning institutions with a degree of reliability. The rate of returns for the survey was 64%. However, one was returned blank and a second only included demographic information. Both of these survey forms were therefore excluded from analysis – making the final return 62%. I had expected this to be higher given that I was on site and provided regular reminders of the due date. However, given the busy lives teachers lead, the survey appeared not to be a priority for some. Findings are documented below.

AR Group

The final aspect in this step of the research process was establishing the group of volunteers for the AR. In order to do this I took a professional development (PD)

session with the whole staff, explaining what was going to happen and to seek the necessary volunteers. This session was challenging for two reasons. First, since I do not feel comfortable standing in front of my peers disseminating information, this was a big step for me, and one that has become easier as the research has progressed. Second, the differing views of staff were an issue. In the question and answer session at the end of my presentation there was support for the idea of making things better as well as the contrasting views along the lines of 'why not leave it how it is', 'we don't need any more work', and 'aren't we busy enough already?' This aspect of the research was perhaps my biggest challenge – getting everyone heading in the same direction and making this new process work as it was developed. I was terrified by some of the questions, but also gratified that they had been raised so early on in the process as this gave me an additional focus on which to work through the research process. I also had support from senior management in that they fielded some of the questions that were outside my domain.

The final step in overcoming any perceived bias for the participant group, thus adhering to the conditions for the research, was the participation in the group on a volunteer basis. There was no additional benefit to those involved, or detriment to other non-group staff members, apart from some additional professional development/learning. This act of gathering together a group was also an informative process through which several aspects of human nature were apparent. The first aspect was that busy people always manage to do that little bit more. My group were busy teachers with numerous other responsibilities yet they made the extra time to work with me. The second aspect was that personalities matter – the people who volunteered were like-minded and open to exploring new ideas. Finally, it taught me a little more about myself – and the need to believe in who I am. I was convinced no-one would want to volunteer, that they would be too busy, or that they would not see the value in what I wanted to achieve. These fears were, of course, unfounded. The journey I underwent is discussed in Chapter 8.

4.2.1 Survey Findings

The survey was constructed in six sections:

- i.   Demographic information
- ii.   Knowledge of MOE requirements
- iii. Perceptions of the current appraisal system (including minor   changes already made)
- iv.   Background to the current appraisal system
- v.   Perceptions of the appraisal process from a bureaucratic or   professional approach
- vi.   Changes staff would like to see happen to the school's appraisal system.

(i) The demographic makeup of the respondents can be seen in the graphs below (Graphs 4.1 and 4.2). There was a comparatively even split between male (29 returns) and female (33 returns) respondents from a range of teaching experience and ages. Two survey responses were not included in the analysis as one was returned blank and the second contained only demographic information.

Graph 4.1: Number of female survey respondents and their years of teaching experience.
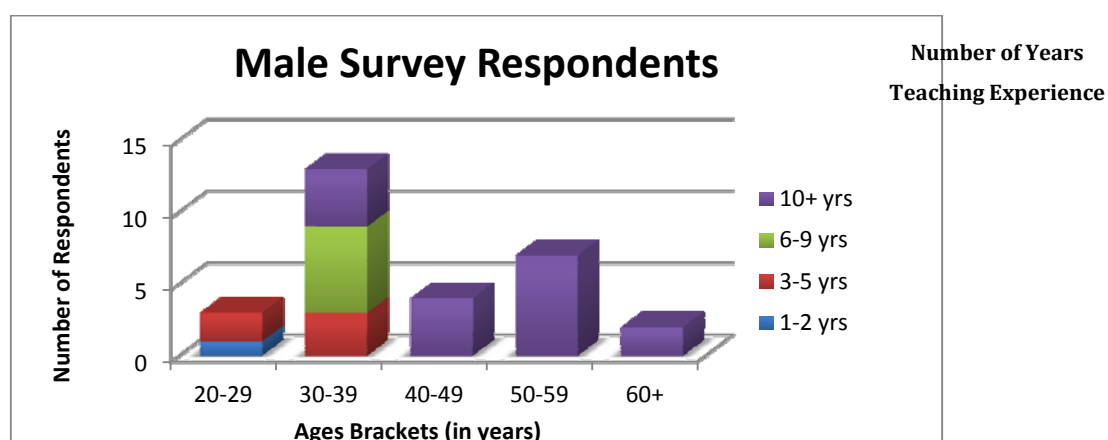
Teachers came from a cross section of teaching experience and positions of responsibility. Of those surveyed 59% held one or more management units for positions of responsibility and 47% stated they were involved in the appraisal supervision of other staff members. Respondents also came from a wide variety of curriculum areas including Social Sciences, English, Technology, ICT, Mathematics and Science.

(ii) The second section of the survey was specifically designed to gather information about the understanding teachers had of the MOE's requirements with regard to professional development, the Performance Standards (used to assess teachers for attestation purposes), and of the new RTC coming into effect during the year this research was carried out, 2010. The results from this section were illuminating. Using the computer programme SPSS to establish the Pearson correlations between the numbers of units held (indicating levels of responsibility within the school) and teachers' understanding of the three above categories, a poor understanding from staff was noted, irrespective of their position of responsibility. Table 4.1 shows the Pearson correlation results based on all the surveys returned with a focus on those teachers with units and the relationship to their awareness of the three categories. In an ideal school situation, each teacher should have a strong understanding of each of the above categories given that their salary and registration are linked to these requirements being met. The results indicate that the relationship between the number of units held by teachers and the understanding of the MOE's requirements varies for the three categories being

Table 4.1: Correlations between No. of Units held and Awareness of MOE/NZTC Requirements (Beginning survey)

		Number of units held	Awareness of MOE requirements PD	Awareness of MOE requirements Prof Stds	Awareness NZTC RTC
Number of units held	Pearson Correlation	1	.116	.180	.066
	Sig. (2-tailed)		.368	.162	.611
	N	62	62	62	62
**. Correlation is significant at the 0.01 level (2-tailed).					

analysed. While none of the Pearson correlation scores is particularly strong, a positive correlation can be seen. The greater the Pearson Correlation figure, the greater the link between the two factors. Table 4.1 shows that the number of units held by teachers and their awareness of the MOE PD and professional standard requirements are positively linked.

The following discussion is based on those teachers holding units and their awareness of the criteria. There is a 63% chance of a link between the number of units held by a teacher and their awareness of the PD requirements. Awareness of the professional standards is even stronger with 84% of unit holders showing an awareness of the performance standards requirements. The third variable is that of awareness of the NZTC's RTC. As these criteria were quite new to staff the Awareness level was unlikely to be high. This can be seen in Table 4.1 with only 38.9% showing awareness of these criteria. More significant is the correlation between the teachers with responsibility for appraisal and their awareness of the MOE's requirements for PD and of the professional standards, and the NZTC RTC's. Of the surveys returned 47% of the respondents were responsible for appraisal. Of those staff 47% were male and 53% were female. Links between appraisal responsibility and awareness of each of the MOE's requirements showed a strong correlation with 74% being aware of the PD requirements (72% of males and 75% of females). Awareness of the professional standards requirements was higher with 77% indicating an awareness of this variable (79% of males and 75% of females). The awareness of the RTC was instructive, even though these had not yet

been implemented within the school: 43% of respondents showed an awareness of these RTC (57% of males and 31% of females). These results are shown in Table 4.2 below.

While these results show a generally positive awareness of both the MOE's PD requirements and the professional standards, they might have been expected to be higher. If a teacher is responsible for the appraisal of other staff members, his or her awareness of all the requirements should be a prerequisite for the responsibility.

Table 4.2: Awareness of Appraisal Supervisors to MOE/NZTC Requirements (Beginning Survey).

	Male Awareness			Female Awareness		
	PD	Prof. Stds	RTC	PD	Prof. Stds	RTC
Respondent Responses	2	2	1	5	5	5
	5	5	5	5	5	2
	4	4	3	3	3	2
	5	5	5	4	3	1
	2	2	2	1	2	1
	1	2	2	4	4	1
	5	4	3	5	5	5
	3	3	2	4	4	3
	3	4	2	2	2	1
	2	4	3	4	4	1
	4	4	1	4	4	2
	4	4	4	3	4	2
	4	4	5	2	2	2
	3	4	5	2	2	1
				4	4	3
				5	5	5
1 = no awareness; 2 = limited awareness; 3 = some awareness; 4= moderate awareness; 5 = awareness of all requirements						

(iii) Section three of the survey gathered perceptions of all of the respondents of the appraisal process at the school, including minor changes that had been made. There were two main changes: providing all staff with a clear file which included their performance management documents; and the development of a timeline showing what needed to be completed at different stages during the year (See Appendix 9.10). Table 4.3 indicates a generally positive perception of the PMS within the school. Changes relating to a folder for documentation and a timeline

were found by teachers to be beneficial for the process. Results in this section support those found in section two: items 7 and 8 indicate an understanding of the professional standards and that they were of value to staff. This supports the awareness teachers have of these requirements established in section two.

Table 4.3: Teacher Perceptions of Current School Appraisal System

Survey Question	Disagree %	Agree %	No Resp. %	Neutral %
1. Having a folder in which to store Performance Management documentation is good	2	95	3	
2. The *PMP Checklist and Timeline* helped me to organise this process	16	81	3	
3. The *PMP Checklist and Timeline* helped me to be aware of the requirements	8	88	5	
4. My professional development plan (WPR) helped me to focus on areas of need and/or interest	20	73	6	
5. I would like more guidance in developing my professional development plan	50	47	3	
6. I found discussions with my supervisor over the *Performance Measures* was helpful	27	66	8	
7. I found the *Performance Measures* confusing	67	28	5	
8. I found the *Performance Measures* of little value	63	31	6	
9. I thought that having two supervisor observations was too many	69	28	3	
10. I thought that being observed at two separate times by my supervisor allowed them to gain a better picture of my teaching practice	31	66	3	
11. I like knowing what my supervisor will be looking for when they come to observe me	23	70	5	2
12. I benefitted from observing my buddy	9	86	5	
13. I would like to have chosen my buddy	44	48	6	2
14. I had productive discussions with my buddy after our observations	9	86	5	
15. Observing my buddy was good for my professional development	8	84	6	2
16. I found it hard to find the time to observe my buddy	39	56	3	2
17. The summary of student feedback helped me to reflect on my practice	9	83	8	
18. I found the student feedback to be of little benefit	72	19	9	
19. I found it difficult to summarise the student feedback for my buddy	72	19	9	
20. I did not manage to complete all tasks in the Performance Management folder	56	31	13	
21. I thought the process was helpful to my practice	26	69	5	

There were many positive outcomes from this section of the survey. Staff found the performance management folder beneficial and that the timeline and checklist aided them in their awareness of requirements and when aspects needed

completing. The revised structure was of value to many respondents (63%). Having two observations by their supervisors was also seen as beneficial to teachers' practice. Built in discussions with buddies were also seen as positive with the majority of respondents (86%) agreeing to this criterion, and 84% agreeing that the buddy process was good for their professional development. Student feedback was also found beneficial to practice and reflection (83%).

The results of four statements are worthy of note: 'I would like more guidance in developing my professional development plan' (5); 'I would like to have chosen my buddy' (13); 'I found it hard to find time to observe my buddy' (16); and 'I did not manage to complete all tasks in the Performance Management folder' (20). The first two statements indicate that there is almost an even split between 'agree' and 'disagree'. The latter two indicate a preference for one option; however, the results are very close. Statement 5 would seem to indicate that more work is needed in this area to help staff feel more confident in developing a professional development plan that met their needs. Half those surveyed felt comfortable fulfilling this requirement, but half felt they would like more support and direction to make this process easier and more understandable for them and perhaps of more value. Statement 13 seems to reflect variance in human nature and the relationships people develop with others. Half the staff felt more comfortable working with someone they knew and believed they could talk to more readily. They did not like the idea of building a similar relationship with another member of the staff who they did not know so well. The other half of the staff enjoyed the process of working with different staff members and developing other collegial relationships. This view was supported by anecdotal comments overheard in the staff room which supported the idea of 'random' buddies for appraisal on the basis that a different perspective on the school as a whole would be offered as teachers were visiting curriculum areas and staff members with whom they had previously not interacted. Statements 16 and 20 both reflect a time issue – finding time to visit buddies for observations and discussions and to complete the appraisal process when teaching a full class load was often problematic. The theme of 'time' came up consistently over the course of the research as an area of concern. To help with this issue the senior management of the school offered the teachers affected time out of

class with a relief teacher provided to enable the observations to take place. This option was not utilised as well as it might have been.

(iv) The main findings from section four of the survey showed that there was a lot of variation among staff regarding the number of times they were appraised during the year. While all staff should have had at least one observation, one meeting, and one planning session, this was not always the situation. One respondent stated they were appraised five times during the year. Of the remainder 74% were appraised 2 - 4 times, with 11% indicating they were appraised only once. A surprising number, 8%, stated they were not appraised at all. This was certainly an area which needed closer monitoring to ensure a more consistent approach across the school.

(v) The main aim of section five of the survey was to see if the perceptions of all respondents matched the results found by Fitzgerald, Youngs and Grootenboer's (2003) research which looked at bureaucratic and professional approaches to performance management. They found that in spite of "a climate of increasing control of teachers' work and professional activities by the State, results from [their] research indicate that school managers have adopted a professional approach to the appraisal of staff" (p. 91). I wanted to identify if teachers at my school saw performance management as bureaucratic or professional in its approach. While Fitzgerald et al. focused on distinguishing between management holders and classroom teachers, my research focused on the staff as a homogenous group to ascertain overall perceptions. Fitzgerald et al.'s research listed 26 statements that required Likert scale responses. The "statements [identified by Grootenboer] focused on characteristics of the bureaucratic (B) and the professional (P) approaches to teacher appraisal" (2003, p. 97). They found that "participants perceived their practice as being consistent with a professional approach to appraisal" (p. 100) with the items receiving the highest support all related to a professional approach to performance management. Those receiving the least support focused on bureaucratic control. When summarising the results from my survey, it quickly became evident that a professional approach was also the perception of the staff at my school.

Table 4.4 shows the statements identifying bureaucratic (B) or professional (P) approaches. The responses to each statement have been recorded as a percentage to indicate clearly the perceptions of the staff. As can be seen in Table 4.4 the majority of statements with a professional focus have agreement from the staff. I have included the 'No Response' and 'N/A' figures to show where questions were not answered. The N/A response provided room for speculation: it refers to the statement "Appraisal determines whether I move up the pay scale or not" and would seem to indicate that having reached the top of the scale this statement was no longer relevant to the teachers concerned. While a number of the respondents (56%) have been teaching for ten or more years and are thus in the position of being at the top of the pay scale, only three responded that this was not applicable to them. This would seem to indicate that the remaining 51% have considered the question from a generic perspective – in other words, considering whether or not they were affected when they were in a position to have appraisal count toward pay increments.

The final column in Table 4.4 is that of the 'Neutral' response. Again, each is shown as a percentage but this would represent between 1 and 2 individual respondents. I endeavoured to remove the option of a selection of a neutral response by having six categories for the Likert scale – Strongly Disagree, Somewhat Disagree, Disagree, Agree, Somewhat Agree and Strongly Agree. The aim of using these response categories was to ensure respondents had to make a decision one way or another – either in agreement or not. However, this expectation was not always adhered to and some staff members chose to circle both the 3 and 4 options for the statement indicating a neutral perspective. For the majority of the statements a neutral or no response had little impact on the overall percentage of respondents indicating agreement or disagreement. However, there were five statements where overall responses were too close to categorically indicate a preference one way or the other. The impact of the 'neutral' responses on these statements thus becomes quite significant.

Table 4.4: Professional and Bureaucratic Approaches to Appraisal: Staff Responses

Statement		Disagree %	Agree %	No Resp %	N/A %	Neutral %
1. Appraisal affirms and values my work as a teacher	P	20	75	5		
2. Appraisal determines whether I am competent to teach	B	41	56	3		
3. Appraisal determines whether I move up the pay scale or not	B	70	20	5	5	
4. Appraisal helps me to be a more effective teacher	P	27	67	3		3
5. Appraisal informs my professional development	P	27	66	6		2
6. Appraisal is an on-going and continuous process	P	5	92	3		
7. Appraisal is about checking if I conform to the *Professional Standards*	B	16	80	3		2
8. Appraisal is about evaluating how I do my tasks at school	B	20	75	5		
9. Appraisal is about making conclusive judgements about my teaching performance	B	52	44	3		2
10. Appraisal is an objective process	B	45	47	6		2
11. I am anxious about my appraisal	B	78	17	5		
12. I am comfortable sharing my work with others in appraisal	P	5	91	3		2
13. I direct my own appraisal	P	44	48	6		2
14. I feel my professionalism is undermined by appraisal requirements	B	78	16	5		2
15. I feel supported in my appraisal	P	13	83	3		2
16. I find appraisal impersonal	B	81	14	5		
17. I have found that trust is central in my appraisal	P	14	81	5		
18. I have sufficient time to carry out my appraisal	B	42	53	5		
19. In my appraisal, my teaching practice is considered in a holistic manner	P	28	67	5		
20. My appraisal is a collaborative, collegial process	P	17	75	6		2
21. My appraisal in an individualistic process	B	58	31	8		3
22. My appraisal is an open and transparent process	P	8	89	3		
23. My appraisal process is based on personal self-review	P	23	72	5		
24. My appraisal supports reflective practice	P	5	89	5		2
25. The people involved with my appraisal understand me	P	14	80	5		2

The first of these statements was 'Appraisal determines whether I am competent to teach'. As can be seen on Table 4.4 the split between percentages is 41% disagree to 56% agree (no response 3%). While the overall percentage preference is in agreement with the statement, the results indicate that a large number of staff do not see that the PMS as aimed at assessing their competence to teach. Statement

9: 'Appraisal is about making conclusive judgements about my teaching performance' has a closer percentage split with 52% disagreeing and 44% agreeing (no response/ neutral 5%). This result would seem to indicate that half of respondents believe that appraisal is not conclusive in judging their teaching performance. It is possible that this indicates appraisal is simply *a part* of defining their practice although this was not able to be clarified by respondents. Nearly half, however, see appraisal as definitive when having their practice assessed.

Statement 10: Opinions were more evenly split (41% disagreeing and 45% agreeing) when deciding whether appraisal is an objective process. Had the 'no response' and 'neutral' answers (8%) chosen an 'agree' or 'disagree' option this would have had an impact on the overall results. Responses to this statement would have been more helpful to the research if respondents had been able to offer an explanation. This would eliminate any conjecture from an accurate interpretation of results. Statement 18: 'I have sufficient time to carry out my appraisal' was again fairly evenly split with 42% disagreeing and 53% agreeing. This result reflects the responses to statements 16 and 20 in section 3. Half the staff found there is not enough time to complete their appraisal process. This is an area of concern as if there is not enough time, appraisal will not be completed in a satisfactory or meaningful way. It is interesting that these four statements relate to the bureaucratic approach to appraisal. Only one statement had an even split in responses from the professional approach to appraisal: 'I direct my own appraisal'. 44% disagreed and 48% agreed with 8% no response/neutral. It is this aspect that I aimed to change with this research – giving teachers ownership of their practice.

(vi) The final section of the survey asked teachers for perception about appraisal in general and ideas they would like to see incorporated in the appraisal process. A summary of key points follow:
- Half the staff knew what happened to appraisal documentation at the end of each year;
- While most staff knew that HODs (for their departments) and Senior management had access to appraisal documents, a large number also thought ERO, BoT's, MOE and NZTC all had an automatic right to view these

documents. In truth, ERO does have the right of access but the other organisations do not;

- Fifty-eight per cent of staff believed appraisal criteria were applied equally to all staff, however, there were numerous comments such as "different expectations from appraisers" and "dependent on WHO is doing the appraising" and "personnel involved – some treat it with different degrees of seriousness and professionalism" which indicated a high degree of inconsistency across the school;

- Only twenty per cent felt that appraisal was the responsibility of senior management. Thirty-nine per cent thought that all staff should be involved with a further twenty-three per cent saying both senior management and all staff. This reflects the collegial and collaborative processes inherent in appraisal;

- When given the choice of 5 categories for which appraisal could be used (curriculum vitae, competency process, pay increments, awarding management units, directed professional development), more teachers felt that the competency process (61%) and directed professional development (66%) were the key aspects;

- When asked the main motivation for striving for a positive performance appraisal outcome the results were quite varied. Responses could be grouped into several categories, however, including:
  - "being a better teacher", "self-improvement", and "to know I am doing it right";
  - "To give me feedback", "recognition", and "it's a 'feel-good' factor";
  - "Determine professional development" and "opportunity to reflect on my practice";
  - "Personal satisfaction", "professionalism and learning", and "I want to do my job well";

Each of these groupings reflects the professional approach to appraisal which was by far the most dominate type of response. There were some responses, however, that reflected a more bureaucratic approach:
  - "Competency"; and
  - "Tick the boxes".

One response was in a category of its own: "I don't need a positive appraisal. A good teacher will be striving to do better and should not be distracted by filling in appraisal form after appraisal form."

- Changes identified by the staff fall into four broad categories:
    - Provide more time for the work to be completed;
    - There needs to be less paperwork/ fewer documents in the folder;
    - PD needs to be provided at "our" level; and
    - Establish a definite calendar for when things should be completed.

Other themes included: "more collegiality and cross curricula activities"; "paid time for discussions"; "Change the focus of the observations – some to be chosen by the person being observed and some by observer"; "include all areas of my work, not just the classroom"; and "it should be changed to a feedback/feed-forward process". One response did not quite fit into any other category, although it does have links to time management: "HOD's should be able to determine the competency of their staff and then those who are not meeting the standards should go into this lengthy process of formal observations and paperwork." This comment also reflects the view that some teachers hold; that they *know* they are good teachers and so the appraisal system does not apply to them. This comment was again heard spoken in the staffroom during a professional development session.

- When asked about how professional development could be linked to the appraisal process, the responses were again varied; however, one response came through very clearly: professional development needs to be based in individual needs. Other considerations included:
    - More budget allocations;
    - Suggested courses or ideas included in appraisal folders;
    - Sharing of ideas and observing needs to happen more;
    - Needs to occur in stages throughout the year;
    - Cover all areas of work, not just teaching;
    - Have a page that allows teacher to identify needs and then reflect on benefit;
    - Have targets from previous year included in following year's folder;
    - Should be a reflective process;

o It should be positive and not based on areas of weakness – that doesn't help; and

o "Maybe the appraisal process should be driven by the PD needs of the staff member."

Finally, there were several comments made that were not in response to questions in the survey form that reflect the need for more time particularly for middle managers who have to arrange their own performance management as well as those of the members in their departments. Terminology used in initial appraisal documents at the school also proved problematic as there were 'supervisors', 'buddies' and 'colleagues' which tended to cause confusion. The timeline sheet was also seen as too busy and needed to exclude all the 'beginning teacher' information. One respondent wanted a more reflective practice established.

From this survey several ideas were prevalent:

- The appraisal folders needed to be refined and documents more focused and easy-to-use.
- Observations needed to have a teacher focus as well as the traditional requirements.
- Time for discussions and observations needed to be factored into the process.
- More reflection should be built in.
- Links between professional development and appraisal need to be made clearer.

It is clear from the survey and observations of staff during this process that:

- There is not a lot of awareness from teachers about the RTC.
- Some HODs (who are usually responsible for appraisal) are not aware of all aspects of the appraisal process.
- Professional development needs to be targeted to staff more directly – and HODs also need to be made aware of how this can be achieved.

4.3   Step Three

Figure 4.4: Section of Step by Step Research Process - Step Three
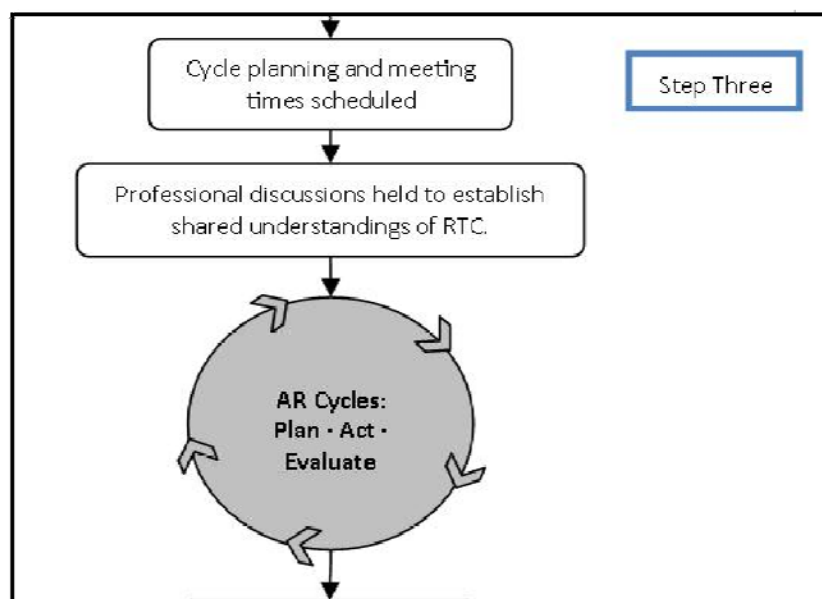
Step three (shown in Figure 4.4) comprised two main foci – the establishment of AR cycles within the group of volunteers and work with the staff as a whole. Although these aspects are intertwined in many respects, for this discussion I will address each separately where possible.

4.3.1   Action Research Findings

This step had one main overarching AR cycle which had four main goals established through discussions with senior management and the participant research group of eight volunteers:

- To develop a portfolio structure and appropriate documentation for the whole school,
- To understand the RTC and how they can be integrated into the above,
- To meet the identified needs from the surveys,
- To develop professional development focus for their appraisal with group participants.

To achieve these goals, a variety of methods were utilised. There were eight volunteer group discussions, 'homework' which involved the reading of selected

articles prior to the next meeting, individual meetings in between group meetings, development and trialling of documents within the group, discussions with senior management about the progress of portfolios, and whole staff PD sessions. I also used activities provided by a NZTC workshop based on the RTC with both the group and the whole staff. Journals with reflective questions were provided to each group member to record their thoughts and progress during the research process. The first discovery I made was that arranging meetings for discussions was not easy. There were very few times when the whole group participated together, which is why the individual meetings in between group sessions were so important. These small sessions helped keep everyone up to date with what was happening, but it also gave each teacher a chance to reflect on his or her own practice in a more focused manner.

Participant A's goal was to prepare for the new standards coming into force in 2011. At the beginning of this research the field of Media Studies was chaotic, with no specific course recognised by NZQA. Standards for the course had been 'borrowed' from English, Humanities and the Arts curriculum areas. Participant A's main professional learning goal was the trialling of new Media Studies-specific standards and working on the development of an appropriate course for Level 1 in 2011. During group and individual discussions it was clear that A was working well with trialling and modifying his activities, and being able to discuss these with me and the group helped him clarify his ideas.

Participant B had a very different goal for the research. In fact he had two: the first involved developing a Year 11 programme for Science that incorporated the re-aligned standards. This involved him taking a leadership role within his department and discussing issues within the group helped him develop strategies for managing this situation. The second goal was to improve relationships with his students and to achieve this he chose a very simple action to trial: actively ensuring he spoke to each student every day. He was surprised and very pleased with the outcomes from this – the level of discussion within his classes grew, as did the confidence of the quieter students who were now participating fully in class discussions.

Participant C was looking at the changes in the revised New Zealand Curriculum with regard to the increased focus on Asia. Her goal was to develop a programme that encouraged a greater understanding of the region for both herself and her students. While C had difficulty in getting underway with achieving her goal, after an individual discussion, she was much clearer in her focus and began by trialling smaller aspects of a larger unit of work with her current classes with a long term goal of establishing the developed unit into the following year's programme.

Participant D had been allocated a room that year that included a Smart Board. Her goal was to learn how to use this more effectively to enhance her students' learning. To do this she sought out professional development both from parties external to the school and those within the school who were already using the Smart Boards effectively. She then developed and trialled activities appropriate to her subject area and integrated these into her classroom practice over the course of the year. D was highly animated when talking about the process she was going through and the effect this was having on the students in the class.

Participant E looked at behaviour management strategies for her most challenging class. This group of students are the ones who ideally should be out in the workforce but are either too young or there is no work available. The course she runs for them looks at the key competencies and develops strategies for life-long learning and coping in the 'real world'. Her biggest concern for her classroom management was changing her approach from being reactive to proactive. Over the course of the year E trialled a variety of strategies but realised that what might work on one day with this class will not necessarily work the next. This development of strategies is on-going.

Participant F had responsibility for the oversight of a department. Her goal was to help them to develop a programme to meet the realignment of NCEA. This involved not only the structural development of the programme but also the management of the staff within the department. F used a variety of strategies to manage this process, some more successful than others. The biggest issue with F was that the

time she could set aside for the research process was very limited and it was really only during irregular five or ten minute meetings with her that I gathered evidence of her AR cycle and the processes she was going through. She did not have time to record these but did provide insights into time constraints and work commitments that impact on other 'add-ons' such as this research.

Participant G wanted to develop his SCT role and the support he could provide for other teachers. He saw this also happening through helping with the research process as in the end the aim was to improve the appraisal process which would help the staff. G was very good at asking me questions to make me think about what I was doing and why. This helped not only in streamlining processes within the research but focused the production of documents for the portfolio. For his own goal, G did a lot of professional reading, trialling and then integrating ideas that were suitable into his practice. He also shared his thoughts and ideas readily during group discussions which helped other group members with their own goals. In doing this G was furthering his goal of developing his SCT role.

Participant H aimed to produce a unit of work for Year 11 Food Technology. This subject at this level was not taught at the school and she wanted to help make this happen. In order to achieve this goal, H down-loaded the relevant information from the NZQA website but found that it was extremely difficult to understand as the language was very non-specific. One of her actions was to inform her department of the units of work and what was entailed. This involved her first interpreting the texts and then creating a shared meaning with other staff members. H also trialled aspects of the units with both Year 10 and Year 12 students to give her different perspectives on what worked well and what didn't. She found it very beneficial to sit and discuss her ideas with a neutral person (me) as it helped her to clarify her thoughts and aided her reflective process.

These individual goals were all undertaken as mini AR cycles with teachers trying something, reflecting on it and then building on the process. They all found talking with me individually of benefit as it clarified their own ideas. The group discussions were also beneficial as they gathered a variety of ideas from the others

and this helped each participant think beyond their small area of practice. The group discussions always began with me opening the session with a question usually inquiring of one or other member how their action was progressing. During some of the sessions we began by discussing articles given to the group during the previous sessions. Each meeting I would begin the discussions but the members would quickly develop ideas and ask questions of each other. At times during the sessions I would ask further clarifying questions or bring the group back on topic if the discussion had drifted too far. It was important, however, that I did not 'run' these discussions as it was not my ideas I was gathering. Through these discussions a number of very strong themes were also developed:

1. Professional development
2. Observations
3. Reflection
4. Time
5. Discussion groups
6. RTC

4.3.2 Themes

Theme one: Professional Development (PD)

The group discussion began with the view that PD was not seen as PD by everybody. B made the point that "PD was often of little value to the majority of staff especially that done in whole school sessions such as teacher only days." He added that it was rare on such days for anything of significant value to come from whole school sessions. "While it may be amusing and make you feel good at the time, maybe even make you laugh, its usefulness in the classrooms was negligible" (7.9.10). This sparked a whole range of thoughts, especially by others of the group wanting B to clarify what he meant. Participant A agreed with the statement adding that "whole school PD was not targeted at individual teacher's needs or areas of interest, rather at a global aim of whole school improvement or bonding" (7.9.10). The notion then arose that instead of 'development', seen as something done to teachers (Lawrence, 2008), that 'learning' should be the focus as this was

seen as being more individual and focused on teacher need. With professional development, teachers need to take responsibility for the programme and drive the results, not sit back and wait for someone else to the work for them. In taking this responsibility, the flow of ideas and the decision making processes will become effortless and have more meaning to the teacher (Lawrence, 2008).

Another area raised was the need to follow up on PD undertaken. As H stated (after reading an article I had provided): "I thought probably the most interesting part [of the article] was that changing and doing anything requires all that follow up stuff which we never get to do. We don't, we don't get time, we don't get money, we don't get resources … so perhaps people who provide professional development need to factor in 'ok we're going to do this now and in 6 months' time we are going to get you back together again and go over what you have done just to see how, to see what was working and what needs changing" (27.7.10). This view was supported by others in the group who had also been in the situation of participating in PD only to return to school and find that much of it was lost due to the lack of follow-up and support. Change from PD sessions is introduced into programmes and practice. However, once the change is made the question arises as to its sustainability. Professional development and learning often results in "temporary change while particular aspects of practice are in focus." As the focus changes, either the school or individual, so too does the ability to affect "long term sustainable change" (McGee, 2008, p. 51). Participant C clarified the idea of following up on PD during the discussion session: "The professional development session you did with the whole staff the other day was really good. For me it seemed to gel a lot of what we have been doing in the group" (24.11.10).

The quality of PD also came into question. Participant B was very animated about the whole issue: "One of my biggest frustrations over professional development within education is that a very large proportion of that type of stuff is just crap PD. It's poorly presented, it's not targeted. It's worthless when you compare it to actually doing it in the first place. I'm not saying the whole lot is … [with] half the universities, [the PD offered] is designed to get funding, it's not designed to professionally develop teachers" (7.9.10). Literature supports this point indicating

that "meeting teacher-felt needs is the foundation for building future professional development plans" (Speck & Knipe, 2001, p. 10). Speck and Knipe add that "teachers are tired of professional development that is imposed on them from the top" (p. 12) indicating that PD must be driven by the teacher and be of value to them. Day et al (2007, p. 60) found that the success of professional development "depends in part on the opportunities that are offered and the quality of these" which again reflects the need for targeted and quality professional development.

Two other aspects of PD were identified. First, that PD does not have to be sought from external agencies, and that there are a lot of opportunities within schools for staff members to provide learning for other teachers, which in itself is good PD for the teacher providing the learning. Day et al (2007, p. 33) state that "literature suggests that effective professional development is school-based, collaborative, progressive, and focused on pupils' learning." They add "that it encompasses a wide range of concepts, including mentoring and interaction with colleagues … as well as a range of activities, such as observation, working on tasks together, sharing ideas or discussing the implementation of resources." Second, when sourcing external PD, knowing where to seek the information is critical. With changes in this system in recent years, this has become more difficult – most PD is on-line, eliminating the option of reading about courses in booklets put out by providers. This was a far preferred option as teachers could browse at their leisure during break times.

Theme Two: Observations

Discussions on this were led by Participant E. She was very keen to see changes made to the observation process. In particular, she wanted a check sheet of possible observation areas included into the portfolio to focus the observation process. Her aim was that the teacher should choose one or two of the options to be included during the observation. This idea was argued against by Participant G. He felt that having a list would remove a key focus from the observation – that of classroom management:

> If people's classroom management is effective then they are able
> to relax a bit and focus on other things. It's the teachers whose
> classroom management they're struggling with on regular basis,
> [or] it's a bit of an issue with a certain class, they're the ones that
> are struggling themselves ... but also the class is struggling to feel
> positive about the subject. And I think that by tidying up that
> area, even if it means we miss out on some of the higher level
> stuff in a sense, I think you're still going to achieve more for the
> school. (27.7.10)

From this diverse discussion it was decided that the observation sheet in the portfolio should remain essentially as it was but with one 'minor' alteration. An additional line was added where teachers were to include an area of practice on which they would like the observer to focus.

The other key focus that came from the discussions was that teachers would like to see a return of 'Watch Week'. This was an opportunity to visit other teachers on a casual basis to see how they ran their classes and to gather ideas for one's own practice. As Participant A stated: "I found [the visits] quite useful ... but I sort of had an idea in the back of my mind of what I wanted to take out of it and so it was looking at classroom management, for example, and it was good" (27.7.10). Ideas about how to structure this were considered. Given the size of the staff pool it was thought that once every two years would be appropriate. Also, each teacher would be limited to a maximum of three visitors so their classroom programme was not disrupted too often by visitors. Those who wanted to 'visit' had to arrange this with teachers themselves, and as a check for completion, this would be signed off in their portfolio by the teachers they visited. More planning on this was necessary so the SCT decided to look into it further.

The idea of 'drop-ins' was also seen as beneficial, especially within departments as this would aid a teacher's specific subject practice. Having an 'open-door' policy within school departments can change the focus of classroom visits from

"administrative and/or social focus" (Lawrence, 2008, p. 134) to one of professional learning and collaboration.

Theme Three: Reflection

Each member of the group felt that reflection was a vital part of their practice and they were developing this as the research process continued. However, initially there were obstacles to overcome:

> Reflection is - It's like teaching a lesson – you teach a lesson, if it was a bad lesson you'll sit and you'll reflect on it ... and you'll try and fix it up. But if it went fine you just move on to the next class and you don't think about that lesson until next year when you come up to this topic and you think, actually that worksheet didn't work that well so I'll [change it] ... but that's when you do your refection - this time next year. (Participant E, 27.2.10)

Another issue was that of confidentiality. Some aspects of some of the group's work could not legitimately be recorded in reflection logs due to the sensitive nature of the issue under reflection. Participant F stated: "[I am reflecting] constantly – inside my head ... But I was going to say some of it is a bit hard to write down because it's fairly confidential" (27.7.10).

Once these had been discussed a variety of positive ideas came forth, especially the need to use a variety of methods to encourage reflection. Everyone agreed that once the process had been started then it was easy to continue and to develop. However, overcoming that initial stumbling block of putting pen to paper was going to take some thought. Participant E noted that the staff would likely comment that they are 'already doing that'. Participant G added that support from senior management would help encourage the staff to take reflection seriously and to see it as part of the appraisal process.

From these discussions a Professional Development Reflection Log (Appendix 9.11) was developed which has been given huge support by senior management. It

is now well integrated into teachers' practice as a means of reflecting on PD undertaken and its impact on classroom practice and student learning. The second development from the participant group discussions was the "Reflection Square" (Figure 4.5). The aim of this was to help encourage teachers to reflect on what they collect as evidence for the RTC and on what is a significant piece of evidence for them personally. While this has not had as wide acceptance among the staff, it is possibly too early in its use to see whether it will be effective. From a personal perspective, I do use it and find it a good means of reflecting on the evidence I am collecting for the RTC's and on aspects that need focus in the future. Participant B suggested staff should bring their PD folders to all staff PD sessions so that they could record their reflections "there and then" (18.10.10).

Figure 4.5: Reflection Square – used to direct reflection on evidence teacher is collecting.

Reflection Square: **Date:** _____

☺   What have I done? What have I learned?
☺   What is the significance of the learning? How will it change my practice?
☺   How will this learning generate new actions?
☺   How will this help my students' learning?

The group found that discussions with others helped their reflective process. This idea is support by Day (1999) who notes that reflection is aided by critical friendships. These are "based upon practical partnerships entered into voluntarily, presuppose a relationship between equals and are rooted in a common task of shared concern. The role of the critical friend is to provide support and challenge within a trusting relationship" (p. 44). There are barriers to constructive reflection, however, and teachers become "so focused on keeping the classes moving that they do not question where they are moving to" (Lawrence, 2008, p. 127). This was an important point we discovered. To overcome this I facilitated a PD session with HODs and proposed that they spend 10-15 minutes perhaps once a month in their department meetings just allowing teachers to talk about aspects of their practice

and to share ideas. This idea has been utilised by some departments better than others.

The discussion on reflection led to the next two themes: Time and Discussion Groups.

Theme Four: Time

"I'm going to schedule a period in my timetable just to reflect on what's been happening" (Participant H, 27.7.10).

"My own holidays I spent time doing that stuff – [I] would normally have done in term time" (Participant H, 27.7.10).

"It's just getting time to write it down" (Participant F, 27.7.10).

"With regard to this whole business of reflecting and commenting and scribbling down, I mean to me, the thing is time, isn't it? We're always kind of when are we going to do that? So does there need to be dictated [time], right department time, this term at a department meeting we're going to be [reflecting]?" (Participant D, 7.9.10).

"It's always been like 'oh rats, I've forgotten about that' because there wasn't enough time to do it at the time" (Participant H, 24.11.10).

Time is an issue. There are many claims on teachers' time making critical analysis of practice difficult. Allocating non-contact time specifically for "making sense of complex, ill-defined and ambiguous situations is a key determinant of quality teaching and that providing time for reflection which is more contemplative is an essential part of teacher development" (Day, 1999, p. 44). In a later study, Day et al (2007, p. 61) found that teachers were not often satisfied with the time available for more 'informal' professional development such as reflection and 'chats' with colleagues. They also found that the more years of teaching experience a teacher had the less time was available for these activities. This perhaps emphasises the need for teachers to 'timetable' segments of time specifically for reflection on and about their actions, for critical inquiry into their practice. This can be seen in Participant H's comment above - she physically allocated non-contact time in her planning book to work and reflect on specific aspects of her practice.

The solution to never having enough time to complete tasks like reflection is almost unanswerable. The only solution the group came up with was finishing every fourth Friday at 2.40pm and using that time for active reflection. This might work but the impression from the group was that many teachers would tend to complete the reflection 'down the road' if the time allocated was a Friday afternoon.

Theme Five: Discussion Groups

The theme that came up repeatedly over the year was the need to establish discussion groups. Each member of the group found the opportunity to discuss ideas and issues within the group, and with me individually, to be of huge benefit. This reflects the underpinning philosophy of this study – sociocultural theory where individuals learn through interaction with others and their environment (Jaramillo, 1996). Through these discussions a learning community evolved. Each individual wanted the discussion to carry on after the completion of the research and ways of achieving this were sought. However, each time it came down to the issue of time – when would teachers get time to do this? Participant D notes: "it does all come down to time doesn't it? ... it's time allocated specifically for professional discussion ... I mean these get-togethers [for this research] are just that aren't they? ... opportunities for professional discussion" (27.2.10). Some departments, as mentioned above, have now scheduled reflection time into their department meetings and this allows for a chance to discuss aspects of practice. This same idea is now a goal resulting from this research to endeavour to use ten minutes of a staff meeting for the same purpose. It is necessary to develop a learning community where 'talk' between and among teachers "allows for the deconstruction, testing and reconstruction of beliefs about teaching and actions within teaching" (Day, 1999, p. 46). The concern with using staff meeting time is that staff meetings are held at the end of the day and fatigue becomes an issue.

The benefits of such discussions are well supported in the literature. Hendricks (2006) found "when educators engage in dialogue about improving teaching practices and when they work together to facilitate each other in moving

conversations about best practices into their classroom activity, professional growth is a natural outcome" (p. 67). The desire to make this a reality is present in the school but the critical mass is not there – not enough people want to make it happen yet. When the numbers who want to have professional discussions builds then opportunities are more likely to be scheduled. This is a future goal resulting from this research.

Theme Six: Registered Teacher Criteria (RTC)

This was the final theme that created a lot of discussion, much of which was how to evidence the RTC and how to interpret them. Part of the philosophy behind the new RTC is to promote professional practice through discussion and to develop a shared understanding of how they fit within each educational individual institution (Duncan et al., 2009). In short, each school will create its own meaning of the criteria ensuring they reflect the culture of the school. This can only happen through discussions among staff and management. To begin this discussion with the group we started with a mix and match activity – indicators to the RTC. At the time of the activity I wrote in my journal: "A commented: 'You need to translate them first'. B replied: '... akonga ... what's that?' The conclusion from this it that the RTC definitely needed 'unpacking' to clarify meanings and to gain a shared understanding of what may be expected from them" (27.4.10). This activity proved to be very successful in beginning to gain a shared understanding of what the RTC mean. This activity was later used with equal success with the whole staff. The process of familiarisation with the RTC, while slow and still on-going, did create valuable discussions within the staffroom and provided a sound basis for later activities to further expand the staff's understanding and use of the RTC.

One point that was brought up was that there were actually quite a lot of RTC to meet. Participant H suggested that they should have been narrowed down so that there were fewer to "get your head around". While there are three more RTC than there are Professional Standards the issue is perhaps not the number of RTC but more with the fact that teachers now need to meet two sets of 'criteria', one for registration and one for pay advancement, a total of 21 individual aspects.

Participant E suggested having a list of the RTC in her planning folder as a bookmark so that the RTC are constantly in front of her. She then used the bottom one or two rows of each page, not used in planning, to note down ideas and evidence as they occurred during the day. Another means of making the RTC more visible was to provide each teacher with a wall chart of the RTC as well as a copy of a booklet containing relevant information about them. These were provided to the school by the NZTC. Participant B suggested using the RTC as 'pop-ups' on his screen similar to those available through Outlook Express to remind people of appointments. "You just type them in and then that just pops up every day at nine o'clock or something with a random teaching criteria on it and then you can go what have I done for this criteria today?" (27.7.10).

A direct result of discussions was the refinement of the Professional Development Plan (Appendix 9.12) to include space for the RTC to be linked directly to the professional development of each teacher. Space was also provided for teachers to note and address any RTC not well met in their PD Plan. A second sheet was also developed to be used as the sign-off sheet for registration and attestation. This took much more development as we as a group tried to ensure all the RTC and their indicators and school expectations were included. This was not an easy task and took several drafts and trials before the current version (Appendix 9.13) was settled upon.

During the last two group meetings there was one further aspect discussed which although not affected by this research was seen as a concern by the group and for the school. All group members could see the benefits of the year's research in their own practice and in changes to most staff attitudes. However, Participant B summarises the concern:

> The thing that plagues me about [the RTC], I think they're a great idea, is that the issue will still come about from the same staff members that don't actively do this [appraisal] in the first instance. And I guess if I cut through the political correctness, the ones that are sitting there going no, no I'm fine, I don't have to do

anything, let's just tick the boxes, they are going to be the same ones who are going to sit there this time next year in a department meeting or in a staff PD session, sitting there and not being a part of it. (18.10.10)

This concern was echoed by other members and they voiced the frustration they felt about teachers who resist the appraisal process because they believe they are 'above' it. The group felt that the new RTC could provide a means of changing these teachers for the better if the senior management "got tough". I mentioned to the group that at the RTC workshop I had attended we were told that the RTC could be used as a 'crowbar' to help move those teachers forward who had previously been resistant. We were to look at the RTC as providing an opportunity to wipe the slate clean and start afresh with these teachers. This is all very well, but management will still need to 'get tough' and ensure teachers not meeting RTC do not get re-registered.

When we did a final 'sum up' around the group of how they were progressing with their AR cycles, the overwhelming response was positive. Many had had great success with their initiatives – more than they had been expecting. One member, however, summed the process up well: "It's still a work in progress, that's the way I look at it. If you're life-long learning, you never stop" (Participant H, 24.10.10).

Whole Staff PD Sessions

From the sessions with the volunteer group, and assisting them with their own AR cycles, it was possible to transfer much of what was learned to the whole staff PD sessions. There was two main whole staff sessions and two sessions with the HODs. Informative sessions with the whole staff were held at the very beginning of this study's research process to give an overview of what I intended, the first held at the end of 2009 and the second at the beginning of 2010 where volunteers for the group were sought.

The next session with the whole staff was held in July and involved a quick introduction to the RTC. This was not a long session as it was decided to just give

staff a 'taster' of what to expect and then build on this in a later session when they had had a chance to think about the requirements. This proved to be a good idea as at this first session there was a lot of negativity in that many saw the changes as more work for them. One teacher stated that he thought it was a waste of time. "Why should I do this? I know I am a good teacher and my HOD knows too. This is just taking the trust out of the job. Why should I have to prove I'm a good teacher when you can see I am?" This taught me quite a lot about people. It was a mistake to think that just because I believe something to be good and worthwhile that others will see the benefit too. I realised that I needed to be very clear about what the RTC involved and the philosophy of life-long learning *for teachers* as well as students that underpinned the RTC. I also realised that there was still some distance between teachers in their acceptance of what changes were to happen and how their practice would be affected by the process. Thankfully, the majority of staff were open to the ideas discussed in the session and could see benefits to it. However, the biggest concern, even from those open to the idea, was the increase in workload in an already busy day.

The succeeding PD session with the whole staff was undertaken in November and looked at sources of evidence for the RTC. The staff was divided into groups and each given two RTC to look at with a focus of identifying evidence specific to what was seen within the school. They also had to come up with two or three other reflective questions that could be used with one the RTC provided. There were again misgivings from the staff about this leading to more work and what they would then be expected to do with their list of RTC evidence. They were, therefore, pleasantly surprised when I told them I would be collating the lists which would then be included in their portfolios. From this activity a huge amount of discussion arose. Teachers were talking about what they were doing in their curriculum area and how this might relate to a particular Criterion. This led to the other RTC they were assigned being discussed as teachers began to realise that one piece of evidence could be used for more than one criterion. The sharing of ideas was quite dramatic, with number of teachers leaving the session with ideas to take back to their own classrooms.

While the discussion in the 'evidence' session was productive, so, too, were the lists established by the teachers. The sheets on which they wrote their responses had the RTC, the reflective questions and the indicators as provided by the NZTC. Staff built on these with ideas that they had seen or used within the school. The collated list, with the extra reflective questions, became a springboard for individual teachers to establish their own evidence specific to their practice when compiling their portfolios the following year.

There were three PD sessions with the HODs, one in term three of 2010, a second in March 2011 and a third in May 2011. The first was a quick overview of the RTC, sourcing evidence and the overall structure of the portfolios. How the appraisal process could be managed and the expectations of the HODs were also discussed. There was some resistance and a few grumbles about the workload, but in general the HODs took notice of the information. The second session focused around reflection and discussion. It was at this session that the idea of taking time in Department meetings for focused discussion was tabled and taken up by several HODs. The aim of this meeting was to encourage deeper reflection among the staff; something that needed to be facilitated by the HODs. The 'Reflection Square' was discussed as were sources of evidence and how these needed to be thought about – not just collected and forgotten. It was very pleasing to see at this session the changes that had taken place within the school over the course of the year. Instead of there being comments about *why* we should be doing this, the discussion focused on *how* we could achieve the changes effectively. Questions from the HODs explored timing of discussions within their meetings and how reflection could be encouraged. I felt at this point, that a milestone had been reached. I was no longer trying to motivate people to change their practice; they were beginning to drive the change process themselves. Acceptance had been achieved.

The final session with the HODs involved discussing the review of evidence collected for the RTC and the discussion that could be generated from this. By this stage of the study it was important that much of the 'push' came from the HODs and that they were the main means of disseminating information to their departments. Using this means of communication was more effective than a whole

staff session as the discussions generated within departments would be more specific to each teacher's curriculum area. This PD session was effective in that it again showed how far the staff had travelled with the new appraisal system. Notes were taken and questions asked with a focus on how the appraisal process could be managed. There were also some HODs who shared their experiences of departmental discussions and their benefits for the department. This helped to encourage other HODs to further their department's utilisation of the changed appraisal process.

4.4 Step Four

Figure 4.6: Section of Step by Step Research Process - Step Four.
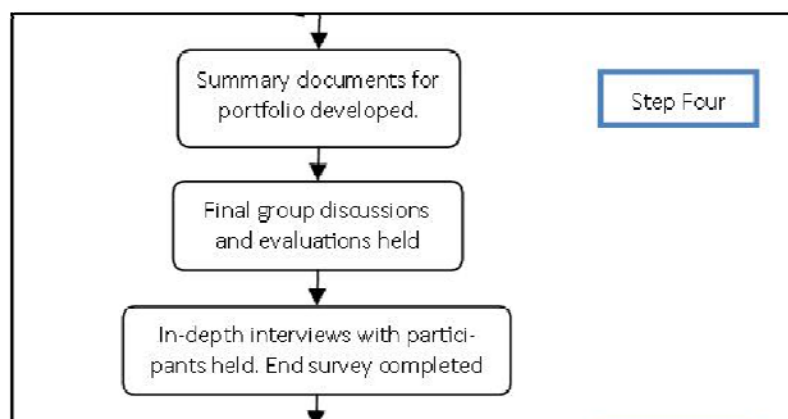
Step four (shown in Figure 4.6) involved three areas of focus: (i) final interviews with each volunteer group member, (ii) an interview with the principal, and (iii) a 'closing' survey with the whole staff. The questions for the group member individual interviews were essentially the same (Appendix 9.7) but allowed for the development of clarification questions as necessary. The time and place of each interview was decided by the interviewee to allow them a degree of choice and freedom during the process and to make them feel comfortable with the process. Most interviews were conducted at the end of 2010. The last one was completed at the beginning of the following year due to unavoidable circumstances. Questions and responses are outlined below. It is important to note here that Participant F did not feel she could respond to the interview questions as her involvement had been very limited. She did, however, want it noted that time played a big part in her not being fully involved – there simply was not enough of it.

Question 1: During the action research process, what aspects did you find worked well?

There were, understandably, a variety of responses to this as each member took something personal from the process, something that related to their professional learning for the year.

Participant A: "I liked the idea of actually writing things down and putting down opinions and drawing my own conclusions and being able to say, well, I did this, and it led to this, and so on, and so forth."

Participant B: "There's probably two parts for me. One was it helped me realise that I was more of a leader in the school than I realise I am. The other is just that it takes you out of the science world and you get the variations from the other departments and the other levels of them."

Participant C: "Having the meetings really worked well for me and being able just to come and listen to others, and listen to you especially. And also being able to write things down in a reflective way."

Participant D: "There'd be a whole load of things basically. Just the sheer fact that we were meeting on a fairly regular basis, promoting reflective conversation, it made you think about your practice and your best practice."

Participant E: "Nothing specific – just the whole concept of opening my eyes to a more conscious reflection of what was going on."

Participant G: "I think it was reasonably informative and it gave us a picture of trying to find some sensible middle ground in terms of what we can get staff to do next year."

Participant H: "Anything that had to do with me actually doing stuff with the class."

Question 2: What aspects could be improved upon?

This was predominantly responded to with the word 'time'. Most of the group would have liked more time to have met and discussed ideas and practice. The other key comment was: "I had real difficulty with the teacher criteria stuff, I just

felt that was far too waffley" (Participant H). This comment did not reflect changes she would have liked made to the research process but more about the RTC and their practicality.

I removed question 3 – 'Of what value did you find the process?' - as responses from question 1 seemed to cover this well.

Question 4: How do you think the changes in the performance management system have helped it become more meaningful to you as a teacher practitioner?

Participant A: "I think it is quite important to write down and go, ok, these are what my own personal goals are, this is how I'm going about achieving that."

Participant B: "At this stage I can't say that they have. The reason for that is that I think they have probably clarified what I would see as a good teacher in the first instance but I think the change the question you have asked refers to will more come about from stronger line management or department management in driving the goals for the professional teacher."

Participant C: "Well, as a teacher it's more meaningful. It's helped me by being able to have a framework just to reflect within. And as a teacher it helps me to recognise my own strengths instead of relying on my appraiser to say once at the end of the year 'yes, you've done this well', or 'you could have done this'. Whereas throughout the year I have been my own judge."

Participant D: "It's all well and good talking about it but a conversation can be forgotten, so to jot things down, to add to my PDP folder [portfolio] with evidence toward teacher registration or whatever, that's been helpful."

Participant E: "I don't think they have. That's why I was involved this year and I still think pretty much what I put in that portfolio is of little or no value other than the student feedback and the page with the criteria on it. That's all. Having my supervisor and buddy come in and watch me teach, they see one thing happening on one day which is, consciously or unconsciously, specially prepared because you know that they are coming so of basically of no value."

Participant G: "I think the concepts of buddying up, and then having buddies actually observe some aspects of you teaching, I think is a very, very powerful part of the document."

Participant H: "I guess just making you stop and think about what you do, what you get out of things. Maybe when you go to PD you're a bit more aware of ok, how's this going to relate back to [my teaching] … whereas PD before was just … something you went to. I still think it's got a way to go. I still think things need streamlining and if you are going to give people that folder there then needs to be some sort of time where you allow that process to happen."

Question 5: Do you think you have more control over your practice than prior to the process? Why/why not?

Responses to this question fell into two main categories: an absolute 'no' and 'I'd like to think so'. It became clear during the interviews that participants felt, for the most part, that they were already in control of their practice and that structures in place by members of the group and other teachers provide "quite a solid system" for appraisal (Participant G). The two participants who felt more in control believed this was because they were now more aware of the RTC and how these could be used to provide a framework for their practice.

Question 6: How do you think your professional development supports and leads your performance management processes?

Participant A: "For me professional development is more important than the performance management. And I think the professional development, what I do for that will contribute to the performance management and getting the right ticks in all the places but it shouldn't be the other way around. The performance management shouldn't pull the professional development."

Participant B: "At this stage it doesn't. That was one of my personal findings in finishing up with this process – I need to actively personally drive my own professional development. … My performance management or areas where I need

improvement or want to be stronger should be driving my PD – that's still how I see it."

Participant C: "It's fully supportive, it's the foundation then of what we do because now it's got this compulsory self-reflective aspect to it and we have to show what we're doing."

Participant D: "A bit of both. I wouldn't say one leads the other. However, historically we go through our [professional development process] and it's just like, oh yeah another hoop jumping thing. Whereas now I feel in a better space to make a request to senior management for [PD funding] next year."

Participant E: "It doesn't lead it. And if it's good PD then it supports it."

Participant G: "I think with goal setting, that sort of thing, objectives that I have for the year that I want to sort of work towards achieving."

Participant H: "I'm not sure I see a huge correlation for me. I don't think about either. I just do."

Question 7: How was the use of the professional teaching portfolio of benefit in showcasing your practice? How do you think this document could be further developed?

Participant A: "Probably not much actually. I think it could [be developed further to do this]."

Participant B: "When I started to actually go through the process the portfolio wasn't too bad, it was a perfectly fine way of doing it. Perhaps [to refine it] it could be sectional, in a simple state RTC1, RTC2 sliding in parts that are appropriate to each area, or a cover sheet for each area perhaps so I could add this evidence goes with this [criteria]."

Participant C: "The portfolio has the potential to be excellent although for me I under-used it. But as I get better at keeping a portfolio I think that it will give me a great deal of pleasure to be able showcase my work to anyone who might want to look at it."

Participant D: "In terms of showcasing practice it was great to be able to pick up my folder and [look at what I had done] – that was really cool. In terms of who it's for, I found it of value to me to be able to be able to go 'oh yeah, I've done that, and I've done that and I've got evidence of that'." D added that she would love the time to be able to sit down and share with other teachers the items she had collected within her folder – and to share others' evidence but time was a huge factor. She stated that sharing, when it could happen was "great because it gives them (other teachers) a bit of a stage, it gives them an opportunity to celebrate something."

Participant E: "I have got an idea of how I am going to portfolio my evidence so I know how I'm going to do it basically and that's about all."

Participant G: "Teaching portfolios are not something I have had a lot of experience with and even this year, I have kept a folder and I've kept some pieces of evidence here but the process itself I haven't really followed. I mean I've kept sort of a logbook here and that sort of thing but I wouldn't say that I've kept a portfolio, no. And I'm still in two minds about it."

Participant H: "I find it great using [the notebook you gave us all]. But as far as our maroon PD folder goes, I think maybe there should be something in there where you can keep a record."

Question 8: Where do you think this process and the aspects covered during the research could head now within the school?

Participant A: "I think it's one of those things that, with the changes it's [the professional development portfolio] going to be one of those documents that's continually developed."

Participant B: "Within the school – I would like to see something alongside it [the PMS and RTC] or with it where we can target poor management and poor teachers."

Participant C: "I've always felt that it would work well if it progressed now in smaller groups so that what we have done this year we can reflect that again but multiple times."

Participant D: "I think through to departments; you talked about [some] department meeting time being specifically allocated. I think that could be a way forward but I would always be very conscious of time."

Participant E: "Probably those who have been involved in it perhaps working with others to produce their portfolios because perhaps some of us have more understanding."

Participant G: "I think that it's probably a matter of taking some of the ideas generated this year and incorporate them into the professional management folder."

Participant H: his key focus was to schedule time for professional discussion and sharing of best practice.

Question 9: What other recommendations or comments can you make after having participated in this research?

Participant A: his key idea was for a 'person' within the school to be in charge of the process and remind people when aspects of the performance management process were due for completion.

Participant B: B's message was that there will be a number of staff who will resist the changes and this will be a challenge. He countered this with the comment that there was a much higher degree of awareness of the RTC within the staff.

Participant C: "Being a part of that group whereby I felt that someone was taking notice of what I was doing [was great]. So quite a personal sort of thing for me. And I can just recommend that it carries on. But it needs to be nurtured in a way that I feel you have nurtured our group along."

Participant D: "It was great having the guidance, the focus questions, the notebook and the little homeworks - we weren't always very good I have to say but never-the-less I think that was a great idea because it did make you sit and think."

Participant E: E thought that the best part was keeping a journal and that she would continue to do this as it was a benefit. She could see however, that this would not necessarily be the case for other staff members.

Participant G: The key idea here was to make sure the staff were reminded regularly to think about the RTC and perhaps have a session once or twice a year where they are discussed and evidence looked at. Adding in a reflection/PD log was seen as a positive step as it will help focus staff into reflection of their practice. G was very aware that teachers would not participate in the performance management process readily if they saw it as time-consuming and of limited benefit so it needed to be a "streamlined process".

Participant H: Again the idea arose in this discussion about the need to become less isolated as teachers and encourage a process of professional discussion. H did add that she had found the year a challenge but worth it in the end, but "think very carefully before you say yes to something."

(ii) Interview with the Principal

The interview with the principal, completed in March 2011, elicited some key points:

- It is important that staff see the 'big picture' of the school "because everybody likes to know the reason for what they are doing."
- The learning environment of the school needs to be positive for both teachers and students. The role of the principal in this is doing a lot of "talking it up", making staff and students see what could be possible.
- Professional development is important. Up until recent times it has been a much underrated part of teachers' practice, but now on-going learning is becoming more accepted.
- A minimum for PD should be some form of compulsory participation around a key school focus.
- PD is restricted by the funding available.
- One-off PD often has little value if there is no follow-up.
- PD needs to be analysed by teachers – what did they learn? How will it improve practice? The principal commented that "[this] is the bit that most teachers don't like."
- One of the biggest obstacles to school improvement can be the staff. Some people simply do not do well with change.

- To encourage people resistant to professional development the process needs to be non-threatening and allow the teacher to see for themselves where the issues are – with support.

- PD needs to be carefully orchestrated. It must include variety to keep people engaged and breaks to allow for discussion and for ideas to 'sink in'. It must also capture interest in the first 10-15 minutes.

- Often schools spend too much time skipping from one focus to another for professional development without allowing the first focus to become embedded within the school. The principal calls this the 'butterfly effect' – touching on the 'blooms' of PD very lightly. It is critical, however, that the embedding happens. Once embedded the focus can be changed as long as the first PD is revisited from time to time to keep staff up to date with the learning done.

- Identifying PD needs through interview and discussion and then tying this into a cycle for the following year helps to maintain focus.

- Portfolios help teachers see what they have achieved and that in most cases they have achieved "quite well". They are also good for reflective practice – to see where you have come from and how you are practicing now.

- In an ideal situation, the principal would like a 'single' sheet of paper that outlined professional development for the year based around school, departmental and personal foci, and how this impacted on classroom practice, and evidence that the RTC had been met with some detail about the process undertaken. This would show if the RTC were met, and if not what had happened to remedy this. This would not be a tick box process but would need to indicate a depth interaction with the RTC. This document would also need to show the teacher had reflected on their practice and be based around meaningful goal setting.

The principal's final point was to agree with the group's finding that time was, and possibly always will be, an issue. He also agreed with the need for discussion time to be built in where possible, commenting that when he was at conference the following week "I can guarantee that the best part of that will be sitting down at night time with a beer and chewing over the fat."

<u>(iii) Closing Survey with Whole Staff</u>

The final area of focus in this step was a final survey with the staff. One hundred staff were again surveyed with 63 responses returned. The aim of this was to see if there were any major differences to the initial survey results and to establish perspectives on professional development and their knowledge of the process involved. I carried out this survey in two parts – the first looking at the portfolio and changes made to that, and the professional development process. The second part involved the relationship between units and awareness of the RTC, and the MOE requirements for PD and the professional standards. The reason for doing the survey in two parts was that the first survey was undertaken directly at the year's end when the portfolio was finalised for the year. This meant it was fresh in everyone's minds and gave a clear indication of the process at that point. The second one was completed near the beginning of the following year when the revised process was in place. I was interested to see if there had been a change in awareness with the requirements – especially by staff with appraisal responsibility.

The survey results from the beginning to the end showed very little variation in teacher perception with regard to the Likert scale ratings questions. The value of the process was recognised by the majority of the staff and seen as having a positive impact on their practice. Statement 5 (I would like more guidance in developing my professional development plan) again resulted in a balanced response of positives and negatives. 49% found the process well supported while 47% found they needed more guidance (4% were neutral). As this particular aspect was not one addressed at this point by the research, the lack of change in the result is not surprising. It was, however, brought into discussion with senior management and in subsequent HOD meetings at the beginning of the year following the research cycles.

Feedback from respondents of the first survey led to a slight change in wording on the second survey. Wording on the Likert scale was not seen as progressive in the first survey going from 'agree' to 'somewhat agree' to 'strongly agree' (as was the

disagree scale) and was therefore changed to 'somewhat agree' to 'agree' to 'strongly agree' (as was the disagree scale). While the wording changed to help teachers see the scale effect more clearly, the 1-6 scale itself did not change. While this wording change was in itself minor, it has meant that *direct* correlations between one section of the two surveys relating to changes to the performance management system cannot be made. However, *comparisons* with overall perceptions are discussed in this section.

Statement 13 – 'I would like to have chosen my buddy' – also provided a relatively even split between agree and disagree. It may be that it will take time for teachers to see the benefit of broadening their view of school life. While some definitely prefer to observe and discuss practice with people they feel comfortable with, this *can* restrict their practice by limiting the perspective they have of the whole school. As the interview with the principal noted, having a view of the 'bigger picture' is important and observing different people in different curriculum areas helps gain this broader view.

From this second survey, one aspect stands out very clearly as having changed: 'I had productive discussions with my buddy after our observations'. While this statement still has a positive focus (73% agree and 25% disagree), when compared to the very strong positive outcome of the first survey (86% agree and 9% disagree) it can be seen teachers' perceptions have become less positive. This seems to link in very closely to Statement 16 – 'I found it hard to find time to observe my buddy'. The results for this statement had also seen movement between surveys. In the first survey the results were close with fifty-six per cent saying that finding time was difficult and thirty-nine per cent saying it was possible. In comparing the results to survey two: seventy-five per cent now stated it was difficult to find the time to complete this activity. This difficulty in finding time for the observations would also impact on the value of the follow up discussions as there may not have been time to complete these either. The option of release time being made available for staff to complete these observations was again not well utilised. Comments from members of the staff suggest that teachers resent the idea of having to leave their own class to visit someone else's class

simply to perform part of the appraisal system. This is an area of concern and will need careful consideration as to how this is managed in the future.

The final statement that also showed some change was another relating to time: Statement 20 – 'I did not manage to complete all the tasks in the Performance Management folder'. Comparing the two surveys, indications seem to show that the number of those not managing to complete the tasks grew. Survey one indicated 31% found it difficult. In survey 2 the figure was 41%. This could be due to the changed nature of some parts of the folder, although these were relatively minor changes and should not have had a negative impact. A more likely reason is the lack of time within the teachers' timetables to complete their expected practice without the expectation to complete additional activities – which appraisal is often seen to be.

The answers to the open questions provided more varied responses. There were ideas given for future developments and perspectives on the current system. Teachers in this survey were more aware of what happened to their performance appraisal documents at the end of the year, but the percentage of those not knowing was still quite high. In the first survey fifty-nine per cent had no idea what happened to their documents at the end of the year. This had improved slightly with forty-eight per cent now 'not knowing'. I found this outcome quite surprising given that this information was clearly given to the staff at the beginning of the year.

When asked what improvements could be made the predominant response was the need for less paperwork and more time. Both these options are very difficult to accommodate, however, but with further embedding of the process this may be possible. Input into what was being looked for during observations was also a key response, as was more guided reflection and more feedback within each department. Nineteen per cent of respondents were happy with the process as it was.

The next question looked at how professional development was provided and the guidance available for this. Again responses were varied. Up until fairly recently, within the last five years, a book produced by the major PD providers could be found in the staffroom for teachers to look for suitable PD options. This book no longer exists with PD now being found online via the various providers and through the online Education Gazette. A small number of staff (11%) was not aware of this change and were unsure how to access PD information. A far greater number (37%) were dependent on their HODs for this information, while fifteen per cent were reliant on information coming from the senior management. This question identified a gap in the processes at the school surrounding PD and is something that needs addressing. Suggestions to remedy this included the development of a PD board, more advertising in staff and department meetings, and more direction from HOD's for specific, personalised PD for individual teachers. One teacher commented that the issue was not *where* one can source PD but the *actual value* of the PD offered.

When asked how professional development could support performance appraisal key responses included that PD should be developed from a teacher's professional development plan which is part of the PMS; PD should be based on identified weaknesses or areas needing improvement; PD should not focus on weaknesses but on areas of interest – a focus on positives; and helping teachers to achieve personal goals. There were also comments both for and against the linking of these two aspects: "[PD] can't [be linked to performance management], and it shouldn't. PD should be related to hands-on teaching NOT stupid systems that make paperwork." This comment reflects the opinions of a core group of teachers who were resistant to the whole appraisal process. Contrasting this view is the following comment:

> Real PD can greatly improve your PM [performance management] and appraisal. I have used concepts and strategies that I have learned from PD sessions years ago that are still useful. I don't have a problem with observing other teachers or

them observing me. Providing and receiving feedback is cool too.

(Comment in Staff Survey 2)

One teacher's response was quite pragmatic: "Since professional development is a major focus of the new TC guidelines it has to [link to performance management], doesn't it?" Alongside these comments were others that made suggestions for improvements such as identifying PD opportunities in the year prior based on the appraisal cycle; and promoting inter-collegial PD through discussions.

The next section of the survey asked for any other comments. The predominant one was the need for more time. Another suggestion made was to have the PD provided to the staff during the year minuted in a book so that teachers could refer back to it as necessary. There were also several positives about the new process: "Overall I have found this a positive process" and "I think it's a great system – awesome to have a buddy – fair and not too onerous." However, there were also those who felt the system was not worthwhile: "New guidelines for registration look worrying. Too much waffle – none of it will *mean* anything", "Nothing about the performance management structure/process is improving my teaching. My teaching gets better because of who I am" and "The process is unwieldy and for this reason of less value than if it was streamlined and simplified and involved less paperwork and more time to provide meaningful timely feedback to students." Two teachers felt the system would not identify and help those teachers who were 'failing': "I totally disagree with this folder and system as it does not deal with poor teaching in the school or develop teachers professionally. Poor teachers are not helped/fixed under the present system. The real support and PD comes from our departments."

The final aspect of this survey looked at the relationship between the number of management units and the awareness of the MOE's requirements for professional development and the professional standards, and the NZTC's recently introduced RTC. The results of this correlation can be seen in Table 4.5. This part of the survey had no semantic changes and was in all ways identical to survey one. Direct correlations can therefore be established. Table 4.5 shows the total number of

respondents (63) with the analysis focusing on teachers with one or more unit and their perceptions of MOE requirements for PD and professional standards, and the NZTC RTC.

Overall, the awareness of staff with management units has increased in all areas, but most dramatically in their awareness of the RTC. Again a positive correlation between the number of units and an awareness of the MOE PD and professional standard requirements can be seen. The results indicate that there is now a 92% chance that there is a link between the number of units held by a teacher and their awareness of the PD requirements – a gain of nineteen per cent. Awareness of the professional standards is even stronger with 96% of unit holders showing an awareness of the performance standards requirements – a gain of twelve per cent. As noted above, however, the greatest change is in the awareness of the RTC. This has changed from 61.1% with *no* understanding of the RTC to thirty-two per cent with a lack of understanding. This indicates that there is now a much greater awareness of the RTC by teachers with management units – those in positions of responsibility.

Table 4.5: Correlations between the Number of Units held and Awareness of MOE and NZTC Requirements (End Survey)

		Number of units held	Awareness of MOE requirements PD	Awareness of MOE requirements Prof Stds	Awareness NZTC RTC
number of units held	Pearson Correlation	1	.221	.256[*]	.128
	Sig. (2-tailed)		.082	.043	.316
	N	63	63	63	63
*. Correlation is significant at the 0.05 level (2-tailed).					

The awareness of staff with appraisal responsibility to the above requirements has also changed. There were 63 responses to this second survey. Of those respondents 41% (26 teachers – 16 female and 10 male) were appraisal supervisors. Only one male supervisor felt he had only a little awareness of each of the three categories with the remaining male appraisal respondents indicating a moderate to strong awareness of the requirements – 96% awareness, a gain of

24% for the PD requirements, 17% for professional standards requirements and a 39% increase for the RTC. The female supervisors were not so consistent in their awareness: for the PD requirements 92% showed moderate to strong awareness (a 17% gain); for the professional standards the percentage was 85% - only a 10% gain; and for the RTC the gain was 65% with 96% of appraisal respondents indicating a moderate to strong awareness of the RTC requirements. What is perhaps more important is that of the remaining staff (38 respondents) – those not responsible for appraisal – showed a marked increase in their understanding of the RTC. Initially in survey one, 8% felt they had only a 'little awareness' of the RTC requirements. The second survey showed 92% indicating a moderate to strong awareness. I find these results immensely gratifying as it shows that through the PD sessions delivered and the individual help provided, that teachers do show an understanding of what they are expected to attain for registration purposes.

4.5   Step Five

Figure 4.7: Section of Step by Step Research Process - Step Five.
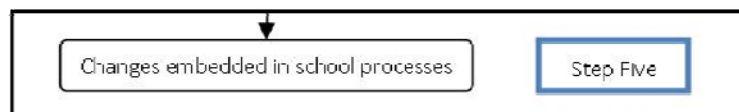
The final step (Figure 4.7) of the study involved the embedding of changes into the PMS of the school during the first term of 2011. This required the updating of each teacher's portfolio with the revised documents, collated evidence sources, and the PD Reflection Log (Appendix 9.11). It also involved over the first term of the year – and in an on-going process - providing support and guidance for teachers and departments to ensure they were on the 'right' path toward the integration of the RTC and the associated changes. It was clear from this process that many of the departments within the school were well underway with this integration process and had scheduled discussion time into department meetings on a regular basis. The other departments, although not as far ahead as those just mentioned, were still integrating aspects of the changes into their departmental routines.

At the end of the research period it was clear that the PD Reflection Log is being well utilised. It was being regularly promoted by senior management with incorporated examples of what has been completed. A vast majority of staff were using this log on a regular basis, annotating it with the PD attended and a reflective comment. Comments from teachers have indicated their amazement at the amount of PD undertaken within the school and among staff over the course of the term. While not all PD is relevant to each individual teacher, staff appeared to be taking from the sessions points that are relevant to their practice. It marked the beginning of a process and actual participation was a constructive start. As the school continues along this pathway, the depth and value of the reflection will inevitably improve.

Regular reminders of upcoming performance management requirements were made (mostly during morning staff briefings), and advertising of forthcoming PD events were also notified to staff during meetings. Both these processes are helping close some of the gaps noted in the previous year's research. PD sessions with HODs also helped improve the reflection process and helped staff to gather and discuss collected evidence.

During this period (first term of 2011) I remained a support person for this process. I work closely with the SCT and senior management to ensure the performance management process continues to run smoothly and to help build on the initial understandings that staff have developed. I was regularly sought out by staff members to clarify issues or to simply discuss aspects of the professional development portfolios. One HOD requested I address his department to clarify points and answer questions. While all this is extra to my already busy workload, it was an aspect I took immense pleasure in as it was essentially my work that made this happen.

Chapter Five

Analysis and Discussion

This chapter analyses the findings of this study in relation to the research questions outlined in the introduction and the previous chapter. Each question will be discussed in light of the results attained during the AR cycles and the findings of the literature review. Possible future directions will also be explored.

As this research has also been a voyage of discovery, it is important to note here that the process of getting to this point has been challenging – and continues to be so. I have found that it is all very well having a plan for the research and a set of questions to answer, but actually finding those answers is not as easy as it initially seemed. I had ideas of what I believed the answers should be although I tried not to let this influence the outcomes attained. I believe I have been successful in this aim as the research followed its own path with guidance more from the group of volunteers and what they personally wanted to achieve rather than me endeavouring to prove my own ideas. That the findings for this research have not fallen into the discrete categories of the research questions confirms the exploratory nature to the process.

5.1 Question One

In what ways might appraisal be redefined to give teachers ownership of the process and thereby control of their practice?

It *is* possible for appraisal to be redefined and for teachers to have ownership and control of their practice through the appraisal process. It is also important that teachers take this ownership as without it, appraisal will fail to be effective (Fitzgerald et al., 2003).

> Building teacher ownership of standards and everything that is
> aligned to them is essential to the success of a new evaluation

> system. Ownership impacts the credibility of the effort in the hearts and minds of teachers, and affects whether the standards are seen as unreasonable expectations foisted upon them by people far away from the classroom or a powerful vision of teaching excellence. (Aspen Institute, 2011, p. 3)

For many years appraisal has been a mechanism for control, especially through the professional standards developed by the MOE and the teachers' unions in their respective Collective Agreements. Recent changes to the measures used for registration purposes have, however, 'opened the door' for greater ownership by teachers of the processes involved in performance management of staff. This can be achieved through increased collaboration and inter-collegial discussions, ideas promoted by the NZTC and their new RTC.

Changes to the management of schools created by the introduction of *Tomorrow's Schools* in the 1980s, resulted in the performance management of staff becoming a school's responsibility. The MOE saw this process as being flexible and allowing BoTs the freedom to design their own performance appraisal system "appropriate to their school and community" (Ministry of Education, 1997, p. 2). The MOE noted that "teachers should feel a sense of ownership of, and have confidence in, the appraisal procedures" (Ministry of Education, 1997, p. 6). Regrettably, this has not always been the case. Much research has found that teachers do not see the validity of the imposed process of attestation and appraisal (Kleinhenz & Ingvarson, 2004), that very few appraisal systems actually encourage teachers to take responsibility for their own needs (Humphreys, 1992), that appraisal needs to be seen as consistent and as just (Larsen, 2009), and that there must be a high trust environment (Codd, 2005).

I was extremely fortunate with the school where I chose to undertake this research. I was provided unconditional support to complete the AR cycles and to implement changes within the school's PMS processes. But that in itself was not enough. In order for appraisal changes to be embedded and for teachers to take ownership of their practice, the climate of the school and the associated trust

within the school were critical. This school not only had a very positive and supportive climate, but also had a leadership team who encouraged the open exchange and sharing of views without fear of censure. The senior management was "easily accessible" (Education Review Office, 2011, p. 3) to anyone wanting to discuss issues or to express ideas. The process of teachers beginning the journey toward control of practice through the ownership of their appraisal was made easier due to the culture and support from within the school.

This positive culture strongly reflects the underpinning philosophy of this study, that of sociocultural theory. Vygotsky's sociocultural theory postulates that learning is embedded within social events and occurs as a person interacts with other people, objects, and events in the environment (Scherba de Valenzuela, 2002). Within the school the interactions between staff members and the support and scaffolding provided by senior management and me, enabled teachers to learn, develop ideas, and share his or her understanding of all aspects of the appraisal process. The buddy system also built on this by providing 'critical friendships' (Fullan & Mascall, 2000) between teachers which again supported learning and development.

Alongside this positive culture, the staff identified that, in general, they saw appraisal as a professional process that was aimed at enhancing their practice rather than a means of bureaucratic control. However, responses from the initial survey gave a clear direction for this research. While staff identified appraisal as having a professional focus, one statement reflected the area I most wanted to change: 'I direct my own appraisal'. Forty-four per cent disagreed and 48% agreed with 8% no response/neutral. In directing one's own appraisal process, a teacher can control his or her practice through identifying personal areas of growth and/or need through their professional development plan. Given the positive culture within the school, making changes to this aspect of the appraisal process was feasible. In seeing appraisal in such a positive and professional way, teachers were able to use the process to help structure their own learning through targeted professional development and collegial discussions.

While this revised process is still in its infancy at the school, many changes seen in the approaches staff are taking with appraisal indicates teachers *are* taking ownership of this process. During term three of 2011, a final follow-up PD session was held where teachers were given the opportunity to discuss their practice, their sources of evidence and their reflective processes. This session allowed me to gather summative data from the study and establish how effective the embedding of the revised appraisal process had been. The 'buzz' in the staffroom, in spite of it being late in the day and late in the term, was very gratifying. Teachers shared their ideas with their buddies, identified issues and discussed possible solutions, and showed their buddies exactly what they had been doing over the course of the year with regard to their appraisal and the collection of evidence for the RTC. The culmination of this session was the unexpected sharing of one teacher's 'evidence folder' for the RTC's. His buddy proudly stood up and showed the rest of the staff what this teacher had been doing. While it was different to other's evidence collecting processes, it was well structured and fitted his practice and teaching style. It also provided a number of other teachers who had been struggling with the RTC with scaffolding for evidencing aspects of their practice.

This session with the staff facilitated many of the aspects identified by Upsall (2001). Upsall states that "a peer appraisal scheme that enables reflection, self-analysis and the identification of areas of need for professional development is essential" (p. 179). Through the on-going development of teachers' portfolios this option of active reflection and discussion enhances teachers' ability to take ownership of their practice and drive their professional development from their identified needs and wishes rather than through directives passed down from senior management. This PD session also supports Cameron and Gunn's (1999) view that appraisal standards need to be part of a shared process as on their own standards will not achieve anything worthwhile and will instead be another set of unused documents. "Standards *could* make a difference if they are part of an educational system which is focussed on developing the learning capabilities of teachers, students and others" (Cameron & Gunn, 1999, p. 12, author emphasis).

By jointly constructing meaning for the RTC, a deeper understanding of the criteria and the impact they can have on teaching and learning can be gained. In creating a shared understanding, teachers are reworking their own knowledge in conjunction with that of others – again reflecting aspects of Vygotsky's sociocultural theory (Lantolf, 2004). Because of the high level of change within the education sector, being able to construct these new understandings through discussion and dialogue is critical.

Sachs (2003) notion of standards being "flexible to the changing conditions of teaching and learning" (p. 175) is achievable through the use of the RTC. This flexibility also supports teachers taking control of their practice as, although these criteria can be seen as products of others' work (Bishop et al., 2004), they can be interpreted by each teacher to meet their own needs. This is done through discussion with others and thus developing a shared understanding of the RTC yet through this process ownership for the teacher is also developed. Through this 'translation' of the RTC, teachers can 'fit' them to his or her particular context. This allows teachers to develop a shared understanding of what is required and how the standards relate to their practice. The portfolio developed over the course of this study provided the scope for teachers not only to demonstrate their professionalism through the gathering of evidence for the RTC, but also to show connections between the RTC and their professional learning through PD opportunities and the links to their practice. In being able to direct their own professional development, teachers are taking control of their practice.

Ownership and control of practice was identified in other areas of the research. When asked in which categories appraisal could be used there were two main outcomes: competency process (61%) and directed professional development (66%). This was a very positive outcome in that it shows teachers acknowledge that appraisal has two aspects – to 'deal with' teachers who are not doing their job well whether this be through targeted support or the extreme of dismissal via the competency process, and the autonomy to direct one's own learning through targeted professional development. This latter aspect reflects the ownership

teachers can take in their practice through directing their own PD and supports the views of Mayer et al. (2005) that on-going professional learning should become a continuous process in teaching practice. They add that "there is increasing support for … continuing professional learning that is directed and controlled by the teachers themselves" (p. 161).

It also became apparent during the AR phase of this study that the teachers within my group were actively taking ownership of aspects of their practice. Through each of their individual AR cycles they explored various aspects of their practice and made changes. This process was directly linked to the RTC and thus to the performance appraisal process. These cycles involved a variety of actions including seeking appropriate professional development to meet identified needs (Participant D), taking leadership roles within a department (Participant B), and developing assessment tasks to meet NZQA and student needs (Participant A). Another key factor in helping these teachers take ownership of the appraisal process were the discussions held both within the group and with me individually. These discussions provided valuable feedback of the changes they were making, and helped to clarify their ideas about what they wanted to happen. This resulted in a more structured and proactive reflection process that helped to clarify ideas. These discussions also provided different points of view so that each teacher could see a broader picture of the school and how this might impact on his or her practice.

A further means of taking ownership by the group was through the development of processes and documents to help the rest of the staff achieve a similar goal. The documents developed for the portfolio included aspects the group saw as valuable to the appraisal process that also aided teachers in taking control of their practice. These included observation sheets with space for an identified focus from the teacher being observed, changes to the Professional Development Plan to show the links to the RTC, the development of a Reflection Log, and a change in the use of the portfolio by having staff bring these to whole school PD sessions so they could be discussed and annotated "there and then" (Participant B). One further aspect

identified by the group was the need to re-establish 'Watch Week' where teachers visited other classes over the period of a week to see how aspects of teaching might be done differently. This 'Week' is to be scheduled into the school calendar on an alternate year basis, with a scaffolded process included in teachers' portfolios to make the process run smoothly. All these examples clearly show teachers taking control of their practice through the establishment of documents and processes that will help them individually as well as the staff as a whole. It is also demonstrating Hager's (1993) notion of having an appraisal system that allows for teacher discretion and variation in the contexts chosen to evidence practice. Hager notes that appraisal is typically about outcomes and that the standards used should be left "open as to how the outcomes are achieved" (p. 6). This would give teachers a choice about how to 'demonstrate' their abilities and what evidence to collect to support this, thus allowing them to take ownership of the process and control of their practice.

Regrettably, this ownership was not felt universally within the school. A number of teachers still need direction with their practice through support in finding appropriate PD opportunities and help with identifying possible sources of evidence to demonstrate their practice. Participant C was a good example of this. She joined the group because she was unsure of her practice and wanted to make changes. This required a lot of support from the group and me to help make this happen. In having someone she could readily discuss ideas with and the encouragement to believe that the changes she wanted to trial could have a positive impact, Participant C began to build confidence in how she managed her practice. By having to explain and justify what she intended, Participant C further developed her teaching programme and classroom management strategies.

Results from the whole staff surveys indicate that teachers, in general, see the appraisal process as beneficial to their practice. Comments such as "self-improvement", "to give me feedback", "to determine professional development", "an opportunity to reflect on my practice", "personal satisfaction", and "professionalism and learning" indicate that that the outcomes of the process

matter to most teachers – but not all: "I don't need a positive appraisal. A good teacher will be striving to do better and should not be distracted by filling in appraisal form after appraisal form". While this may seem to detract from the above comments I do not see it as such. This teacher is taking control of his practice by striving to improve. The problem he finds with making this happen is the time taken to complete appraisal forms to indicate his practice meets the required standards. By becoming more involved in the process developed over the course of this study, the benefits of the portfolio system and documents became apparent and while this teacher still is reticent about 'filling in forms', he has contributed to staff discussions and is gathering evidence of practice.

The fact that teachers see the appraisal process as beneficial indicates a positive impact on practice since one of the strongest themes that came through this research was that teachers did not want to participate in activities that were not going to benefit the students they teach. This would seem to reflect that the changes made to the appraisal process do allow teachers to develop and maintain ownership of the appraisal process and control of their practice. This is, however, an on-going process that will require "further development of strategies" that will aid teachers in their practice (Participant E).

5.2 Question Two

In what ways could professional development become fundamental to the appraisal process?

It is important that PD is a fundamental part of the appraisal process as high quality PD targeted to meet individual teacher's needs will help to improve teacher practice and student learning. The MOE (1997) and Bailey (1993) both state that appraisal should be linked to professional development. Bailey adds that appraisal "must be a continuous process not a once a year event" (p. 4) and that it must be an integral part of the process of professional development. This idea is supported by a wide range of literature. Piggot-Irvine (2007), Lam et al. (2002), and Duncan et al. (2009) all clearly state that professional development needs to be "long term …

and sustained" (Piggot-Irvine, 2007, p. 3) rather than a "one-shot deal in the form of course or workshop without on-site continual coaching" (Lam et al., 2002, p. 182) and needs "to address [a teacher's] own teaching and learning needs" (Duncan et al., 2009, p. 46). The on-going nature of professional development has often been missing in PD offered to staff. There has often been little recognition of the value of on-going PD until recent years: "Professional development is important. Up until recent times it has been a much underrated part of teachers' practice, but now on-going learning is becoming more accepted" (Principal interview, March 2011).

Four key findings came from my research into this aspect of the appraisal process. First, professional development must be on-going, as mentioned above. Second, it needs to be planned for and not undertaken in an ad hoc manner. Third, it must be based on the identified needs of the teacher involved. Fourth, teachers need support and guidance – scaffolding - at different stages of their appraisal and professional development pathways. If each of these aspects is in place then professional development will be fundamental to the appraisal process, and it will allow teachers to take ownership of their on-going learning and thus have control of their practice.

The MOE (2007) states that "on-going learning conditions should be maximised so that teachers gain and continually improve the skills and knowledge required of them" (p. 10). This clearly indicates that the MOE expects teachers to be learning continually through the course of their practice. This view is supported by a number of researchers. Day (1999) states: "the nature of teaching demands that teachers engage in continuing career-long professional development" (p. 1). McLaughlin and Talbert (2006:1, cited in Day et al., 2007, p. 250) suggest the "hallmark of new professionalism … will be a 'commitment to lifelong professional learning and collective responsibility for improved student learning'." Duncan et al. (2009) indicate in their initial research into the RTC that learning is on-going and as such is supported by the RTC as they require at least a three year cycle in order to evidence them accurately. Within my research this notion of on-going learning

was a key focus for many teachers. As noted by Participant E the strategies she had begun to develop were part of a long-term goal, not something that would happen immediately. However, in order for this learning to become embedded and for changes in practice to become internalised, time is vital. Participant H noted:

> We don't get time, we don't get money, we don't get resources …
> so perhaps people who provide professional development need to
> factor in 'ok we're going to do this now and in 6 months' time we
> are going to get you back together again and go over what you
> have done just to see how, to see what was working and what
> needs changing. (27.7.10)

Day et al (2007, p. 13) support this point noting in their longitudinal VITAE study that teachers were "most negative about the lack of time and opportunity to learn with colleagues and to reflect on practice." Time is not always easy to find in the busy lives of teachers and was one of the key factors identified by my research as a barrier to my stated goals.

One way around the issue of time and the embedding of changes is to revisit aspects of the PD at a later date. Participant C summed this up well: "The professional development session you did with the whole staff the other day was really good. For me it seemed to gel a lot of what we have been doing in the group" (24.11.10). The interview responses from the principal also supported this finding: "One-off PD often has little value if there is no follow-up" (Principal interview, March 2011). He added that "butterfly effect" - touching on the 'blooms' of PD very lightly - was often too predominant in a school's overall PD plan. He noted that once PD is embedded the focus can be changed as long as the first PD is revisited from time to time to keep staff up to date with the learning done. While it is clear that there will always be a need for whole school PD and that this does have value for teachers, this must be planned for and linked into the PD requirements of the teachers.

Over the course of this study, the original WPR sheet used to 'plan' teacher PD was revised. This resulted in a more focused Professional Development Plan (See Appendix 9.12) that not only had space for connections to be made to the RTC but

also for the planning for and meeting of the school, department and personal PD needs of each teacher. The initial WPR was very ineffective, with little thought given to the outcomes either by senior management or the staff themselves. PD goals set were frivolous and of little significance, often not even relating to the education profession – such as the personal goals of 'losing weight' or 'getting fitter'. With changes in wording and structure this document now focuses the teacher in all areas of their PD – and assists them in identifying possible sources of PD, whether they are inside or out of the school.

This redeveloped PD plan now stays with the teachers' portfolios so that an on-going record of their learning develops. This was not the case previously – all documents, completed or not, were collected by senior management and stored 'somewhere'. There was no follow up of identified needs, wants or issues. Now PD from one year is used to support that of the following year and recognises that what may have been originally seen as a 'one year goal' is, in fact, better suited to being completed over two or more years. Having the documents from the previous year to refer back to has aided staff in building on their previous learning and made completing the Professional Development Plan a much easier and more fulfilling exercise. At his interview, the principal commented that identifying PD needs through interview and discussion and then tying this into a cycle for the following year helps to maintain focus. Day (1999) supports this idea. He states "on-going teacher development records would bring together review, analysis and planning. Information collected for the purposes of appraisal could thus be informed by and contribute to the record" (p. 106). Day's view supports the idea of the PD Reflection Log and PD Plan in folders. The PD plan is also revisited at least three times during the course of the year so that modifications can be made and achievements can be noted. This not only provides teachers with a solid record of their progress, but also allows for the ownership of their practice through the development of their *personalised* PD plans. By having the support of more experienced supervisors, teachers are scaffolded to higher levels of understanding which strongly reflects the sociocultural theory underpinning this study.

Programmes of professional learning should meet the needs of the teachers and provide them with the opportunity to think about their practice. The PD needs to be relevant to the teacher. As Speck and Knipe (2001) note, "teachers are tired of professional development that is imposed on them from the top" (p. 12) indicating that PD must be driven by the teacher in order for it be of value. They cannot sit back and wait for some else to 'do it' for them. Piggot-Irvine (2007) states PD should promote "changed practice" (p. 1). This can only be completed if the teacher is the driver of the PD and it is of relevance to them personally. Thrupp (2006) agrees with this point. He contests that teachers need to drive their professional development which needs to be relevant to them and not dictated by 'outside' agencies such as the MOE. Piggot-Irvine (2007) adds that PD needs to be targeted at the "developmental stage of the learner, their learning style, the outcomes sought and the appropriate learning context" (p. 1). Poskitt (2005) adds to this: "teachers need to be involved in analysing their own professional needs and determining the content, pace and style of professional development if they are to develop their expertise" (p. 140). Using the redeveloped PD Plan (Appendix 9.12) teachers were able to direct their own PD, in consultation with their supervisors, to meet their individual needs.

During the initial survey stage, teachers identified several aspects they felt were key to PD: it needed to be at a teacher's level of expertise, should to be based in individual needs and that links between professional development and appraisal were clear. This latter element was remedied with changes made to the Professional Development Plan (Appendix 9.12). From my observations of what was occurring in the school, it became apparent that to help teachers achieve these goals, greater support and direction was needed by HOD's when initially developing individual teacher's PD plans. Members of the group were also providing assistance to others as the research rolled into the second year – they gave advice based on what they had learned. An example of this was Participant A who shared the idea of making written reflective notes: "I liked the idea of actually writing things down and putting down opinions and drawing my own conclusions and being able to say well I did this, and it led to this and so on and so forth" (3.12.10).

Other aspects that can aid teachers in identifying their PD needs include developing the school as a learning community. A learning community is somewhere everyone feels they belong. When this need for belonging is met, then "motivation, achievement and efficacy beliefs were enhanced" (Sewell, 2006, p. 26). This community also includes "shared values and an explicit focus on learning together" (Sewell, 2006, p. 26). Learning communities are collaborative and all parties learn from the activities. In this study, the 'community' did not have to rely on external agencies to meet their PD needs. Members of the staff with areas of expertise can and are utilised to fulfil these needs. This creates meaningful and directed PD, specific to the needs of the teacher, and can include coaching, mentoring, observing, looking at student work, examining teacher practice, participating in critical friends groups, facilitating learning, and general discussions. However, as the principal stated, PD needs to be analysed by teachers – what did they learn? How will it improve practice? This "is the bit that most teachers don't like" (Principal interview, March 2011). By integrating discussions based on the evidence collected into whole staff PD sessions, a learning community began to develop. This was also apparent with the success of the buddy system, which while initially contrived, became a strength where teachers shared and discussed their practice with each other, again reinforcing the development of a learning community.

One final aspect that hampered teachers developing their PD plan to meet their needs was the requirement to take part in whole school PD sessions. While this PD was valuable on a wider scale, it was often seen as a 'waste of time' for individual teachers. Participant B commented that "whole school PD was not targeted at individual teacher's needs or areas of interest, rather at a global aim of whole school improvement or bonding" (7.9.10) and as such was of limited use to classroom teachers. However, some of these whole school sessions have provided more than was expected. For example, a PD half day based on the development of the brain resulted in discussions among the staff for days and weeks after the event, reflecting that although it may not have been directly usable in the classroom, it did provide the opportunity for professional discussion and higher

order thinking as teachers made connections with other aspects of their practice through the discussions. This interaction among the staff reflects Vygotsky's sociocultural approach to learning where dialogue and the creation and critique of new understandings occur within a community (Sewell, 2006). Whole staff PD sessions can therefore build discussions among teachers and often helps them to see the 'big picture' within which their practice is set. This helps develop ownership of the direction the school is taking (Leithwood, Day, Sammons, Harris, & Hopkins, 2006).

The need for discussions among teachers was an aspect that came through strongly in this research. Through the discussions teachers not only found advice and guidance in many cases, but also support for their practice. "A key assumption here is that learning is not an exact copying process, but, instead, the learner appropriates or applies the skills or information based on his or her own skills, needs, and experiences" (Bonk & Cunningham, 1995, p. 36). The discussions allow for teachers to add to and extend their own understandings with the aid of others through dialogue. This type of professional development was often more beneficial than 'professionally' provided PD sessions. Collaboration with other teachers within a collegial climate helped to reinforce professional learning. Initially, however, this type of discussion seemed contrived. Day (1999) notes that this is often the best way to help this aspect of practice to become embedded. "Contrived collegiality may, however, represent a stage in the journey from individual [practice] towards more culturally embedded forms of collegiality and collaboration" (Day, 1999, p. 81). This co-construction of new knowledge through discussion was very important to achieve as learning becomes embedded during on-going dialogue that arises from participation in activities (Sewell, 2006). Building discussion into department meetings and whole school PD sessions provided benefits in two ways: first, by reinforcing, developing and sharing subject specific ideas, and second, by expanding this to other teachers in the whole staff arena. In this latter situation different ideas and views got explored, extending the individual teacher's learning.

Support was also seen by teachers as an important aspect of developing the PD plans. Half the staff identified the need for more guidance in this area. To improve this aspect, PD opportunities were advertised at the morning meetings, HODs were provided with some training in how to aid in the formulation of PD plans, and key personnel in the school, including myself, were available for individual assistance. This support also assisted teachers reticent to undertake PD to participate more fully. By providing this scaffolding with a more experienced person, the supervisor provides the teacher "with the support or assistance necessary to complete a task that would not have been completed without the help" (Bonk & Cunningham, 1995, p. 40). The Principal commented that to encourage people resistant to professional development into completing some form of PD, the process needed to be non-threatening and allow the teacher to see for themselves where the issues are – with support (Principal interview, March 2011). The revised structure of the PD plan and the support provided by HOD's and other staff members ensured that PD requirements could be met by all.

A final aspect of the support provided within the school is through the 'Buddy' system. At the start of each year teachers are randomly assigned another member of staff with whom they are buddies for the rest of the year. During the year they will visit each other's classrooms to complete observations and student surveys, providing feedback in each case. While some teachers felt this process would be better if their 'buddy' was someone they knew well and could easily talk with, it was decided after initial survey results that this would not be the practice. A large majority of the staff enjoyed visiting teachers they did not regularly associate with as it provided them with a different perspective of the school and a broader view of the 'big picture'. This aspect, the Buddy system, has consequently developed into a strength within the school and is seen by most as a valuable part of the professional development. Participant G sums up the benefits of the buddy system when he stated: "I think the concepts of buddying up, and then having buddies actually observe some aspects of you teaching, is a very, very powerful part of the [process]." In having a buddy, each teacher has someone with whom he or she can discuss matters that he or she may not feel comfortable discussing with a supervisor. These discussions also provide the opportunity for developing shared

understanding of ideas and information and for the buddy to provide the 'expertise' that may assist the teacher in resolving an issue. The discussion is scaffolding in that both teachers are creating higher order thinking processes by sharing ideas and developing strategies jointly to resolve the situation. As Scott and Pallinscar (2003) state, the 'expert' does not have to have 'expertise' but simply an openness and willingness to share and develop ideas. By working together, both teachers can develop their expertise. These discussions and the scaffolding again reflect the underpinning sociocultural philosophy of this research where learning occurs "through interaction, negotiation, and collaboration" (Scott & Pallinscar, 2003, p. 4)

A number of other positive outcomes related to PD resulted from this research. Each member of the volunteer group gained from the experience in a variety of ways, including developing units, building relationships with their classes and creating new resources. The group found that discussions with others, and with me, helped their reflective process. Reflection was enhanced by the discussions with Buddies where not only the classroom observation was covered but also the selection of evidence for the RTC. The buddy system enabled teachers to explain their choices within a trusting relationship, developed over the course of the year. This reflective practice is strongly supported by the philosophy behind the RTC: to promote professional practice through discussion and developing a shared understanding (Duncan et al., 2009). In fact, the sharing of ideas and possible sources of evidence in the staff PD session held in 2011 was quite dramatic, with numerous teachers leaving the session with ideas to take back to their own classrooms.

A further outcome seen over the course of the research was the change in people's view of the appraisal process. No longer were staff asking *why* they should keep a PD log, or *why* they needed to collect evidence, instead they were seeking ways of *how* these processes could happen. This to me was a strong indication of teachers taking ownership of this process and control of their practice.

The final part of this question looks at the debate over which should 'come first': professional development or performance appraisal? I was surprised at the results for this as I assumed PD should be the focus for performance appraisal and that teachers would see it was such. However, this was not the case. Responses varied quite considerably, ranging from PD is the more important to performance appraisal being seen as key, and, of course, several responses in between. This is clearly seen in the following quotes given by group participants during the final interviews:

> Participant A: "For me professional development is more important than the performance management. And I think the professional development ... will contribute to the performance management ... but it shouldn't be the other way around. The performance management shouldn't pull the professional development."

> Participant B: "One of my personal findings in finishing up with this process [was] I need to actively personally drive my own professional development. ... My performance management or areas where I need improvement or want to be stronger should be driving my PD – that's still how I see it."

> Participant C: PD is "fully supportive, it's the foundation of what we do."

> Participant E: "It doesn't lead it. And if it's good PD then it supports it."

> Participant H: "I'm not sure I see a huge correlation for me. I don't think about either. I just do."

These comments clearly reflect the variety of opinions around the significance of PD within the appraisal process. Participant A clearly sees PD driving his appraisal, while Participant B saw that currently his appraisal is driving his professional development. He did, however, acknowledge that participating in the research process has changed his view of what he would like to have happen – that PD will drive his appraisal. Participant H's response was, I felt, quite 'typical' of a number

of teachers – they simply do what is expected of them without any deeper understanding happening about the benefits or justifications of a particular activity. Participant D had a differing view in that her outlook on PD had changed over the course of the year's research. Initially she saw both PD and appraisal as "another hoop jumping thing." By the end of the research cycle she was much more in favour of pushing for appropriate PD and targeting aspects relevant to her, and to those she was responsible for supervising: "Now I feel in a better space to make a request to senior management for [PD funding] next year."

Results from the surveys with the whole staff clearly indicated that PD should be developed from a teacher's professional development plan which is part of the performance management system, but that the focus should not solely be on areas of 'need', but also on areas of interest. This will help not only motivate teachers to improve their practice but also help to keep them invigorated within the teaching profession by allowing them opportunities to challenge themselves with new learning. It also provides the impetus for ownership of practice. This last quote, from the final survey with the staff, reflects the benefits of PD and how it can impact on performance appraisal:

> Real PD can greatly improve your PM [Performance Management]
> and appraisal. I have used concepts and strategies that I learned from
> PD sessions years ago that are still useful. I don't have a problem
> with observing other teachers or them observing me. Providing and
> receiving feedback is cool too. (Comment from Staff Survey 2)

5.3   Question Three

In what ways might appraisal meet the very different requirements of professional development and attestation – formative and summative assessment?

The short answer to this question is that it should, it can and it does. The two *seemingly* contradictory forms of assessment should be included in the PMS for the very simple reason that to do otherwise is to create too much work in the very busy lives of teachers.

As discussed in the Literature Review (Chapter 2) there are two schools of thought about whether performance management should include both formative and summative assessment. However, the MOE and the NZTC both stress the importance of appraisal and attestation to improve teacher quality (McKenzie, 2005) and to raise professional standards (Julian, 1997). This means that both forms of assessment - formative (on-going and developmental) and summative (accountability focused) - are necessary.

Bailey (1993) and Dymoke and Harrison (2006) all claim that the 'apparent' tension between professional development needs and fulfilment of the performance management review processes make it too difficult to combine into one system. Bailey (1993) goes as far as to state "appraisal must be non-threatening. Disciplinary and dismissal procedures must be separated from it completely" (p. 6). Piggot-Irvine (2001) adds to this debate by stating that while the two forms of assessment *can* be linked, it is important "that under no circumstances should competency, or any other disciplinary processes, be incorporated with appraisal" (Piggot-Irvine, 2001, pp. 303-304).

In contrast to these views, Beall (1999) sees that "the best way to ensure a valuable and effective teachers' evaluation process is to link it to a planned program of professional development" (p. 72). He tempers this with the notion that there must be sufficient time made available for this to happen successfully. Stronge (2006) and Gordan (2006) also support both forms of assessment being linked in one system, but note that the links between the two systems must be explicit. Gordan furthers this by stating that formative assessment, professional development and school improvement must be integrated in order to improve student learning. Mayer et al. (2005) note that for this dual system to be effective the terms of accountability must be broad in nature and that the criteria used should "guide, extend and recognise professional learning" (p. 176). This would indicate a need for a professional development focus, which, with the current system of RTC, is achievable. Upsall (2001, p. 177) promotes an "enriched system" that provides both support and "formative evaluation". She does note, however,

that teachers may not be willing to identify areas of weakness as this may impact on salary or future employment opportunities. Yet within a positive, trusting environment this should not become an issue. In my school this was somewhat mitigated by the use of the PD plan which focused on both teachers areas of need and areas of interest alongside school and departmental foci.

It is important with the integration of the two forms of assessment that teachers maintain ownership of their professional development and on-going learning. This requires a shared understanding of what the assessment criteria asks for and how this is to be accomplished. The development of the portfolio within my school has made it possible to include both formative and summative assessment, as was found by Attinello et al. (2006). The development of the portfolio has also alleviated some of the issues that can occur between the supervisor and the appraisee. This has happened through staff and department discussions to develop shared understandings of the criteria, possible sources of evidence and how the evidence might be collected. Within this structure is the role of the 'buddy' who offers support and advice (formative assessment) without the potential conflict of undertaking the supervisory role with the summative assessment requirements. This system allows the supervisor to provide both support for and evaluation of the teacher without potential conflict or disharmony occurring.

Within the appraisal process the mandatory aspects of performance appraisal stipulated by the MOE must be completed. This includes the observation process and the completion of attestation. Observation can be both formative and summative. The process involves pre and post discussions during which time areas of focus are identified and practice is discussed. Any discussion is formative since both parties are learning from it. If undertaken in a collegial and collaborative manner, it can lead to future goal setting, possible PD opportunities and shared understanding of practice. If the appraisal cycle has been adhered to, the summative process of attestation is also an opportunity for formative assessment as it can be reflective and proactive in nature, again providing future goal setting for the teacher. By documenting these discussions (which is necessary for
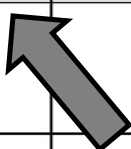
attestation purposes) further sources of evidence can be gathered for the teacher's portfolio.

Survey responses from staff indicate that many of the teachers believe that appraisal is simply *a part* of defining their practice. However, nearly half see appraisal as definitive when having their practice assessed. This reflects the dual nature of the PMS – that appraisal *is* part of teaching *and* that is it how one defines 'good' teaching. Over the past 12 to 18 months the appraisal process has become a greater part of each teacher's practice. This occurred through developing a shared understanding of the RTC during staff PD sessions, development of possible sources of evidence specific to the school, and through the development of the portfolio system. As was noted previously, the staff PD session where the RTC were 'unpacked' and sources of evidence identified generated a huge amount of discussion. This was both formative – teachers were learning about the RTC and what they meant, but also summative as they could identify sources of evidence that would show them meeting with the criteria.

A further way the integration of these two assessment forms occurs within the school is through the Professional Development Plan (Appendix 9.12). This specifically links the PD undertaken by a staff member directly back to the RTC

Figure 5.1: Section of the PD Plan showing where links to RTC can be made.
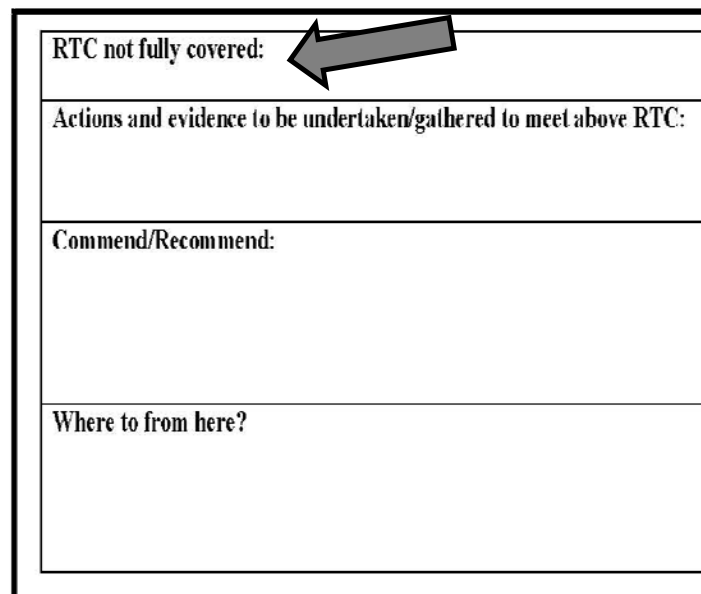
(Figure 5.1). Staff members, in consultation with their supervisor, identify which RTC their goal potentially links to and annotate this on their PD Plan. A section is also provided for identifying any RTC not covered in the PD Plan (Figure 5.2). By completing this section, again with support from the supervisor, the RTC not covered become explicit which encourages the teacher to make plans to meet these RTC. Below this section is a second area for documenting the plans made to cover the 'missed' RTC. Figure 5.2 also shows how this document allows the supervisor to make both commendations and recommendations for the teacher, and to plan for future goals. This reflects the formative and summative nature of this process.

Figure 5.2: Section of the PD Plan showing means of evidencing RTC.

One final aspect of this integration is seen in the following quote: "It's all well and good talking about it but a conversation can be forgotten, so to jot things down, to add to my PDP folder [portfolio] with evidence toward teacher registration or whatever that's been helpful" (Participant D during final interview). This reflects how both formative and summative assessment can integrate within one PMS by the formative discussions being documented to provide summative evidence.

5.4   Question Four

In what ways can teacher portfolios accommodate, in part or in whole, the needs of ownership, professional development, and formative and summative assessment?

Portfolios have the potential to fulfil the need for ownership, professional development and both forms of assessment. The portfolio developed over the course of this study is very structured and generic in nature. It includes documents all staff are expected to complete. However, within the structure of the portfolio teachers have the freedom to plan, modify and evidence their practice individually. While this process within my school is still in its infancy, there is sufficient evidence to suggest that each of these requirements can be met through the use of the portfolio developed in this study. Research has shown that portfolios have a variety of potential uses from promotion and tenure to licensure and professional growth (Attinello et al., 2006; Gelfer et al., 2004; Smith & Tillema, 2007). More importantly they allow teachers to *own* their practice through the structure and choice of evidence included which reflects both a teacher's personality and their professional expertise. The portfolios developed during this study also give teachers the opportunity to take control of their professional learning, goal setting and, in the future, their career advancement. This, as Zepeda (2002) notes, empowers the teacher in the process. Through the use of the Professional Development Plan teachers can 'take charge' of their practice and develop a learning programme that meets their individual needs.

The two most important aspects of portfolio use have been the meeting of both formative and summative assessment, and the reflective capacity of the evidence collection. Formative and summative assessment, as discussed above, can and do meld together within portfolios. The portfolio developed during this study provides opportunities for discussion and reflection, both formative assessment types. The development of a PD plan in consultation with a supervisor also provides formative assessment as it is a shared process where ideas are developed and plans made. The later discussion of progress with the PD plan becomes more summative yet has a formative aspect in that goals for the following year can be established. The folder also contains 'standards' in the form of the RTC which when

evidenced add to the summative assessment. However, the evidencing process is formative. This was clearly seen in the staff PD session where buddies discussed their evidence and how this showed their practice. This process "contributed to teachers' learning" (Horn, 2008, p. 754) by 'bouncing ideas' off interested and informed parties. The staff PD session also assisted teachers to recognise the need for quality over quantity. As Suddaby (1998) notes, the portfolio must be reflective rather than simply an accumulation of artefacts. In discussing and justifying specific articles of evidence teachers were reflecting on both their evidence and their practice explaining *how* their evidence best showed their practice.

The portfolio is fairly highly structured in that each teacher has the same collection of documents. However, from this point on the structure and content of the portfolio is up to the teacher – again giving ownership. Each teacher first negotiates his or her job description by modifying a generic job description document to accommodate specific roles and areas of responsibility within the school. Next is the PD Plan which is completed with their supervisor, based on the teacher's areas of need and interest. Artefacts relevant to each teacher's practice are then collected. How this is presented is entirely up to the preference of the teacher. One teacher at the mid-2011 PD session had a completely separate folder organised into sections for each RTC into which he was gathering items. Other teachers have simply chosen to list their sources of evidence on the Performance Measures (Appendix 9.13) document, indicating where each might be found if necessary. Still other teachers are gathering artefacts and keeping them in the back of the portfolios given to each staff member. This individualisation of the portfolios encourages ownership by the teacher. Through the use of the structured documents, formative and summative assessment is ensured. Professional development becomes a focus through the PD Plan and its review as the year progresses.

The skeleton for the portfolio is the RTC, but in order for this to also accommodate attestation requirements, links to the professional standards have also been made. The NZTC developed a matrix that shows the link between the RTC and the

professional standards (Appendix 9.14). This provides a clear pathway of where RTC evidence can be used in the attestation process. In using the RTC much more freedom is available in the choices of evidence to indicate meeting the criteria but this only happened *after* discussion and unpacking – gaining a shared understanding of what they actually mean, and mean to us as a school. This reflects Cameron and Gunn's (1999) point that the standards used for portfolio needs to be 'translated' so that teachers could 'fit' them to their particular context.

While the use of portfolios is still in its infancy within the school, care needs to be taken to ensure they become "aids to reflection and future development" (Dymoke & Harrison, 2006, p. 80). Portfolios need to be a living document and support will be needed to ensure this is maintained. Given the start this process has made, I am hopeful it will continue and go from strength to strength. The draft version initially used ensured some very strong feedback was provided by staff. This resulted in a modified and more easily utilised document being produced for 2011. The biggest changes requested during this feedback process were for less work and fewer documents, and a timeline of when certain aspects were due. As it turned out it was impossible to lessen the number of documents – in fact, more were included. However, this did lessen the work teachers had to do as the included pages were the sources of evidence they had suggested during a PD session which helped them to source their own evidence for the RTC. The timeline was broken down into term by term segments making it easy to manage. A further change was to remove from the timeline the requirements of year 1 and 2 teachers as the inclusion made the page difficult to follow. It was decided that two separate pages would thus be used – one for fully registered teachers and one for provisionally registered teachers, thus individualising the portfolios further. The final major change was in the wording of some documents. Terms such as 'supervisors', 'buddies' and 'colleagues' caused confusion and needed simplifying. The term 'colleague' was removed and the roles of 'supervisor' and 'buddy' clarified. By contributing to how their appraisal process was undertaken, teachers felt more inclined to participate more fully in the process. In essence, it gave them a sense of ownership.

Other ideas from the surveys were also developed. Links between PD and the RTC were made (as discussed above), targets were able to be carried through from one year to another as PD plans were retained by each staff member from one year to the next, the observation sheet has a teacher focus, and more opportunity for reflection is included in most documents within the portfolio.

It has to be noted here that while more space has been provided for reflection and a PD Reflection Log (Appendix 9.11) is in use, there is still room to further develop and encourage active reflection within the school. Scheduling this time within department and whole school meeting times is a start but still needs to become more of a common practice in order to be truly of value.

Comments from the group reflect the diversity of progress made with the portfolios – although everyone uses a portfolio, some use it more rigorously than others. Participant B thought that the portfolio was "perfectly fine" but could perhaps be sectional to accommodate each RTC. Participant C saw the portfolios as having excellent potential and that could developed into something which she could use to showcase her work. She felt that being able to showcase her work would provide a great deal of pleasure. This pleasure was also commented on by Participant D. She also found that reviewing her portfolio and reflecting on its content demonstrated to her all the different aspects of her practice. She was amazed she had covered so much during the course of a year. Participant G was still undecided on the benefits of the portfolio.

Participant D did note that finding time to compile and to review the portfolio was an issue. This aspect is supported in the literature by numerous portfolio proponents including Tucker et al. (2003) and Zepeda (2002). Participant D stated that sharing, when it could happen was "great because it gives them (other teachers) a bit of a stage, it gives them an opportunity to celebrate something." This reflects the true benefit of a portfolio. Tucker et al. (2003) state:

> Portfolios do enhance the evaluation of teachers for both accountability and professional development purposes. [They

also] provide an authentic and rich portrayal of teacher performance over time providing a more reliable basis for making important personnel decision. (p. 592)

This is supported by the comment made by the principal during the interview: Portfolios help teachers see what they have achieved and that in most cases they have achieved "quite well." They are also good for reflective practice – to see where you have come from and how you are practising now.

A second time issue relates to the time it takes to actually assess the portfolio. Each portfolio and the evidence it provides must be given the respect it deserves by the supervisor. In discussions with the teacher, the supervisor focuses on aspects of the portfolio at the annual review and attestation processes. This is an aspect that will develop over time. Currently, the appraisal cycle for the first year of operation is incomplete so data for this aspect are unavailable.

5.5   The Appraisal Process

There have been several key outcomes from this study that do not fall within the research question parameters. First, a new structure to the school's portfolio folder was developed with the volunteer group during this study and provided to each staff member. This was updated at the end of 2010 for use in 2011. It is more streamlined than the interim version used during 2010 and integrates the RTC with professional development. It provides a much more focused and user-friendly document that assists teachers in evidencing their practice. Second, in the process of producing this portfolio, the RTC were discussed not only within the group but also with the whole staff, raising their awareness of the requirements and making links to individual's professional learning. Third, the revised portfolio also met many of the changes suggested in the surveys, such as simplifying the documents, adding an appropriate timeline, and ensuring there was more opportunity for reflection. The fourth goal of developing professional development foci within the group was also achieved. Each member of the group gained from the experience in a variety of ways, including developing units, building relationships with their classes and creating new resources. These outcomes have been critical in

providing support and guidance for the staff during this change process, and will help scaffold further professional learning and reflection in subsequent years. Through the AR cycles and the PD sessions undertaken with the whole staff, a community of learners has been developing. On-going learning is seen as a positive course of action to improve one's practice and the support and guidance necessary for this learning to occur is present within the school. These outcomes, while not related directly to the research questions, have been a result from the research undertaken in order to answer those questions.

Having discussed the research questions, it is timely to explore exactly what the appraisal process now 'looks' like as a result of this study. This section looks at the appraisal process established at the school and discusses each stage. Figure 5.3 gives a visual representation of the appraisal process. It reflects the path of a fully registered teacher. However, this path is the same for provisionally registered teachers although they have more observations and meetings within their first two years of teaching prior to full registration. This depiction appears very similar to the AR cycle. This is deliberate. AR is an on-going process of planning, acting and evaluating, and thus of learning. Teaching should also be a process of on-going learning, hence the similarity between the two processes.

Figure 5.3 comprises three cycles. Each cycle replicates the one prior. This indicates that the teacher is not required to construct a new appraisal process each year but is to build on the previous one using a similar structure and pattern that is familiar. It is not a case of 'reinventing the wheel' each year. Aspects within each cycle are the same, and again serve to reinforce the familiar. Figure 5.3 relates specifically to the school where the research was conducted so aspects of the cycles are specific to it. However, these cycles and each component could be adapted to other schools. Key components of each cycle are:

- PD Plan: at this stage of the cycle the teacher's job description is updated with any areas of responsibility added in and expectations outlined. The PD Plan is also developed and possible sources of PD identified. This usually occurs early in term 1.

Figure 5.3: The Appraisal Cycle
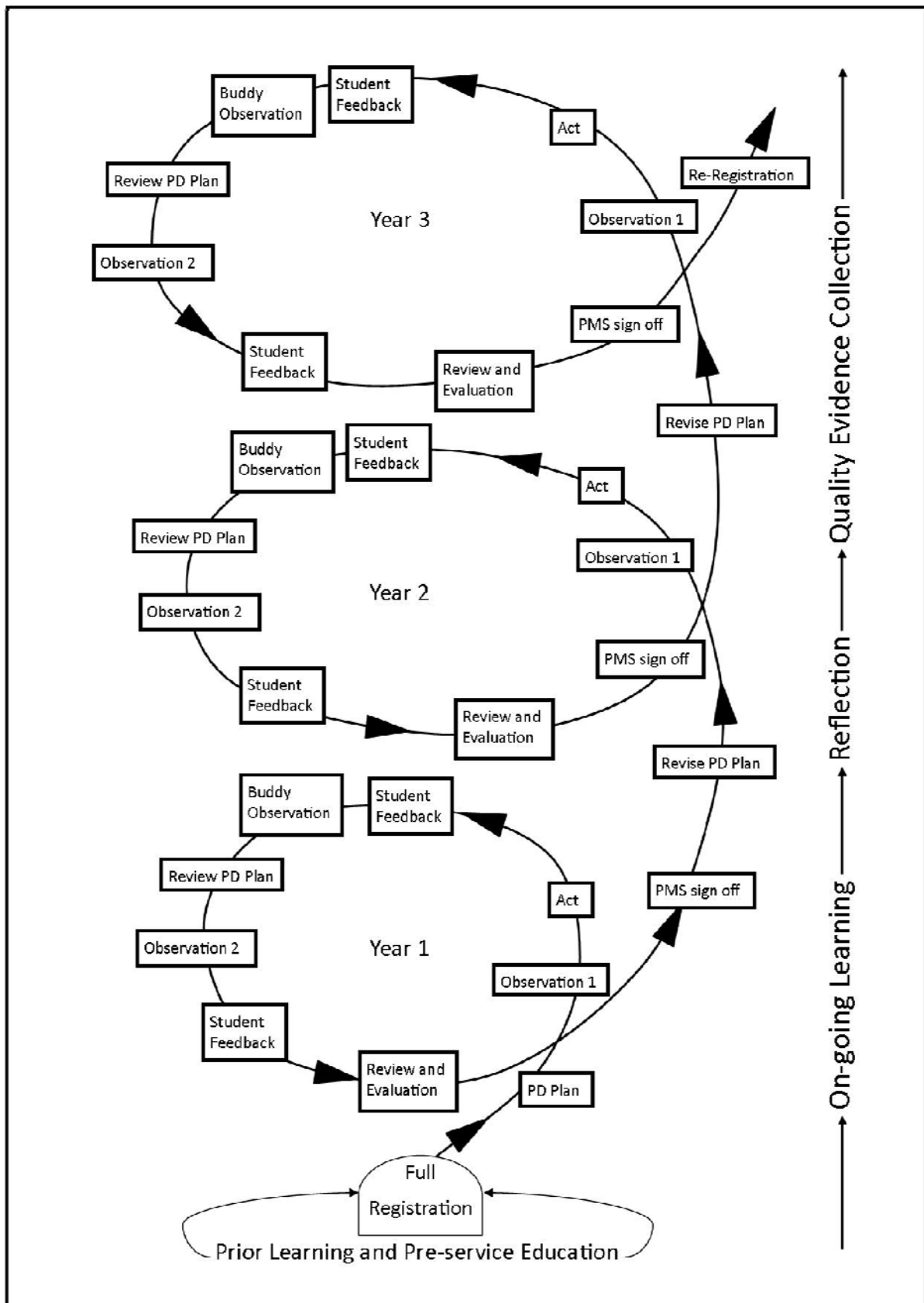
- Observation 1: this is a 'start up' lesson observation occurring during the first half of the lesson and has a focus on start-up procedures and getting the class settled. Prior to the observation there is a meeting between observer and observee to establish an area of teacher focus – what they want to have observed. The observation is followed by a second meeting to discuss what was seen and how the teacher felt the lesson went. Observation feedback is then kept in the teacher's portfolio. This occurs near the beginning of term one.
- Act: this is a very generic term and indicates that the teacher should be actively fulfilling their PD Plan. This could involve observations of others, or attending a PD session in or out of school. While it is placed near the beginning of the cycle, it is likely to continue over the course of the year – or longer – depending on the PD being undertaken.
- Student Feedback and Buddy Observation: these usually occur together. The buddy comes into the class and completes an observation aiming to provide commendations and recommendations as necessary. The observation is not a critique but more a PD session for both teachers. At the end of the lesson the teacher being observed leaves the class and the buddy conducts student feedback with the class. This is then summarised and the summary given to the teacher when the post observation discussion is held. This occurs during term 2.
- Review PD Plan: this is as stated, a review of the PD Plan to assess progress to date and see what further assistance might be needed. This takes place very early in term three.
- Observation 2: this occurs during the last half of the lesson and has a focus on transitions and lesson closure. Again pre and post meetings are held to establish a teacher focus for the observation and follow up of the lesson. This occurs mid-way through term three.
- Student Feedback: this occurs mid-way through term four. The buddy visits a different class toward the end of a lesson and completes the student feedback process with a summary then given to the teacher.
- Review and Evaluation: this is a review of the year. It examines how the PD Plan is progressing and identifies possible goals for the following year.

Commendations and recommendations are made at this point by the supervisor, in discussion with the teacher. This usually occurs toward the end of term four.

- PMS sign off: this is usually when attestation is completed. It signifies the end of an annual cycle, thus meeting the MOE's performance management requirements. It is to be noted, however, that this aspect can be completed at any stage during the cycle, which is often the case as many teachers did not start their teaching career at the beginning of the year, meaning they have different 'anniversaries' during the year. The prerequisite for this step is that there has been a 12 month cycle prior to the attestation. So as long as the appraisal cycle above is being followed, then the attestation process can be legitimately completed on the anniversary date.

- Revise PD Plan: this again is fairly straightforward. The PD Plan is modified based on the previous year's progress. This can be undertaken at the time of the previous year's review when goals are being set, or at the beginning of the following year when potential PD opportunities are more readily available.

Alongside each cycle is the continuous process of on-going learning, reflection and quality evidence gathering:

- On-going learning: this is part of the underlying philosophy of the RTC (Duncan et al., 2009) and is a key goal of the MOE through the PMS (Ministry of Education, 1997). In order to improve teacher practice, teachers need to continue to learn and develop new skills. This does not mean that old skills become obsolete, but simply that skills evolve and broaden as a teacher progresses through his or her teaching career. In many ways this will have to happen as technology changes and also as Government policy changes. However, if a teacher is already in the process of learning and adapting, then changes forced on schools by outside agencies become easier to manage.

- Reflection: this is again a critical area of all aspects of a teacher's practice. A key finding from this research is that it needs to be very formulaic to start with to get teachers into the habit of reflecting on what they do (which they

are reasonably good at) and why they do it (which they are not so good at). In providing reflection questions within this research process and using the reflection questions associated with the RTC, the process has been supported and encouraged. Putting structures such as the PD Reflection Log in place to assist teachers has also enabled this process.

- Quality evidence collection: as noted in the RTC documents (New Zealand Teachers Council, 2010) and in the report by Duncan et al. (2009), it is not the quantity of evidence that matters but the quality. Teachers in this research are beginning to recognise that one piece of evidence can support more than one of the RTC, thus making evidence collection more focused and relevant. Quality means the artefact has relevance and meaning to the teacher. They will have considered and justified its inclusion in their portfolio with care. These artefacts, while significant at that point in time may be replaced later with a different, more up-to-date artefact depending on why it had first been collected. Gathering evidence does not mean a huge collection of items are amassed. Rather, significant, meaningful, relevant items are collected and changed as the teacher develops their practice.

Chapter Six

Conclusions

This chapter draws all the strands of this study together. It will explore the context within which it is set and where the need for it originated with the research questions discussed briefly. Implications for schools, both the institution in which this research was conducted and for other schools across the various sectors, and implications for policy, will be described. The significance and limitations of this research will be discussed followed by issues arising from this study. Finally, visions for the future and possible suggestions for future research will conclude this chapter.

6.1 The Context and the Need

This research originated from my earlier research which explored competency procedures for teachers (McKenzie, 2005). While investigating the procedures surrounding the competency process, it became clear that too many teachers fall into the category of needing assistance either to improve their practice or to leave the profession. I believed that there had to be a way of aiding teachers *prior* to getting to this point and saw the appraisal process as a mechanism for achieving this goal. However, I found that many teachers saw little value in the appraisal process, viewing it simply as a 'tick box' activity that was of little benefit to them personally or to their practice. This idea was supported by other researchers who also found that teachers felt appraisal was something that was 'done to them' (Piggot-Irvine, 2001).

As a result of changes to education through the 'Tomorrow's Schools' policy, performance management, in 1997, was taken out of the control of the MOE (then the Department of Education) and put into the hands of schools through their the newly developed BoTs. As noted earlier, from here it was quickly devolved to the principal and senior management of schools. The situation thus arose of schools

having to evaluate their teachers with little or no training put in place to support them (Julian, 1997; McKenzie, 2005; Piggot-Irvine, 2001). This resulted in different systems with different emphases being established within different schools. To exacerbate this situation there was more than one set of standards against which to measure teachers: the interim professional standards established jointly by the MOE and the teachers' unions, dimensions established by the Teachers Registration Board, and a set of standards the ERO used to evaluate teachers when undertaking their reviews of schools (McKenzie, 2005). There is little wonder that the appraisal process was not completed well in schools. This situation provided a driving force for the research.

To further add impetus to this research, the school in which I worked did not have a satisfactory PMS. It had received two ERO reviews noting non-compliance in this area. ERO noted in the 2008 review that "… the board cannot be assured that the professional standards form the basis of appraisal for all teaching staff with teaching responsibilities or that they received classroom observations …" (Education Review Office, 2008). While policy documents were in place, these had an inconsistent level of involvement across the school with the result that there was little impact on the appraisal processes undertaken within the school. The school was also scheduled for a subsequent ERO review in 2011 and needed to have in place a system that would meet this compliance aspect for the review.

The final aspect that seemed to 'fit' well with the intent of this study was that the NZTC was in the process of establishing a new set of 'standards' for registration purposes – the RTC. These RTC appeared to allow greater flexibility within the appraisal process so that professional development could become a key component. The underpinning principles of collaborative, collegial, reflective practice also supported the views I had established in my initial research. While the RTC did not alleviate the issue of there being more than one set of standards a teacher was required to meet, they did include a matrix that showed the relationship between each RTC and each professional standard (see Appendix 9.14 (New Zealand Teachers Council, 2011)), which could therefore make performance management more manageable.

The above discussion provides a context for this research and identifies a rationale for it. However, there was a greater need, more important than meeting MOE requirements for compliance and more important than the standards used for the evaluation process. That need was for the teachers themselves to take control of the appraisal process and through that, to take control of their practice. This would involve prioritising professional development and goal setting. This was not something that occurs regularly or well within schools. If their aim is to improve teacher quality, as the MOE and the NZTC state (see McKenzie, 2005), then putting a system in place that promotes professional development and learning is essential (Julian, 1997; McKenzie, 2005). From this context, research questions were developed to discover whether there was a way for teachers to have and take ownership of the appraisal process and their practice.

6.2   Research Questions – Key Points

Chapter five discussed in detail each of the questions and the findings associated with them. This section will summarise some key points.

This study set out to discover *how* appraisal might be redefined and *how* teachers might gain ownership, not *if* they were possible. The literature review showed that unless teachers had this ownership, the appraisal process would become ineffective (Fitzgerald et al., 2003). The MOE also saw the need for teachers to have this sense of ownership (Ministry of Education, 1997). For this to happen, several aspects must first be in place. First, there must be a culture of trust and care. This allows teachers to 'take chances' without fear of retribution and through knowing that support and advice is there if it is needed. Second, there must be scaffolding in place on which to build practice, a skeleton for teachers to flesh out in their own ways the meaning of effective practice, reflecting their individuality as teachers, but also ensuring that certain stages or criteria are met. Third, there needs to be information available to assist with PD planning, advice and guidance. Often this comes from a person who has responsibility for this aspect of performance management. Fourth, there needs to be perseverance. For change to happen and to

be retained, appraisal needs to be revisited regularly and kept in the forefront of each teacher's memory. Finally, there needs to be in place a process where teachers can 'have their say' about changes made and processes undertaken so that they have a sense of ownership of the 'big picture' as well as their place in it.

Within a climate of shared responsibility and ownership, strategies and documentation were developed upon which to structure the 'new' appraisal system. Whole staff PD sessions and group discussions were critical in allowing this to occur. These sessions provided information, guidance and advice. More than that, they also provided the opportunity to share ideas, reflect on processes and develop resources such as the list of possible sources of evidence for the RTC that were specific to the school. This, too, helped with ownership as it was developed by the teachers for the teachers. It is important to acknowledge, however, that for this revised process to develop, staff needed time to process information and accept changes as their own. By facilitating PD sessions throughout the research process, the staff were given the opportunity to revisit information, to ask questions and to make changes, again allowing for ownership to take place.

Ownership by teachers of the appraisal process and thus of their practice is possible. Changes are often needed in order to establish scaffolding that allows this to happen. However, trying to force change on teachers can be ineffective. Often a change process will be seen as a "product of other's work" (Bishop et al., 2004) and not their own. Such a view makes any progress toward the goal intangible. Involving teachers in the change process, and taking them on the journey, not only helps with acceptance of the changes, but also helps to embed the changes into current practice more readily.

Over the duration of this study professional development has become much more of a feature within the appraisal system. This has been aided by the development of the PD Plan (Appendix 9.12) and the PD Reflection Log (Appendix 9.11). Again, having this scaffolding in place has provided support for teachers to develop their

PD based around their areas of interest and need. Prior to this research, PD was often insubstantial in nature and focused on aspects teachers knew they could accomplish without any extra effort. Personal PD goals were not specific to education including such aspects as losing weight or reading more books. This has now changed. Part of the reason for the change was due to the re-wording and revising the structure of the PD Plan – the 'Personal' goals became 'Personal *Professional'* goals putting the emphasis back into the classroom. Links were also made to the RTC so that the PD could actually drive the evidencing of the criteria. With staff now linking their PD Plan to the RTC and gathering evidence to support both their PD and the RTC, PD has become a stronger focus within the appraisal process. However, it has not yet become the fundamental driver initially aimed for.

Initially it was difficult to know how successful this change of focus was. However, when a follow-up PD session was held in mid-2011, it was observed that some success was evident. All staff, in varying degrees, had embraced the PD focus. All of the teachers had filled in their PD Plans and, with encouragement from the deputy principal, had completed their PD Log over the course of the year. Many had also gathered good collections of evidence sources for the RTC. In the discussions around these evidence sources, it was clear that higher level thinking and reflection had gone into the process. Buddies were discussing items collected, justifying their choices and sharing ideas. Teachers were learning from other teachers. The later half-year reviews of the PD plans again showed greater focus towards achieving goals for the year. Finally, by returning the previous year's PD Plan to teachers, they could build on this to develop new goals, or to revisit, rework or refocus previous goals.

It has to be noted here that while there has been a change in focus and PD is more central to the appraisal process, there is still a long way to go before this change is consistent across the school. As with any large institution, the change process can be slow and it will take some time before all staff have achieved the intended goal. Given the current progress and the scaffolding in place through the developed portfolios, the aim of having a central PD focus for appraisal will almost certainly

be attained. This again reflects the culture of the school in that learning and development among staff is encouraged and supported.

Revisions to the appraisal system have also allowed the integration of both formative and summative assessments. In particular the development of the PD Plan (Appendix 9.12), the PD Reflection Log (Appendix 9.11) and the Performance Measurement (Appendix 9.13) documents have aided this process. However, throughout this process of assessment the teacher must be in control of his or her own professional development – even where it is planned in consultation with the supervisor. The RTCs have made this integration of assessment more feasible. The aim behind the RTC is to promote life-long learning. To show that this is being undertaken teachers are required to gather sources of evidence that demonstrate this learning – and showcase their practice at its best. In doing this and in the discussion and reflection processes associated with the evidence gathering, both formative and summative assessment can be completed. Teachers maintain ownership through their personal choice of artefacts that evidence their practice.

It must be emphasised here that for these two systems of assessment to function well within one appraisal process, the appraisal process must be collegial, collaborative and inclusive. There must be trust (Codd, 2005). There must be shared understanding of assessment criteria and of the processes involved in performance management (Cameron & Gunn, 1999). Without these, confusion, mistrust and ill-feeling will predominate. The school in which I undertook this research has a climate and culture that not only supports teachers but encourages their on-going learning. Within this climate, the dual focus for appraisal is possible.

Portfolios provided a sound means for the integration of both formative and summative assessments, and allowed teachers to personalise their appraisal processes in the choice of evidence he or she selected to showcase a particular aspect of his or her practice. Portfolios have the potential to both support and strengthen the appraisal process but this requires 'buy in' from all staff. A small

number of teachers still feel there is too much to do to 'complete' them, and some staff are only making a token gesture at completion. However, as noted earlier, this process is in its infancy and changes can take time to embed. A further issue is also time-related. It takes time to gather, reflect and present artefacts in one's portfolio. For this reason, teachers at this school are encouraged to do a little often rather than leave it all until the 'last minute'. Zepeda (2002) argues portfolios should be based on "the 'what' (what is collected), the 'so what' (analysis of artefacts), and the 'now what' (recommendations and strategies to improve students' performance)" (p. 86). She adds that if a portfolio simply becomes a collection of artefacts it loses its value and will stagnate. For this reason, the building in of discussions during staff PD and department meetings is essential to encourage the reflective and analytical aspects of artefacts.

6.3 Implications

There have been a number of implications for the school in which this study was undertaken. The first and foremost was the review and subsequent alteration of a process that originally failed to comply with MOE standards. Two consecutive ERO reviews found the PMS within the school 'left a lot to be desired'. It did not meet the standards established by the MOE and needed to remedy this situation. This was achieved. The latest ERO review, conducted in 2011, recognised this change:

> The system for performance appraisal of staff has been revised since the 2008 ERO review. The process is now more rigorous with clear links between college-wide, departmental and personal goals. Teachers are expected to use evidence and reflect on their teaching strategies. The next step for this process is to ensure the appraisal comments are consistently focused on improving teacher performance. (Education Review Office, 2011)

Alongside the issues of compliance for the school there are further implications. The school now has a system in place which provides scaffolding for all teachers for their practice based around their individual professional development based on identified needs and areas of interest. This research has also provided the

impetus for other teachers to pursue higher education and further learning. Two of the volunteer research group (Participant A and Participant C) have since taken up MOE Study Awards in order to continue their degrees. A final outcome is that staff are now more involved in the appraisal process and its continuing development. The input of the staff is sought for modifications as the appraisal process continues to develop in the school system.

There are also potential implications for other schools and educational institutions based on this research. This study would seem to indicate that a PMS could be developed that would meet the needs of other schools/institutions. During the research process, I have discussed my ideas with a colleague who runs several early childhood education (ECE) centres. She has used the processes developed in this research to modify her own appraisal system into a portfolio-based reflective practice that is inclusive of all staff. The RTC are expected to be met across all pre-tertiary education sectors. Alongside these, the ECE centres must meet the requirements of Te Whaariki, the ECE curriculum. Through the modification of the developed appraisal process of this research, these two needs were met. While my colleague did not use all the steps outlined in Figure 5.3 shown in Chapter Five, such as the student feedback forms, she is looking at ways of gathering this feedback indirectly by surveying parents and talking with the children. In developing her portfolio system she did, however, follow the same discussion processes I undertook in developing a shared understanding of the RTC and centre-specific sources of evidence that could be used as artefacts. In some ways, she is finding the process of reflection easier to establish as the number of staff is small and whole staff discussions on practice can be arranged more readily than in the much larger institution in which I was working. However, this small example indicates the potential of this system to be modified and trialled in other institutions, whether they are secondary, primary or ECE.

This modified system could meet MOE and NZTC requirements in one simple process. It could also provide the impetus for promoting collegiality and collaboration within schools, with the ultimate aim of developing a learning culture. Finally, the research could provide the impetus for fostering a climate of

change within schools that is sustainable. Schools/institutions would first need to adapt this system to meet their school's specific climate and culture to help ensure their staff are part of and can own the change process.

Implications for policy are more difficult to define. The recommendations made later in this chapter do provide some guidelines for what could happen within the education sector to encourage and promote "quality teachers" (Ministry of Education, 1997) through the ownership of their appraisal process and thus of their practice. Three main implications arise, each of which need addressing at a policy level:

- Time: more time should be made available to teachers in order to be able to undertake professional development and to ensure they can give adequate attention to the requirements of the PMS;
- Training: this should be provided for all senior and middle management in schools to ensure greater consistency within schools and across schools in relation to the performance management of staff; and
- Standards: there should be only one set of standards – be they the professional standards the MOE and the Teachers' Unions have developed or the RTC developed by the NZTC.

6.4   Significance and Limitations

This research is significant because the findings point to ways in which teachers could develop ownership of their practice while simultaneously broadening their professional learning. It integrates the recently established RTC and professional development in a cohesive process that can fulfil both the MOE and the NZTC requirements of the appraisal and registration process. It can also add to current research in this field.

Through this study teachers developed collaborative and reflective practices - key components of teaching and learning. The RTC were integrated into the appraisal process and links were made between professional development, registration and attestation. The processes were established through discussion, essential in

reflective practice, with the aim of creating a generic system that could, with adaptation and trialling, meet the needs of similar institutions. This process is delineated in Figure 5.3 in Chapter Five. Portfolios allow teachers to showcase their work, personalising the appraisal process while still meeting mandated requirements. This aspect of the research was limited in that the development of personalised portfolios was really only just beginning when this research drew to a close. More time was needed to develop this further and for the practice to become embedded with all staff.

There are other limitations to this research. It has limited transferability to other areas of education given the size of the study. While it appears anecdotally to be possible to modify the process to meet other school's needs, this research would need replicating in several more educational institutions, and over a longer timescale, in order to generate reliable and transferable findings. This is particularly true for the embedding of processes and for the continued development of the portfolios. However, with this study it is hoped that the findings will help to provide ideas that will aid other institutions to develop a pathway that meets that school's needs for further development in the areas of professional learning and appraisal.

6.5   Issues

A number of issues arose during this research. They fall into two main categories: issues I have identified in the research process itself, and issues that were identified as needing addressing that relate to the appraisal process. This section will first discuss the issues I found within the research process and what I did to overcome these. Second, I will look at issues arising from the research and the impacts these might have on future directions.

Issues arising from the research process were surprisingly few and were able to be managed reasonably well. They did, however, ensure the learning I did as a researcher grew dramatically. The first issue was trying to get everyone to pull in the same direction. Given human nature and differing perspectives this is not an

easy task at the best of times. When a change process is involved, it can take longer and be more problematical. Participant F noted in discussion that a change process initiated in the school a number of years ago had taken three years for the critical mass of staff accepting and utilising the change to take effect. "Getting a group of people this large all heading in the same direction is not easy!" (Participant F). The principal, in his interview with me, also noted: "One of the biggest obstacles to school improvement can be the staff. Some people simply do not do well with change." This was certainly the case with this research. I was fortunate that I had the support of senior management and that the change was seen by most as inevitable. Persistence and constant reminders were the only way of achieving this goal. This was helped by making PD sessions short and to the point, and giving 'taster' sessions which were followed up later by more in-depth sessions once the information had been digested. I was delighted when this tipping of the critical mass occurred in my favour – the asking of 'how' things could be done rather than 'why'.

The second issue came with the survey forms. Even though the survey was based on one used by Fitzgerald et al. (2003) in their research, the wording of the Likert scale caused some confusion. This reflects Wright's (n.d.) point that semantics in surveys can be an issue. The scale read: strongly disagree, somewhat disagree, and disagree (and the same for the agree side). Teachers commented that this should have read strongly disagree, disagree, then somewhat disagree as this was a more graduated effect. The second survey that was sent out had the change of scaling on it and was accepted more readily by staff. The other aspect of the survey forms that I felt could have been changed was also with the Likert scale rating statements. It would have been good to have been able to leave space for staff to clarify their choices. However, had I done this I do not think I would have got as many responses returned as this would have meant a lot more work for each teacher and I was trying to keep this to a minimum.

The last issue with the research process was the scheduling of meetings for the group. This issue links into the main issue arising from the research itself – that of time. Time is a huge issue within schools. There is never enough time to complete

what is already expected without something else being 'added on'. My hope within this research was to make the appraisal process integrated within daily practice so it did not appear to be additional but was simply a part of daily practice. As noted earlier, this is still in its infancy but has a solid base from which to further develop.

Time issues arose in several areas: time for discussions, time for completing performance management tasks, and time for reflection. Finding time for initial discussions to work towards a shared understanding of the RTC was overcome by using a regularly scheduled staff PD session. These sessions proved invaluable and I was careful to ensure only a small portion each time was used for appraisal purposes. This resulted in teachers being given the required information in small but meaningful steps, ensuring assimilation of ideas was possible. Time for other discussions was built into other PD sessions and into department meetings. This supports Easton's (2008) point that "time needs to be built into the schedule for these activities" (p. 758).

Time for completing performance management requirements, especially observations and discussions was noted both through staff surveys and groups discussions. Basically more time was needed. The concern was that if there was not enough time the appraisal process would not be completed in a satisfactory or meaningful way. Middle managers probably found this aspect the most difficult with having to manage their own teaching and appraisal and that of others in their department for whom they had appraisal responsibility. Teachers also did not want to leave their classes in order to complete observations on other teachers, believing that their first priority was with their students. A number of means to overcome this issue were developed including release time from classes, using holiday time to catch up with aspects not completed during term time, and scheduling non-contact time specifically for tasks such as reflection, making notes and sourcing evidence for the RTC. Streamlining the portfolio also helped by lessening the amount of work needed to be completed. These methods, however, do not suit everyone and, as such, time will remain an issue.

The final time issue is that of reflection – again there is not enough time to complete this in a meaningful way. Finding time to discuss or follow up on PD undertaken was problematic, thereby limiting the value of the process. As Participant D noted: "with regard to this whole business of reflecting and commenting and scribbling down, I mean to me, the thing is time, isn't it? We're always [asking] when are we going to do that?" Lawrence (2008) would support this as she notes that teachers become "so focused on keeping the classes moving that they do not question where they are moving to" (p. 127).

A second issue arising from the research is that of effective appraisal. Kane and Mallon (2006) found that teachers had "little confidence that the current appraisal system could adequately deal with poor performance" (p. ix). This view was also raised during group discussions. Participant B felt that the new RTC were all very well, but would not necessarily change the fact that some teachers do not perform well and are not being 'dealt' with. However, the group felt that the new RTC could provide a means of changing these teachers for the better if the senior management "got tough" and ensured teachers not meeting RTC do not get re-registered. This will also require "stronger line management or department management in driving the goals for the professional teacher" (Participant B). By providing a strong appraisal system that is adhered to, many of these issues can be mitigated but it will take time for this to embed.

Third, gaining consistency between departments was problematic. This was partly due to a lack of training provided for middle managers as to how they can manage the appraisal process with their staff. This became very clear from the initial survey data with a large number of teachers responsible for appraisal not being aware of the requirements of this process. As noted in the previous chapter, if a teacher is responsible for the appraisal of other staff members, their awareness of all the requirements should be a prerequisite for the responsibility. The concern of a lack of consistency again was made clear in the surveys. Comments such as "different expectations from appraisers" and "dependent on WHO is doing the appraising" and "personnel involved – some treat it with different degrees of seriousness and professionalism" indicated a high degree of inconsistency across

the school. This is an area that will need monitoring as the changes become further embedded. However, with continuing PD and training into appraisal, greater consistency can be achieved.

The final issue arising from the research is that of reflection. As mentioned above there is not always enough time to complete this aspect effectively, but this was not the only issue. Teachers did not know how to reflect and when they did, it was at a surface level which had little impact into their practice. This situation has been helped with the consistent support on one particular member of the senior management who regularly demonstrated what he has put on his PD Reflection Log. PD sessions have also helped, as has the Reflection Square (Figure 4.5 in Chapter 4), although this latter element has still to 'come into its own'. The group decided that once started the process develops well, but getting that pen to paper can be a huge stumbling block for many. Having the senior management member pushing this is lessening the stumbling block for many.

6.6   Where to From Here?

'Where to from here?' is an interesting question as it could encompass such a wide range of options. There are aspects identified within this research of which I have no control but which could warrant changes at a Ministerial level such as putting structures in place for teachers who are better than 'satisfactory'. Should they not be rewarded for being such highly performing teachers? The devolution of performance management from BoTs to the senior management of schools is another such aspect. Should not the BoT take more responsibility for performance management as they are the 'employers' of staff? But these aspects are well beyond the scope of this research. The aspects I have identified that are more within my 'control' fall into six broad categories: training; targeting poor performance; building in discussion and reflection time; refining PD portfolios; further developing teacher ownership; and establishing a person with performance management oversight.

Training is an aspect that I feel very strongly about. It is vital that all middle managers with responsibility for appraisal have the knowledge necessary to perform this task well. This was indicated by the low level of understanding seen amongst teachers with positions of responsibility within the school towards the professional standards used for performance management. While I do not think I am the person to undertake this training, I will continue to canvass senior management for this to happen. In the latter part of 2011 some training of middle management was undertaken but the focus has yet to include performance management. Having constant reminders about what is expected and when will help, but more in-depth training is needed. Earnshaw et al. (2004) clearly saw that there was a strong need for training for senior management in the appraisal process. This need flows through to middle managers as they have the day-to-day responsibility for this process.

Training links closely to the second point – targeting poor performance. Participant B noted during his final interview that there should be something within the school alongside the PMS and RTC that could be used to "target poor management and poor teachers." Putting training in place for middle and senior management will help target and support poorly performing teachers. This is an area for senior management to undertake, but with the changes in the appraisal process made during this research, identifying such poor performers, and evidencing this, should be more easily possible.

Building in discussion and reflection time was seen as a key aspect in survey, group discussions and during the interview with the principal. Time is being built into PD sessions and department meetings. I will continue to push this as it is only with reminders that change becomes embedded. Participant C would have liked to see the continuation of small groups to support the performance management process but this is not feasible outside department meeting times. When the number who want to have professional discussions builds then more opportunities are more likely to be scheduled. This will be a key focus for me for the future.

Refining PD portfolios will happen each year. Staff have been and will continue to be given the opportunity to feedback ideas about possible changes and modifications to the current system. In continuing to refine the portfolios, more of their benefits will become apparent. This is an aspect this research did not investigate and is also noted by Tucker et al. (2003) as an area requiring further research. Ensuring the PD portfolio is easy to use is a key focus for this continuing refinement process.

Further developing teacher ownership will also be a constant objective. This involves making teachers more aware of possible PD opportunities and where to find the information, building in discussion and reflection time, and developing strategies for identifying and justifying sources of evidence for the RTC. To further assist this aspect 'Watch Week' will be scheduled into alternate year structures and will provide teachers with the opportunity to see how other teachers teach with the aim of improving their own practice. Supporting documentation for recording visits and PD derived from the visit will also be developed.

Establishing a person with performance management oversight is a more contentious issue. While I would love to be this person, I am not responsible for staffing within the school. The direct responsibility for performance management lies with the deputy principal but discussions with group members and data from surveys would indicate that there needs to be an 'in-between' person who can provide the reminders of what should be happening and can publicise PD opportunities. This person should, as Participant C stated, be a "nurturing and supportive sort of person." This person also would have responsibility for running PD sessions to remind staff of the RTC and appraisal requirements and provide support as necessary. Currently, I am fulfilling this role with the help of the STC.

The final point for this chapter is a quote from Participant H during one of the group discussions. It summarises this whole study – and the lot of a teacher: "It's still a work in progress, that's the way I look at it. If you're life-long learning, you never stop". (Participant H, 24.10.10).

6.7   Future Research

There are four main areas of future research that stem from this study. Many of the other smaller aspects mentioned earlier fit within these four larger areas.

6.7.1   Longitudinal Study

This study itself needs to be longitudinal. The period of 18 months over which this research was carried out provided the opportunity to see where it could go in the future, but did not allow the time to see if theory-elicited ideas could be implemented in practice. Many systems and structures have been put in place but it was not possible to measure their efficacy *over time*. Given that the registration process is occurring every three years, it would seem pertinent that a study looked at how the changes put in place through this research impact over that period of time. A longitudinal study would also establish whether the changes had been embedded or lost in the continuous change process that is education.

6.7.2   Cross Institution

To establish whether the appraisal process developed at this school would be suitable to other schools a cross-sector study needs to be undertaken. This would investigate processes and procedures that could be adapted to all educational institutions from ECE right through to secondary.

While I believe it is possible to adapt the systems developed during this study, confirmation through further research is required. Discussions with the owner of an ECE centre indicate that the use of the processes developed to establish shared understanding of the RTC and the development of a portfolio fit well with the philosophy of the centre and allow for on-going professional learning for the staff. However, these outcomes are based mainly on word-of-mouth rather than documented evidence. Researching this across all education sectors would provide valuable information about its efficacy and transferability.

6.7.3 Portfolios

This is the third area that needs further investigation. Portfolios have the potential to be hugely beneficial (Attinello et al., 2006), or a huge waste of time (Suddaby, 1998) being yet another 'hoop-jumping' activity. The development of their content, while personal to the teacher, must also showcase their practice if the document is to be effective. Tucker et al. (2003) found that there was "encouraging news" when using portfolios for "the accountability and professional growth purposes of teacher evaluation" (p. 577), but little was known about their efficacy when measuring teacher quality. This aspect of portfolio development needs to be investigated as they are potentially an untapped source of teacher learning and development.

One other aspect of the portfolio that should be further explored is the use of electronic portfolios and how these can be best utilised for teachers. While this was given as an option for teachers during this research, only one teacher took up the challenge. Many saw it as requiring too much extra time to first learn how to use the electronic portfolio, and then to integrate the changed appraisal process into the electronic version. This version of the portfolio has a great deal of potential as it provides the means for transporting data collected to external sources very quickly, and potentially, impressively. For such situations as applying for new employment, this means of data transfer could be invaluable, hence the need to research this aspect further.

6.7.4 Student Impact

The final area of further research stemming from this study is based around student learning and improvement and the impact of changes in performance management on the progress of students. An underlying assumption of performance management is that if the teacher improves his or her practice through professional learning and development, then the 'spin-off' is improved learning for the students. How accurate and realistic this assumption is needs to be investigated with a focus on the performance management of teachers but with consideration to other factors affecting student learning such as socio-economic factors including health, family structures and parental expectations. If a system

such as the one developed through this study was instigated into all schools, the impacts on student learning, whether positive or negative, needs to be established.

Day (1999) states that appraisal cannot be seen as separate from individual development planning and school development planning. He sees each of these aspects as having a "reciprocal relationship" (p. 95) as shown in Figure 6.1. However, Day does not acknowledge the impact these factors can potentially have on students. The appraisal process, to be effective, needs to not only improve

Figure 6.1: Day's (1999) Reciprocal Relationship of Appraisal and Development
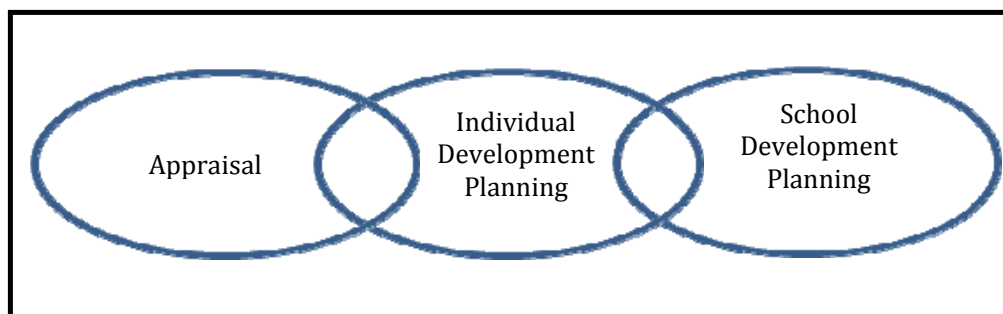
teacher quality but also student learning. In redeveloping Day's design above, the impacts of appraisal, teacher development and school development clearly show the student as the central focus (Figure 6.2). This could be an aim of future research.

Figure 6.2: The relationship between appraisal, individual development planning and school-wide development planning (adapted from Day, 1999).
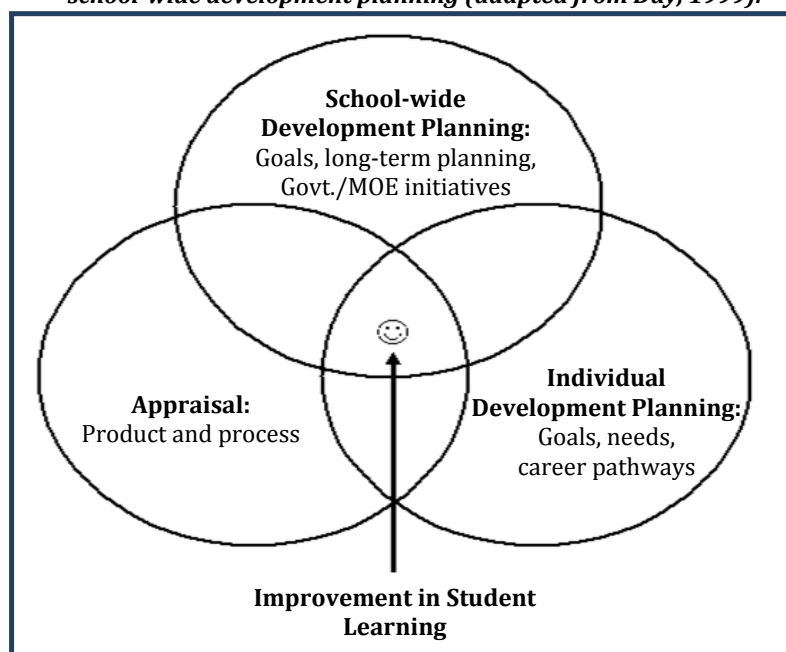
6.8   Recommendations

There are a number of recommendations that can be made that impact at both school and at Ministerial level. Some of the recommendations cannot be acted upon effectively within schools without the Ministerial support. There are five main recommendations.

6.8.1 Funding

This is a key issue as many of the following recommendations require additional or targeted funding to ensure they are feasible. This funding cannot be re-allocated from most schools' budgets given that schools rarely have sufficient funding to cover all costs at present. The MOE needs to ensure there is sufficient funding for:

- Appropriate professional development for teachers – not just the initial course or professional learning opportunity but also the necessary follow-up further down the track as identified in group discussion sessions;
- Training for senior/middle managers in the appraisal process;
- Awarding teachers for excellence performance, perhaps in the allocation of time and/or income so that they can continue teaching at this high level and maintain their passion and enthusiasm for the role.

Funding for schools is currently based on the decile weighting of the school and the number of students on the roll (interview with school Finance Officer (FO), 2011). This money comes directly from the MOE. There are other sources of funding such as STAR funding and income for Job Track and Gateway programmes, but these funds are specifically allocated for these programmes and cannot be used for other purposes. The only other sources of income come via school donations from families attending the school and investment interest when available. While these sources of income meet operational requirements, it is always a juggle to ensure each aspect of the school's operation is met. The FO also stated that "you cut your cloth to fit the garment" indicating that the school must make do with what money they get and try not to overspend. She added that it would be great to have more funding as this would increase the opportunities available for staff and students.

At the school where this research was undertaken the budget allocation for professional development is 0.2% of the total operations grant. This met the needs of the school prior to the changes made to the appraisal system. As the staff grew over the past several years, so too did the money available, but not the overall percentage. With the increased focus now on professional and life-long learning, this budget will potentially fall short of the needs of staff for external professional development opportunities. The financial officer of the school stated that the current budget allowed for most departments to send a representative to subject conferences and for several on-off sessions per department. She agreed that follow-up of these courses would be the ideal, but that currently there is little opportunity for this as few courses provide this option, and funding is 'tight' and must be shared fairly among staff. It is my recommendation that the budget for professional development and the appraisal process should be increased to a minimum one per cent of schools' budgets. This figure is supported by Beall's (1999) research where he suggests one per cent of funding from the operations grant would be beneficial for professional development. For this to happen across all schools, the MOE would need to increase funding provided to schools, targeting a portion of that allocation for professional learning. They also should also ensure when contracting out professional development to outside organisations that a follow-up programme for the course is provided for participants as well.

6.8.2 Training

Senior and middle managers responsible for teacher appraisal and performance management should be trained for this role. When a teacher is promoted to the position of middle or senior management, it is automatically assumed that they then know how to appraise other teachers appropriately. This is not always the case as seen in survey one data. There is a huge variety of skills necessary for the effective management of staff and these are not always 'picked up' during a teacher's career unless that teacher specifically targets these skills.

Primarily, an appraiser needs to understand the system to be utilised for performance management and the different meanings that could be interpreted from the assessment criteria used. This understanding alone, however, is not

sufficient. Appraisers also need to have highly developed interpersonal skills. They are essentially evaluating another person. Much of the individual teacher comes through in their teaching practice so to evaluate their practice is akin to evaluating the person. This is a potential minefield. Both the teacher and the appraiser must have a shared understanding of "what makes a good teacher" (O'Neill, 1997, p. 119). This is a difficult requirement in itself given there is no set definition of a good teacher (McKenzie, 2005).

Interpersonal skills are easy to manage when the appraisal process is going well. However, when there are issues of poor performance or worse, of incompetency, then the appraiser-appraisee relationship becomes strained. Principals, as they have the ultimate responsibility for appraisal, find this situation difficult to manage due to a lack of formal training (McKenzie, 2005). If the appraiser does not or cannot deliver the message of poor performance then the teacher will continue as though nothing is 'wrong' (Yariv, 2009). It is for this reason in particular that training should be provided for teachers responsible for appraisal.

A further and related aspect of training needs to cover the documentation process and data collection, particularly in the cases of poor performance and incompetency. Appraisers should know what is required and how to structure the content of documents. In competency procedures, the documentation is long and onerous and if not done well, the teacher in question can remain at the 'chalk face' having a less than desirable impact on students for longer than necessary. Training, therefore, is a key aspect in successful staff management.

A final aspect of training is the need for consistency, both within a school and across schools. Training in the how's and why's of appraisal would help to ensure that this is the case. Any training will require an associated increase in funding

6.8.3 Time

The issue of time came up consistently throughout this research. Too often changes are implemented within the education system and teachers are expected to manage the change without the commensurate time being allocated. With

changes to the appraisal process time is needed for a variety of purposes within the new system. While this need has always been present, changes have made its need more pressing.

Time should to be built into the structure of the school year to accommodate reflection, discussions, observations and interviews. The first major time requirement is for the development of shared understanding about what a quality teacher is and how one can be assessed. In this research that understanding also involved consensus on what the RTC meant and how they could be evidenced as was achieved by the development of a shared RTC evidence source for the portfolios. While this has begun within this school, it is an on-going process that will require later whole staff PD sessions and discussions, both for the review of initial ideas and the development of new ideas.

Teachers responsible for appraisal also need a time allocation for this process. It is often too difficult to manage their own practice and evaluate other teachers *effectively* if they do not have the time to do so. Many teachers with appraisal responsibility in my school have three or four teachers under their charge. Managing the appraisal for this number of teachers *and* making the process meaningful takes time – time they do not always have.

Teachers also felt they have insufficient time to meet the requirements of the appraisal process identified in survey one. They need time to observe other teachers, to reflect on their practice and to engage in professional dialogues. This needs to happen without impacting on their own classroom practice through missing time with their classes.

The final time issue is the need for discussions that allow for professional development, learning and reflection. These could be built into whole school PD sessions, department meetings and into the school day. However, the time is not always available for this to happen. Providing funding to make time available would help alleviate this situation so that an hour (or more) every fortnight or month could be allocated to this purpose. Providing for this aspect of the appraisal

process could lead to improvement of both teaching and teachers through the sharing of ideas and best practice, and from the reflection a teacher undertakes on their practice. When this process is completed in collaboration with others the benefits are immense. This was certainly the case in this research. The more discussions the research group had, the better they felt about their own practice and the changes and processes they were undertaking.

6.8.4 Portfolios

Schools might be advised to consider that each teacher develop a portfolio. However, to insist this occurs as a prerequisite for the appraisal process will not work. The portfolio needs to be developed to 'fit' the school culture and the specific requirements it may have that are additional to the 'standard' appraisal process. This could mean that each school develops their portfolio that is first, specific to the school, and second, personalised by the teacher.

The portfolio structure developed during this study works very well for this school. It *may* work equally well for other schools. A modified version of it is in use at a local ECE centre. However, the key point here is that a skeleton portfolio should form the basis of the appraisal process. This skeleton contains the necessary documents required to show a teacher meets the attestation and registration requirements, but goes a step further. It includes documents that help teachers develop their individualised professional development plan and aids to the reflective process.

Once this skeleton document is in place, teachers can then individualise portfolios to showcase their practice. This process is managed through the teacher selecting relevant sources of evidence to support the RTC, displaying these artefacts in a manner he or she sees as appropriate to their personality and preferences, and documenting the reflective processes undertaken. This variety of content quickly became apparent during this research. Teachers chose different means of demonstrating their practice from having two portfolios, one with evidence only and the other with the skeleton documents, to annotating their evidence sources and storing these in filing cabinets or folders. One teacher was developing his

portfolio electronically. Irrespective of how teachers develop their portfolios, the basic structure should provide the guidance and support necessary to ensure this process is 'done and done well'.

6.8.5   Teacher in Charge

This is an important recommendation from this research. Establishing this role requires the allocation of both time and funding. This position could involve direct oversight by a member of senior management in larger schools, or be a member of management in smaller schools. The position requires sufficient 'power' to make things happen and ensure processes are followed. However, it is also important that this person is seen to be approachable and have a detailed understanding of the expectations of a teacher.

This position could involve a variety of roles attached to it including the all-important training of appraisal supervisors. If this person could not do this himself/herself then they could be responsible for finding opportunities that would meet the need. Another aspect of this role is to ensure portfolio documents are up to date and that modifications to these are done in consultation with staff. This is important as it maintains ownership of the process for teachers. A further aspect is the reminders of steps in the process as they are due for completion within the skeleton structure, and the publicising of PD opportunities as they are advertised by providers.

The support and guidance of teachers as they go through the appraisal process could be another key role for this person. Teachers often need reassurance as they go through the steps of appraisal over the course of the year. Participant C was a good example of this. Questions such 'what do I do for this?' and 'Is this what I need for this part of the cycle?' were commonly asked of me as I undertook this research. Advice on where to find PD, how to develop a PD plan, what reflection involved and how to source evidence were also aspects upon which I was consulted. My role at the school did not officially involve these aspects, but as I was most up-to-date with the process and had helped to develop the new appraisal portfolios I was the obvious choice for advice. During 2011 I was in the fortunate

position of having a MOE study grant and thus arranged my time to meet these needs while still gathering data. However, as of 2012, my time is less freely available, but the need for the support and advice I have been giving will not diminish.

SCT could fulfil this role, however, their focus is not specifically in this area of appraisal, and it would require more time than they have allocated. As a consequence, the MOE needs to consider this as a specialist role also and thus fund it appropriately. Having such a position within schools will again help with the consistency of approach and focus, and ultimately, the improvement of teacher quality across sectors.

9.9 Final Thoughts

Appraisal is a two-edged sword. On the one hand, it can be a very powerful tool when used appropriately. Through schools it can support teachers in becoming better and stronger practitioners, and thus improve the quality of teachers. In achieving this, the flow on effect is better learning for students. However, if not used appropriately, there is little benefit at all. Teachers see it as additional work and of little value if there are not the support and the structures in place to make the system effective. This research has found that having a structure or skeleton which teachers can 'flesh out' in their own way has helped the overall PMS. Teachers are developing greater collegiality through the buddy system and through the increased number of discussion opportunities. Greater focus has been placed on professional development as a backbone to the process. It is important to note here that while this structure for appraisal has been put in place and while is it mandatory for teachers to comply, it is equally important that teachers develop their own processes for evidencing the RTC throughout the appraisal cycle. Greater ownership of the process results. Providing a structure with little flexibility or opportunity for personalisation would have had limited success. It would simply have become another system enforced upon teachers that would have had 'lip service' paid to it rather than be embraced within a teacher's practice.

As with any system, there needs to be reminders and encouragement. If this is undertaken in small steps and with a teacher focus, then up-take of the process, changes and requirements is greater. Appraisal can be effective. It can be rewarding. It can improve teacher quality and student learning. For this to happen, a teacher-friendly, easy-to-use, well-structured process should be in place. The support from the senior management of the school also needs to be present and be seen to be present. This is an area too important to simply 'tick the boxes'. Stake (1995) wrote: "It has been said that being 'a student' is the occupation of childhood. If so, it seems a great portion of our youngsters are 'unemployed'" (p. 10). It is this situation we need to avoid. An effective, well-structured appraisal system will help teachers to keep their students 'employed'.

Chapter Seven

Afterword

It has been clear to me that one of the major outcomes of this research has been the personal growth I have undergone over the past two years. While this growth does not necessarily help in answering my research questions, it does, in a way, provide evidence of professional development and learning. It is also a means of documenting many of the RTC such as demonstrating commitment to on-going professional learning and development; showing leadership that contributes to effective teaching and learning; promoting a collaborative, inclusive and supportive learning environment; and using critical inquiry and problem-solving effectively in my professional practice. For me, this research has given me control of my practice – partly through the redefinition of appraisal, but also through undertaking this journey to help others redefine their practice.

Over the course of the past two years I have been forced to look at myself, my role within the school, and how I might be viewed by other teachers. This process has made me aware that I am a very different person to the one I saw prior to beginning the research. This has not always been an easy process to go through. At times I have doubted my capabilities and whether I should even have attempted something that can potentially change other people's practice. It would not have been possible in a school where the climate was anything but positive and supportive. The remainder of this chapter will explore some of the aspects in me that have changed and what areas have 'opened my eyes' in order to see myself in a new light.

Prior to this research I was a person who 'did' – if it needed doing, it was inevitably me who did it. I saw myself as a teacher, someone who did what they were told and worked hard. Even though I was in a middle management position I had never considered that I had 'power' or that I had influence over others' practice. During the process of gaining ethics approval, I realised that this actually was the case. On

reflection, I recognised that people did come to me for advice and that I was responsible for decisions about how things were undertaken within the department in which I worked. As this research continued to unfold, I was sought out by other teachers for advice and input into performance management issues – including senior management personnel. It has been fascinating to see myself as others potentially do, and to accept that I am more than I initially considered myself to be. Having seen how others see me, I have had to be that person. I probably always was that person, but it takes stepping away from yourself to gain a different perspective – and often this can only be done through a change in circumstance. This study certainly provided that change for me. To be honest, I have enjoyed the process. I have gained much confidence in what I do and in what I believe I am capable of doing in the future

A second factor that has changed is my degree of confidence. Prior to the undertaking this study, although confident to 'teach', I was not confident to stand in front of my peers and speak. I have always been too much of a 'shrinking violet' – more comfortable to be hidden in the background and let someone else take the limelight. This research has not allowed me to do this – and I am delighted that this has been the case. I have gained much confidence not only in my ability to speak in front of a crowd, but also in the knowledge that I do actually know what I am talking about. I have found that having people trust you to 'know the answers' – even if it is something that needs to be further investigated – has done much to lift my confidence. Having other people believing in you helps you to believe in yourself.

The research process has also taught me much. At times it was extremely difficult. At other times it has been a source of great satisfaction. I regularly doubted my ability to complete the task, whether I had actually gathered any data at all, and if I did have data, would it mean anything? Irrespective of having been warned this could be the case when I first started the research, I believe you always feel that it will happen to someone else and not you. These feelings are part and parcel of the research process, and are overcome with time away from the data to clear one's thoughts, or by sheer perseverance and pushing through the barriers – both

actions I completed on a number of occasions. One part of the research that really helped me with these aspects were the discussions I had with Participant G. He was very good at asking me questions and getting me to think about what it was I was trying to do. This helped with both the research process and the outcomes.

I learned a lot about human nature – not everyone sees things the same way and even if what you believe is right, others will see an alternative. I believe I became more accepting of views that opposed my own and because of this acceptance, gathered data that was balanced and honest. I learned people progress at different speeds and that this too needs to be accepted – rushing people will not make it happen any faster, no matter what the issue or activity. I also learned that people are amazing; they are supportive and encouraging and, at times, in awe (comments such as "I couldn't do what you are doing" demonstrate this), which I must admit was a rather good feeling. There is also a feeling of immense satisfaction when you can see something is working. The first time this happened for me was when the PD session for the HODs resulted in questions focused on *how* to achieve the set goals rather than *why* they should be achieved. The second instance came when analysing the survey data to discover a huge improvement in the awareness of staff of the RTC and professional standards requirements.

This study has indeed been a voyage of discovery. It will continue to be so as changes initiated as a direct result of this research continue to be implemented and developed within the school.

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Appendices

Contents

9.1 Letter of Request for Access

Massey University
COLLEGE OF EDUCATION
Te Kupenga o Te Mātauranga

2 March 2010

XXXXXX XXXXXX
Chairperson
XXXXXX XXXXXXX Board of Trustees
XXXXXXXX XXXXX
XXXXXXX
XXXXXXXX

Dear XXXXXX

I am writing to formally request permission to conduct a research project at XXXXXXX College.

Over the past two years I have been working on my Doctor of Education (EdD) through Massey University. The focus of my research is the performance management system used for the attestation and appraisal of staff. The aim of this research is to make performance management a more meaningful and beneficial process for teachers. To facilitate this research I need to work with teachers to develop a system that reflects these aims and would like to do this at XXXXXX College over the forthcoming 12-18 months.

The proposed project will involve a group of approximately ten teachers, selected on a volunteer basis, working through action research cycles based on identified professional development needs and the newly finalised Registered Teacher Criteria (RTC). Participants will be required to keep reflective journals, develop a means of evidencing the Criteria such as a portfolio, and attend regular meetings outside school hours. I will also be available for support and advice during non-contact times should this be necessary. As the focus of the meetings is outside school hours, there will be no negative impact on teaching time.

The benefits from the research are potentially wide ranging. There will be an increased understanding of the RTC prior to their implementation in schools in 2011. As a central focus is professional development, participants will benefit from improvement to their practice. A further focus is that of collaborative and collegial support for teachers. The school will also benefit from both the above points but also through the development of an appraisal system that is supported by staff as they have been instrumental in designing the process.

The data collected will be used solely in my research and only be available to my supervisor, as necessary, and myself. All hard copies of data will be stored in a secure location which will ensure confidentiality of information. The identification

of the College may be possible from the data collected and the subsequent reports written after the completion of the research. It is my intention, however, to endeavour to ensure the identification of the College is minimised. A pseudonym will be used in published work to help aid anonymity.

I would greatly appreciate a chance to speak in person to the Board to answer any questions that may arise from this proposed project.

Thank you for taking time to consider this opportunity. I look forward to hearing from you in the near future.

Yours sincerely

Janelle McKenzie
Asst. HoD English
Year 9 Tutor

9.2   Performance Management Survey 1

Performance Management Survey:

Completion and return of the questionnaire implies consent. You have the right to decline to answer any particular question.

<u>Section A</u>
For each of the following questions, please tick the category most appropriate for you.

1. Male ☐   Female   ☐

2. Age bracket: 20-29 ☐   30-39 ☐   40-49 ☐   50-59 ☐   60-69   ☐

3. Years of teaching: 1-2 ☐   3-5 ☐   6-9 ☐   10+ ☐

4. Number of management units: 0   ☐   1 ☐   2 ☐   3 ☐   4 ☐   4+ ☐

5. Are you an appraisal supervisor?   YES / NO

6. What is your highest educational qualification?

   Diploma ☐   Bachelor Degree ☐   Masterate Degree (or higher) ☐

<u>Section B</u>
This section looks at your awareness of the Ministry of Education and NZTC requirements for performance management *(1=not aware of the requirements; 5= aware of all requirements).*

7. Are you aware of the Ministry of Education's requirements for teachers with regard to professional development and the setting of objectives?

1	2	3	4	5

8. Are you aware of the Ministry of Education's requirements for teachers with regard to the *Professional Standards*?

1	2	3	4	5

9. Are you aware of the draft New Zealand Teachers' Council Registered Teacher Criteria requirements planned for 2010?

1	2	3	4	5

Section C

This section relates to the changes made to the current Performance Management process. For each of the following statements, please circle the number which best reflects your views.

Statement	Strongly Disagree	Disagree Somewhat	Disagree	Agree	Agree Somewhat	Strongly Agree
Having a folder in which to store Performance Management documentation is good	1	2	3	4	5	6
The *PMP Checklist and Timeline* helped me to organise this process	1	2	3	4	5	6
The *PMP Checklist and Timeline* helped me to be aware of the requirements	1	2	3	4	5	6
My professional development plan (WPR) helped me to focus on areas of need and/or interest	1	2	3	4	5	6
I would like more guidance in developing my professional development plan	1	2	3	4	5	6
I found discussions with my supervisor over the *Performance Measures* was helpful	1	2	3	4	5	6
I found the *Performance Measures* confusing	1	2	3	4	5	6
I found the *Performance Measures* of little value	1	2	3	4	5	6
I thought that having two supervisor observations was too many	1	2	3	4	5	6
I thought that being observed at two separate times by my supervisor allowed them to gain a better picture of my teaching practice	1	2	3	4	5	6
I like knowing what my supervisor will be looking for when they come to observe me	1	2	3	4	5	6
I benefitted from observing my buddy	1	2	3	4	5	6
I would like to have chosen my buddy	1	2	3	4	5	6
I had productive discussions with my buddy after our observations	1	2	3	4	5	6
Observing my buddy was good for my professional development	1	2	3	4	5	6
I found it hard to find the time to observe my buddy	1	2	3	4	5	6
The summary of student feedback helped me to reflect on my practice	1	2	3	4	5	6
I found the student feedback to be of little benefit	1	2	3	4	5	6
I found it difficult to summarise the student feedback for my buddy	1	2	3	4	5	6
I did not manage to complete all tasks in the Performance Management folder	1	2	3	4	5	6
I thought the process was helpful to my practice	1	2	3	4	5	6
Other comments:						

Section D

This section asks background questions about Performance Management in this school.

10. Are you appraised by a teacher with management responsibilities? YES / NO
11. Are the criteria for your appraisal set by others?   YES / NO
12. Are you involved in the school's review of the appraisal process?   YES / NO
13. How many times are you formally appraised during the year? _____

Section E

This section asks for your perspective on a variety of statements. Please circle the number which best matches your views.

Statement	Strongly Disagree	Disagree Somewhat	Disagree	Agree	Agree Somewhat	Strongly Agree
Appraisal affirms and values my work as a teacher	1	2	3	4	5	6
Appraisal determines whether I am competent to teach	1	2	3	4	5	6
Appraisal determines whether I move up the pay scale or not	1	2	3	4	5	6
Appraisal helps me to be a more effective teacher	1	2	3	4	5	6
Appraisal informs my professional development	1	2	3	4	5	6
Appraisal is an on-going and continuous process	1	2	3	4	5	6
Appraisal is about checking if I conform to the *Professional Standards*	1	2	3	4	5	6
Appraisal is about evaluating how I do my tasks at school	1	2	3	4	5	6
Appraisal is about making conclusive judgements about my teaching performance	1	2	3	4	5	6
Appraisal is an objective process	1	2	3	4	5	6
I am anxious about my appraisal	1	2	3	4	5	6
I am comfortable sharing my work with others in appraisal	1	2	3	4	5	6
I direct my own appraisal	1	2	3	4	5	6
I feel my professionalism is undermined by appraisal requirements	1	2	3	4	5	6
I feel supported in my appraisal	1	2	3	4	5	6
I find appraisal impersonal	1	2	3	4	5	6
I have found that trust is central in my appraisal	1	2	3	4	5	6
I have sufficient time to carry out my appraisal	1	2	3	4	5	6
In my appraisal, my teaching practice is considered in a holistic manner	1	2	3	4	5	6
My appraisal is a collaborative, collegial process	1	2	3	4	5	6
My appraisal in an individualistic process	1	2	3	4	5	6
My appraisal is an open and transparent process	1	2	3	4	5	6
Mt appraisal process is based on personal self-review	1	2	3	4	5	6
My appraisal supports reflective practice	1	2	3	4	5	6
The people involved with my appraisal understand me	1	2	3	4	5	6

<u>Section F</u>

This section relates to changes you would like to see made to the Performance Management process.

14. Do you know what happens to your appraisal documentation at the end of the annual cycle and who has access to it?   YES / NO

15. Which of these groups have the automatic right to look at your personal appraisal documentation? (Please circle as many as necessary)

      Senior management   Board of Trustees   ERO

      NZ Teachers' Council   Heads of Department   MoE

16. Do you believe that appraisal criteria are applied equally to all teaching staff across the school?   YES / NO

      If not, what do you believe to be the underlying cause(s) of the differences? _____
_____
_____
_____

17. Do you believe the appraisal process should be undertaken by management or by all staff equally? Explain your answer. _____
_____
_____
_____
_____

18. In which of the following processes do you believe appraisal documentation is appropriate to be used? (circle as many as appropriate)

      Curriculum Vitae   Competency process   Pay increments

      Awarding management units   Directed professional development

      Other: (please state) _____

19. What is your main motivation for striving for a positive performance appraisal outcome? _____
_____
_____
_____

20. What changes, if any, do you think need to be made to the Performance Management / appraisal process to make it more relevant to you? _____
_____
_____
_____
_____

21. How do you think professional development can be better integrated into the Performance Management / appraisal process? _____
_____
_____
_____
_____

(Adapted from Fitzgerald, et al., 2003)

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Redefining Appraisal:
Giving teachers ownership of their practice

Researcher Introduction
This research is being undertaken by Janelle McKenzie as part of the requirements for the Educational Doctorate degree through Massey University.
The project will be an action research investigating the perceptions of teachers toward the performance management system within their secondary school. From this initial investigation participants will assist in the development of a system of appraisal that is both effective and meaningful to their practice.

Project Description and Invitation
The project will involve three central components:
- A survey of staff to establish perceptions of the performance management process within the school and potential changes they would like to see happen that would make the process more beneficial to them. The survey, while fairly extensive, consists of a large number of 'tick the box' type questions meaning the document requires a minimal time to complete. Participants are not required to spend time analysing the information gathered.
- Action Research: this will involve a small group of teachers establishing a common understanding of the Registered Teachers Criteria (the standards upon which teachers are assessed for registration) and how these Criteria can be evidenced in their practice. The participants will also identify individual professional learning areas as a focus for their year. Part of this process will be the development of a reflective journal and portfolio evidencing the Criteria. From the discussions potential changes to the performance management system will be considered and ideas developed that can put tested during the action research cycle. The researcher will have a direct input into these cycles, helping to direct and clarify aspects as necessary. Each step undertaken will be documented and reflected upon by participants. At the conclusion of each cycle, outcomes will be discussed and further actions planned. It is anticipated that approximately ten cycles will be completed over the course of the year.
- Interviews: these will be undertaken at the end of the action research cycles and will involve one-on-one discussions with the researcher. The main focus of these interviews is to gather information about the processes and paths taken by each teacher and how these have impacted on teaching practice.

You are hereby cordially invited to be part of this project. It is hoped that you will find it both challenging in nature and worthwhile to your practice.

Participant Identification and Recruitment

Participants for this project are selected on a volunteer basis. A cross section of teachers would be the ideal – from a variety of curriculum areas and with a variety of teaching experience. Teachers do not have to be fully registered to participate.

The only staff members who would be ineligible for this project are those working within the English Department to eliminate any possible conflict of interest due to the researcher's position of authority within this setting.

The number of participants is open. The group will comprise of up to ten participants. However, if more than this number is interested in participating, a second group can be established. By limiting the group size to ten, the action research process and discussions that will ensue will remain manageable, allowing all participants to contribute. This number is also reflective of the staff at the school, being approximately 10% of the larger population.

It is anticipated that there will be little, if any, expenses arising from this project. Possible photocopying charges may be met by the researcher, but the majority of expenses fall within the professional development budget of the school.

Involvement in this project will not involve any risk or discomfort for participants.

Project Procedures

The time required for each component part (survey, action research cycles and interviews) of the project varies. The survey will take minimal time to complete by participants. The action research will be undertaken over the course of a year, with regular meeting approximately every three weeks. These meetings will not happen during school time, or during teacher non-contact time, thereby having minimal impact on teaching time. Meeting will be scheduled outside school hours at a time that is mutually agreeable to all participants. Time will be available for participants to talk with the researcher by negotiation as necessary outside the regular meeting times. It is anticipated the interviews may take up to an hour and will be at a time that is agreeable to both the researcher and the participant.

As the researcher is currently employed at the school where the research is to take place, a conflict of interest could be possible. The researcher is currently an Assistant Head of the English department. To alleviate this potential conflict of interest, the English department will not participate in this project.

Data Management

The data collected during this research project will be used only for the project itself. All data gathered will be securely stored in locked cabinets and will not be accessible to any other party other than the researcher's direct supervisor at Massey University – if necessary.

Participant's journals and portfolios will be returned once data analysis is completed. All other data will be securely stored for at least five years, in locked storage facilities.

Transcribed interview data will be available for checking by participants, as per agreement. Where interview data is cited in the research, confidentiality of the participant will be maintained as far as is legally possible.

A summary of the project findings will be made available to all participants at the completion of the project.

Participant's Rights

You are under no obligation to accept this invitation. If you decide to participate, you have the right to:

- Decline to answer any particular question;
- Withdraw from the study at any stage;
- Ask any questions about the study at any time during participation;
- Provide information on the understanding that your name will not be used unless you give permission to the researcher;
- Be given access to a summary of the project findings when it is concluded;
- Ask for the recorder to be turned off at any time during the interview

Project Contacts

Researcher contact details:

      Janelle McKenzie
      Home: XXXX XXXXXXX
            XX XXX XXXX XXXX
            XX X XXXXX XXX
            XXXXXX XXXX XXXX

            Phone: XX XXXXXXX

            Email: XXXXXXXXXXX@ihug.co.nz

Supervisors contact details:
      Associate Professor Margaret Walshaw
      Work: School of Curriculum and Pedagogy
              Massey University College of Education
              Private Bag 11222
              Palmerston North

            Email: m.a.walshaw@massey.ac.nz

      Dr Sally Hansen
      Work: School of Educational Studies
              Massey University College of Education
              Private Bag 11222
              Palmerston North

            Email: S.E.Hansen@massey.ac.nz

Please feel free to contact the researcher and/or the supervisors if you have any questions about this research project.

Thank you for taking the time to consider this opportunity.

Committee Approval Statement

"This project has been reviewed and approved by the Massey University Human Ethics Committee: Southern A, Application 10/08. If you have any concerns about the conduct of this research, please contact Professor Julie Boddy, Chair, Massey University Human Ethics Committee: Southern A telephone 06 350 5799 x 2541, email humanethicsoutha@massey.ac.nz."

9.4   Participant Consent Form - Individual

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Giving teachers ownership of their practice

PARTICIPANT CONSENT FORM - INDIVIDUAL

I have read the Information Sheet and have had the details of the study explained to me. My questions have been answered to my satisfaction, and I understand that I may ask further questions at any time.

I agree/do not agree to interviews being sound recorded.

I agree/do not agree to the interview being image recorded.

I wish/do not wish to have my recordings returned to me.

I agree/do not agree to the use of my portfolio and reflective journal to be used for data gathering.

I wish/do not wish my portfolio and reflective journal to be returned to me.

I wish/do not wish to have data placed in an official archive.

I agree to participate in this study under the conditions set out in the Information Sheet.

Signature: **Date:**

....

Full Name - printed

....

9.5   Participant Consent Form - Group

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FOCUS GROUP PARTICIPANT CONSENT FORM

I have read the Information Sheet and have had the details of the study explained to me. My questions have been answered to my satisfaction, and I understand that I may ask further questions at any time.

I agree not to disclose anything discussed in the Focus Group*.*

I agree to participate in this study under the conditions set out in the Information Sheet.

Signature: ....   **Date:** ....

Full Name - printed ....

9.6   Confidentiality Agreement

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CONFIDENTIALITY AGREEMENT

I ……………………………………………………………… (Full Name - printed)

agree   to   keep   confidential   all   information   concerning   the   project

…………………………………. (Title of Project).

I will not retain or copy any information involving the project.

Signature: **Date:**

9.7   Interview Schedule

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Redefining Appraisal:
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Interview Schedule:

NB: the questions contained within this schedule as proposed only. It is cannot be absolutely determined at this stage, the exact questions that will be necessary as this will depend on the progress and findings made during the Action Research process.

1. During the action research process, what aspects did you find worked well?
2. What aspects could be improved upon?
3. Of what value did you find the process?
4. How do you think the changes in the performance management system have helped it become more meaningful to you as a teacher practitioner?
5. Do you think you have more control over your practice than prior to the process? Why/why not?
6. How do you think your professional development supports and leads your performance management processes?
7. How was the use of the professional teaching portfolio of benefit in showcasing your practice? How do you think this document could be further developed?
8. Where do you think this process and the aspects covered during the research could head now within the school?
9. What other recommendations or comments can you make after having participated in this research?

More questions, and redefined questions, will be added to this schedule as the action research process continues.

9.8   Performance Management Survey 2

Performance Management Survey 2

Completion and return of the questionnaire implies consent. You have the right to decline to answer any particular question.

Section A

For each of the following questions, please tick the category most appropriate for you.

1. Male ☐   Female   ☐
2. Age bracket: 20-29 ☐   30-39 ☐   40-49 ☐   50-59 ☐   60-69   ☐
3. Years of teaching: 1-2 ☐   3-5 ☐   6-9 ☐   10+ ☐

Section B

This section relates to the changes made to the current Performance Management process. For each of the following statements, please circle the number which best reflects your views.

Statement	Strongly Disagree	Disagree	Partly Disagree	Partly Agree	Agree	Strongly Agree
1. Having a folder in which to store Performance Management documentation is good	1	2	3	4	5	6
2. The *PMP Checklist and Timeline* helped me to organise this process	1	2	3	4	5	6
3. The *PMP Checklist and Timeline* helped me to be aware of the requirements	1	2	3	4	5	6
4. My professional development plan (WPR) helped me to focus on areas of need and/or interest	1	2	3	4	5	6
5. I would like more guidance in developing my professional development plan	1	2	3	4	5	6
6. I found discussions with my supervisor over the *Performance Measures* was helpful	1	2	3	4	5	6
7. I found the *Performance Measures* confusing	1	2	3	4	5	6
8. I found the *Performance Measures* of little value	1	2	3	4	5	6
9. I thought that having two supervisor observations was too many	1	2	3	4	5	6
10. I thought that being observed at two separate times by my supervisor allowed them to gain a better picture of my teaching practice	1	2	3	4	5	6
11. I like knowing what my supervisor will be looking for when they come to observe me	1	2	3	4	5	6
12. I benefitted from observing my buddy	1	2	3	4	5	6
13. I would like to have chosen my buddy	1	2	3	4	5	6
14. I had productive discussions with my buddy after our observations	1	2	3	4	5	6
15. Observing my buddy was good for my professional development	1	2	3	4	5	6
16. I found it hard to find the time to observe my buddy	1	2	3	4	5	6
17. The summary of student feedback helped me to reflect on my practice	1	2	3	4	5	6
18. I found the student feedback to be of little benefit	1	2	3	4	5	6
19. I found it difficult to summarise the student feedback for my buddy	1	2	3	4	5	6
20. I did not manage to complete all tasks in the Performance Management folder	1	2	3	4	5	6
21. I thought the process was helpful to my practice	1	2	3	4	5	6

Section C

This section relates to changes you would like to see made to the Performance Management process.

4. Do you know what happens to your appraisal documentation at the end of the annual cycle and who has access to it?   YES / NO

   If 'yes', what and who? _____

   _____

   _____

   _____

5. What changes, if any, do you think need to be made to Performance Management to make it more relevant to you? _____

   _____

   _____

   _____

   _____

   _____

   _____

6. How can teachers find out what Professional Development is available to them? What assistance / guidance might they need? _____

   _____

   _____

   _____

   _____

   _____

   _____

7. How do you think professional development can support your Performance Management and appraisal? _____

   _____

   _____

   _____

   _____

   _____

   _____

8. Other Comments:

   _____

   _____

   _____

   _____

   _____

   _____

   _____

   _____

   _____

   _____

This section looks at your awareness of the Ministry of Education and NZTC requirements for performance management *(1=not aware of the requirements; 5= aware of all requirements).*

1. Number of management units: 0 ☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 4+ ☐

2. Are you an appraisal supervisor? YES / NO

3. Are you aware of the Ministry of Education's requirements for teachers with regard to professional development and the setting of objectives?

1	2	3	4	5

4. Are you aware of the Ministry of Education's requirements for teachers with regard to the *Professional Standards*?

1	2	3	4	5

5. Are you aware of the draft New Zealand Teachers' Council Registered Teacher Criteria requirements planned for 2010?

1	2	3	4	5

PLEASE RETURN COMPLETED FORM TO MZ

9.9   School Policy for Performance Management

Self-Review and Professional Development – PMS 2006

There are 2 cycles in the Self-Review/PMS system.

1   a)   1 year Work Planning Review (WPR)
This cycle is carried out by the HOD/TIC at the beginning and end of year. It sets out the goals/department development needs and PD/training the staff have requested.
b)   3 year cycle as enclosed for Self-Review
This cycle reviews all policies of the School BoT and a major Department/Faculty review where staff complete the MOE Performance Management documents. One department has a full review every term, each year (all departments covered over a 3 yr period).

2   The main emphasis for 2006 Review and Professional Development

1   Attitude is Everything
2   Information Literacy
3   ICT
4   Lead Teacher Programme (ICT)
5   NCEA

3   a)   New staff beginning teachers have also a separate review/training/PD programme (see Sm for details).
b)   NB: There are whole staff PD slots on various Mondays throughout the year (one in Term 1,   two in Term 2 & 3 and one in Term 4). These are specifically aimed at NCEA development and two will be allocated for Literacy PD and ICT PD.
c)   Following the March WPR staff (via HOD) can apply to the PD Committee for PD funding (it is part of the professional responsibility of an HOD to make sure their staff have access to appropriate PD where necessary).

The Performance Management System allows you and your supervisor to discuss plans, progress and achievements during the period under review (usually the school year).

It is an opportunity to:
1. Set goals
2. Plan how to achieve these goals
3. Recognise your contribution to the school

THE PROCESS

▪   Involves all staff in Performance Management with a supervisor.
ie: Assistant   →   HOD
HOD   →   Member of senior management (P, DP, ADP)
ADP, DP   →   Principal
Principal   →   B.O.T

- Occurs at least once every 12 months
- Is based on key performance areas
- The key performance areas for all teaching staff include:
  - Professional Knowledge
  - Professional Development
  - Teaching Techniques
  - Student Management
  - Motivation of Students
  - Te Reo me ona Tikanga
  - Effective Communication
  - Support for and Cooperation with Colleagues
  - Contribution to Wider School Activities

  As outlined in the Secondary Teachers Collective Employment Contract 'Professional Standards for Secondary Teachers – criteria for quality teaching'.

- In addition for management unit holders:

  - Resource Management
  - Staff and Student Management
  - Professional Leadership
  - Responsibilities or Tasks specific to the Position

TIMELINE

- School-wide goal (or goals) set around October/November for the following year.

- Departmental goal (or goals) (incorporating the school-wide goals) set at the end of the year for the following year.

- Personal goal (or goals) set at end of year for following year or at beginning of New Year.

Term 1   - Performance Management Cycle begins
- Job description agreed and signed
- Set **a minimum** of three management goals – one linked to school-wide goal(s), one linked to departmental goal(s), one focusing on classroom responsibilities.
- List goals, discuss and record method of evaluation.

Target is end of Week 7, Friday 24 March for all staff to have completed their first interview. Remember that the school-wide goal 'Attitude is Everything' should be included as part of this process and/or Information Literacy.

Terms 2/3
- Brief interim meeting may be held to discuss progress to date. During this period, at least one classroom observation is conducted by the Head of Department/Supervisor.

Term 4   - Formal Review Meeting is held
- Performance appraised by evaluating if goals have been achieved and identifying those areas requiring further work. Preliminary work towards next year's Performance Management System.

9.10 Timeline for Performance Appraisal Process:

Professional Development Process Checklist and Timeline

Teacher: _____   **Supervisor: _____**   **Buddy: _____**

Circle one: Classroom (3-7 years);   Experienced (8+ yrs)

Term One	Completion Date	Signed (Supervisor)
Job description updated and confirmed		
PD plan for year completed (includes School Wide Theme, Dept, Personal Professional Development)		
Discussion of Performance Measures between Appraisee and Appraiser		
Classroom Observation – lesson start-up (supervisor)		
Term Two		
Classroom Observation (Buddy) completed		Buddy
Student Feedback Forms completed by Buddy (senior class)		Buddy
Term Three		
Weeks 1 & 2 – PD Plan reviewed with Supervisor		
Classroom Observation – lesson closure (superv)		
Term Four		
Student Feedback Forms completed by Buddy (Jnr class)		
Review of PD Plan with Supervisor and Performance Measures. Final Interview		
Copies of this sheet and Performance Measures to be filed by Principal's PA by Week 10, Term 4 (DATE)		

9.11 Professional Development and Reflection Log

Professional Development and Reflection Log 20___

Teacher: _____   **Supervisor:** _____   **Department:** _____

This document allows you to evidence all the Professional Development that you do. Please keep in your folder from one year to the next.

Professional Development: Most PD will be linked to your Professional Development Plan and the RTC indicated on it.				**Reflection:** In this side think about your PD and its impact on your practice **_and your students_**. Consider the following questions when reflecting: 1) What have I done? 2) What have I learned? 3) What is the significance of the learning? 4) How will this learning generate new actions in my practice?
Date	**Title/Content**	**Presenter**	**Who For**	

9.12 Professional Development Plan

Professional Development Plan for 20__

Teacher: _____   **Supervisor:** _____   **Department:** _____

Circle: **Beginning (Yr 1 or 2)**   **Classroom (3-7 years)**   **Experienced (8+ years)**   **Management Unit Holder**

Notes: This document is confidential to the teacher, Professional Development Supervisor, and Principal.
- The Performance Management Process allows you and your supervisor to discuss plans, progress, achievements and recognise your contribution to the school during the period under review and for career direction advice/support.
- Goals: 3-5 are realistic. These will be evaluated by self-review, checking 'achievement measures', asking key staff, student feedback etc.
- A school wide goal is set early Term 4 of the preceding year. Faculty / department goal(s) incorporating the school wide goal should be set by the end of the year along with the personal goals or by the start of the new year.

School Wide Theme & E4E

1

Goal	RTC	Specific Tasks	Achievement Measures	Support/PD/Resources	Review Comments
School Theme					Achieved: Yes Partly No
E4E					Achieved: Yes Partly No

Department Goal

2

Goal	RTC	Specific Tasks	Achievement Measures	Support/PD/Resources	Review Comments
E.g. Data Smart					Achieved: Yes Partly No
					Achieved: Yes Partly No

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Personal Professional/Classroom Goals

	Goals	RTC	Specific Tasks	Achievement Measures	Support/PD/Resources	Review Comments
3						**Achieved: Yes Partly No**
4						**Achieved: Yes Partly No**
5						**Achieved: Yes Partly No**

RTC not fully covered:

Actions and evidence to be undertaken/gathered to meet above RTC:

Commend/Recommend:

Where to from here?

1st Meeting (date held):   Teacher _____   Date: _____   HOD/Supervisor: _____   (Set up meeting)

2nd Meeting (date held):   Teacher: _____   Date: _____   HOD/Supervisor: _____   (Progress meeting)

3rd Meeting (date held):   Teacher: _____   Date: _____   HOD/Supervisor: _____   (Final meeting)

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9.13 Performance Measures

SCHOOL NAME
Performance Measures

Teacher: _____ **Supervisor:** _____ **Department:** _____

Circle: **Beginning (Yr 1 or 2)** **Classroom (3-7 years)** **Experienced (8+ years)** **Management Unit Holder**

Professional Relationships and Professional Values			
Criteria	**Indicators**	**Evidence Examples**	**My Sources of Evidence (list) to be listed once included in folder**
1. Establish and maintain effective professional relationships focused on the learning and well-being of all äkonga	Engage in ethical, respectful, positive and collaborative professional relationships with: • Äkonga • teaching colleagues, support staff and other professionals • whänau and other carers of äkonga • agencies, groups and individuals in the community	• integration of school wide theme • consistent participation within Department etc • contact home	
Reflective Question: What do I do to establish working relationships with my äkonga, their whänau and my colleagues and others to support the learning of those I teach?			
2. Demonstrate commitment to promoting the well-being of all äkonga	i. take all reasonable steps to provide and maintain a teaching and learning environment that is physically, socially, culturally and emotionally safe ii. acknowledge and respect the languages, heritages and cultures of all akonga iii. comply with relevant regulatory and statutory requirements	• organised and effective lessons • consistent and effective approaches • school wide theme and routines applied consistently	
Reflective Question: How do I show in my practice that I actively promote the well-being of all äkonga for whom I am responsible?			
3. Demonstrate commitment to bicultural partnership in Aotearoa New Zealand	Demonstrate respect for the heritages, languages and cultures of both partners to the Treaty of Waitangi	• adhering to the principles of Ka Hikitia • adopts Maori protocols as appropriate	
Reflective Question: How do I reflect in my professional work respect for the cultural heritages of both Treaty partners in Aotearoa New Zealand?			
4. demonstrate commitment to ongoing professional learning and development of personal professional practice	i. identify professional learning goals in consultation with colleagues ii. participate responsively in professional learning opportunities within the learning community iii. initiate learning opportunities to advance personal professional knowledge and skills	• PD plan established and undertaken • personal goal setting and reflection • encourages and assists colleagues in their PD	
Reflective Question: How do I continue to advance my professional learning as a teacher?			
5. Show leadership that contributes to effective teaching and learning	i. actively contribute to the professional learning community ii. undertake areas of responsibility effectively	• consistent participation in school-wide and depart. PD • provide support & assistance to colleagues where appropriate	
Reflective Question: How do I help support my colleagues to strengthen teaching and learning in my setting?			

Professional Knowledge in Practice

6. Conceptualise, plan and implement an appropriate learning programme	i. articulate clearly the aims of their teaching, give sound professional reasons for adopting these aims, and implement them in their practice ii. through their planning and teaching, demonstrate their knowledge and understanding of relevant content, disciplines and curriculum documents	• clear lesson plans with aims and goals communicated well • lessons build on prior student learning	
Reflective Question: What do I take into account when planning programmes of work for groups and individuals?			
7. Promote a collaborative, inclusive and supportive learning environment	i. demonstrate effective management of the learning setting which incorporates successful strategies to engage and motivate äkonga ii. foster trust, respect and cooperation with and among äkonga	• variety of teaching strategies utilised • differentiation • positive and supportive classroom atmosphere	
Reflective Question: How does my teaching practice promote an environment where learners feel safe to explore ideas and respond respectfully to others in the group?			
8. Demonstrate in practice their knowledge and understanding of how äkonga learn	i. enable äkonga to make connections between their prior experiences and learning and their current learning activities ii. provide opportunities and support for äkonga to engage with, practise and apply new learning to different contexts iii. encourage äkonga to take responsibility for their own learning and behaviour iv. assist äkonga to think critically about information and ideas and to reflect on their learning	• lessons consistently build on prior learning • E4E • students setting goals and self-reflecting	
Reflective Question: How does my teaching reflect my understanding the in influence in how my äkonga learn?			
9. Respond effectively to the diverse language and cultural experiences, and the varied strengths, interests and needs of individuals and groups of äkonga	i. demonstrate knowledge and understanding of social and cultural influences of learning by working actively within the cultural and multicultural contexts of learning in Aotearoa New Zealand ii. select teaching approaches, resources, technologies and learning assessment activities that are inclusive and effective for diverse äkonga iii. modify teaching approaches to address the needs of individuals and groups of äkonga	• Te reo Maori and Tikanga used when appropriate • adhering to the principles of Hikitia	
Reflective Question: How does my knowledge of the varied strengths, interests and needs of individuals and groups of äkonga influence how I teach them?			
10. Work effectively within the bicultural context of Aotearoa New Zealand	i. practise and develop the relevant use of te reo Mäori me ngä tikanga-a-iwi in context ii. specifically and effectively address the educational aspirations of äkonga Mäori, displaying high expectations for their learning	• inclusive of international students • differentiation • use of ICT • provide support and assistance to colleagues where appropriate	
Reflective Question: In my teaching, how do I take into account the bicultural context of teaching and learning in Aotearoa New Zealand?			
11. Analyse and appropriately use assessment information, which has been gathered formally and informally	i. analyse assessment information to identify progress and ongoing learning needs of äkonga ii. use assessment information to give regular and ongoing feedback to guide and support further learning iii. analyse assessment information to reflect on and evaluate the effectiveness of the teaching iv. communicate assessment and achievement information to relevant members of the learning community v. foster involvement of whänau in the collection and use of information about the learning of äkonga	• informed use of data • reporting – feedback and feed-forward • teacher evaluation • reporting • community consultation as applicable	
Reflective Question: How do I gather and use assessment information in ways that advance the learning of my äkonga?			

| 12. Use critical inquiry and problem-solving effectively in their professional practice | i. Systematically and critically engage with evidence and professional literature to reflect on and refine practice
ii. Respond professionally to feedback from members of their learning community
iii. Critically examine their own beliefs, including cultural beliefs, and how they impact on their professional practice and the achievement of äkonga | • keeps up to date with latest teaching strategies
• participates in professional discussion
• self-reflection | |

Reflective Question: How do I advance the learning of my äkonga through critical inquiry within my professional learning?

Commend/Recommend:

Reflection: where to from here?

SAMPLE ONLY

- -

Complete for attestation purposes only   Attestation verification date: _____

In accordance with the above information I do/do not recommend that this teacher be attested for salary increment at this stage.

Signed: _____   Supervisor

Complete only for registration purposes   Registration due date: _____

In accordance with the above information on Registered Teacher Criteria, and the information below on 'fitness to be a teacher', I do/do not recommend that this teacher has their practicing certificate issued/renewed.
Signed: _____   Supervisor

9.14 RTC Comparative Matrix

Registered Teacher Criteria Comparative Matrix with Satisfactory Teacher Dimensions AND Professional Standards (Secondary: Classroom Teacher)

REGISTERED TEACHER CRITERIA		SATISFACTORY TEACHER DIMENSIONS	PROFESSIONAL STANDARDS (Secondary: Fully registered teacher)
PROFESSIONAL RELATIONSHIPS AND PROFESSIONAL VALUES Fully registered teachers engage in appropriate professional relationships and demonstrate commitment to professional values.			
Criteria	Key Indicators		
Fully registered teachers:			
1. establish and maintain effective professional relationships focused on the learning and well-being of ākonga	i. engage in ethical, respectful, positive and collaborative professional relationships with: ▪ ākonga ▪ teaching colleagues, support staff and other professionals ▪ whānau and other carers of ākonga ▪ agencies, groups and individuals in the community	Professional practice • creates an environment of respect and understanding Professional relationships • communicates with families, whānau, and caregivers • maintains confidentiality, trust, and respect Professional leadership • displays ethical behaviour and responsibility	• communicate effectively with families, whanau and caregivers • share information with colleagues • establish constructive relationships with students
2. demonstrate commitment to promoting the well-being of all ākonga	i. take all reasonable steps to provide and maintain a teaching and learning environment that is physically, socially, culturally and emotionally safe ii. acknowledge and respect the languages, heritages and cultures of all ākonga iii. comply with relevant regulatory and iv. statutory requirements	Professional practice • manages a safe physical and emotional environment • manages student behaviour positively Professional relationships • maintains accurate records	• develop and maintain a positive and safe physical and emotional environment • create an environment which encourages respect and understanding
3. demonstrate commitment to bicultural partnership in Aotearoa New Zealand	i. demonstrate respect for the heritages, languages and cultures of both partners to the Treaty of Waitangi	Professional knowledge • the Treaty of Waitangi and te reo Māori me ōna tikanga	• continue to develop understandings of the Treaty of Waitangi

4. demonstrate commitment to ongoing professional learning and development of personal professional practice	i. identify professional learning goals in consultation with colleagues ii. participate responsively in professional learning opportunities within the learning community iii. initiate learning opportunities to advance personal professional knowledge and skills	Professional relationships • develops professionally Professional leadership • encourages others and participates in professional development	• demonstrate a commitment to their own ongoing learning • participate individually and collaboratively in professional development activities
5. show leadership that contributes to effective teaching and learning	i. actively contribute to the professional learning community ii. undertake areas of responsibility effectively	Professional relationships • contributes to the life of the learning centre Professional leadership • leads and supports other teachers • displays ethical behaviour and responsibility • manages resources safely and effectively • demonstrates flexibility and adaptability	• support and provide assistance to colleagues in improving teaching and learning • contribute positively to the life of the school and its community
REGISTERED TEACHER CRITERIA		*SATISFACTORY TEACHER DIMENSIONS*	*PROFESSIONAL STANDARDS* (Secondary: Fully registered teacher)
PROFESSIONAL KNOWLEDGE IN PRACTICE Fully registered teachers make use of their professional knowledge and understanding to build a stimulating, challenging and supportive learning environment that promotes learning and success for all ākonga.			
Fully registered teachers:			
Criteria	**Key Indicators**		
6. conceptualise, plan and implement an appropriate learning programme	i. articulate clearly the aims of their teaching, give sound professional reasons for adopting these aims, and implement them in their practice ii. through their planning and teaching, demonstrate their knowledge and understanding of relevant content, disciplines and curriculum documents	Professional knowledge • current curricula – the subjects being taught and current learning theory • appropriate teaching objectives	• are competent in relevant curricula
7. promote a collaborative, inclusive and	i. demonstrate effective management of the learning setting which incorporates successful strategies to engage and	Professional practice • creates an environment of respect and understanding	• manage student behaviour effectively • establish constructive

supportive learning environment	motivate ākonga ii. foster trust, respect and cooperation with and among ākonga	• establishes high expectations that value and promote learning • manages student learning processes • manages student behaviour positively • engages students in learning Professional relationships • maintains confidentiality, trust, and respect	relationships with students • develop and maintain a positive and safe physical and emotional environment • create an environment which encourages respect and understanding • maintain a purposeful working environment
8. demonstrate in practice their knowledge and understanding of how ākonga learn	i. enable ākonga to make connections between their prior experiences and learning and their current learning activities ii. provide opportunities and support for ākonga to engage with, practise and apply new learning to different contexts iii. encourage ākonga to take responsibility for their own learning and behaviour iv. assist ākonga to think critically about information and ideas and to reflect on their learning	Professional practice • uses a range of teaching approaches • demonstrates flexibility and responsiveness • engages students in learning • manages student learning processes • manages student behaviour positively • focuses on teaching and learning	• plan and use appropriate teaching programmes, strategies, learning activities and assessments • demonstrate flexibility in a range of effective teaching techniques • make use of appropriate technologies and resources • impart subject content effectively
9. respond effectively to the diverse language and cultural experiences, and the varied strengths, interests and needs of individuals and groups of ākonga	i. demonstrate knowledge and understanding of social and cultural influences on learning, by working effectively in the bicultural and multicultural contexts of learning in Aotearoa New Zealand ii. select teaching approaches, resources, technologies and learning and assessment activities that are inclusive and effective for diverse ākonga iii. modify teaching approaches to address the needs of individuals and groups of ākonga	Professional knowledge • the Treaty of Waitangi and te reo Māori me ōna tikanga • the characteristics and progress of their students • appropriate technology and resources • appropriate learning activities, programmes and assessment • Professional practice • uses a range of teaching approaches • demonstrates flexibility and responsiveness • engages students in learning Professional leadership • recognises and supports diversity among groups and individuals	• Engage student positively in learning • Establish expectations which value and promote learning • be responsive to individual student needs

10. work effectively within the bicultural context of Aotearoa New Zealand	i. practise and develop the relevant use of te reo Māori mengā tikanga-a-iwi in context ii. specifically and effectively address the educational aspirations of ākonga Māori, displaying high expectations for their learning	Professional knowledge • the Treaty of Waitangi and te reo Māori me ōna tikanga Professional practice • establishes high expectations that value and promote learning	• demonstrate a sound knowledge of current issues and initiatives in education, including Mäori education • continue to develop understandings and skills in the appropriate usage and accurate pronunciation of te reo Mäori • demonstrate an understanding of basic Mäori protocols when opportunities arise
11. analyse and appropriately use assessment information, which has been gathered formally and informally	i. analyse assessment information to identify progress and ongoing learning needs of ākonga ii. use assessment information to give regular and ongoing feedback to guide and support further learning iii. analyse assessment information to reflect on and evaluate the effectiveness of the teaching iv. communicate assessment and achievement information to relevant members of the learning community v. foster involvement of whānau in the collection and use of information about the learning of ākonga	Professional knowledge • appropriate learning activities, programmes and assessment Professional practice • provides feedback to students and assesses learning	• demonstrate a sound knowledge of current learning and assessment theory • provide appropriate feedback to students • share information with colleagues
12. use critical inquiry and problem-solving effectively in their professional practice	i. systematically and critically engage with evidence and professional literature to reflect on and refine practice ii. respond professionally to feedback from members of the learning community iii. critically examine their own beliefs, including cultural beliefs, and how they impact on their professional practice and the achievement of ākonga	Professional relationships • reflects on teaching with a view to improvement • develops professionally Professional leadership • demonstrates flexibility and adaptability	• evaluate and reflect on teaching techniques and strategies with a view to improvement
Registered Teacher Criteria Workshops 2010 www.teacherscouncil.govt.nz/rtc			

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