PRINCIPAL APPRAISAL:
FLUXION AND ABATEMENT

A Grounded Theory of principal appraisal
in a small selection of New Zealand schools

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ABSTRACT

The purpose of this study was to investigate the circumstances in and around the principal appraisal process in five New Zealand primary schools. An outcome of this investigation was to generate a theoretical explanation of what was happening in this appraisal process. Data were gathered from five principals and their appraisers through a questionnaire and an interview. Through a constant comparative analysis of the data, a basic social process was discovered that consisted of four conceptual categories labelled as *metamorphosis, metamorphic reaction, adaptation* and *palatableness*. These categories were linked into a core category labelled *fluxion and abatement*.

Fluxion and abatement is a conceptual statement of a continually changing appraisal process that has been grappled with and abated in a meaningful way by the appraisal participants. That no school site, of principal appraisal development and implementation, closely resembles another, is testimony of the *fluxion and abatement* theory. That schools are still talking of *adaptation* to the latest *metamorphosis* of professional standards and that a *palatableness* state is some time, even years, away, strengthens the theory produced in this study.

These findings have important implications for a number of areas of school operation. The first is leadership. Will the school site strengthen or move away from a collaborative model of leadership? The study argues for a supportive board of trustees to the principal, who should engender a transformational leadership style. These collaborative approaches will see schools as educative communities rather

than managed organisations. The second implication is in teaching and learning. Principals, working with their staff, need to have refined the meaningful data on what is happening in teaching and learning within their schools. The third implication is the principal appraisal process. This process should be used as a purposeful tool to achieve and produce evidence of the other stated implications. The last implication, school effectiveness, is the prospective outcome of such a principal appraisal process.

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Chapter 1

INTRODUCTION

The topic of principal appraisal in New Zealand schools is still in its infancy. The current New Zealand literature on the topic is more to do with how the principal appraisal process should be implemented. Consequently, the principal appraisal process is still seen as an evolving process, with little understanding of what has happened, or is happening, in the school context. As a response to this gap in appraisal knowledge, the aim of the following study was to explore, with principal appraisal participants in five New Zealand schools, the development and practice of principal appraisal.

Background History

For the incoming 1987 New Zealand Labour Government, the Treasury produced two briefs. One of these briefs specifically addressed education. Within this discourse, the Treasury suggested that "the government was not receiving value for money" (Ramsay & Oliver, 1993, p2). Following three specific education reviews and three Government white papers, a new decentralised education administration system, *Tomorrow's Schools* (1988) was introduced into New Zealand primary and secondary schools on 1 October 1989. Although *Tomorrow's Schools* gave each institution some flexibility "to set its own objectives", (Ibid, p1) the institution was to also be held more accountable for delivering education. This 'accountability' was voiced through Ministry of Education (MOE) statements placed in each

school's first contractual "Charter" (Ibid, p1) document in 1989. Clauses of note,

with reference to the research study, are:

> ... promote staff performance ... (Goal 6c)
>
> ... improve the capabilities of all staff ... (Goal 6d)
>
> ... demonstrate a commitment to the continuing personal and
> professional growth of staff. (Principal's Code of Conduct)
> (Ramsay & Oliver, 1993, p5).

In later MOE documents, 'Draft National Guidelines for Performance Management

in Schools' (DNG) (1995) and the 'New Zealand Education Gazette' (12 December

1996,No. 180, p4724), boards of trustees (BOT) were to ensure that there were

policies and procedures for the appraisal of teacher performance.

Whether desired, welcomed, accepted or imposed, all schools were required to

have a system for performance appraisal in place that met the mandatory MOE

requirements by the start of 1997 (Perris, 1996).

Appraisal

Appraisal is a performance management activity that seeks to explore and

enhance a teacher's performance. The management of appraisal requires schools

to monitor and affirm that the education and services they provide is effective for the

students in their care. Schools have some flexibility to implement this process as

indicated in the statement,

> a performance management activity that both investigates and
> develops a teacher's performance to provide education and services
> which effectively meet the needs of their students consistent with the
> goals and objectives in each school's charter ...

> ... flexibility to allow boards of trustees to design performance appraisal
> systems appropriate to their school and community
> (NZ Gazette, 12 December, 1996).

The latest principal appraisal development, as this study proceeded, was the MInistry of Education's release of the 'Interim Professional Standards for Primary, Secondary and Area School Principals'. This consultation document is expected to enhance school's present principal appraisal systems. The document is to do this by providing "a framework for performance monitoring and appraisal and give a greater focus for identifying professional development priorities" (Ibid, p2). The professional standards "describe the knowledge, skills and attitudes that all principals are expected to demonstrate" (Ibid, p3). The professional standards are grouped into six dimensions with a total of twenty-one 'standards'.

The researcher's interest in principal appraisal stems from an intrinsic fascination with the issues of leadership and assessment. Coupled with thirty years of teaching, these issues gave focus for this thesis study. Not only is it important to have a process to monitor the school principal but also it is critical that the process addresses the desires of the appraisal participants and makes "a positive contribution to the quality of teaching in their school, which in turn enhances learning outcomes for students" (Ibid, p2). The principal appraisal process should assist the school in striving to be more effective.

Significance of the Study

In implementing Ministry of Education performance management requirements and guidelines, which strive for more effective schooling, principals are often hindered

by the lack of understanding and documentation which explains the full depth and scope of the practice. A study such as the one described in this thesis can contribute to an understanding of what is happening in principal appraisal. There is also a need for research to identify the evolutionary nature of the principal appraisal process and the attached meanings and subtleties of practice that have developed. Such insight will also distinguish the principal appraisal practice from the appraisals of other related professional and non-professional education workers.

The Government, in reforming the administration of education, has requested more accountability from professional school leaders. This call for 'accountability' is also pertinent to the accountability mechanism of principal appraisal. Any attempt to evaluate this process requires that its nature be clearly articulated. The inaudibility and near invisibility of principal appraisal practice leaves it particularly vulnerable to misunderstanding. Without the necessary research evidence into the practice, any conclusion about what is happening is purely speculation.

The initial research questions to guide this study were:

> *What is happening with principal appraisal in a small selection (five) New Zealand primary schools?*

> *What is the implication of the principal's appraisal for teaching and learning in the school?*

A qualitative design and the grounded theory method were adopted for this study. Questionnaires and semi-structured interviews were used to obtain first hand accounts of the practice of principal appraisal from appraisal participants. The research schools varied in size and were representative of urban and rural areas.

Data analysis and research findings were conducted in accordance with strategies for the generation of grounded theory.

Structure of the Thesis

This chapter has briefly explained the backdrop from which the research was undertaken. The focus of inquiry, *principal appraisal*, and the broad research questions have also been introduced. The following chapters present distinct parts of the research process. This structure is outlined below.

A *review of the literature* is detailed in *Chapter 2*. This review encompasses the overseas and New Zealand literature within the broad context of appraisal development. It shows that, although New Zealand was 'late' to develop a mandatory appraisal system, its system has more flexibility than others.

The *research methodology* is outlined in *Chapter 3*. Discussion includes the reasons for the qualitative approach of grounded theory followed by the procedures used in this study.

Chapter 4, Analysis of the Results, presents a summary of the research data, separately, from each of the five study schools.

In this study, the grounded theory approach generates a particular theory and basic social process about principal appraisal in five New Zealand schools. These *research findings* are presented in *Chapter 5*.

A *discussion and recommendations* are recorded, with reference to other existing

knowledge, in *Chapter 6*. Limitations of this study, together with other related areas

for further study are also presented here.

Chapter 2

LITERATURE REVIEW

This review of the literature begins with an overview of the reforms in educational administration overseas and the equivalent reforms in New Zealand. The quest for accountability in the New Zealand education system is outlined and the link to the introduction of performance management in schools is explained. The performance management process of teacher appraisal is discussed in terms of, first, its development internationally and in New Zealand, and secondly, the two competing models being promoted.

The reasons for the introduction of school principal appraisal are explained. A brief outline of the British system of performance appraisal of principals is given, together with some research findings. Finally, there is a discussion of the principal appraisal developments in New Zealand and how the process could be undertaken in New Zealand schools.

The Reform Era

The era of educational reform in the 1980's arose mainly from the view that too many decisions were being taken away from the place of learning. This belief led to support for increased decentralisation in schools that gave communities more say.

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To serve the community's needs, every school must have a clear set of objectives that leads to policies for teaching and learning situations. Decentralisation allows for more local community involvement in deciding these objectives and policies, and many people are convinced that this increased community involvement will have a beneficial effect on the young people's education (Hill, Smith & Spinks, 1990, p1-2).

It is from such beliefs and concerns for school improvement that the strategy of stengthening the school's capacity for managing change was derived; that is, the reform known as 'school-site management'.

School-site management, or as Caldwell and Spinks (1988) term it, "the self managing school", has been introduced into American, Australian, Canadian, British and New Zealand schools systems since the early eighties. The term "self-managing' refers to the power that school boards have over the allocation of the resources given to them. Caldwell and Spinks (1988) explain this term as follows:

We have defined a self-managing school as one for which there has been significant and consistent delegation to the school level of authority to make decisions related to the allocation of resources (knowledge, technology, power, material, people, time and finance) (Caldwell & Spinks, 1988, vii).

The research advocating such reforms is sparse (Caldwell & Spinks, 1992, p21) but Chubb and Moe (1990,p233) were convinced of the evidence to state:

we found that, all things being equal, schools with greater control over school policies and personnel -- or schools subject to less control over these matters -- are more effectively organised than schools that have less organisational autonomy. We also found that autonomy from control is the most important determinant of the effectiveness of school organisation ...

Chubb and Moe advocated complete school autonomy, free from regulations, by

government and school boards. Their research was based on statisical results in which the model accounts for only 5 percent of the variance in the dependent variable of student achievement. Glass and Matthews (1991, p26) question whether this small variance requires "the creation of an entirely new system of public education".

The Self Managing School

When discussing the 'why' of self-managing schools, Macpherson (1993, p41), noted that it was introduced to make "schools more educationally effective and efficient organisations and the phasing in of merit based selection and performance appraisal".

In some countries, the movement to have schools self-managing began slowly. It later quickened with political support or when a new government was elected. This political support is evident in Australia, the United States of America and later New Zealand.

> In Victoria, Australia, administrative decentralisation to regional units proceeded throughout the 1970's and 1980's. In 1983, however, the election to government of the Australian Labour Party saw a dramatic change, with substantial commitment to decentralisation (Caldwell & Spinks, 1988, p13).

Initiatives in the United States of America for self-managing schools began in the mid-seventies. The idea gained more acceptance in August 1986 when the National Governors' Association supported it. Johnstone (1990, p113) considers that the desire for school-site management was a call for educational improvement. She believes that educational improvement is complex and requires a large

number of actors (Ibid, xxiv). Also, within this desire for educational improvement and accountability, she acknowledges "the need for peer assessment on the part of teachers and their leaders".

Canada also began its self-managing initiatives in the seventies. Initially the focus was on school budgeting practices. Later, the practices of teacher effectiveness and programme evaluation were introduced (Caldwell & Spinks, 1988, p4) and school site management was born. One city, Edmonton, used a teaching approach to spread the idea of self-managing schools via conferences in 1983 and 1986. Edmonton has continued with other enterprising initiatives that have strengthened the self-managing concepts such as a "teacher effectiveness programme" (Caldwell & Spinks, 1988, p18).

After trials in particular counties of England, the British Government of 1987 promoted the self-managing school through the following points:

> * A national core curriculum.
>
> * Control over school budgets to be given to governing bodies
>   and head teachers of all secondary schools and many
>   primary schools within five years.
>
> * Increasing parental choice by fostering diversity and
>   increasing access.
>
> * Allowing State schools to opt out of LEA (Local education
>   Authority) control, with grants from the national government
>   being made directly to the school (Caldwell & Spinks, 1988,
>   p9-10).

These overseas calls for self-managing schools and the desire for improved efficiency and effectiveness did attract pertinent comments.

In a centralising trend, governments at the national, State, province and local levels have adopted a more powerful role in formulating policies, setting priorities, specifying outcomes, and establishing frameworks for accountability (Caldwell, Smilanich & Spinks, 1988).

Another Australian comments that, " these (changes) have resulted in greater control of schools through increased power of Ministers over funding and policy making" (Bennett, 1992, p27).

English commentators agreed:

... these freedoms (or changes) will be exercised only within the parameters set by the curriculum guidelines, objectives, systems of teaching, and financial allocations and they will be subject to considerable scrutiny, monitoring and control by central government (Evans & Davies, 1990, p65).

These worldwide movements to activate self-managing schools have been dubbed "megatrends in education" by Caldwell and Spinks (1992, p7). The term "mega-trend" was coined by John Naisbitt (1982) "to describe broad social, economic, political and technological changes which influence in very powerful ways the direction of change in different fields of endeavour" (Caldwell & Spinks, 1992, p5).

The 'megatrend' term adequately describes the New Zealand initiation of self-managing schools in 1989 and the many innovations which have been introduced. The particular 'megatrend' of focus in this study is principal appraisal.

The Era of Reform in New Zealand

Caldwell and Spinks (1992, p3) have referred to the change of self-managing ideology in New Zealand as an education system:

literally, turned upside down (or should it be downside up?) with the dramatic empowerment of boards of trustees at the school level in what was already a relatively decentralised system.

Codd (1992, p1), made the succinct comment that the self managing school was "a structure in which decisions are more effectively controlled"

Following the general election, in August 1987, the in-coming Labour Government announced that education reforms were to take a high priority. The newly appointed Minister of Education, the Prime Minister, was to turn away from implementing the former Education Minister's *The Curriculum Review* initiative. The Right Honorable David Lange preferred to await the impending Picot Report on the review of education administration.

On 21 July 1987, Brian Picot, a businessman and member of the Auckland University Council, was appointed chairperson of the Taskforce to Review Education Administration. The Taskforce was given the following terms of reference:

To examine:

* the functions of the Head Office of the Department of Education with a view to focusing them more sharply and delegating responsibilities as far as is practicable;

* the work of polytechnic and community college councils, teachers college councils, secondary school boards and school committees with a view to increasing their powers and responsibilities;

* the Department's role in relation to other education services;

* changes in the territorial organisation of public education with reference to the future roles of education boards, other education authorities, and the regional offices of the Department of Education;

any other aspects that warrant review.

The Taskforce will endeavour to ensure that the systems and structures proposed are flexible and responsive to changes in the educational needs of the community and the objectives of the Government.

It will identify any costs and benefits of its recommendations and recommend the nature and timing of any necessary transitional arrangements.

The taskforce is to make recommendations which will ensure the efficiency of any new system of education administration that might be proposed. (Taskforce, 1988, ix).

In the interim, the Treasury presented the new government with a briefing document (1987:42) stating that a main aspect to redress the issues of equity and efficiency "is empowering, through choice and through maximising information flows, the family, parent or individual as the customer of educational sources". The Treasury also expressed concern in the rising Vote-Education with a possible decline in education standards (Ibid).

When the Taskforce reported its findings, in *Administration for Excellence,* on 10 May 1988, the ideology of the Treasury briefing paper was repeated. The emphasis on choice was a significant plank of the Picot Report to ensure greater efficiency and equity.

We detect widespread concern that the delivery of education is failing in significant ways, and we see the creation of more choice in the system as a way of ensuring greater efficiency and equity (Taskforce Report, 1988, p4).

The new recommended administrative structure was based upon the eight central features of: "simplicity, decisions made at appropriate levels, national objectives,

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co-ordinated decision making, clear responsibilities and goals, control over

resources, accountability and openness and responsiveness" (Ibid, p41). An

outcome of these central features was to be a most significant proposal of a

partnership between the professionals and local community to run the school. The

mechanism for the partnership was to be a board of trustees (Ibid, p43).

For the board of trustees to achieve the results expected from the ensuing

delegated responsibilities, the Taskforce promoted 'Good Management Practices'

including clear lines of responsibility and accountability for decisions.

> Good management practices are essential if the administration of
> education is to be efficient and effective. This means that those
> working in the system must have detailed and clear objectives,
> control over the resources needed to carry out the objectives, and no
> overlapping lines of responsibility. They must also be accountable for
> the decisions they make. (Ibid, p5).

The Taskforce, in the course of addressing management and accountability issues

related to teachers and teaching, proposed a structure for improving teacher

performance. The board of trustees was to be delegated the responsibility of

assessing all current teachers' performance and to introduce on-going staff

development programmes to enhance their skills (Ibid, p68). This performance

management practice was to be known as 'teacher appraisal' and exercised in a

collaborative working environment.

> We see teacher appraisal as taking place in a collaborative
> environment. The principal will be the leading person in achieving
> such an environment, and will help teachers examine the nature and
> purpose of their work. This approach will involve an emphasis on
> finding out what students are learning (or not learning) and
> developing strategies to improve learning outcomes (Ibid, p68).

Although not stated directly in the Taskforce Report, the writer assumes that school

principals were included in the umbrella term 'teacher appraisal'. The Report does

specify that "training" (Ibid, p53) will be required for the principal to do their job well.

Tomorrow's Schools

After a short period for public submissions on the Taskforce Report, the Minister

released a white paper, *Tomorrow's Schools - The Reform of Education*

Administration in New Zealand, on the 7 August 1988. This policy document was

set for implementation on the 1 October 1989. Key features of these reforms were:

* Institutions will be the basic "building block" of education administration, with control over their educational resources - to use as they determine, within overall guidelines for education set by the state.

* The running of the institution will be a partnership between the professionals and the particular community in which it is located. The mechanism for such a partnership will be a board of trustees.

* Each institution will set its own objectives, within the overall national guidelines set by the state. These objectives will reflect the particular needs of the community in which the institution is located, and will be clearly set out in a "charter" drawn up by the institution. This charter will act as a contract between the community and the institution, and the institution and the state.

* Institutions will be accountable, through a nationally established Review and Audit Agency (later renamed the "Education Review Office"), for the government funds spent on education and for meeting the objectives set out in their charters. This agency will carry out regular reviews of every institution.

* Institutions will be free to purchase services from a range of suppliers.

* Community education forums will be set up to act as a place of debate and a voice for all those who wish to air their concerns - whether students, parents, teachers, managers or education administrators.

* A Ministry of Education will be established to provide policy advice to the Minister, to administer property, and to handle financial flows and operational activities (Lange, 1988, pp 1-2).

The issue of teacher and principal accountability is contained in later statements of *Tomorrow's Schools*. These statements refer to appraisal, discipline and staff development programmes. The responsibility for implementing these aspects of the reforms was delegated to the respective school's board of trustees.

The board of trustees is the legal employer of teachers and as such will be responsible for instituting procedures of teacher appraisal and discipline (Ibid, p12).

Staff development programmes will be approved by the institutions board of trustees and funded from the institutions bulk grant (Ibid, p27).

Tomorrow's Schools, like the Taskforce Report, makes no specific mention of the principal being appraised. Again, the writer assumes that principals were included in the umbrella term "teacher appraisal".

Tomorrow's Schools, however, does outline expectations of the principal's role which would give some guidance to setting criteria for the principal's appraisal. Relevant expectations concerning principals are:

* a member of the school's board of trustees
* the professional leader of the institution
* to work in a collaborative relationship with their staff
* develop performance objectives and measures to assess that performance (Ibid, pp7-11).

These statements demonstrate the dual role expectations of the principal in the new era of school administration. The principal was now to have a governance role

as well as a professional role. These changes bring a conflicting dimension to principalship and make it more complex. The complexity of the new principalship was signalled by Prime Minister Lange when addressing school principals in 1989 but without making direct reference to the principal role. Lange made reference to schools becoming better performers, standards having to be met and every student achieving. Lange stated that:

> By international standards we have good schools. But the quality of our education system must be improved for the sake of our students and our country. We must make education more responsive to changes in our society. We must make our allocation of resources more equitable.
>
> For our young people to make their way in the modern world, and for New Zealand to be competitive in international markets we need better schools, schools in which our young people are happy, are stretched and learn well. Standards must be met. Basic skills must be learned. Scholarship must be valued and rewarded at all levels. The government wants to see every young person leave school with a sense of achievement, a sense of self-esteem, and a sense of purpose. These are the government's goals for education (Rae,1990).

The quest for accountability of New Zealand schools and the staff within them was clearly evident from the above discussed reforms. What this 'accountability' was to mean and how it was to be actioned in the form of teacher and principal appraisal is now systematically discussed. Later the research study looks at what actually has been happening with principal appraisal in five New Zealand schools.

The Quest For Accountability

In its review of educational administration, the Taskforce Report (1988, p31)

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commented on the lack of accountability in the education system. The taskforce claimed that, "What passes for accountability can turn out to be checks on whether administrative instructions have been followed rather than measuring how well educational objectives have been met."

In their argument for effective management practices and accountability, the Taskforce noted that, "individuals and groups can only be properly held accountable for achieving, or not achieving, specific objectives (p31).

Schools are public institutions. Since all schools benefit from the public purse, they have a public responsibility to account for the use of the massive resources they devour. Caldwell and Spinks (1988, p20) suggest three patterns of accountability in the self-management of schools:

* accountability to a central authority,
* accountability of each school programme to the governing body or appropriate policy group within the school, and
* accountability to the local community.

These three forms of accountability can be respectively named as: contractual, professional and moral (Kogan, 1986). Each of these forms of accountability, fundamentally, requires an openness by the participants, that is, "telling it like it is" (Groundwater-Smith & White, 1995, p132). Accountability procedures should also include approaches to the collection and dissemination of information which are easily managed, accurate and meet deadlines.

The over-riding purpose of the new reforms and the quest for accountability is for

schools and school systems to furnish information - on many matters, to various target groups for a variety of reasons - to justify expenditure, demonstrate efficiency, address equity and highlight achievements.

The responsibility for doing this was clarified in the later document, *Tomorrow's Schools* (1988). This document noted that one of the responsibilities of the new board was to institute "procedures of teacher appraisal" including principals (p5).

Subsequently the State Sector Amendment Act 1989, Section 77c, stated that the Ministry of Education could, with the consent of the State Services Commission, "prescribe matters to be taken into consideration by employers in assessing the performance of teachers".

Later, in 1996, The Ministry of Education produced the 'Draft National Guidelines for Performance Management in Schools'. This document detailed how teacher and principal appraisal was to be implemented.

Schools and school systems have come under pressure to collect the appropriate information on teacher performance that ensures "the needs of all students are addressed" (Caldwell & Spinks, 1992, p144).

> The trend to self-management and the collapse of bureaucracies in education means that responsibility for ensuring the highest standards of teaching is shifting to the school level, with particular attention given to procedures for the selection, placement, promotion, appraisal and ongoing professional development of teachers, including , of course, the principal and other leaders. That the context differs from that which exists in the past is evident from developments in Britain and New Zealand, where the intention is to have teachers contracted to individual schools through their boards or councils

rather than with a central authority.

The issues here include the roles to be adopted by different individuals in appraisal of teachers, including the principal and other leaders, and the extent to which appraisal is linked to the achievement of outcomes (Caldwell & Spinks, 1992, p144).

It is the personal accountability system of appraisal on which this literature review will now focus in detail.

Appraisal

With governments deciding to pursue a performance appraisal system in schools, teachers and principals asked the critical questions:

1. What is the purpose of the appraisal process?

2. How is appraisal to be implemented?

Each of these questions also generate a multitude of further questions and debatable issues. The significant aspects are:

(a) will the process measure competencies so as to:

(i) criticise, penalise, demote, terminate; or

(ii) recognise, praise, develop, improve?

(b) will the process system:

(i) be rigid in its format, procedures and criteria, or be flexible and open to different delivery models?

(ii) have on-going government funded training, or will this be a school responsibility?

(iii) have on-going (yearly) government funds for the implementation process and outcomes?

(iv) be made time effective?

(v) state clearly who owns, stores, has access to, destroys
the data and when?

(vi) have protocols for the data use and those with access?

The thought of an appraisal system "creates a high degree of anxiety in those involved in the process" (Cardno & Piggot-Irvine, 1997, p18). "The very mention of the word 'appraisal' to a group of teachers or headteachers is almost guaranteed to produce the same effect as poking a stick into a hornets nest" (Gane & Morgan, 1992, p18).

The catalyst for this fear has been the teachers' and principals' uncertainty as to the purpose, as well as the personnel and procedures surrounding the implementation process. Will it be of the "firing or fixing" (Edwards, 1992a, p1) approaches or purposes? Is there a hidden agenda? Teachers' needed to know that any appraisal system must be transparent and that input would be invited.

> This issue of uncertainty and probable resistance must be meaningfully dealt with if progress is to be made. People's concerns must be recognised, aired and addressed in an open and supportive manner (Menzies, 1990).

In the past, experience has shown that appraisal systems go through stages of development (Hickcox, 1988; Manatt, 1987). Policies and guidelines undergo development at the macro, national level first and later at the micro, school level.

Appraisal Developments Overseas

Overseas countries have had varying ways of stating and implementing the

purposes of appraisal. The American scene is obviously not to Bollington's et. al.

(1990, p109) liking, when they warn others that it is a process "of what not to do".

They elaborate by noting:

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

These bureaucratic forms of performance management are seen as a "waste of time and resources" by McLaughlin (1986, p164) who advocates the developmental model.

A different viewpoint comes from West (1993) who claims that many of the North American appraisal approaches tied to merit pay have a positive impact on teacher motivation. He states "that rewarding excellence creates a more reflective, more purposeful and more controllable teaching force" (1993, p7).

Such claims do not go without questioning, comments or accusations of myth generation (Dunwell, 1991) in an attempt to say teachers can be motivated significantly by extrinsic rewards. Such myths include:

> 1. teachers favour merit pay,
> 2. "money" produces more work,
> 3. merit pay promotes competition,
> 4. highly qualified people are induced to enter and stay in teaching (Groundwater-Smith and White, 1995, p120).

Alderman (1989) believes that linking merit pay with overall schemes of teacher

appraisal is problematic. This "payment by results" reduces innovation and risk

taking.

> Almost all American teacher evaluation systems attempt to combine
> (formative and summative) evaluation functions so that both can be
> carried out simultaneously. Yet that combination constitutes a classic
> instance wherein the coalescing of inherently contradictory functions
> renders both dysfunctional. (Popham, 1988, pp269-270).

In Australia, the six states "act with a high degree of independence" (Hill et. al.1990

p13). However, school self-management trends do show a commonality, including

the issue of accountability of schools (Ibid). The "appraisal of teachers" issue has,

like other countries, emphasized different purposes during its development . An

initial document suggested that an appraisal system should work from the teacher

competency perspective (Smyth, 1989).

> In New South Wales in 1985 government bureaucrats produced
> (without consultation) a report on "Teacher Efficiency" (Nay, 1985)
> which teachers were to be evaluated, with a view to purging the
> system of allegedly incompetent and malcontent teachers. It was such
> a naive attempt that its perpetrators were forced to beat a nasty retreat
> in the face of vigorous and widespread teacher and community
> reaction against it, particularly because of the absence of consultation
> in its formulation (Smyth, 1989, p54).

In Canada, an analysis in 1986-87 of 30 teacher evaluation policies,

representative of all types and sizes of school, indicated that local policy

development was incomplete (Burger & Bumbarger, 1991).

> Many of the policies did not emphasise several important matters;
> professional development, the teachers' roles in the education
> process, remedial processes ... this deficiency essentially undermines

the potential of evaluation to assist in the development of teachers over their careers (Burger & Bumbarger, 1991, p6).

Such a study behoves all school management to make sure their 'evaluation of teacher's policy' not only is comprehensive but also is implemented in a comprehensive and meaningful fashion.

At the World Confederation of Organisations of the Teaching Profession (WCOTP), in 1988, the developmental appraisal model was emphasized with the following clauses:

(a) For the clarity of this Recommendation, the term "appraisal" means a continuous process of analysis of the teaching system, enabling its operation to be constantly reviewed.

(b) Its purpose is to improve the overall quality of the educational system and to make it more responsive to the needs of all pupils, in particular by assisting the process of staff development.

(c) The appraisal of teachers is accordingly only one element in the appraisal of the efficiency and quality of teaching.

(d) Appraisal should not be used as a means of encouraging competition between teachers nor lead to a reduction in each individual teacher's independence and responsibility in the classroom. It must on no account be linked with disciplinary measures which might lead to the reduction of status or salary of the

individual teacher. Similarly, appraisal should not lead to the classification of schools.

The emphasis on teacher appraisal was also inclusive of principals (headteachers).

The early demands for appraisal in Britain had been to identify, as Sir Keith Joseph, Secretary of State for Education, stated in 1984, "incompetent teachers" (Bell, 1988, p233) and a "need for greater accountability" (Gane & Morgan,1992, p10). This stance was later softened in 1985 by David Hancock, the Department of Education and Science (DES) Permanent Secretary, who stated that the DES wanted an appraisal system "which is constructive, supportive and developmental" (Gane & Morgan, 1992,p9). The philosophical debate vacillated between a control model and the developmental model (Bennett, 1992, p2).

A significant event in 1985 was to bring the debate to a decision. This year, 1985, heralded the longest industrial dispute in the history of the teaching service in England and Wales. The dispute was initially over teachers' pay and conditions. In the course of the negotiations of this dispute, appraisal became an added issue (Baker,1993, p2). The government intervened and a subsequent DES (1985) white paper, "Better Schools", gave notice of legislation that would request a Local Education Authority (LEA) to regularly appraise the performance of their teachers. It also argued for a "systematic performance appraisal, designed to bring about a better relationship between pay, responsibilities and performance, especially teaching performance in the classroom" (DES, 1985).

The ensuing dispute was referred, in 1985, to the Advisory Conciliation and

Arbitration Service (ACAS). An agreement was reached in January 1986 for a

special working group on appraisal and training (Gane & Morgan, 1992, p10). An

ACAS report, in 1986, gave a definition of the aims and purposes of appraisal:

> The working group understands appraisal not as a series of
> perfunctory periodic events, but as a continuous and systematic
> process intended to help individual teachers with their professional
> development and career planning, and to help ensure that the
> inservice training and deployment of teachers match the
> complementary needs of individual teachers and the schools (ACAS,
> 1986b, Hattersley, 1992, p2).

This definition was to be part of a pilot study in six Local Education Authorities

(LEA's), namely: Croydon, Cumbria, Newcastle-upon-Tyne, Salford, Somerset and

Suffolk. These six LEA's were to trial both teacher and headteacher appraisal from

1987 to 1989.

After much debate, headteachers would also be included in the appraisal process.

In Britain, the inclusion of principals became mandatory when a new remuneration

structure for teachers and headteachers was proposed in 1984 and the following

statement appeared:

> *Headteachers*: The duties and responsibilities of a head shall include:
> Participate in arrangements for assessment of his or her own
> performance and identification and meeting of training needs (Times
> Educational Supplement, 1984).

In the course of the debate on Headteacher appraisal, comments were made to the

effect that "without headteachers appraisal, a national scheme would lose

credibility" (Gane & Morgan, 1992, p13); and that "appraisal of headteachers

would appear to be the nub of any scheme's credibility" (Gane, 1986).

After an accumulation of educational reform Acts and Orders pursued by Kenneth Baker, Sir Keith Joseph's successor, the appraisal of teachers and headteachers was announced in the Education Order of 1987, *School Teachers' Pay and Conditions of employment* (Gane & Morgan, 1992, p11). Clauses of significance to principal appraisal were:

> *Appraisal of headteacher:*
> 21 (a) Participating in any arrangements within an agreed national framework for the appraisal of his performance as headteacher;
>
> (b) Participating in the identification of areas in which he would benefit from further training and undergoing such training;

The new Secretary of State, John McGregor, after lengthy consultation with education sector groups including unions, was unable to get a National Framework for school teacher appraisal passed into legislation.

Yet another Secretary of State, Kenneth Clarke, launched a policy in December 1990 and subsequent guidelines and regulations in August 1991 (DES, 1991a&b). The guidelines included the following statements under 'the professional duties of the headteacher':

> Appraisal, training and development of staff (8) (a) supervising and participating in arrangements made in accordance with regulations made under section 49 of the Education(No. 2) Act 1986 for the appraisal of the performance of teachers in the school; participating in arrangements made for the appraisal of his performance as headteacher and that of other headteachers who are the responsibility of the same appraising body in accordance with such regulations; participating in the identification of areas in which he

would benefit from further training and under-going such training:
(DES, 1991b, School Teachers' Pay and Conditions Document,
HMSO).

Headteachers were to be at the forefront of managing both the school's teachers'

performance as well as their own and that of other headteachers as required. With

reference to how the principal appraisal was to be viewed, Poster and Poster

commented:

> In one respect the role of headteachers is unique: however much
> they may have shared or devolved responsibility, they are the
> members of staff who are wholly accountable to their governing
> bodies and their LEA's for what goes on in their schools. Their
> appraisal must therefore look inward, to the success of their
> leadership of the school, and outward to the success of their relations
> with governors, LEA's and the public and their implementation of
> local and national policy (Preedy, 1993, p179).

The British appraisal process was to be purely a developmental, formative

approach over two years. No demands were to be made for the earlier links with

competency, accountability or pay levels. A subsequent report -*School Teachers'*

Review Body Report, 1992 - Cm 1806 - clarified this by stating that appraisal was

"rightly directed at teachers' professional development rather than specifically at an

assessment of their performance for pay purposes" (Baker, 1993, p2).

Although the principles, process and practice of appraisal for both teachers and

headteachers were now agreed, and firmly established, the funding, training and

working model were not.

The funding issue is still a concern in Britain (Ibid, p18). The expression of a

number of LEA's is "the prospect of appraisal being reduced to a minimalist model

unless further government funding is provided" (Baker, 1994, p21). This unheeded

cry for funding is likely to have a "detrimental effect" (Baker, 1996, p12). Aspects to

suffer most would be: headteachers' professional development, senior

management development or training programmes related to the senior

development plan (Baker, 1996, p13).

If these aspects of headteacher or teacher appraisal were to be lost, then the whole

thrust of developmental appraisal could be reduced to a bureaucratic 'tick-off"

system. This situation was to be avoided, commented Somerset's Manager of

Professional Development Services in a letter to the Secretary of State for

Education. The comment stated:

> The County Steering Group feels that (headteacher) appraisal is
> proving to be too valuable in terms of schools' planning and quality
> programmes, and enhancing teaching, learning and management, to
> be put at risk by the withdrawal of funding (Baker, 1993, p18).

From the above insight to appraisal, one can sense that the developments and

purposes overseas have been varied. The New Zealand scene has also evolved

with its own diversity.

Appraisal Developments in New Zealand

Evaluation of teachers has a long history in New Zealand that can be tracked back

through decades of school inspections and teacher grading systems (Cardno &

Piggot-lrvine, 1997, p6). The 1988 educational administrative reforms, *Tomorrow's*

Schools, devolved these evaluation responsibilities, together with staff

development, fully to the school's Board of Trustees.

> The Board of Trustees is the legal employer of teachers and as such will be responsible for instituting procedures of teacher appraisal and discipline (Tomorrow's Schools, 1988, p2).

> Staff development programmes will be approved by the institution's Board of Trustees and funded from the institutions bulk grant (Ibid, p27).

Stewart and Prebble (1993, pp18-20), who claim the earlier inspectorial system reinforced minimal performance, believed the new systems "are most unlikely to do anything to improve the level of teaching effectiveness in the school". Rather than conducting an externally imposed appraisal system at an individual and isolated level, they argued for a comprehensive and practical 'School Development' approach that "is part of a strong international movement in the theory and research literature" (p20).

It is worth noting in a brief log, Table 2.1, the appraisal developments within New Zealand over the last ten years (Collins, 1997, pp1-16). There are significant parallels to developments in other countries, especially Britain.

TABLE 2.1

Log of the Appraisal Developments in New Zealand

1. 1988; 'Tomorrow's Schools' refers to appraisal and staff development as a Board of Trustees responsibility.

2. 1991-92; The Ministry of Education (MOE) establishes an appraisal project to team prepare a draft prescription.

3. !994-95; The State Services Commission (SSC) attempted to link more pay for teachers to performance and accountability.

4. 1995, April; The Education Review Office (ERO) published a report that defined 'performance management' as:
   The way in which a Board acts as an employer and the policies and processes it has in place to ensure that its staff deliver services which effectively meet the needs of their clients, that is, the students (p4).

5. !995, May; The SSC and the New Zealand Educational Institute (NZEI), the primary teachers' union, agreed that a principals pay increase, be dependent on each principal:

   having processes in place to determine with each teacher at the school on an annual basis:
   (a) the objective for each teacher for that year;
   (b) the criteria for determining that these objectives have been met
   (Primary Teachers' Collective Employment Contract, p48).

6. 1995,June; The MOE establishes a 'Development Group for Performance Management' (PMDG) to work on 'Draft National Guidelines for Performance Management in Schools' (DNG) and associated training packages for schools. The previous logged developments were to be referred to also.

7. 1995, July; The PMDG defines 'performance management' for the purposes of the Ministry guidelines as: the process of identifying, developing and evaluating work performance is made up of three inter-relating concepts:

   (a) identifying expected performance,
   (b) developing work performance,
   (c) evaluating work performance.

   The PMDG indicated the expected results from these processes as:

   (i)   mutual understanding of expectations,
   (ii) feedback and support for professional development,
   (iii) recognition of contribution and achievement.

8. 1995, July-October; PMDG samples fifty schools' reaction to, one; managing the proposals, and two, could valued existing practices still occur within the proposed framework.

9. 1995-1996; PMDG prepares the full DNG.

10. 1996; MOE invites responses to the DNG and finalises the mandatory requirements.

11. 1996, 12 December; The mandatory requirements are published and then promulgated under Section 77c of the State Sector Act 1988 (Fancy,1996).

12. 1995-97; Funding at $4.5million was set aside for implementation over 3 years.

13. 1997; MOE publishes "A series of Guidelines on Performance Management" supplements. (Collins, 1997)

A strong, early argument for a formative or developmental appraisal approach

came from the New Zealand Educational Institute (NZEI) in the 'Tomorrow's

Schools' reforms. At its 1989 Annual Meeting, eight statements were accepted as

worthwhile pursuits within NZEI performance management policy.

(a) That appraisal should reinforce the idea of teaching as a profession in which there needs to be collaboration between teachers and administrations to develop a common understanding of evaluation.

(b) That appraisal schemes should take account of the subtlety and complexity of the teaching and learning process.

(c) That appraisal should dovetail with the whole school review to the enhancement of both. It should enable schools to improve the motivation of staff to match talents and tasks more effectively.

(d) That appraisal must be an integral part of the process of professional development. Where it identifies training needs or alternative professional experience it must be able to provide it.

(e) That appraisal must be properly resourced.

(f) That the credibility of appraisal depends upon everyone within the service being appraised. Any scheme must apply, and must be seen to apply, fairly to everyone involved.

(g) That appraisal must be non-threatening. Disciplinary and dismissal procedures must be separated from it completely.

(h) That appraisal shall not lead to merit pay for it is unlikely that teachers will admit to problems or constraints or engage in constructive criticism of their management of their schools if their financial prospects are at stake (Rourou, Volume 2, No.13,1991).

It is interesting to reflect on the obvious similarities of the above statements to those

of the Ministry of Education 1991-92 draft prescription. For comparison they are:

* be based on a negotiated and agreed process,

* be a clear and open process operated with professionalism,

* arise out of the tasks that a teacher is engaged in,

* take place within the context of the overall school development programme,

* identify individual development needs,

* incorporate self-appraisal,

* produce as an outcome an appropriate plan for on-going professional development,

* produce as a consequence better learning outcomes for students (MOE, 1992, p4).

In consideration of the above two sets of statements, the following points are made of the similarities.

1. In the first of the NZEI policy statements above, two phrases can be linked to the second statement of the MOE list. The phrases; "collaboration between teachers and administrators" and; "develop a common understanding of evaluation" a signal call for an "open" and "clear" appraisal process.

Decisions, on the focus and form that the evaluation of teacher practice is to take, are negotiated and enacted collaboratively. The appraisee and the appraiser must have a common understanding and agree wherever possible on the behaviour expected of the appraisee. The 'behaviours' should be expressed through specific performance objectives and expectations

2. The second NZEI policy statement refers to taking "account of the subtlety and complexity of the teaching and learning process". This statement reflects the call that appraisal "arise out of the tasks that a teacher is engaged in", which is the MOE's third statement.

The particular focus for each appraisal may vary, due to the complexity of the teaching process and in order that areas of concern may be dealt with in some depth.

3. The third NZEI policy statement requests "that appraisal should dovetail with the whole school review", which is similar to the MOE's fourth statement, that requests appraisal "take place within the context of the overall school development programme".

Aspects of how the school is being developed, therefore reviewed, should also feature within the focus of a teacher appraisal.

4. The fourth NZEI policy statement, which refers to appraisal being "an integral part of the process of professional development" and where it identifies training needs" links to the seventh and fifth MOE statements. These statements speak of "on-going professional development" and identifying "individual development needs".

The professional development approach to appraisal becomes a shared commitment to involvement. This commitment is first shared between appraisee and appraiser and later between appraisee and colleagues through implemented training programmes. The training is directed from the appraisal outcomes to improve particular teaching practice.

5. The fifth to eighth NZEI policy statements loosely reflect the type of structure the appraisal process should follow. The first MOE statement notes that the appraisal process structure should be "negotiated".

There is no doubt that any appraisal process must be negotiated before being undertaken. Whereas the fifth MOE statement states this clearly, it is open to interpretation as to the model of appraisal that could be used and the manner of its implementation. The fifth to eighth NZEI statements also signal that a managerial control model is not desirable as it would limit the process.

It was the intervention of the State Services Commission, (SSC) in 1994-95, and the Education Review Office in 1995, that influenced these earlier statements. Both groups expressed a desire for a more summative approach with links to accountability and merit pay. The SSC had made the point that they wanted to strongly link teachers' pay increases with performance and accountability (NZEI, 1996). An Education Review Office report (ERO, 1995), in response to schools' poorly constructed performance management systems, had included the following recommendations to improve the situation:

* better definition of the core competencies required of both teachers and principals;
* sharper rewards and incentives to recognise and reinforce performance that meets or exceeds expectations (Collins, 1997,p6)

The Performance Management Development Group (PMDG), a group established by the Ministry of Education to draft performance management guidelines, brought a balance back into the appraisal development process and guided it through to a professionally acceptable agreement. The PMDG did this by taking an initial draft of performance management requirements to a sample of fifty schools. The PMDG sought information on two issues.

* whether implementing the proposed requirements was realistically

> attainable by schools with relatively unsophisticated existing systems for performance appraisal;
>
> whether the proposed requirements were sufficiently flexible to allow schools with sophisticated systems for performance appraisal to continue with their existing systems and focus on futher improvement where appropriate (Ibid, pp7-8).

Having established the schools' general agreement with these two issues, the PMDG prepared the *Draft National Guidelines for Performance Management in Schools* (MOE, 1995) and developed an accompanying training programme to assist schools with implementation. The *Draft* highlighted key performance areas for both teachers and principals (Ibid, pp21-25). These key performance areas are noted in table 2.2 below.

TABLE 2.2

Key Performance Areas for Teachers' and Principals'

Teachers' key performance areas	Principals' key performance areas
Teaching Strategies: * strategies focus on individual students' needs; * strategies and learning objectives are appropriate for the culture, age, ability, and attainment of students; * the strategies considered include teaching methods, learning activities, instructional material, and the use of other resources; * the expectations for each pupil are clearly expressed, realistic, and challenging; * emphasis is given to assisting students to learn for themselves; and * the impact of the strategies is regularly assessed to improve upon their effectiveness.	Professional Leadership and Direction in Relation to: * school-wide values, mission, goals, objectives; * teaching strategies, curriculum delivery, classroom management, motivation of students; and * relationships between staff and parents and between staff members.
Motivation of Students: * students are encouraged and praised; * student improvement and effort is acknowledged; * the learning environment is positive and stimulating;	Motivating Staff: * providing regular feedback and encouragement; * addressing performance issues promptly; * providing assistance and support to bring about improvements in performance; * being accessible and receptive to requests for assisstance; and * monitoring classroom performance. Relationship Management:

"Principal Appraisal: Fluxion and Abatement"
Strong, N.G.L. (1998). MEdAdmin. Thesis, Massey University.

| | * with parents; and |
| * rapport with students is established. | * with the wider commuity. |

Classroom Management:
* standards of acceptable behaviour are clearly stated and consistently and fairly applied;

* inappropriate behaviour or attitudes, for example, sexism or racism, are strongly discouraged; and

* the learning environment is safe for all students.

Administrative Functions
* budgeting

* resource management; and

* meeting the school's reporting requirements.

Curriculum Delivery
* the purpose and aims of *The New Zealand Curriculum Framework* and the national curriculum statements are understood;

* curriculum and assessment requirements are met;

* is consistent within locally determined curriculum policies; and

* a balanced curriculum is delivered.

Contribution and Support to the Board of Trustees
* provision of information and advice.

Contribution to Teaching Team Activities
* works cooperatively and supportively with other staff;

* shares information and ideas.

Contribution to the Corporate Life of the School
* positive relationships with parents are built;

* school policy requirements are met; and

* a contribution is made to the corporate life of the school.

(MOE, 1995, "Draft National Guidelines")

Although the *Draft* (Ibid, p13) gave a summary of an appraisal process, it was the later MOE's publications *A Series of Guidelines on Performance Management Systems* (PMS) that gave fuller details. It was PMS 1 (MOE, 1997, pp 8-9) that explained the "Seven Key Pinciples" of appraisal as:

1. Professional Orientation
2. Flexibility
3. Consultation
4. Transparency

5. Integration
6. Timeliness
7. Confidentiality

PMS 1 also explained the "Twelve Key Requirements" including the process as

shown in Table 2.3.

TABLE 2.3

Twelve Key Requirements of an Appraisal Process

The board of trustees must	Procedures for appraisal
* develop an appraisal policy	* nominate appropriate appraisers for all staff, including the principal
* make appropriate delegations	* performance expectation statements written
* monitor policy implementation and procedures	
	* establish development objectives & target professional development
* ensure confidentiality	
* specify dispute processess	* teaching observations
	* self-appraisal
	* appraisal discussion & report
	* participation of all teachers within a twelve-month timeframe

Edwards (1992a, p1) and Collins (1997, pp10-11) recognised the dilemma of

appraisal being used in both a formative and summative manner. The dilemma is

"a key issue that schools would need to grapple with" (Collins, 1997, p10),

especially the principal in the dual role of professional leader and executive officer

of the board. Like Stake(1989), Collins (1997, p13) promotes a "Two-Stage

Option" to appraisal.

Stake (1989) proposed four purposes for teacher appraisal. These were more

positively couched and involved a wider look at teacher performance. The

purposes were:

1. To provide data for the reward of merit and the correction of short comings.
2. To aid selection of the best qualified teachers in new positions and retention of the most needed in old.
3. To assist in continuing profession education for teachers.
4. To contribute to the understanding of the operation of the school as a whole. (Stake, 1989, p13).

Stake clarified these purposes by stating that there would be problems if the information generated from a teacher's appraisal had consequences for their future pay and promotion without such negotiation. The inference from Stake's discussion is that he believed the purposes for which he proposed appraisal could be used in both a formative and summative way as long as this was negotiated before embarking on the process. Thus, unlike the American dual appraisal approach being simultaneous, Stake implies that they be separated.

The Two-Stage Option allows for the separate treatment of the formative and summative aspects of appraisal, including separate appraisers with a minimum of co-ordination; the "co-ordinated model". Later when teachers felt comfortable, these aspects would be integrated; the "integrated model".

At no stage during the appraisal developments in New Zealand has dialogue surfaced as to the exclusion of principals from the process as in Britain. In fact, in the writer's opinion, principal inclusion has probably been assumed from the beginning of the reforms with the Taskforce Report (1988).

Appraisal for the Principal

The importance to a school's success of the headteacher's

leadership has been underlined by all major school effectiveness research (Baker,1996, p1).

There is the need for leadership by example. Principals should be seen as part of a collaborative learning community. The principal should also take his/her place in the "learning seat" of performance appraisal.

> Heads would welcome regular appraisals enabling them to review their performance critically with their peers and to do their job better.
>
> Certainly no appraisal system is likely to have credibility with assistant teaching staff unless heads are effectively included (Education, March, 1986).

With both Britain and New Zealand accepting the necessity for performance appraisal, a process appropriate for the principal had to be devised. On first reflections, principals should follow the same process as any other teacher. On further reflection, it is clear that, "because of the unique role a headteacher fulfils in a school, there are significant features in terms of leadership responsibilities and competencies that need to be separately addressed" (Baker, 1993, p2).

The next two sections separately portray the British and New Zealand principal appraisal models.

British Model of Principal Appraisal

A document published by the Department of Education and Science (DES) strongly links appraisal with school development plans. Each supports the other.

> Appraisal should be seen in the context of the objectives of the

school, which will generally be expressed in a school development plan. Appraisal should support development planning and vice-versa. The school's objectives in a particular year should be linked with appraisal, so that, for example, professional development targets arising from appraisal may be related to agreed targets and tasks in the development plan ... Targets set during appraisal should therefore meet the needs of the school as well as those of individual appraisees (DES Circular No. 12/91).

The school development plan acts as a focus for all aspects of school planning and Gane and Morgan (1992, p16) ask, "what could be more important for the process of the school (than) the professional targets of the headteacher, identified, supported and monitored by the appraisal process?"

The headteacher appraisal process in Britain is pre-empted by a training programme. The training programme particularly begins with headteachers in an attempt to dispel their anxieties and gain their commitment to the process by convincing them of the value of appraisal. This training is followed by similar days for teachers and headteacher appraisers.

After pilot studies in Britain, it was decided that headteachers would have two appraisers.

The National Steering Group (NSG) recommended that the key appraisers ... should have headship experience relevant to current conditions, while the support appraisers should be a professional officer of the Local Education Area (Gane & Morgan, 1992, p77).

Thus, the total Britain performance management process is seen to have three main components:

Training: Understanding and upskilling for the appraisal process;

Appraisal Cycle: over a two year period;

School Development Plan: incorporates appraisal outcomes.

The actual components of this biennial headteacher appraisal process is depicted

by Gane and Morgan (1992, p90). These components are noted in figure 2.1.
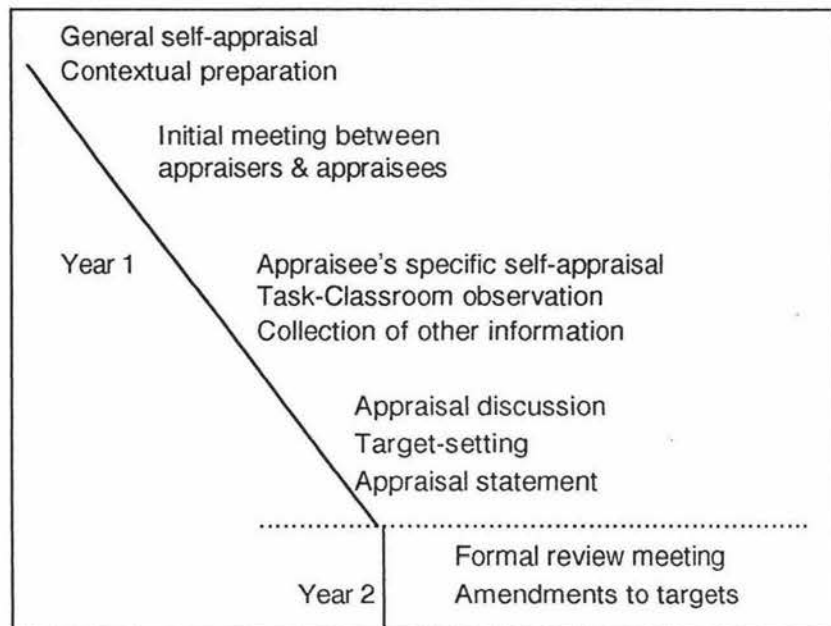
FIGURE 2.1 - Appraisal Components. (Gane & Morgan, 1992, p90)

Each of the model's components has significant sub-components that need to be

dealt with in a critical way if a successful outcome is to eventuate. Gane and

Morgan (1992, pp89-124) give a detailed explanation of the model. In summary,

they make statements about its purpose and process. The statements are:

> The basic purpose of appraisal is to provide a systematic approach to
> staff development. The best way to promote staff development is to
> encourage the people concerned to reflect upon their work, to reach
> conclusions about what they do well and not so well, and to consider
> what should be done in the context of present circumstances and
> future aspirations to improve the quality of their performance.
>
> Purposeful follow-up gives the appraisee the encouragement and
> support needed to produce successful outcomes. Finally, the cyclical

nature of the process guarantees that the momentum is maintained, and a change of appraiser after the completion of two cycles merely adds fresh impetus and a new dimension to the process (Ibid, p124).

Two further important points regarding this model should be noted:

1. Copies of the appraisal statement are distributed to the three participants in the process, the school governing body and the Local Chief Education Officer.

2. The legal 'life' of an appraisal report is three months after the release of the next statement. In case of a complaint this procedure allows review officers access to two appraisal statements.

New Zealand Model of Principal Appraisal

The document "Performance Management Systems 3" (PMS 3)(May 1997, pp6-7), published by the Ministry of Education (MOE), loosely links principal appraisal with school development plans. The document explains that the initiation of the process has three sources. These sources are: the principal's job description, the school's development plan and the personal and professional development needs of the principal.The document also gives a diagrammatic and written explanation of implementing the principal appraisal process. Figure 2.2 shows the explanations.

44


```
                    ┌─────────────────────────────┐
                    │      Initial Meeting        │
                    │ Board, chairperson, and     │
                    │ principal confirm job       │
                    │ description and sign        │
                    │ performance agreement.      │
                    └─────────────────────────────┘
```

School Development   Data collection
Plan   Ongoing   monitoring
                                               and   feedback

```
┌────────────────────────────┐   ┌────────────────────────────┐
│   Concluding Interview     │   │      Monitoring            │
│ Board, chairperson, and    │   │ provides an opportunity for:│
│ principal discuss achieve- │   │ * checking on achievement;  │
│ ment and concerns; draft a │   │           and               │
│ report; and consider       │   │ * modifying the performance │
│ arrangements for the next  │   │   agreement (if necessary). │
│ cycle.                     │   │ For example, monitoring could│
└────────────────────────────┘   │ be in the form of an interim │
                                 │ appraisal interview or a     │
                                 │ monthly report to the board  │
                                 └────────────────────────────┘
```

Data collection
Ongoing monitoring and feedback

(PMS 3, 1997, p7)

FIGURE 2.2 - Implementing the Principal Appraisal Process.

The appraisal requirements prescribe that, in addition to the principal's "management" performance expectations, the principal should also have performance expectations relating to her/his "schoolwide responsibilities". These responsibilities arise from the schoolwide planning process and particular schoolwide initiatives that the principal is delegated to lead and oversee on behalf of the board. Again, for purposes of manageability and quality in the principal appraisal process, it is recommended that in any appraisal period, there be an agreed selection of school-wide responsibilities to be appraised according to their relative importance for school success (PMS 3, 1997, p5).

Some principals and their board chairpersons have received training through a

MOE contractual arrangement on performance management purposes and

processes (Collins 1997, p8), (Massey University, 1997, *Appraisal Implementation*

Handbook). This training was to assist schools in understanding and acting on the

responsibility delegated to them for performance management. The research study presented later will explore these issues.

Although a school's Board of Trustees (BOT) has responsibility for designing "performance appraisal systems appropriate to their school and community within a minimum quality assurance and accountability framework" (NZ Gazette, 12 December 1996, No.180, p4724), it is important for the board of trustees to clarify each person's responsibilities for a principal's appraisal process.

> The following delegations are likely:
>
> * Board Chairperson: responsible for overseeing the appraisal process (and reporting to the Board);
>
> * Board Chairperson (or sub-committee): responsible for the appraisal of the principal's leadership and management of schoolwide responsibilities;
>
> * An appropriate professional: responsible for the appraisal of the principal's teaching responsibilities (where these form part of the principal's job) (PMS 3, 1997, p2).

How these responsibilities have been carried out in five New Zealand schools will be described in the chapter on research findings.

The New Zealand performance management process promoted in PMS 3, although a one year cycle, contains the same three main components as the British process - training, appraisal cycle and school development. The New Zealand delivery model, with its flexibility, lacks the linear intensity and toughness of the British model, as described by Gane and Morgan (1992). The British model specifically requires the following:

* a particular type of principal appraiser; another principal
    (Ibid, p145).

* specified documentation instruments and their use
    (Ibid, p155).

* a legal requirement to supply quantitative statistics about
    appraisal progress and within a time-scale (Ibid, p160).

The New Zealand implementation of appraisal is to meet the local needs of the

school (PMS 1, p1).

> The mandatory requirements provide flexibility to allow boards of
> trustees to design performance appraisal systems appropriate to their
> school and commuity, within a minimum quality assurance and
> accountability framework.

This flexibility of the New Zealand model may be in keeping with the philosophy of

Tomorrow's Schools (1988, p1) - "the basic unit of education administration will be

the individual school" - but it also means there is no standardisation of appraisal

delivery across the country. How this eventuates will be discussed in chapters four

and five.

The latest developments in principalship have occurred as this research was

undertaken. There have been three significant developments:

1. Introduction of professional standards to enhance performance

    management.

2. Five year contracts for newly appointed principals and eight year

    contracts for incumbent principals.

3. The provision of supplementary grants to use for school

    management purposes such as principal remuneration for those

on an individual employment contract.

The first and third initiatives are included in a consultation document released by the MOE (Interim Professional Standards for Primary, Secondary and Area School Principals, 1998, April). The document states the reason for these developments and the expectations of principals as:

> the Government's strategy for developing and maintaining the quality of teaching and leadership, and improving learning outcomes for students. The Professional Standards for Principals will help ensure that schools are led and managed by high quality professionals. The principal's performance and ability to organise resources to deliver high quality education is a critical factor in the effectiveness of a school (Ibid, p3).

> Professional standards describe the knowledge, skills and attitudes that all principals are expected to demonstrate (and) are required of an effective principal. (They) will also provide a focus for planning the professional development of principals (Ibid).

It is clear that these MOE guidelines are devised to monitor the issues of leadership, teaching, learning and school effectiveness. No education 'professional', including principals and trustees, would have a problem with this perspective. What will be of concern, and especially for school principals, is the influence these developments will have on the principal appraisal model that will now be implemented in their schools in the future. The appraisal participants concerns with these developments are a part of the research study of this thesis and discussed in later chapters.

At no place in the Interim Professional Standards document, including the list of actual professional standards to be met, does it mention the words or ideas such

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as 'collaboration' and 'collegiality'. Neither is there any explanation of the term

'leadership'. Is the absence of such explanations in a principal appraisal model

going to achieve or improve school effectiveness? Stewart and Prebble (1993)

believe otherwise.

Stewart and Prebble (1993, pp185-204) propose another model. Although it does

not tighten the delivery, it does have a different focus. The focus is on school

review. This is due to Stewart and Prebble's (1993) advocacy for a collaborative

leadership style by the principal. This form of 'appraisal' should "seek to discover

the extent to which the school is accomplishing its agreed goals" (Ibid, p199)

through its leadership. A commitment to this alternative approach to principal

appraisal, claim Stewart and Prebble (1993), would become an important

emphasis for developing school culture and effectiveness.

> The real core of School Development is its emphasis on a shared
> culture of collaboration, community and learning, and not the
> techniques employed to foster that culture. The concept of
> transformational leadership makes this emphasis very clear. A
> transformational style of leadership totally redefines the concept of
> leadership. Effective transformational leadership is a way of
> thinking. It can not be produced through effort, legal mandate or
> formal policies. Transformational leaders "are more concerned about
> gaining overall cooperation and energetic participation from
> organization members than they are in getting particular tasks
> performed" (Mitchell & Tucker, 1992, p32), (Stewart & Prebble, 1993
> p258).

The focus for the principal would move from administrative activities to the core

activities of teaching, learning, school culture, communication, school direction and

school review (Stewart & Prebble, 1993, pp202-203). The research study will

discuss aspects of the Stewart and Prebble model in chapter six.

On reflection, the isolated, individual approach to performance management, as depicted by the Interim Professional Standards, may not be the best approach for "stuck schools" (Hopkins, Ainscow and West, 1994, pp90-91).

> Stuck schools are often failing schools. Conditions are poor, teaching is an isolated activity, and a sense of mediocrity and powerlessness pervades. Expectations from all around are very low, and external conditions are blamed for the situation (Ibid, p90-91).

To get such schools "moving" (Ibid, pp91-92), it would seem that a group approach, or (in the case of principal appraisal) a school review approach, could better answer the call for a school to accomplish its agreed goals. O'Neill (1997) makes an appropriate comment on this issue, which has an equally pertinent message for principal appraisal.

> PMS does little more than replicate the discipline and competence procedures which are already available to schools. For the vast majority of teachers in schools PMS is unnecessary and insulting. If, however, we can shift the emphasis of appraisal from the individual to the group, all sorts of possibilities emerge, not least the opportunity for individual teachers to reflect on, better understand and improve their own teaching practice with the help and support of syndicate or department colleagues in the context of their existing work patterns. Analysis of the work of the group is just as demanding a form of evaluation but is likely to be considerably less threatening for individual teachers. In the final analysis, then, group appraisal simply seems to make more sense (O'Neill, 1997, pp121-122)

The literature review has raised a number of interesting and competing views as to how the principal appraisal process may be structured and focused. The research undertaken is aimed to find out *what is actually happening.*

Conclusion

In conclusion, the review of the literature has outlined the quest for accountability of schools through the strategy of teacher appraisal; particularly principal appraisal. The innovation of performance appraisal has been developed in a number of countries, including New Zealand, in the last twenty years.

New Zealand teachers and principals, like their overseas counterparts, did react to this innovation with a degree of uncertainty as to its real purpose, the intended implementation procedures and the use of the outcomes. The issues of major concern to the appraisees were:

* What input would they have into developing the process?

* What model of appraisal would be emphasized: developmental or assessment?

* What are the likely effects on a future career?

The Ministry of Education's requirements and guidelines have been published and, together with training programmes, they have enabled the appraisal participants to come to grips with their responsibility for the process in their school. The requirements are not standardised and, therefore, they allow a school some flexibility as to how they implement them.

The New Zealand literature on principal appraisal is light but reveals some competing views as to how the process should be interpreted and managed by the school. How has the process been interpreted and presently managed? Does the process address the principal's unique role and leadership responsibilities? Does the process enable the school to be more effective?

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The researcher's examination of the literature has brought more depth of understanding and purpose to the study. The following research seeks to explore what is happening with the principal appraisal process in a small selection of New Zealand schools.

Chapter 3

RESEARCH METHODOLOGY

An explanation of the aim of the research is followed by a discussion

as to why both the qualitative design and grounded theory method are

appropriate. The grounded theory method is explained. Information is

provided on the research aspects of: study setting, participant

selection, access to the field, and participant profile. Ethical

considerations are noted followed by descriptions of the researcher's

involvement, data collection methods, data analysis and writing

the report. Finally, verification of the study is explained.

The main aim of the research is to study what is happening with principal appraisal in a small selection (five) of New Zealand primary schools. A secondary aim of the research was to explore the implication of the principal's appraisal for teaching and learning in the school.

The research questions were formulated from the researcher's experiences of the appraisal topic. These experiences consisted of reading the literature and seven years practice in the field of teacher appraisal.

Six broad areas of questions were used. These areas were to discover how the principal appraisal process was:

1. **Developed.** Why? Sources? Who? How?

2. **Carried Out.** Setting? Events? People? Controls?

3. **Inter-related.** Between: Regulations, training, preparation, instruments, documenting, site specific criteria and procedures?

4. **Understood.** Meanings? Values? Interpretations? Why this way? Why not another way? Weaknesses? Strengths?

5. **Changed during the process.** planned or unplanned changes? Causes for change?

6. **Followed up.** Intentions? Outcomes?- anticipated/unanticipated? Benefits? Documentations? Impact on the future of teachinng and learning?

The research aims and questions impinge on many key aspects of how a school functions. These functions are: management, leadership, performance, evaluation, effectiveness and development. Hence, a research approach that was appropriate to answering 'What is happening?' needed to be chosen. According to Bouma, (1996) the qualitative design does this.

> Qualitative research is designed to provide an impression; to tell what kinds or types of something there are; to tell what it is like to be, do or think something. It answers the question, 'What is going on here?' (Ibid, p167).

Rationale for a Qualitative Design

The quantitative design views reality as objective and independent from the researcher. The phenomena can then be measured using an instrument. A deductive form of logic is used, and as Creswell explains,

> where in theories and hypotheses are tested in a cause-and-effect order. Concepts, variables and hypotheses are chosen before the study begins and remain fixed throughout the study (Creswell, 1994, p7).

The intention is to develop generalisations that enable the prediction and explanation of phenomenon and situations.

Qualitative designs arose as a counteraction to the empiricist paradigm of

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quantitative design in the late nineteenth century (Ibid, p4). Qualitative methods

see true reality through the eyes of the participants in the research situation. Here,

multiple realities exist and the researcher seeks to report and examine them

accurately. Accuracy can be employed through verification methods such as

'triangulation'.

The qualitative researcher interacts with participants but admits his or her values

and biases in the report. The report is written in a personal, informal manner based

on interpretations evolving from the study.

> Categories emerge from the informants, rather than identified *a*
> *priori* by the researcher. This emergence provides rich "context-
> bound" information leading to patterns or theories that help explain
> the phenomenon (Ibid, p7).

The varied nature of teaching and educational management practices are

grounded in and influenced by the everyday school's social context. Hence, with

these practices being open to multiple interpretations by the participants, the

quantitative design is less appropriate to accurately record them. The whole

performance management area, as noted in the literature review, is still in its early

formalised days of practice. Therefore, it seems appropriate that research which

serves to describe and understand the principal appraisal aspects of the practice

would make a useful contribution to the discovery of knowledge about this issue.

The qualitative design, where the researcher ventures 'into the field' (schools) to

hear first-hand accounts of the events, is regarded as appropriate and was the

chosen approach for this study. Consistent with this design, especially theory

creation, is the selected methodological approach of the development of grounded

theory (Glaser and Strauss, 1967).

The Grounded Theory Method

The educational research topic of this study, 'principal appraisal', as an expected

formal practice, is still in its infancy in New Zealand schools. The small amount

of New Zealand research information on the topic influenced the researcher's

selection of a qualitative design (Christensen, 1990, p230) and the theory

discovering model of grounded theory.

> ... grounded theory makes its greatest contribution in areas in which
> little research has been done. In these areas, theory testing cannot be
> done since the variables relevant to the concepts have not yet been
> identified (Stern, 1980).

The grounded theory method was developed in the mid-sixties by sociologists

Glaser and Strauss (1967). The method requires systematic collection and

analysis of qualitative data for the purpose of generating emerging and relevant,

explanatory theory (Chenitz and Swanson, 1986, p3). Grounded theory is a

method to study behaviour and interaction (Ibid, p7) of participants, because, from

this the meanings are derived (Baker et. al., 1992).

Since the object of the research is the development of theory that explains basic

patterns common in social life, the grounded theory approach is ideal. The method

will allow for the "study of fundamental patterns, known as basic social-

psychological processes, which account for variation in interaction around the

phenomenon" (Chenitz & Swanson,1986, p3) of principal appraisal.

Grounded theory has several levels of workings that the researcher follows, during the study, to reach a theory that is "grounded" in the data (Glaser, 1978)(Chenitz & Swanson, 1986). These 'levels of workings' are discussed below.

Grounded theory uses the **constant comparative** method of analysis throughout the study. Comparisons for similarities and differences are made continuously from the time of the first data gathering exerise. For example, in this study comparisons began with the return of the first two questionnaires. Data are initially coded (see appendix G) with **substantive codes** that reflect the matter of what the people said about the study phenomena. These codes are compared, with similar ones grouped and given an initial label which becomes a category.

Data collection and analysis continues with more categories being produced. Patterns of relationships between two or more categories are analyzed from the data which leads to the formation of hypotheses about the phenomena.This on-going process and "double-back steps" (Glaser, 1978, p16) give rise to emerging **theoretical codes**. The theoretical codes bring an order to the category relationships. What follows is an over-riding or favoured **core categories** that lead to theory.

As these levels of workings proceed, **memos** (appendices K & L) are continuously being written. "Memos are the written capsules of the (progressing) analysis and serve to store the ideas generated about the data" (Chenitz et. al., p8). Memos can also lead to a researcher **diagramming** (appendices H-J) a "visual representation of the categories and how they link together" (Corbin, 1986, p17) at various times in the analysis. From sorting and resorting memos, areas for theory refinement are

discovered and this leads to further data collection.

During this theory development, an awareness of the substantive literature (in this study it was literature on appraisal) allows for **selective sampling** by the researcher to assist with category formation. This is one strategy of **theoretical sampling**. "Theoretical sampling is based on the need to collect more data to examine categories and their relationships, and to assure the representativeness in the category exists" (Chenitz et. al., p9): that is, a wide span of difference in a category. To achieve this in the present study, five schools and ten participants were used.

Eventually, with categories saturated (that is, no new data and no additions are added to the core category) an integrating core category and possible "basic social process" (Glaser,1978, pp93-115; Fagerhaugh, 1986, pp131-145) will emerge that explains the data for the researcher. At this point, the researcher has 'grounded' the theory of their study in the data.

The Present Study

With a deficit of New Zealand research literature on the study topic, grounded theory was selected in order to generate an initial theory that might explain what was happening in the principal appraisal process in the five New Zealand schools used in this study. Secondly, and to a lesser extent, grounded theory was used to show what implications the principal appraisal process brings to bear on leadership, teaching and learning in the school. The procedures which were followed in conducting the grounded theory method are now explained.

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Study setting

The study setting involved five schools from the lower North Island of New Zealand. The selection of 'five' schools (the researcher's supervisor had suggested 'three') was considered by the researcher to offer a suitable difference in data to satisfy the grounded theory method. Two of the schools were in urban locations, while two others were rural. The fifth school was semi-rural in that it sat within a few kilometres of an urban area. The schools varied in size from a Grade 2 to Grade 5. These grades are explained in chapter four. Three of the schools were full primary schools (year one to year eight students) and the other two were contributing schools (year one to year six students). Further details are given in the next chapter.

Participant selection

The school selection process was made with reference to the researcher's knowledge of the school; that is, size, location, personnel and management structures. For size, two smaller schools with teaching principals were wanted to bring a different perspective to that of larger schools with non-teaching principals. For location, two rural schools were wanted in the hope that a different style of managing the appraisal process to urban schools would be displayed. With regard to personnel, the researcher initially approached five schools where the principal was known to the researcher and would possibly be sympathetic to the study. Three of these principals responded favourably on the first follow-up telephone call after the initial letter. One principal gave a resounding, "No". The fifth principal was keen to participate but, because of work pressures, preferred to be included only if the researcher was unable to find other participant schools for the study.

Another three schools were approached. A new principal, unknown to the
researcher, had recently been appointed to one of these schools. They declined for
this reason. The other two schools accepted. Two principals openly admitted that
knowing the researcher had influenced them to participate in the study and to "help
you out".

Table 3.1 summarises the above information.

TABLE 3.1

Summary of information on participant selection			
	School Size	Location	Principal known to the researcher
1	G2	Rural	Yes
2	G2	Semi-rural	Yes
3	G3	Urban	Yes
4	G4	Urban	Yes
5	G5	Rural	Yes

Access to the field

A formal letter (see appendix A) was sent to eight schools - separately to both
principal and board chairperson - outlining the study and these people's possible
involvement. This letter was followed with a series of telephone calls to each
school principal. These calls were to gain: their reaction to and interest in the
study, the addresses to which consent form (appendix E) and a questionnaire
(appendix B) could be mailed, and, last, to arrange the interview. In the case of the
latter task, the researcher also had to telephone the appraiser.

Participant profile

Two of the schools had principals with part-time teaching commitments,

"teaching principals". The other three principals had no directed teaching commitment, "walking principals". Each principal had served in the principalship role in two or more schools.

Of the five appraisers, four were board of trustee's chairpersons, with previous board membership experience. The other appraiser was a Rural Adviser to schools with previous principalship experience.

Two of the board chairpersons were working in the educational field as teachers and another was working for a government department. The fourth was a business proprietor. The ten participants consisted of four females (one principal) and six males (four principals).

Ethical Considerations

As in any research activity, the qualitative researcher, of necessity, must respect the rights and values of participants. Ethical issues were considered throughout the research process.

First, approval was gained from the Human Ethics Committee of Massey University. This committee required some modifications to the original proposal. These modifications consisted of the following:

1. Consent must come from the Principal *and* the Board of Trustees.

2. The 'Information Sheet' should state:
   a) That with a small sample of well known educators and community figures, total confidentiality and anonymity may not be guaranteed.
   b) That the researcher would give interviewees the opportunity to edit their interviews.

3. Six minor amendments to the 'Information Sheet' text so as to:
strengthen, clarify, add or delete a sentence.

Second, a full explanation of the nature and purpose of the study was included with the invitation letter sent to all potential participants (Appendix A). Participants were informed that consent to participate was on-going and that it was their right to withdraw from the study or refuse to answer a question at any stage.

In consenting to be part of the study, participants, after receiving the letter and a further opportunity for clarification, accepted that questionnaires, tape recorded interviews and one appraisal document would be used. Tape recordings of interviews were necessary for the precise recording of information. Before an interview, participants were made aware that they could ask for the tape recorder to be stopped at any time or that they could request that previously recorded information be deleted. All tape-recordings were transcribed by the researcher. The participants were also informed they would receive a summary report of the study at a later date.

Third, during the research process all data were securely stored in the researcher's home and would remain there for no more than twelve months after the study completion, at which time it would be destroyed.

Fourth, confidentiality and anonymity of participants and schools was assured and protected at all times by the researcher and this assurance must continue.

Knowledge of the researcher's topic did spark searching inquiries from many quarters, including participants. Confidentiality of this information has always been

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respected.

The researcher accepts that any intrusion into a social context will cause some disruption, or influence on the study. The researcher did not detect any influence of significance to the study.

Researcher Involvement

Although research using the grounded theory method desires restriction of prior knowledge and experience of the phenomena under study, Glaser and Strauss (1967) recognise that, once immersed in the data, the researcher has difficulty being a passive receptor. During the research process the researcher's own knowledge and experiences of education and the study topic was at times enabling for the participants to give their answers. As a primary school teacher and deputy principal, the researcher was able to easily relate to the participants' responses and the language they used. Being able to relate in this way, during an interview, meant that - at times - the researcher's understanding of the issue being discussed did not need further clarification. Also, this researcher sensed that clarification was needed at times where a less empathetic researcher may have not responded.

Here is an example:

> One principal made the following statement about their next principal appraisal cycle: "I need to take it more seriously." At first, this researcher thought the statement was in reference to the 'new' *process* of principal appraisal that would incorporate the Professional Standards recently released. On quick reflection, this researcher, because of their professional empathy, sensed there was something else 'behind' this statement and requested clarification by asking: "What do you mean?" The answer was: "It must now have something in it *for me* ." On further questionning, the principal clarified the word "something" by stating: "Future job promotions and supplementary grant".

"Principal Appraisal: Fluxion and Abatement"
Strong, N.G.L. (1998). MEdAdmin. Thesis, Massey University.

The 'researcher's involvement' is given further consideration in "Limitations of the study" in chapter 5.

Data Collection Methods

Data were sought over a period of four months and in three forms: questionnaires, structured interviews and if possible the principal's last appraisal report document. There were nine questionnaires, nine interviews and three principal appraisal reports collected. One appraiser (a board chairperson) mislaid the questionnaire so the relevant questions were included in the interview. Another appraiser, the Rural Adviser, who was called in late to do a 'quick' principal appraisal, felt it was inappropriate to undertake a searching interview on the particular school's appraisal process. The researcher respected this participant's views and did not press for the interview. Two other principals could not immediately find the documentation of their last appraisal report at the time of the research interview but both did promise to post it. These reports never arrived.

The questionnaire (see appendix B) was planned carefully with particular attention given to structure, order of questions, types of question and language of the questions (Bell, Bush, Fox, Goodey & Goulding, 1984, pp156-176).

The questionnaire structure was designed with five unspecified sections on the school's principal appraisal process. These sections were Development, Last Cycle, Evaluation and Modifications, Outcomes, and Purpose and Values Promoted. With the questionnaire sections decided, the researcher wrote the questions with reference to the information that was required.The questionnaire

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structure is summarised in the table 3.2 below.

TABLE 3.2

QUESTIONNAIRE STRUCTURE

SECTION	QUESTION NO.
1. Development	- questions 1 & 2
2. Last cycle	- question 3
3. Evaluation & Modifications	- questions 4,5 & 6
4. Outcomes	- question 7
5. Purpose & Values promoted	- questions 8 & 9

The question sections were arranged in the above order to give the questionnaire

a logical sequence (Ibid, p170-171). The main reason for this section

arrangement was to assist the participants' ease of thinking and writing of their

answers. Hence, the overall layout was to "facilitate both completion and analysis"

(Ibid, pp169).

The questionnaire was designed with a mixture of structured and open questions

(Ibid, p159). This mixture allowed for clear, simple responses of two types. One

type of response was of a factual nature. The other type allowed for responses that

included "elaboration" and "additional information". This second response meant

that the respondent could do justice to his/her opinions"(Ibid, pp159-160).

Examples of each follow:

    1. Please explain if any modifications have been made ...

    2. Please explain any modifications you would like to make ...

All questions were designed to be "pertinent to the main research theme" (Ibid,

p168) of principal appraisal. Such 'pertinence' helps both "response rate and

reliability" (Ibid, p168). To refrain from confusing the respondent, Bell (1984,

pp167-168) states that the questionnaire structure should be consistent. To retain this "consistency", there was little variation in the structure of the questions. A variation used in three questions (2,3 &7)was to "give a clear indication of the kind of response" (Bouma, 1996, p67) desired by listing the issues. An example was:

> Please explain the steps ... (examples of these steps were)
>
> * Meetings:
> * Observations:
> * Documentation:
> * Outsiders consulted:

The trial questionnaire was piloted on one colleague and the supervisor of the researcher. Both found it suitable and did not recommend any changes to the first seven original questions. The supervisor did suggest the addition of three further questions (8,9 & 10; see Appendix B) to elicit participants' opinions.

The participants were interviewed once and these events were conducted after the participants had completed the questionnaires. The interviews took place at a mutually convenient time and location and varied in length from thirty to fifty minutes. The researcher had to fit the timing of the interviews to the availability of the participants. Sometimes this meant the researcher took time out of their working days.

For the face-to-face interviews, a semi-structured type was favoured. As Bell (1984, p184) states: "it allows respondents to express themselves at some length, but offers enough shape to prevent aimless rambling". The preparation of the questions for the interview schedule followed a similar development as that of the

questionnaire preparation. That is, a list of areas in which the researcher required

information was then translated into actual questions. A difference between the two

schedule's structures was in the order of the questions. The main influence on this

difference was the later addition of a "Supplementary questions" sheet (Appendix

D). This 'supplementary' sheet of questions was asked after the initially designed

sheet of questions (Appendix C).

The second of these sheets, "Supplementary questions", was prepared

after initial analysis of the first two questionnaires returned. The 'supplementary

questions' were designed only to seek some clarification of answers given in the

questionnaire and, two, to address issues considered worthy of researching after

the 'initial analysis'.

Examples of these two types of question are:

1. Why the chairperson as the appraiser?

2. How important is it to focus on the principal's leadership style
   during the principal appraisal process?

Table 3.3 summarises the interview schedule structure.

TABLE 3.3

INTERVIEW   SCHEDULE   STRUCTURE

SECTION	QUESTION NUMBERS	
	INITIAL SHEET	SUPPLEMENTARY
Development	1	1, 2, 3
Last cycle	2 to 7, 9, 11	4, 5
Evaluation & Modifications	8, 12, 13	6 to 10
Outcomes	10	

In conducting the interview, Bell (1984, p192) explains certain procedures that

should be followed. The researcher should use a style that is "a balance between

friendliness and objectivity" (Ibid, p192) so as not to distort the process. It is also

most important that, before the commencement of an interview, each participant

has been reminded of his/her right to withdraw from the study, to refuse to answer

any question and to ask for the tape recorder to be stopped at any time. For this

research, no participant requested any one of these rights. Table 3.4 below

summarises the manner in which the researcher conducted the interviews.

TABLE 3.4

CONDUCT OF THE INTERVIEW

TIME	PURPOSE
Prior letter	Explaining research purpose
Prior tel. call	Arrange date, time & place
On arrival	Introductions
Prior to start	Setting is established for privacy Explain the purpose of the interview Explain the interviewees rights
At the end	Ask the interviewee if they have questions Give assurance of confidentiality Give timing for next contact Thank the interviewee

All interviews were transcribed from the tape recording by the researcher.

The use of the principal's last appraisal report, for document analysis, was

requested at the time of the principal's interview. When this was forthcoming a

further consent form, 'Documents', (see appendix F) was signed by the principal.

Ten months prior to the data collection, the researcher had scanned the literature

on the appraisal topic for the preparation of a research proposal. The scanning of

the literature enabled the researcher to bring more depth of understanding and

purpose to the research. Further reading of the literature continued throughout the

study on both the substantive topic, appraisal, and the grounded theory method.

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The latter was a necessity so as to undertake and review the data analysis process.

Data Analysis

Qualitative data collected in grounded theory research can occur in a variety of ways (Corbin, 1986, p93). As explained earlier, data in this study feature in the form of words gathered by way of questionnaires, interviews and document analysis respectively.

The foundation to generating grounded theory is data analysis by way of constantly comparing data with new or previously collected data. This process starts with data being analysed line by line (see appendix G) with substantive codes being placed alongside. The following is an example from an appraiser's interview.

> *I perused the previous two appraisals by different chairpersons, used*
>
> *the PMS series as a baseline, attended the MOE workshops, then*
>
> *wrote 'my' appraisal document.*

In this description the original substantive code was "development" which was re-coded into the selective code of "training" and placed under a theoretical code, "conditions" (Swanson, 1986, p126), and later the category of "adaptation". Another example from a principal's interview is the following statement.

> *I must take principal appraisal more seriously now. It must have*
>
> *something of value in it for me - and not just benefit the school.*

The original substantive code here was "future". It was later re-coded under

"directives for performance management" and placed under the category "metamorphosis".

Data analysis became a continuous process from the time the first questionnaire was returned and coding started. The questionnaires were initially coded on the document itself. The first two questionnaires were also transposed onto a "Data Analysis Sheet" (see Appendix G). This sheet was divided into three columns and the transposing involved the following process:

Column 1. Each fact or incident was written.

Column 2. A code or conceptual label was applied to the fact or incident.

Column 3. A theoretical note was written which explains some of the researcher's thoughts and questions as he coded.

From this analysis of the first two questionnaires, the researcher decided on further data collection. This decision resulted in the preparation of the "Supplementary Questions" sheet to be used in the up-coming interview sessions. When the interviews had been transcribed, they, too, were analyzed on a 'Data Analysis Sheet'.

Beginning with the first two questionnaires, the 'Data Analysis Sheets' were continuously scanned for recurring themes. These themes are written as memos (see Appendices K & L). As Corbin (1986, p102) says, "This is a very complicated process that is broken down into steps, each step building upon the other".

This intensity of data analysis involves the "double-back step" (Glaser, 1978, p16) to review previous codes, to seek insight into the data, to build concepts and categories and then to write memos.

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Another analysis tool used was diagramming. Although only three significant diagrams were drawn, (see appendices H, I & J) each was pertinent to the appropriate stage of analysis. The diagrams also helped the researcher to develop the final theory.

The researcher recalls his "joy of discovery and the sense of accomplishment" (Ibid, p119) at the time that each of diagrams 2 and 3 (Appendices I & J) was conceived - theory emergence! It occurred, as warned by Corbin, (1986, pp91-101), in a short period of time of a few hours. Each diagram had been developed through the basic steps of the grounded theory process - constant comparative analysis, substantive coding, theoretical coding and category formation.

At the 'diagram 2' stage, the researcher was grappling with initial theoretical codes of 'uncertainty' and 'partnership'. The researcher felt some unease at this point, that they had not fully grasped a theoretical code worthy of begin promoted to 'core category' status, or that they had fully integrated the data.

It was at this point in the study that the researcher's supervisor gave the researcher an invitation to assist the supervisor in a post-graduate seminar (1998), to explain the analysis thus far. It was during this seminar that the researcher saw another 'light' into the data through an obscure comment by one of the seminar participants. It promoted another intense review of the data and the analysis done to date. The issues of 'change', 'reaction to change', 'desired state' and 'leadership' entered the analysis. This refocusing of the analysis brought some comfort to the researcher that the analysis was 'back on track' again. The refocusing did not make the

analysis any easier. Over time, and after discarding possible core categories like "partnership", "uncertainty", "leadership dilemmas" and "metamorphic dilemmas", the researcher found an emergent "fit" with the data.

The strong theme of the data was the nature of continuous change in principal appraisal over the last eight years. Paralleling these 'changes', the data were highlighting the principal appraisal participants' continual endeavours to lessen the intensity of the 'changes'. The emergent "fit" with the data was then expressed through the category of "fluxion and abatement" and an associated basic social process (diagram 3b, appendix J). These developments are explained in chapter five.The basic social process analysis assists with expanding the process beyond the particular core category, as Fagerhaugh (1986, p146) remarks, "so that greater generalizations can be made". The basic social process of this study has four parts. These parts are, metamorphosis, metamorphic reaction, adaptation and palatable. As Fagerhaugh states (Ibid, p134), this process analysis has "much explanatory power because it integrates the multiple parts of the problem under study into a logical and understandable whole".

Data analysis was a continuing process of scrutiny, reflection and revisiting of all study material during the whole writing phase. Memos were used continually to record ideas, hunches, questions and recurring topics. Through these memos, the researcher developed and refined the emerging theory. The result was many sheets of paper of different recordings: all sorts of lists, notes, articles and explanations on varying issues that had arisen (appendices G to L). Some stood the test of time, while some were later condensed into others or

discarded. The memos provided an "audit trail" (Creswell, 1994, p158) of decisions and progress in the research process. All memos were dated, titled and numbered. Often comments were added to a memo to explain its source or a cross reference.

One particular memo (appendix K) arising from the early return of questionnaires was the basis for the development of the 'supplementary questions' (appendix D) used in the interviews. Another memo (appendix L) highlighted the consideration being given to the possible core category "partnership" early in the analysis.

Memos are a crucial step in the analysis procedures. Through all these steps and procedures, the researcher had "the patience and security and trust to wait for (theory) emergence" (Glaser, 1992, p26) that would be read as valid and reliable research findings in the final report. Figure 3.1 summarizes the data analysis process.

FIGURE 3.1
SUMMARY OF THE DATA ANALYSIS PROCESS

"Principal Appraisal: Fluxion and Abatement"
Strong, N.G.L. (1998). MEdAdmin. Thesis, Massey University.
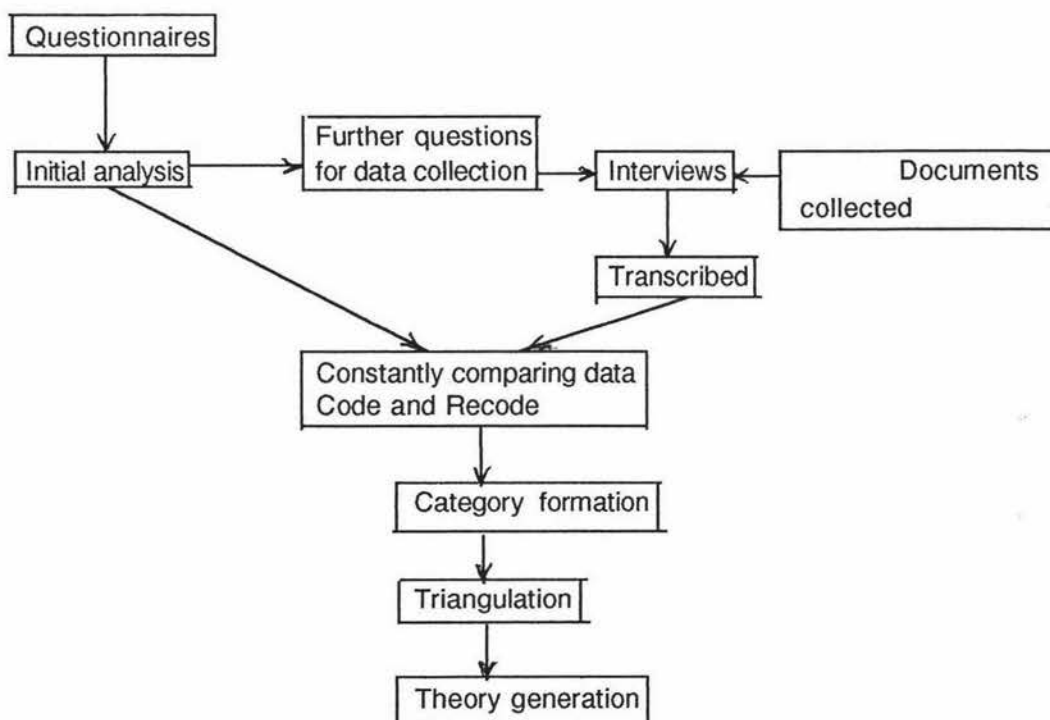
Writing the Research Report and Thesis

Writing the report for many hypothesis testing studies begins before data are collected. This early writing consists of such aspects as:

> the presentation of the research question, the hypotheses, conceptual framework, literature review and methodology. Often, even the tables in which the statistical findings will be presented are written in advance" (May, 1986, p147).

The rest of the report is then finished when all the data are collected.

Unlike the above report writing process, the grounded theory methodology requires the researcher to write continuously from the start of data collection (Ibid). The researcher used this writing procedure. He continued writing throughout the analysis process of coding, writing memos and framing the theoretical connections between concepts. This writing sequence made for a relatively quick link into writing the research findings and a drafted thesis. A requirement the researcher faced when writing up the report was verification of the research study. This issue is now discussed.

Verification of the Study

As Creswell (1994, p157) states, "qualitative researchers have no single stance or consensus on addressing traditional topics such as validity and reliability in qualitative studies". This statement implies that the researcher must offer varying accounts of evidence about the study accuracy for it to be considered scholarly. Creswell (Ibid, p158) suggests the concepts of validity and reliability should be framed within the procedures of qualitative writings. The researcher will now do this

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through the explanation of such verification procedures as internal validity, external

validity and reliability (Ibid, pp158-159).

Internal validity refers to the accuracy of the information and its resemblance to

reality. The researcher achieved this through the procedures of triangulation and

research participant checks (Ibid, p158).

Triangulation enhances validity by showing convergence of information through

the use of multiple methods of data collection and data sources. The researcher

has earlier explained the use of the latter two methods - questionnaires and

interviews with the research participants - and will now give some examples of

triangulation: information convergence. These examples are presented in Table

3.5 below.

TABLE 3.5

TRIANGULATION - INFORMATION CONVERGENCE

ISSUE	METHOD	SOURCE	DATA INFORMATION
Process developed by:	Questionnaire and interview	Principal Chair	The process was developed by the principal and the board chairperson. Myself in consultation with the principal.
Appraiser selection	Questionnaire and interview	Principal Chair	Board of trustees and the principal. Chair, B.O.T. and school principal.
Why the chairperson as appraiser?	Interview	Principal Chair	The chairperson accepted. Because they came from an educational background. Just decided through the principal really. Could be a struggle if no board member had experience like me. I'm a teacher.
		Principal Chair	Chair accepted. Educational background. Useful mentor. Board policy. It was seen as appropriate for me as I was the only person on the board who had an educational background.
Any in-depth observations of principal?	Interview	Principal Chair	Not in the context of going around with a clipboard and ticking off. No. Don't get time.
		Principal Chair	Not directly. Indirectly through the appraiser having children at the school. No. Not directly. Indirectly through my son, newsletters, informal discussions with BOT and parents, board meetings, school events and the administration systems.
	Questionnaire	Principal Chair	Classroom observations by deputy principal. Deputy principal in the classroom.
Preparation of final report by:	Interview	Principal Chair	Collaborative. Chair and principal. Both the chair and principal.
		Principal Chair	Written by chair and staff 'rep' on BOT. Written by chair and staff 'rep' after a draft was written with the principal.
Modifications to process?	Interview	Principal Chair	A policy in line with professional standards. New Ministry regulations/standards have meant a review of appraisal document.
Future role appraisal process?		Principal Chair	Not sure. Essential we get the Assessment of and Developmental models together. Should work. Use the appraisal report more as a focus. This report is more important in light of the new principal contracts.
	Interview	Principal Chair	The requirement on boards which is now contractual rather than obligatory. This shift is hugely significant. It will change the way boards and principals work together. Principals' have to have a finger on every pulse. The process is vitally important in terms of ensuring this is achieved.
		Principal Chair	Vital for support of the principal. It's important to identfy principal needs early on, so that it doesn't become a competency issue. It will be the principal's checkpoint and give the board direction.

Table 3.5's sample of responses demonstrates the similarities of response from the two key research sources, the principal and board of trustees chairperson at each school. A particular difference is the last question that seeks an opinion from the participant. The table also shows the convergence of information between the two data methods, the questionnaire and the interview.

Research participant checks were done through the presentation of the diagrammatic model (Appendix J), of the theory and basic social process, to two of the research principals. The principals identifed and confirmed the main tenet of the model but believed they may have used different descriptors in the basic social process.

External validity refers to the generalizability of the study findings (Ibid, p158). Creswell (Ibid, p159) suggests this might be done in a limited way by discussing the data collection protocol used in the study. The researcher's protocol is detailed below.

1. Use five schools to achieve a significant range of data.

2. Use principals and their appraiser (board chairperson), rather than just one category of research participant. This gives triangulation.

3. Use questionnaire and interview data collection methods for verification of participant responses. Another form of triangulation.

4. Use only the data collection methods intended. That is, do not use any informal discussions that occur in the research process.

5. Use exactly the same procedures and questions for each research participant.

Reliability refers to the probability of replicating the study (Ibid, p159). Unfortunately "the lack of replicability in grounded theory has been a major critique of this

method" (Chenitz & Swanson, 1986, p13). Chenitz and Swanson (Ibid, pp13-14) believe it is more appropriate to ask a different question of grounded theory when answering the reliability issue. "If I apply this theory to a similar situation will it work, that is, allow me to interpret, understand, and predict phenomena?" Creswell (1994, p159) states this question as, "Whether the same patterns or events or thematic constructs would be replicated in different settings". The researcher, like Chenitz and Swanson (Ibid, p13), says, "Yes".

Chenitz and Swanson (Ibid, p14) add that the issues of 'validity' and 'reliability' are generally avoided by qualitative researchers who instead usually use such terms as 'evidence' and 'credibility' of the data and analysis. The researcher believes both of these terms have also been appropriately addressed in this chapter.

Chapter 4

ANALYSIS OF RESULTS

Each school is treated separately in the presentation of the analysis.

A brief profile is given of the school, the principal and the appraiser

in the research. Following this is a collective summary of the research

participant's account of principal appraisal in their school given via the

questionnaire and the interview. These accounts cover the purpose,

development, process in action, evaluation and future considerations

of principal appraisal.

The information presented in this analysis of results has been derived from the

responses to the questionnaires completed separately by the five principals and

their appraisers, the subsequent interviews with the same personnel and the three

appraisal reports submitted. Reference was not made to any informal

conversations between the researcher and the participants or school staff.

The questions used in the analysis have been taken from written comments on the

questionnaires or transcripts of the taped interviews. No distinction has been made

between these written or oral comments to further safeguard confidentially.

In the professional life of a principal, their performance appraisal is a personal,

valued and sensitive experience. All of the participants in the study were promised

the utmost confidentiality from the researcher. The researcher is hopeful that the

participants perceive this has been done.

School Size

Different sizes of primary school have featured in the research study. Schools are graded from the smallest at grade one (G1) to the largest at grade five (G5). The research schools ranged from grade two to grade five. Table 4.1 gives an explanation of school size according to student roll numbers.

TABLE 4.1

School Size

School Grade	Student Roll Number
G1	1 - 50
G2	51 - 125
G3	126 - 308
G4	309 - 525
G5	526 -

Principal Appraisal at the School Site

School One

This is a G4, urban,contributing primary school. The principal has been at the school for three years. The appraiser (the board of trustees chairperson) is in their second cycle as chairperson but had a previous cycle as a general board member. This appraiser is also a trained teacher.

The purpose of principal appraisal, to the collaborating research participants, is initially to have the principal seen in the same 'light' as the rest of the staff: that is, the principal's performance is also appraised similarly to other staff members. Secondly, the principal is also accountable for what they are doing in their professional role. The chairperson/appraiser (Chair/app.) stated the purpose as:

Chair/app.:*To focus on specific objectives and work towards these. It is important for the principal to be part of performance appraisal along with the rest of the teaching staff. It's part of the process of accountability to ensure quality learning in the school.*

The development of the current principal appraisal process occurred in partnership between the principal and the board chairperson.They attended a performance management course and looked at "a couple of appraisal systems done by other" schools. The principal also, attended a 'Reflective Principal' course, did some further reading on the topic by author David Stewart and consulted with other principals. Since the process development, "some minor fine tuning" has occurred but otherwise the process has stayed the same for two years. The research participants stated that the strength of the process is in the "open communication and consultation" between the principal and board chairperson/appraiser from inception to practice.

Initiating the annual principal appraisal process occurs with the principal presenting an outline of goals to the board chairperson for perusal and discussion in term one of the school year. Monitoring of progress occurs with of a meeting "early on in term two". The evaluation meetings start at the beginning of term four. The written appraisal report is prepared in consultation between the principal and chairperson/appraiser. The final report format is written by the chairperson and presented to the board of trustees in November. The report is filed with the board meeting minutes but there is no policy as to its 'life'.

The appraisal procedures follow the same policy guidelines that operates for all other staff.

The principal sets the goals with specific reflection on, the School Development
Plan, the principal's Job Description and the previous appraisal cycle report. The
appraiser appointment was decided by the principal agreeing to the board
chairperson because they were "from an education background" and would have a
relevant understanding of the principal's job. Deviation from the policy guidelines
would only be contemplated if the reason was justifiable. The process is funded
through a performance management budget.

The role of the principal in the appraisal cycle was to set and meet the agreed
goals. These were specified and became the focus on which the principal's
performance was evaluated. No other tool, checklist or observations were used.
The role of the appraiser in the appraisal cycle was to supervise the process with
support and positive input to the principal in achieving the set goals.
An example of a support statement given by the appraiser was:

> *You have done this ... but what about finding out a bit more
> information about this ...? Have we got a complete handle on it?*

In evaluation of the previous process cycle, both participants were happy with it
and the ways in which each person coped. The chairperson commented:

> *I found it to be enjoyable. The principal achieved much during the
> process. There were positive spinoffs on several of the goals
> achieved.*

When the two participants were asked about the importance of focusing on the
principal's leadership style during the appraisal process there was ambiguity in the
answers. Either they could have misunderstood the question or their notion of

leadership is vague. They answered:

Chair/app:*Depends on their style as to how important it should be during appraisal. In some cases - not an issue. Otherwise, help them.*

Principal: *A lot more effect in the future.*

This ambiguity also occurred when the participants were asked about the principal's improvement in their effectiveness as a school leader. The answers were narrowly based around tasks rather than working with staff. Answers were:

Chair/app: *Appraisal provided a focus to achieve specific goals.*

Principal: *It covers all areas of the job description over time.*

The future of the principal appraisal process is considered with uncertainty in the 'light' of new Ministry of Education policy announcements. These "announcements" refer to; professional standards, five year principal contracts and the supplementary management grant that boards of trustees can use to pay a bonus to the principal. The principal believes that the principal appraisal "goalposts" are moving again and cautions:

> *We must watch for the appraisal development model versus the appraisal assessment model conflict. See how they go. How it will be worked out. Some of it will be imposed.*

This principal views the expectations of principalship, and the role that principal appraisal will play, will change with the introduction of five year contracts.

> *The whole concept of principalship with five year contracts is going to change. Presently there is an endless timespan. With five years you will get there, get to know the place, start the changes, do the job and move on. That has implications that the whole concept of*

appraisal will change. It is time we stopped continuously 'reinventing the wheel' for principal appraisal.

The principal believes that any such changes to the appraisal process will be both mechanical and philosophically wrong for education. The principal stated:

The process will become pragmatic and ego centred. The educational development aspect will become 'lost' in the 'hunt for ticks'. There is the possible danger of trying to cover everything in the list of professional standards. On-going focuses across areas will no doubt happen in the future to get the 'tick in the box'. Possible use of checklists. I think it's going to come down to that. Presently the improvements happen for kids. In the future it will happen for checklists and ticks.

The board chairperson's thoughts for the future focused more on their role as a manager of the process and the appraiser appointment.

The process should work. More scrutiny is needed by the board of trustees. Especially their own experience and the report. We might need to look at joint appraiser type things. Maybe the chairperson and another professional. A principal colleague or someone like that. Share it around a bit. Use the previous report as a focus.

School Two

This is a G3, urban, contributing school. The principal has been at the school for ten years. The appraiser (the board chairperson) is in their first cycle as chairperson but with a previous cycle as a general board member.

The purpose of principal appraisal is viewed entirely differently, in this school, to that in school one. The principal sees the purpose as primarily a political requirement; something that is imposed from outside the school to check on principals. The principal senses that their own integrity and job security is being

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threatened.

Principal: *Principal appraisal is a shift in political requirement over the period 1991 to the present. The current professional standards will 'bite' next cycle.*

The appraiser/chairperson sees the purpose of principal appraisal more as an internal system that will enhance the teaching and learning within the school. The chairperson senses their role as a board member and as a parent, by wanting the 'best' for the students. The chairperson/appraiser stated:

> *Principal appraisal is vitally important in terms of ensuring that achievement floats down to the enhancement of students. That the achievements are met. Teaching improvement. This has got to happen. We are appraising a principal for this very reason. We have got to get to this end product.*

The development of the principal appraisal process in this school, with the same principal, dates back to 1991. At that time a job description was written and subsequently a performance agreement was prepared. "Further input and training has come over time from, workshops, meetings, relevant documents, texts and advice". The process was "reviewed in 1995 due to the requirements demanded of Individual Employment Contracts" that were introduced by the Ministry of Education at the time. An appraisal process review is about to be done again due to the latest innovations of, five year principal contracts, professional standards and management grants.

This school's principal has served with four different board chairpersons with the principal commenting that, "each chairperson/appraiser adopting a different way of doing the appraisal". The current chairperson/appraiser, on taking up the position,

immediately educated themselves on the requirements and procedures of the

principal appraisal process. The information enabled the appraiser to implement

the current cycle and prepare them for the forth-coming process review and

impending changes. The appraiser stated:

> *I perused the previous two appraisal cycles by different chairpersons,
> read the Ministry of Education's relevant 'Performance Management
> Systems' documents and attended two relevant workshops.*

Initiating the annual principal appraisal process is seen as the responsibility of the

board of trustees but "in reality it's a combination of the principal and the

chairperson", said the principal. It starts with a preliminary meeting between the

principal and chairperson and follows a school policy. This policy, said the

principal, "will change in line with the new requirements". The original policy

requires the chairperson to be the principal's appraiser and the principal is

"comfortable with that". The present chairperson felt "under-qualified and

vulnerable" during their first experience as the appraiser.

Funding for the present appraisal process has not been required. The funding of

future principal appraisals will be funded. The principal commented:

> *From October 1998 boards will receive $844 specifically for principal
> appraisal. The inference is that you will be able to telephone a
> consultant, spend some dollars on the appraisal process, get a report
> and meet the requirements. Nice to know the Ministry have put money
> in but the potential is horrendous. It implies that appraisal is a one-off
> process - do it and go away. It should be on-going three or four times
> a year.*

The principal believes that their role, in the appraisal process, is to provide "a

paper trail" that summarises the performance targets and achievements which can be enlarged upon where necessary. The appraiser commented that their role is, "to compare the outcomes you can see - what is tangible? Sometimes this is very hard".

No other recording instrument or observations were used in the process. The final report is a joint effort between the principal and the chairperson/appraiser. The report is put on file with no specific 'life'. The full board are informed of the report's availability to read.

When the research participants were asked about the importance of focusing on the principal's leadership style during the appraisal process, both saw it as important. The answers were:

Principal: *High! It depends on whether the principal's style is recognised as being worthy by staff, board and community.*

Chair/app: *Very important. In any situation where you have someone leading, you need someone who can do it.*

When the research participants were asked as to what evidence had been documented that the principal's leadership had improved, the comments were less than satisfactory. They both perceived it as a difficult measuring task and stated:

Principal: *Tell me how that's measured and in what context?*

Chair/app: *Guidelines are available. Difficult to measure. Need a tool.*

In evaluation of the previous appraisal cycle, both participants commented that they

were satisfied with how it went, including the other person's input. The principal did refer to the "considerable demand on time" and would "much prefer the opportunity to stagger the appraisal process" over more than one year.

The future of the principal appraisal process is viewed differently by the research participants in this school. As noted earlier, the principal senses a threat to their own integrity and job security with the new requirements being added to the process. The principal accepts that there will be changes but doubts the ramifications.

Principal: *In the future, appraisal is going to be more on-going than a once a year meeting - one off event.. We simply cannot indicate all those professional standards without doing that. There will have to be tick boxes during the course of the year. All equally 'nuts' as nobody knows how it works yet..*

> *The appraisal of principals, deputy principals and associate principals is now written into the contract in terms of standards. That's a huge shift to what's been happening in the past. Now, it's industrially contracted to boards. It's changed the dynamics of how our boards have worked with principals. 'Life has changed Fred'.*

> *I do call into question the apparent mindset about appraisal. The whole question of appraisal does not appear to be geared to enhancing performance, rather to measure. It calls into account and starts from the assumption that a large number of people in this situation are not performing at levels that they should be, whatever those levels are and how we should measure them. Therefore there is a lot of stuff banded around about teacher competency. I don't think that was the original intention of the process.*

The appraiser hopes the new requirements and guidelines will become "a little more user friendly" so appraisers can be confident in doing it themselves. The appraiser also wants to occasionally use 'outside' appraisers and have the use of a

particular recording tool.

Chair/app: *I believe every second or third time an independent person should do the appraisal. An outsider should be considered. A recording tool would be useful with the move to professional standards. Hopefully there is going to be some sort of tool to make it a lot easier. Wouldn't it be nice if we had a tick box system.*

The appraiser also expressed the thought that the new requirements will take the principal appraisal process "a few years to become smooth running".

School Three

This is a G5 full primary school in a small rural township. The principal has been at the school for one year. The principal's appraiser is the board of trustees chairperson. The chairperson has been the appraiser for the last two cycles.

The purpose of principal appraisal was couched in similar words by both research participants. They spoke of three key points. They were:

1. Checkpoint and support of the principal.

2. Accountability of the principal.

3. Professional development of the principal.

There is a blend of both the assessment and development models of appraisal in these statements.

The development of the principal appraisal process in this school was spearheaded by the board chairperson in consultation with the then principal. It was mainly based on the chairperson's own experiences in their own government sector occupation. The chairperson did attend Ministry of Education workshops but

did not relate to them particularly well, stating that this was, "due to the jargon used". The chairperson did, in time, produce a satisfactory appraisal process. The chairperson stated:

> *The Ministry's workshops were good but in a lot of educational jargon. Being a non-educational person I found some key points were glossed over. Thus I referred back to what I had done in the past. The end result was pretty much what the Ministry was wanting. That is, a Job Description, School Development Plan, Principal Performance Agreement all linked to the principal appraisal process.*

The process was implemented flexibly. The chairperson stated that the flexibility was to allow "some adaptation to suit the principal at the time". The process was funded from the school's operation grant.

Initiating the principal appraisal process is recognised as the board chairperson's responsibility but both research participants agreed that, "in reality, it is done by both the chairperson and principal" in partnership. A performance management policy gives guidelines but "it is flexible as to how it will be done".

The start of the last appraisal cycle began in October when the school development plan for the forth-coming year was discussed and the appraisal goals set. In March the decision of the chairperson as the appraiser, assisted by the board's staff representative, was agreed upon by the principal and chairperson. The formal appraisal interview was held in April. The subsequent report was drafted jointly by the principal and board's staff representative with other staff having an input. The draft was then discussed with the chairperson who, along with the 'staff rep', wrote the final report. A statement was voiced at the board meeting

announcing that the principal's appraisal had been carried out. The report is not available to the rest of the board because it is considered a privacy issue. This is a board policy. There is no policy on the 'life' of the report. The suggestion from both the principal and the chairperson was for a report life of two years.

In this school, the role of the principal in the process is to write the appraisal goals after reflecting on the school's Strategic Plan, Development Plan and Principal's Job Description. These goals are presented to the chairperson for consultation and affirmation. The principal then sets about achieving the goals.

The appraiser's role in the process is to initially reflect the board's intentions for the future of the school. Secondly, the appraiser "encourages and supports the principal in a professional and positive way". Thirdly, the appraiser gathers data to verify the progress in goal achievement. The appraiser's data gathering was assisted by the board's staff representative who also liaised with other staff members. No formal observations of the principal at work were undertaken. The Education Review Office were in the school at the time of the principal's appraisal and their subsequent report became another major source of data to be considered in the principal's appraisal. The chairperson/appraiser believes that the bulk of the management of the appraisal and the furnishing of the details on goal achievement is the responsibility of the principal.

Chair/app: *Being on the board of trustees is basically voluntary. I am of a strong mind that you are paying a person, the principal, in an administration role and they should be doing the 'donkey work'. We, the board, should just come in, put in our 'two cents worth' and away we go.*

In evaluation of the previous cycle, the research participants believe that, the

consultation between the principal and the chairperson/appraiser, together with the

set appraisal procedures, were viewed as particular strengths. The principal also

believed, that because the chairperson/appraiser had also experienced personal

appraisal themselves, they were better able to understand and execute the

process.

The research participants were asked about the importance of focusing on

the principal's leadership style during the appraisal process. Both saw it as

important and a skill that is all embracing in the role of principalship. They stated:

Principal: *Leadership focus is very important. The whole success of the
school relies on the leadership style of the principal. It's so vital. A
huge umbrella topic. So much comes into it.*

Chair/app: *Personal attributes of getting on with people is 70% of getting the
job done. You can learn the other management requirements.*

When the research participants were asked as to what evidence had been

documented, that demonstrated suitable or improved leadership from the principal,

their comments differed markedly. The appraiser said it was based on "informal

observation" and saw it as "a personal trait". The principal simply answered that "it

came out in the Education Review Office report". Such comments leave the

researcher believing that the concept of leadership is not well grasped here.

For the future, both of the research participants agreed that serious consideration

would be given to using a principal colleague in the process as an appraiser. It was

also stated that the principal must feel comfortable with whoever the appraiser is

and be able to trust them.

The new professional standards are viewed more as a starting point or crutch for boards of trustees who had little or no experience of principal appraisal. There was a caution from the chairperson against using them as, "hard and fast rules". Instead, "it's a matter of how picky do you get?", commented the principal. After all, said the chairperson, "it is just another monitoring process that you go through ". The 'standards' should "be used under broad headings and not as a checklist".

School Four

This is a G2, full primary school in a rural area between towns. The present principal has been there for three years and also has a classroom teaching component. The appraiser is the chairperson who has been in this role for two cycles.

The purpose of principal appraisal was viewed in similar ways by both research participants. Their comments blended aspects of both the assessment and the development models of appraisal. They both mentioned:

1. Meeting goals of the principal's job description.

2. Encourage progress within the school via the school's development plan.

3. To give the principal recognition and encouragement for achievements.

The board chairperson also mentioned:

4. Encouraging positive leadership.

The development of the principal appraisal process in this school was delegated to

the principal. The principal brought ideas from a previous school, consulted handouts from the New Zealand Educational Institute, attended Ministry of Education workshops and had the workshop facilitators visit the school on two occasions. A process was "drafted by the principal and presented to the board as a discussion paper", stated the principal. A few minor changes were made but the main thread of the document stayed the same. Some adaptation to the process is allowed for if circumstances change. Adaptation examples given by the chairperson were, "staffing, community, financial pressures and a host of others. It has to be a continually evolving system". The process was funded through the staff development budget.

Initiating the principal appraisal process is seen as the responsibility of the board chairperson but in fact it comes from the principal. The principal starts with the school's development plan and reflects on the previous year before setting new goals. The board has a policy that the appraiser will be the board chairperson "unless the principal objected". The chairperson of this school commented that they were seen as an "appropriate appraiser and an advantage" because they were "the only person on the board who had an educational background from working in the field". The appraisal process was a series of meetings that "were informal discussions addressing the goals documented". The principal's teaching component was done by classroom observations by the deputy principal. No formal report was written documenting the appraisal outcomes. The chairperson stated that an "informal verbal report was jointly given to the board by both the chairperson and principal as to the achievements of the goals". These comments

were recorded in the board minutes but not made public.

The role of the principal is to initiate the process with goals taken from the school development plan. The chairperson commented that, the principal did this "because s/he knows where the personal and school development needs are and also knows what facilities or courses are available". The role of the appraiser is to "make sure the process is driven along on track through discussion and support". The documents used in the process are the school development plan, appraisal targets and checklists. The latter are used to monitor both the classroom observations and the set goals. The checklists are used by way of a "tick-off and date" system. "No minuted meetings or records" are kept, nor are there any other formal observations made of the principal at work, during the appraisal process. The value of the professional appraisal process, stated the chairperson, is in "the support given to the principal, by the board, while making the changes to meet the set goals".

In evaluating the process the research participants only noted weaknesses. The weaknesses they saw were:

1. The time demanded to manage the process itself.

2. Expertise of the chairperson/appraiser. Especially if they have little or no working knowledge of educators jobs.

3. Variations of the process between schools.

4. Variations in the expectations of differing boards.

5. A formally perceived supportive process now becoming tangled up with competency issues.

The research participants were asked about the importance of focusing on the

principal's leadership style, during the appraisal process. Both saw it as important but from different perspectives.

Principal: *Leadership is more important now because of the professional standards. I need to get more feedback on my leadership.*

Chairperson/app:*Leadership is important but should not become a main focus of principal appraisal. The focus should be whatever the style the principal has and what s/he needs for developing.*

There was no documented evidence on the principal's leadership style or the principal's improvement during the appraisal process. The chairperson did comment on leadership evidence as: tasks completed or people reactions.

Chair/app: *Through achievement of performance objectives.*

Community comments made of school management and events.

Families wanting their children to attend the school.

The researcher believes, that such comments show a narrow view of the concept of leadership.

For the future, the research participants have stated that significant changes will be made to the principal appraisal process in this school. A new policy on principal appraisal has recently been completed. The chairperson commented that this policy will enable the process to be "taken more seriously and more formally with written documentation". The process will also now be linked with the principal's Job Description, National Administration Guidelines and the Professional Standards. The principal also recognises that the new appraisal process is now much more determining of the principal's professional future. The principal stated:

*I need to take the process more seriously. It must now have
something in it for me and not just benefit the school. That is,
future job promotions and use of the supplementary grant.*

School Five

This is a G2, full primary school, just outside the boundaries of a larger centre. The

principal has been there for just over two years and has a classroom teaching

component. In the last appraisal cycle the appraiser was sought from outside the

school. The appraiser was a former principal and now the Rural Adviser. Since the

last appraisal cycle the present board of trustees has fully changed. None of the

new members have had experience at school management.

The purpose of principal appraisal was succinctly expressed by the principal as,

"to improve teaching and learning in the school". They added that the value of the

process should be to promote "collegial support".

These comments strongly reflect a belief in the developmental model of appraisal.

The development of the principal appraisal process in this school occurred with

both the board chairperson and the principal attending two Ministry of Education

workshops. One workshop was on performance management and the other was on

principal appraisal. Meetings between the principal and the chairperson followed

these workshops "to shape up the areas to be included in the process" and

document them. Six goals were identified and these were linked to the principal's

job description, their performance agreement and the school's development plan.

The appraisal process was funded from the school's operation grant.

Initiating the appraisal process was completely left to the principal. The previous chairperson felt uncomfortable with the task of appraiser. The principal and chairperson agreed on inviting an 'expert' in from the education sector. The appraiser fulfilled the invitation late in the year. The appraisal process consisted of a meeting with the principal. At this meeting the two participants "checked what had been achieved or not achieved" within the documented areas. The appraiser wrote a final report of the meeting in consultation with the principal. A summary of this report was presented to the board of trustees by the chairperson. Copies of the report were made available for the board to peruse. There is no policy on the 'life' of this report. The principal's opinion was that two reports should be kept on file - the previous one and the current one.

The principal stated that the role of the principal, in the appraisal process, is to present to the board their ideas for the development of the school and then balance them with the board's ideas through consultation. The role of the appraiser was to make some sort of judgement as to how successfully the goals had been achieved and "what was needed to be done next to achieve them". The previously written six goals became the documented checklist for the appraiser.

On evaluating the process, weaknesses and modifications were highlighted by both of the research participants. It was stated by the principal, that the totally new board of trustees would have to have an input into any changes. Other comments were:

1. *The process must be more rigorous.*

2. *The appraiser must start earlier and be better informed of the goals.*

3. An 'outside appraiser' should work with the board chairperson.

4. Have a set timeframe for observations and meetings throughout the year and a final meeting of all three participants.

5. Focus more on the school's teaching and learning programmes and less on administration tasks.

6. Know how the data is going to be compiled and recorded.

When asked about the importance of focusing on the principal's leadership style, during the appraisal process, the principal recognised that this issue was important. The principal commented, that leadership style depicts how the school runs and what people expect to see happening.

Principal: *A style of leadership is ground in your personality. Someone who is collaborative isn't suddenly going to be top down or dictatorial. A principal also needs to reflect on their style as to how successful they are being.*

The principal also stated that no evidence was documented on the principal's leadership style or leadership improvement in the last appraisal cycle because it was not rigorous enough. The principal considered that leadership focus would be a most valuable exercise in future appraisals.

The future intention for the principal appraisal process, in this school, is to be more rigorous. The principal believes it must be "more of a combined effort involving the full board, the principal and the staff" in deciding the direction of the school. The principal stated:

I don't set the whole vision for the school. Everyone should be listened to also. From these contributions I would develop and target my appraisal goals. If the process is done this way it should produce

an extremely valuable process and final document. I also want to look at the personal aspects of the process.

Some concern was expressed of the latest innovation of professional standards. The principal believes that, the complexity and detail of taking a collective appraisal, of all the standards annually, is beyond the workings of any board of trustees and the principal. The principal stated:

> *It is mission impossible that has been loudly voiced by principals throughout the country. I don't think the Ministry are listening. To insist the above will cause it to fall over, or people will get around it in some way or they won't achieve what they are trying to achieve.*

This *Analysis of Results* became a prelude for a deeper investigation into the data. The subsequent investigation was to provide research findings and generate theory. These aspects of the study are discussed in the next chapter.

Chapter 5

RESEARCH FINDINGS

In this chapter the research findings are summarised in the form of a

theoretical interpretation arising from the data. The interpretation is

presented in the form of a basic social process. A brief introduction to

the basic social process concept is followed by explanations of each

of its four stages - metamorphosis, metamorphic reaction, adaptation

and palatableness. Finally, these stages are drawn together into the

emerging theory of fluxion and abatement.

Basic Social Process

A basic social process - fluxion and abatement - is the main theme that illuminated

the data. Fluxion and abatement articulates the vacillating nature of the principal

appraisal process in the five schools. The theory highlights the continual evolution

of the process and the schools' attempts to cope with these developments.The

theory of fluxion and abatement has four directly related stages; metamorphosis,

metamorphic reaction, adaptation and palatableness. The structure of the theory is

formed by the relationships amongst these stages and their respective component

parts. Fluxion and abatement functions as a basic social process because it

explains so much of the behavioural variation in the data. The theory of fluxion and

abatement is presented diagrammatically in figure 5.1.

FLUXION AND ABATEMENT

Continuous change. | To increase the intensity.

Uncertainty
Partnership

Basic social process

Metamorphosis

A complete change in form | Gradual changes
from outside the school. | from inside the school.

* Politics of change   * Personnel
* Performance management   * Leadership of the process
* MOE guidelines & directives * Documents
                               * Interpretations
                               * Process delivery format

Palatableness | Metamorphic Reaction

Acceptable to the mind and   Response to the stimulus.
feelings of the participants. * Purpose?
* School Effectiveness   * Values?
                                * Role?
                                * Status?
                                * How?

Adaptation

Make suitable to requirements,
conditions and personnel.

Appraisal preparation   Appraisal in action
  * Training   * Monitoring
  * Writing documents   * Contributing
                              * Evaluation
                              * Reporting
                              * Reviewing

Figure 5.1 - Theory of Fluxion and Abatement.

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Each of the stages is unique and requires some time of passage before moving on to the next stage. It is possible, though, that a principal, board of trustees, chairperson and, where appropriate, the principal's appraiser could be operating at one or more stages simultaneously. Such multi-stage operation could occur when either, more than one metamorphosis or innovation is being handled in the basic social process at one time or when some aspects of a metamorphosis are still being employed at two or more stages at once. A board could be adapting some part of a metamorphosis while leaving other parts, to which they are still reacting, until another time.

Each of the four stages, of the basic social process, is now explained.

Metamorphosis

Metamorphosis is by definition, a complete change of form, structure or substance, according to *The Random House Dictionary, (1968).* People in contemporary environments have had to accept the cliche, 'change is inevitable'. Life circumstances do move on, and this occurs in education also. The concepts of performance management and principal appraisal have been, as explained in the literature review, new innovations in New Zealand's educational system since 1989. The idea of on-going change has been part of a board's life and accepted, as one chairperson commented:

> *School boards need to work with change, and the principal appraisal process is part of the educational sector change.*

The metamorphosis stage identifies and brings an understanding to both the

innovation and the evolutionary nature of the principal appraisal process. Metamorphosis does not explain just one event or change of principal appraisal. Instead, the metamorphosis stage is much more embracing. It includes all of the steps, add-ons and continual changes that have contributed to the evolutionary nature of principal appraisal for ten years. One principal referred to this time of change as:

The goal-posts keep moving.

Origins of Metamorphosis

Metamorphosis has been seen to originate, by the research participants, from two main sources - from outside the school and from inside the school - which will be explained below.

1. Metamorphosis originating from outside the school

Metamorphosis originates from outside the school, according to the data, with the government of the day believing there is a political reason for change. The government, then, proceeds to restructure the administration system and introduce the new concept. In this study, this concept is principal appraisal. The Ministry of Education (MOE), acting as the government's agent, delivers the policy ramifications, of this new concept, to the school site for implementation.

The categories of *politics of change, performance management and MOE guidelines and directives* together form the Metamorphosis stage.

Politics of change   In analysing the data, the category of *politics of change*

was a critical element in the metamorphosis stage. The government of the day is

viewed as exercising its desire for greater efficiency and effectiveness for the

Education Vote through a number of strands. One of these strands was the

performance of school principals. One principal identified the innovation of

principal accountability, through principal appraisal, as being politically driven.

> *You could put the argument that it's driven by the accountability*
> *mentality which is endemic through business and government.*
> *It's a worldwide trend - nothing to do with teacher initiatives*
> *necessarily. It calls into account and starts from the assumption*
> *that a large number of principals are not performing at levels that*
> *they should be - whatever those levels are and how we should*
> *measure them. And, therefore, there is a lot of stuff banded*
> *around about teacher competency. There are the same expectations*
> *of a principal whether they are a sole-charge principal or a principal*
> *of a large secondary school. UNFAIR! There is an equity issue here.*
> *I'm bemused by this.*

Cardno and Piggot-Irvine (1997, p20), in discussing schools' obligations for

appraisal, stated that the key change associated with appraisal in the reforms

"involved schools becoming accountable to the community and the government for

their performance".

Performance Management Performance management is the administrative

processes by which educational institutions measure their achievement of goals.

The origin of these processes is the 1988 educational administrative reforms as

outlined in *Tomorrow's Schools*. The reforms fully devolved performance

management responsibilities, together with staff development, to the school's

board of trustees.

The board of trustees is the legal employer of teachers and as such will be responsible for instituting procedures of teacher appraisal and discipline (Tomorrow's Schools, 1988, p2).

Performance management was recognised in the data, by all five schools, as a range of functions that enables organisational and individual goals to be achieved. All schools referred to having a performance management policy and that this policy included references for the principal appraisal process. The importance of the performance management process was expressed by one chairperson as:

Vitally important process in terms of ensuring ,(1) that achievement goals are met and, (2) that such achievements flow down to the better enhancement of children.

One principal commented:

It's in the principal's interest to get it done. I'm acutely aware that if you didn't and we had an ERO visit, I would be the one dumped on.

There was a general acceptance on the part of chairpersons and principals that performance management was here to stay. There was, however, uncertainty as to how aspects of the principal appraisal process would be framed in the future. The desire is also there, that, however principal appraisal is framed, students must benefit from it and principals must be supported. One principal commented:

To date the principal appraisal exercise and the improvements to it, have happened so as to benefit kids. In the future, principal appraisal could see checklists - ticking off tasks done (there was a shrug of the shoulders at this point) .

A chairperson commented:

The board must support the principal in the changes.

MOE Guidelines and Directives for Performance Management

The data highlights the reliance which boards of trustees and principals put on out-side information and assistance to implement the performance management and principal appraisal systems. The key instruments in bringing the board, its chair-person and the principal "up to speed" have been MOE documents, guidelines and workshops. Although the metamorphosis for performance management had 'been in the wind', edicts from the Ministry of Education were slow in coming. Many schools ventured into the area on their own initiative with caution, suspicion and uncertainty. The first significant MOE document to be published was the *Draft National Guidelines for Performance Management in Schools* , in 1995. It was published "to assist boards of trustees, principals, teachers, and other professional staff in schools to understand and implement national guidelines on performance management. All schools (were) required to implement the guidelines in 1997" (Ibid, p3). Also at this time, the MOE arranged for training of principals and board chairpersons in performance management through facilitators and contractual arrangements with schools.

Such metamorphosis activities, the document and the training, assisted in the development of partnerships that enabled performance management to be developed at the school site. Two significant partnerships developed. They were, one, between the training facilitators and the schools, and, two, between the school chairperson and the principal.

Other significant metamorphosis publications were the MOE directive, *Notice No.8128,* published in the *New Zealand Gazette,* 12 December, 1996, and the

series of *"Performance Management Systems"* (PMS) booklets, published in 1997-98.

Although the research participants' views differed, one chairperson commented on the usefulness of the documents and training:

> *They prioritised and put in plain English what we needed to do. Very valuable.*

Other 'material' used, to come to terms with the metamorphosis stage, consisted of: NZEI handouts, consultation of texts and other principals and experiences from outside the school setting.

It was through the above learning curve that the research participants were made to feel more at ease with performance management and the principal appraisal requirements.

The latest metamorphosis publication of significance is the MOE document "Interim Professional Standards for Primary, Secondary and Area School Principals" (MOE, 1998). Although the MOE's intention is perhaps to clarify the knowledge, skills and attitudes desired in principals, this document has drawn some strong comments from the researched principals. The comments will be stated in the discussion of the 'How' category in the Metamorphic Reaction stage.

The evolution of this category suggests that further government edicts and MOE documents, within the realm of principal appraisal, could be a possibility. A change of government may be all that is needed.   'Change is inevitable'.

The metamorphosis stage has put all five principals, in this study, into a reactionist state of some kind. It is at this point of the metamorphosis stage, created from outside the school, that stage two of the Basic Social Process, *Metamorphic Reaction,* is entered. Before this stage is discussed, an explanation of how metamorphosis originates inside the school is given.

2. Metamorphosis originating from inside the school

The school site has been identified by the research participants as a secondary origin of metamorphosis. These changes would occur *after* the initial part of metamorphosis has occurred from outside the school. Each type can bring a range of degrees of change. The categories of *personnel, leadership of the process, documents, interpretations* and *process delivery,* together, form that part of the metamorphosis stage occurring from inside the school. These secondary types of metamorphosis are explained below.

Personnel Personnel displays its impact within the stage of metamorphosis by the changing participants in the principal appraisal process. People's job tenure, interest or commitment do change at regular intervals within the school setting. The changes of personnel that would have most affect on the principal appraisal cycle are; the principal, the board chairperson, the appraiser(s) and, possibly, other board members. Each principal appraisal participant brings their own attitude, experiences, interpretations and emphasis to both the process and the set goals. One principal's experience of this part of the metamorphosis was

described as:

Each chairperson-appraiser I've had has adopted a different way.

One chairperson, commenting on this issue, stated:

Three different appraisers with different approaches is not satisfactory - no continuity. The process needs this.

Another chairperson made the point that the process should be flexible enough to 'tailor' it to the principal, rather than the other way around.

You have to be flexible and tailor it to each principal's needs"

This 'tailoring' can be interpreted in two ways: firstly, when a change of principal occurs; and, secondly, when the principal's annual appraisal goals change.

One of the key issues, identified by the research participants in the study, was that of appraiser choice. The views as to who, or why an appraiser, should be chosen were distinctly varied. The differences in these views highlight the flexibility in the new educational administration reforms, as stated in the literature review. The 'flexibility' in the reforms allows boards of trustees a continuum of appraiser selection approaches.

Where it was possible, boards felt comfortable appointing a board member (the chairperson) who had teaching experience or appraisal experience. Researched comments to this effect were:

Appraiser appointment could be a struggle if no board person

has education experience. I think a teacher education
approach is required.

In our case it was seen as appropriate for me to be the appraiser
as I was the only board member who had an educational back-
ground through work. Using me as the appraiser was seen by the
board as an advantage because I know about the process. I had
some of the knowledge, skills and attitude to get it done more
easily than others.

The chairperson was accepted because of an educational
background. Also a useful mentor.

I was comfortable with the chairperson although not from an
educational background. They have had experience of appraisal
in another government sector. Option there for a colleague
principal in 1999.

Consideration was also given to an 'outsider'. In this case, a local principal

colleague was invited to be the appraiser. The reasoning behind such a thought

was that this appraiser would better empathise with the role, tasks and

expectations which the principal faced on a daily basis. The point was also made

that 'outside' appraisers could also come from a consultancy firm in the future.

Views from research participants on the use of outside appraisers included:

More and more boards will go for 'outsiders'.

I believe every second or third time an independent person
(outsider) should do it.

Even outside appraisers, with their shorter time in the school,
could not make a good judgement.

Another choice for appraiser, generally recommended in the literature (PMS 3),

is the board chairperson, even without the desired experience. Research

participants suggested that such a person would have the sincere welfare of the

school at heart. They are also likely to be a parent of a student at the school. One

chairperson in this position stated how they prepared themselves:

> *I perused the previous two appraisals and the PMS series as a*
> *baseline. I attended two MOE workshops.*

The principal and board of trustees must have confidence that the appraiser(s) can

do a worthwhile job of appraising and not just manage the appraising. If the

chairperson has the 'skills' to appraise, they should be used. If they don't have

the 'skills', then maybe they should step aside or work a tandem system with

an educational appraiser.

Leadership of the process   Leadership of the process refers to the "Who?"

and "How?" of driving the principal appraisal process at the school site. Schools

may have a policy on performance management and they may also have a policy

on principal appraisal but the process still has to be initiated and driven.

Research participants stated that the onus for the initiation of the process jointly

belongs to the chairperson and principal.

> *Technically the board should initiate it. In reality, it's a combination of*
> *the principal and the chairperson.*
>
> *If a policy has been set as to when the process should eventuate,*
> *then it is up to either the board chairperson or principal to get the*
> *wheels in motion.*

The reality in the data, from the five schools, showed that, in fact, the principal

usually initiates the process. Statements to support this point are:

> *In fact the principal sets it up.*
>
> *In our case, it's probably taken on by the principal .*
>
> *In practice it has been the principal.*
>
> *At present, the principal set it up.*
>
> *Both chairperson and principal.*

At a personal level it is certainly more important for the principal to prompt the chairperson of the impending appraisal timeline. As one principal said: "It's clearly in my interest to get it done".

What drives the principal appraisal process are the set performance goals that are usually prepared by the principal and discussed with the board chairperson. One chairperson was adamant about this task being the principal's role. They stated:

> *It's not my place to set any goals. I'm not experienced to do this.*

In this study the principal was perceived as the professional leader, by the board chairpersons, and expected to act appropriately. The expectation is that reference will be made to the school planning documents, relevant goals and then confirmation sought from the board. Two board members stated this as:

> *The principal should be taking goals from the school's Strategic Plan, Development Plan and Principal's Job Description. They should write the appraisal goals,present them to me for consultation.*
>
> *The principal should do this because s/he knows where the professional and personal development needs lie.*

Principals are part of the management structure and expected to consult with the

board or its chairperson on such a key goal setting process. Four of the research

principals supported this action.

> *The principal sets it up. The chairperson peruses it. The full board*
> *approves it.*
>
> *I write my ideas and balance them with the board's and come up with*
> *an agreement.*
>
> *I use the school development plan. I make sure I have goals I can*
> *attain for the year. This is presented to the board to accept.*
>
> *To make it useful, I set the goals by linking them to the development*
> *plan. I drive it with communication all the way.*

The whole process is viewed and worked as a partnership in the research schools.

The key participants in this partnership are the principal and the board chairperson.

Leadership within the process could be expected to change as each participant

gains more experience. Two participants signalled this with comments:

> *Since going through the process I look at it with a slightly*
> *different viewpoint.*
>
> *I'll be more relaxed next time.*

Documents   *Documents* refers to the written policies and guidelines that the

school has prepared to assist them with the principal appraisal process. The

school itself is expected to prepare its own documents in-and-around the appraisal

system. The significant documents recorded in the data are: The school's

development plan, the performance management policy, the principal's job

description, the principal's performance agreement, and the principal's annual

appraisal goals. These documents should be reviewed every year. This review

is likely to bring changes and have impact on the principal appraisal process. Any

change reactivates the metamorphosis stage from inside the school. Comments in

the data that support the above statements are:

> *The end result (of our documents preparation) was pretty much what the Ministry was wanting ... all linked to principal appraisal.*
>
> *We are in the process of making it much more formal this year.*
>
> *Policy revised with addition of new professional standards.*

The new "Interim Professional Standards" has become the latest document to enter

the metamorphosis stage of the principal appraisal process and must now be

blended with the schools' documents. How this 'blending' may proceed is

discussed in the Metamorphic Reaction stage.

Interpretations *Interpretations* refers to the principal appraisal participants'

own mindset in each appraisal situation. How personnel perceive the purpose of

the principal appraisal process, and how it should be actioned, could be different to

others involved. It could also be different as the inter-personal relationships

change between the participants. Conflict and conflict resolution can also enter the

process. It is, therefore, important for participants to be fully familiar with any

document, including contractual ones, likely to be referenced during the process.

Some mutual understanding of their interpretation and appropriate time of use is

also necessary. Most of the *interpretations* category is based on four key aspects in

the principal appraisal process:

1. the chairperson/appraiser's knowledge of education systems and particularly their knowledge of the principal's job;

2. the chairperson/appraiser's experience of appraisal;

3. the strength of the partnership between the principal and the chairperson;

4. the level of comfort of the principal with the process being implemented.

Here are two different points of view that highlight the above aspects:

A principal stated:

> *In hindsight the process was not rigorous enough. The new board will have to have more hands-on.*

A chairperson stated:

> *Beneficial to both parties - principal and board*

The interpretations in all aspects of the process should be, and was in most of the research schools, a joint principal and chairperson/appraiser function. It appears to the researcher that it is a matter of getting the balance of each person's involvement right, or appropriate, for the particular school. As one principal stated, "if conflict did arise, there were procedures in place to deal with this event".

Process delivery format This category refers to how formally the principal appraisal process is actioned in the school. The research sought to know whether a school would deviate from their documented principal appraisal format and for what reason. Two principals commented:

> *I cannot see an occasion for this.*

> *Some adaptation to suit the person.*

Three chairpersons commented:

Deviate? No! You must be sure of what and why if you did.

*Yes! If the circumstances that had been expected changed such
as, staff, financial, community, ... a host of others.*

If you are not prepared to change, you are not being fair.

The respondents appear to have answered two different questions here. There is a

"No!" to a change of the major overall format of the process. But there is a "Yes!" to

other minor details of the process. These minor changes refer to aspects like the

personnel, school management circumstances and the appraisal timeline.

The appraisal process, itself, should also be monitored. Questions should be

asked of its effectiveness and appropriateness in each school setting. Reflecting on

the previous appraisal cycle, one principal stated:

It is a considerable demand on time. I much prefer to stagger it.

A chairperson stated:

It has to be a continually evolving process.

Being a flexible process, participants should expect on-going metamorphosis.

Any metamorphosis occurring from outside or from within the school causes a

reaction from intended participants. This behaviour leads directly into stage two of

the basic social process, *Metamorphic Reaction*.

Metamorphic Reaction

Metamorphic reaction refers to the participant's reactions to the metamorphosis of performance management, principal appraisal and its on-going evolution. Metamorphosis created a metamorphic reaction that led to an era of uncertainty for boards of trustees and principals. The issue of principal appraisal had never before been faced by boards of trustees, or their predecessors, or principals. It raised a number of concerns. As with every metamorphosis, one principal reflected:

> *The issues have to be thought through.*

The initial uncertainty of principal appraisal has been subdued over time as the original metamorphosis occurred in the schools. The uncertain state has flared up at times as further metamorphosis - additions or modifications - have taken place.

The data highlighted the research participants' metamorphic reactions through five key questions about principal appraisal. The researcher has chosen to ask these questions using single words. These one word questions are:

Purpose?   Values?   Role?   Status?   How?

Each of these questions will be discussed with reference to the research data.

Purpose? The advent of the performance management and principal appraisal metamorphosis drew a natural reaction from the intended participants: "Why? What's the purpose?" Aside from the political reason, discussed before, there is much uniformity in the responses from both the principals and board chairpersons as to the purpose of principal appraisal. See Table 5.1 for responses.

TABLE 5.1

Responses to the question PURPOSE? of principal appraisal

Principals	Chairpersons/Appraisers
To ensure the basics of the job description are being met. To take the school from where it is via the school's development plan. ... To ensure the school develops as planned. ... To improve teaching and learning. ... To give the principal recognition. ... To support the principal. ... To offer professional development to the principal. ... To meet the political requirements of accountability, professional standards, assessment and competency.	*To promote an effective and specific job description. ... To encourage progress within the school through encouraging positive leadership... To focus on specific objectives and work towards these. ... To ensure quality learning in the school. ... To acknowledge goals achieved. ... Checkpoint and professional development of principal. ... Part of the process of accountability.*

Principals recognised that they were accountable for how the school was being managed on a day-to-day basis and that they should be seen to be answerable for their management programme. The school was also to gain through principal appraisal via a development plan, that set out goals for improving the school. Principals also realised, that, within the *purpose* category of principal appraisal, they would be supported and developed in their principalship. The 'support' aspect is seen as crucial in principal appraisal by one chairperson who reflected that:

> *Being a leader in a school can be a very solitary occupation and decision making can be difficult.*

Principals are technically part of the board of trustees, which is also their employer. Yet professionally, they are still part of the teaching staff. This duality of roles has to

be refocused on the schools prime functions, teaching and learning and the quality of both.

There is a general acceptance that principal appraisal has a purpose in the school's accountability arena. The logistics of such a process, and to be seen doing it, gives meaning to the participants.

Values?   The research study sought to find what values were being promoted through the process of principal appraisal in the five schools. One aspect that stood out on the professional side of the principal's job was the feeling of now 'being in the same boat' (appraisal) as the rest of the staff. Another prominent aspect on the management side of the principal's job was that of being supported by the board chairperson. The talk of partnership and collaboration was strong from both principals and chairpersons. Table 5.2 displays the comments. Again there is uniformity of comment in this area.

TABLE 5.2

Responses to the question VALUES? of principal appraisal	
Principals	**Chairpersons/Appraisers**
Equality with other staff.	*Modelling for other staff.*
Collegiality, openness,	*Consultation, professionalism,*
partnership, integrity,	*partnership, integrity,*
honesty, trust,	*honesty, trust, recognition.*
appreciation, accountability.	

Within these comments is a sense of team work and partnership between the principal and staff, as well as the principal and their chairperson/appraiser.

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Role?   *Role* refers to the nature or manner in which the principal appraisal

process is conducted in the school. The principal is to demonstrate that the school

and themselves have developed through the appraisal cycle. Being accountable

for these facts in the process held no concerns for either the principals or the board

chairpersons. One concern was whether the concept of assessment should be

included in the annual process. The need for assessment was viewed as

relevant, only if the issue of competency was highlighted during the appraisal. Any

minor competency issues should be handled under principal professional

development. See Table 5.3 for research participants' comments.

TABLE 5.3

Responses to the question ROLE? of principal appraisal

Principals	Chairpersons/Appraisers
To focus your mind on what are the crucial issues for your school...It should be a combined effort between the board, principal and staff... Set where you are heading - a 'road map' for the year... It should enhance performance, not set out to measure... It's the development appraisal model that's important but we must watch the development model versus assessment model conflict... I haven't worked out how we get these two together... I think it is essential we do.	*The principal's annual checkpoint marker and subsequent professional development...The board is to give some direction to the principal's school goals and professional development...It's a formal process - a necessary 'evil'.... We must take care that the development model and the assessment model don't get tangled up together - that scares me! They must be kept separate.*

Both principals and chairpersons know how they want to use the principal

appraisal process - to promote development of the principal and the school.

These statements also embrace the collaborative nature which the process should encourage to achieve these desires.

Status?   *Status* refers to the importance that principal appraisal should be given within the load of management tasks a board of trustees and principal perform.

Most of the principals' comments favoured a high status for principal appraisal. They seem to sense the importance of their 'rating' as a principal through the appraisal process. Chairpersons, on the other hand, played down the importance that principal appraisal should have within their management tasks. They seem to sense the weight of their responsibilities. The comments in Table 5.4 highlight the varying perspectives.

TABLE 5.4

Responses to the question STATUS? of principal appraisal

Principals	Chairpersons/Appraisers
Give it a higher profile now - more status... It's an essential process that is very important for the good of the school... It's important so as to keep the principal on task and on track... It is important, but you can't loose sight of professional development... Status? Less! With tongue in cheek.	*An integral part of an overall management plan...Just another management area. It's important, but it's going to have to be put in perspective...Could get carried away with it... Just another monitoring process that BOT deals with. It has become more important in light of contracts and professional standards.*

In the present appraisal climate - with the recent announcements of individual five year contracts and professional standards - the research study looked at participant's feelings towards the thought of managing the appraisal process. The research participants showed an air of confidence and also a tinge of uncertainty.

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Table 5.5 conveys two principals' and three chairpersons' feelings towards

managing principal appraisal.

TABLE 5.5

Research participants' feelings towards managing principal appraisal

Principals	Chairpersons/Appraisers
Not a problem. I don't dread it. No surprises. Quite positive and comfortable with it because of the networks and systems in place. But we should not become complacent though. I look forward to it as a positive thing. A chance to focus as to where my energies should go. *I look to the future appraisal with vexation and frustration. I don't fear it personally. I see that the individual contracts and professional standards could become 'scary stuff'. It depends how they are handled by the board. The standards could be viewed as thirty-three bullets that all must be met annually - or down the road.*	*Fine! Happy to put it together. I didn't go, "Oh God! Not that again!"* *It's just part of the job. I'll be more relaxed next time.* *How long it will take to get it smoothly running, with contracts and professional standards now, I don't know.*

How?   *How* refers to the research participants' metamorphic reaction of "How

do we do this ... performance management? ... principal appraisal? ... professional

standards?" The "How?" question, brings the focus of performance management

directly into actionable state in the school setting.

The early introduction of performance management and principal appraisal into

schools was done informally by boards and principals taking the initiative. Some

information or guidance was gained from overseas textbooks, other colleagues or

New Zealand Education Institute handouts. Different appraisal processes were trialled by schools but it was the *Draft National Guidelines - For Performance Management In Schools* (1995) that caused schools to formalise the process.

The action of bringing the principal appraisal process into a school, as a working system, at the earlier time, involved partnership between the principal and the board chairperson. The partnership bond was not precipitated purely as a management function but as part of the abatement of the uncertainty that the total performance management initiatives created.

Partnership has continued as the system evolved to the current situation of the metamorphic stage, evident in the data; the introduction of the Professional Standards document - the new metamorphosis.

The researched principals commented strongly on this document. They sensed changes to the past partnerships with the chairperson and board and their own professional position. The future of the principal appraisal process looks uncertain to some research participants, particularly the principals. Table 5.6 details five principals' and three chairpersons' views on the implications of the new metamorphosis.

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TABLE 5.6

Research participants' reaction to the new metamorphosis

Principals	Chairpersons/Appraisers
Trying to address all the professional standards annually is mission impossible. To insist this will cause it to fall over, or people will get around it in some way, or they won't achieve what they are trying to achieve.	*Standards should work.* *The move to professional standards and contracts will have a major effect on our operating process.*
Vital for the principal to have support now. I see the professional standards, and the competency and assessment issues as threatening and isolating. It's important to identify the needs of a principal early so that it doesn't get to a competency issue.	*Professional standards should not influence our present principal appraisal process too much at all really.*
The professional standards are realistic in a sense. It's a matter of how we deal with them. How picky do you get? Just use the headings.	
I must take principal appraisal more seriously now. It must have something of value in it for me - and not just benefit the school. It's become more personally based.	
This shift is hugely significant to principals and to boards and will change the way in which our boards have worked until now with principals. Changed the dynamics.	

How boards and principals have dealt with a past metamorphosis, after their metamorphic reaction, is the point at which the basic social process enters the third stage, *Adaptation*.

Adaptation

Adaptation refers to the situation when a school makes its principal appraisal process suitable to the Ministry of Education requirements, or, more particularly, to its own conditions and personnel. Adaptation occurs at the school site after:

1. The metamorphosis has been initiated from outside the school and the school is required or chooses to accommodate it; or,

2. After a principal appraisal cycle, when the process is reviewed inside the school and evaluation decisions are made to modify the process.

The research data showed that the adaptation stage has two key sub-stages; the process *Preparation* and the process *In Action.*

1. Preparation.

Preparation happens when the school moves to do something towards organising the people, documents and procedures of principal appraisal into a structure whereby the process can be actioned appropriately to the principal appraisal understandings of the individual school. Preparation involves the key elements of *training* and *writing.*

Training   *Training* refers to the assistance that principals and boards of trustees received prior to implementing the appraisal process. Adaptation began informally when schools undertook their own upskilling initiatives in the early 1990's. Formal adaptation began when the Ministry of Education began assisting school compliance and involvement by establishing facilitators to explain the process to principals and boards. It achieved this by providing, through the facilitators:

1. performance management workshops at centralised locations for principals and board chairpersons and,

2. visits to schools where facilitators discussed school based developments and offered advice.

Although there were mixed comments on the usefulness of the training, the research participants comments below suggest it filled a void in the development of the appraisal process.

Excellent. ...Very valuable. ...

The training facilitators provided the first direct link of partnership from the Ministry of Education to principals and boards. This partnership helped principals and chairpersons abate the fluxion, that was the nature of principal appraisal. Comments from the research participants included:

We have a good understanding and work together well.

Training provided a much needed "lighthouse" and the assurance that the process developments were meeting the requirements. Training also enabled schools to astutely 'fit' the requirements to their own circumstances.

Schools are encouraged to develop and refine a system which best meets their needs, within the parameters of the guidelines (MOE, 1995, p3).

Having undertaken training, formally or informally, the next key element of preparation,*writing,* began.

Writing   *Writing* refers to the preparation of the guiding documents for the principal appraisal process.

The board chairperson and principal, whether they attended performance management workshops or not, were the school site personnel who accepted responsibility to develop the school's documents that would direct the principal appraisal process. The manner in which these documents evolved was different in every school. Examples of the writing evolution are:

    1. (a) Drafted by principal and consultation with chairperson;

       (b) Drafted by chairperson and consultation with principal;

       (c) Drafted collaboratively by principal and chairperson;

    2. Presented to board for consultation and approval.

One principal's account of the writing category was:

> *The 'Job Description' and 'Performance Agreement' was first written up with board involved. This was reviewed in 1995 in light of individual employment contract. Later, after attending MOE workshops, a performance management policy was put in place. Writing the principal appraisal document involved the principal and chairperson holding several meetings to set a timeline. The principal wrote their own document as a draft which was fully discussed with the chairperson and staff rep.*

The writing category also highlights the issue of partnership.

The writing and documentation that was expected to be done as basic foundations or directions for the principal appraisal process to occur were:

       1. The school's Development Plan,

       2. The school's Performance Management Policy,

3. The Principal's Job Description,

4. The Principal's Performance Agreement,

5. The Principal's Annual Appraisal Goals.

During the research study there was a new addition to this list. The addition was

the latest *metamorphosis*, 'Professional Standards' document.

This document was at the *metamorphic reaction* stage of the basic social process

during the research interviews. It had rekindled debate surrounding the purpose

and the process model of principal appraisal; that is, whether the process would

now emphasise assessment or development.

Schools had yet to fully come to terms with how to adapt the professional

standards with their current principal appraisal process. As one principal stated:

> *I'm aware of many principals and boards who have simply stapled the*
> *professional standards on to their existing agreement. They say they*
> *have incorporated them and sent the form off to the Ministry. I won't*
> *do that. I have a model performance agreement that I have been*
> *working on.*

The written documents give a clear direction for the principal appraisal process.

Derived from these directions would come the selected principal appraisal goals

to be the focus of the process *in action.*

2. In Action   *In Action* refers to operating the principal appraisal process in

the school situation. Decisions on the use of personnel and documents in the

process have been previously decided. *In action* is the time to make the process

work.

In action involves the categories *monitoring, contributing, evaluating , reporting,* and *reviewing.* Each category will now be discussed with reference to the data.

Monitoring *Monitoring* refers to the supervision of the principal during the appraisal cycle. The prime means of monitoring was through meetings with the board chairperson, who was, in four cases, also the appraiser. The formal appraisal meetings occurred at the beginning and end of the cycle. Some schools had informal meetings between the principal and appraiser during the process. Some information was collected, in two schools, by the board's staff representative. These staff reps. also approached other staff for contributions to the data. An area that received no attention in the appraisal process was focused observations of the principal 'at work'. The research data shows that the study participants had given little or no thought to this form of monitoring. In fact, there was a lack of understanding as to how observations could be undertaken. Research participants' thoughts on principal observations are recorded in Table 5.7.

TABLE 5.7

Research participants' thoughts on formal observations of principal

1. *Not done directly, but indirectly through school communications, events, and student performances.*

2. *Not formally. Had weekly contact with chairperson.*

3. *Observed through the general running of the school.*

4. *Not seen as a major issue.*

5. *Not sure how this would work.*

No formal observations were taken of such key elements of principalship as leadership style, interactions with pupils or community contact. The thoughts in Table 5.7 suggest that the process of principal appraisal, in the five study schools, focuses on the outcomes of the appraisal goals logged at the final appraisal meeting.

Contributing   Contributing refers to the significant persons' contributing to the process. The principal, through a self review and the appraisal goals, and the chairperson as the appraiser were the main contributors in the five research schools. Two schools also used their board staff representatives. Only one school used an outside person as the appraiser.

The study sought to discover whether the research schools had considered an appraiser other than the chairperson. Table 5.8 shows the responses.

TABLE 5.8

Responses to the question of an appraiser other than the chairperson

Principals	Chairpersons/Appraisers
The chairperson is accepted because of their educational background. Comfortable with chairperson at present. Could use a principal colleague in future. *Could use a dual system of chairperson and outside education person in future.* *Can't see the tandem approach working.*	*It's board policy that the chairperson is the appraiser. If the principal objected, it could be negotiated.* *It's not stated in our policy, but the chairperson exercises the choice of appraiser in consultation with the principal.* *Consideration has been given to use someone other than the chairperson, e.g. another principal.* *Chairperson's choice. I believe every second or third time an independent person should do it.* *Could be a 'struggle' if no board person had experience in education.*

The impression conveyed in these responses is that the use of the generic model of principal appraisal was the easy option. Some reflection by participants showed that the appraiser appointment could change in the future. The advent of Professional Standards may also have some influence on the decision.

Evaluation   *Evaluation* refers to how the achievement of appraisal goals is measured. In the study, the analysis of appraisal data and subsequent evaluation of the principal is directly related to the goals that were set at the beginning of the cycle. The goal statements were varied in nature. Some were task orientated, while others were more global and focused on the general functions of the principal.

The research asked questions of the importance and evidence attached to some key areas within the principal appraisal process. These areas were concerned with leadership and learning and teaching. Tables 5.9 and 5.10 show the participants' responses.

TABLE 5.9

Responses to the importance and evidence of leadership in appraisal

Principals	Chairpersons/Appraisers
Fairly important. Not given it much thought.	*Depends on their style as to how important it should be . In some it's not an issue.*
I think a style of leadership is ground in your personality. It is an important aspect for how the school runs and what people expect to see happening. The principal needs to reflect on their style and as to how successful they are.	*They lead by example.*
	Important, but not a main focus in principal appraisal. The focus should be the appraisal, whatever the style.
	Very important. Personal attributes of getting on with people is 70% of the job.
The whole success of the school	*I don't think you can learn this. You can learn the other stuff.*

"*Principal Appraisal: Fluxion and Abatement*
Strong, N.G.L. (1998). MEdAdmin. Thesis, Massey University.

	relies on the leadership style. It's so vital. A huge umbrella topic.
	Yes it is important now, because of professional standards.
	I need to get more feedback on my leadership.
	Very important. In any situation where you have someone leading, you need someone who can do it.

The responses in Table 5.8 suggest that the research participants have a mixed and somewhat narrow view of leadership and its importance. The researcher believes this topic is too important to the principal appraisal process to be treated in this way. Further discussion on this topic will be presented in chapter six.

Research participants' comments on the importance and evidence of learning and teaching during the principal's appraisal process are presented in Table 5.10.

TABLE 5.10

Responses to the importance and evidence of learning & teaching

Principals	Chairpersons/Appraisers
Only done through school review and systems of tracking we have in place.	*The only true depth on this is through the ERO report.*
In the appraisal report. It came out of the ERO report.	*Learning is hard to gauge without going into classrooms.*
Probably none in the last appraisal.	*Do it by testing.*
Process was not rigorous enough.	*This has got to happen. We are appraising a principal for this very reason.*
Would be of value to do some.	*We have got to get to this end product.*
Little. It's more inference.	

Taken at face value, these comments suggest that the importance and evidence of learning and teaching was an oversight in the last principal appraisal cycle of the

research schools. There is 'at best', an obvious lack of sophistication as to how learning and teaching evidence should be collected and presented in the appraisal process.'At worst', there is a lack of understanding as to how and why it should be done. Schools may need some training as to how to do this and then to implement systems that are meaningful to them.

Reporting   *Reporting* refers to the ways in which the principal appraisal participants manage and deliver the appraisal report. The reporting systems in the research all showed a good deal of partnership between the chairperson/appraiser and the principal. Drafting and writing the final report was always done in consultation. One board chairperson presented the full report to the board to peruse. Other chairpersons kept the actual report confidential but verbally referred to it at a board meeting. All five schools said they kept the report securely on file.

The reporting systems evident in the research are explained by way of the participants' combined statements in Table 5.11.

TABLE 5.11

Combined statements on principal appraisal reporting systems

1. *The interpretations of the data collected for the final report (including recent ERO report data) were negotiated between the principal and the appraisers.*
2. *Similarly the report was collaboratively drafted and then written by the appraisers.*
3. *It was seen, possibly modified, by the principal before signing.*
4. *A summary, via a verbal comment,was given at the board meeting.*
5. *Any discussion was taken 'In Committee".*
6. *There is a privacy issue relating to the principal's appraisal report..*
7. *Copies of, or access to the report is reserved for the board chairperson and the principal. A copy is filed in the school office.*

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The reporting aspect of the principal appraisal process seemed to be well organised in the research schools.

An interesting point in the research was the question of "the life of the report?" This question was met with quizzical replies and evidence that it had been given little thought. Table 5.12 are the combined statements of participants.

TABLE 5.12

Combined responses to: "Life of the Report?"
1. *This could be an issue if the report was negative. Something to think about.*
2. *You raise a heck of an interesting question. I would almost argue for one year.*
3. *I don't know. Could keep past and current one as a reference.*
4. *Not stipulated in policy. Three years? I keep everything.*
5. *We don't have a policy. It could match the contract length.*

The five research schools need to review this issue in a future appraisal cycle.

Reviewing   *Reviewing* refers to the ways in which schools seek improvements in the principal appraisal process. This study revealed that the process has been in a state of continual review since the introduction of *Tomorrow's Schools* (1988). With uncertainty in developing the appraisal process, together with additional innovations, research schools have constantly moved to abate the 'new' situation.

Reviewing has been the prime task of the principal and board chairperson with the board later giving its approval. The *reviewing* over recent years has been caused by both external and internal innovations. Table 5.13 lists statements from both principals and chairpersons that give an insight into what has been of concern in

reviewing in recent years.

TABLE 5.13

Responses to Reviewing the principal appraisal process

1. *The performance management policy has been reviewed. I expect the new board to implement a new system of principal appraisal.*
2. *We modified the process in line with "PMS 4". It involves a considerable demand on time.*
3. *The new PM policy is written in line with the new professional standards. We attempted to simplify the process at the same time.*
4. *We tied the policy to (1) the principal's job description, (2) the NAG's and, (3) the professional standards.*
5. *We set a timeframe for regular meetings during the process /year.*
6. *We could invite a principal colleague into the process in 1999.*
7. *Final meeting will include all three; Chairperson, principal, and the educational colleague.*

These statements highlight the on-going *fluxion* state of principal appraisal. The statements also show the varied nature of the external and internal influences on the appraisal process. *Reviewing* allows the appraisal reviewers to bring a sense of stability to the appraisal process.

At this point the basic social process enters the fourth stage, *palatableness.*

Palatableness

In the *palatableness* stage, the principal appraisal process is acceptable to the mind and feelings of those directly involved: the principal, the board chairperson and the board of trustees. They are in a comfort zone and have a sense that 'the process works here'; that is, the process they follow satisfies both the MOE's external requirements and internal school objectives. The research data indicates

that the *palatableness* stage has never been formally reached in the research schools. Schools have been continually "stuck" in *adaptation.* One principal reasoned this situation as, *the goal posts keep moving.* The 'goal posts' referred to here are the external metamorphosis.

It also appears that the *palatableness* stage may not be reached in the near future. Table 5.14 shows that the latest metamorphosis, professional standards, is the reason for this uncertainty.

TABLE 5.14

Comments on the likelihood of reaching Palatableness stage soon.

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1. *Once we have the process running smoothly, it's going to have to be put in perspective. And in the next few years that won't happen. How long that will take, I don't know.*
2. *Nobody knows how it works .*
3. *Use the documents, and checklists - a list of criteria that have been preset and agreed on - tick off and date.*
4. *I hope the guidelines on professional standards will become a little more user friendly, so we appraisers can feel confident in doing it ourselves.*
5. *Hopefully there will be some sort of 'tool' to make it a lot easier.*
6. *Wouldn't it be nice if we had a tick box system.*
7. *There will have to be tick boxes during the course of the year.*

The basic social process for principal appraisal has never settled in the *palatableness* stage. The research shows that with the *metamorphosis* stage continually being activated, the basic social process has been bypassing the *palatableness* stage and flowing from *metamorphosis* to *metamorphic reaction* to *adaptation* and then on to *metamorphosis* again. It is the *palatableness* stage that both principals and chairpersons jointly need to reach for internal consolidation of the process.

Having reached the palatableness stage does not mean that there are no future changes ever happening in the principal appraisal process; quite the contrary. The changes in this stage are also consistent with a school 'reviewing' itself and becoming more effective.

The inability of the principal appraisal process to formally reach the *palatableness* stage, in the five research schools to date, further substantiates the theory of *fluxion and abatement*.

Fluxion and Abatement:
A theory of principal appraisal evolution

This section presents the theoretical explanation from integration and interpretatioi of the data from the study. The descriptive categories of the basic social process are presented and compared in order to identify a core category. As recommende by Chenitz and Swanson (1986, p94), the researcher asked questions of the data which enabled identification of a category which explained the major action. Suc 'major action', or core category, recurs frequently and links and explains variatio in the data (Ibid, p98).

Reflecting on these criteria, the four categories (*metamorphosis, metamorphic reaction, adaptation* and *palatableness*) were examined and compared. **Fluxion and Abatement** was identified as the core category because, as a theme, it recurred frequently in the data, it made a link between the categories it enabled an explanation for variation between the four categories.

Fluxion refers to the continuous change that has been the nature of principal appraisal since it was introduced into the five research schools. The Literature Review identifies and discusses the official germination of the appraisal concept in 'Tomorrow's Schools' (1988, p12).

Abatement refers to the action of the board of trustees, the board chairperson and, particularly, the principal's attempts to reduce the intensity of effect of the macro principal appraisal changes taking place. It was a desire to stabilise the principal appraisal process and have it working dynamically and smoothly in the school. 'To stabilise' means that any changes in the process occur in an on-going predictable environment. In essence, such changes are occurring through internal review of the process or through evolving changes in the personnel.

Fluxion and abatement is the core category explained through a basic social process which evolves from the four categories. The categories, as they emerged from the data, revealed the vacillating nature of the principal appraisal process in terms of the process requirements, both externally and internally. The categories also revealed the action of abatement, towards the requirements, by the personn involved in the appraisal process. One principal described their experiences as:

> *I'm always looking to improve but feel that as improvements are made new demands replace them.*

Although *fluxion and abatement* is the core category, two other categories encapsulated in it are *uncertainty* and *partnership*. *Fluxion* exacerbates *uncert* and the corollary, *abatement*, engenders *partnership*. The data showed that

uncertainty manifested itself at the appearance of a metamorphosis when the principal appraisal personnel were unsure how to cope with the change. *Partnership* manifested itself when principals and chairpersons/appraisers collaborated to adapt the appraisal process to the requirements.

In summary, the *fluxion and abatement* theory explains the many external innovations in principal appraisal that have been the "drip-fed" requirements from the Ministry of Education. The theory also explains the many internal changes which boards of trustees have made because of their own school circumstances.

The four descriptive categories of the basic social process are now explained in relation to the fluxion and abatement theory.

Metamorphosis: Fluxion and abatement

Analysis and reflection on the data identified the significance of the introduction of the formally unknown practice of principal appraisal in the five research schools. The main category, *metamorphosis,* has not been a one-off event. Instead the *metamorphosis* category explains the state of flux in which principal appraisal has been over the last ten years. This category isolates and explains both the macro-external sub-categories, over which schools have had no influence, as well as the micro-internal sub-categories over which each school has had major influence. The data reveals that aspects of the micro influences have enabled the study schools to abate the macro influences. *Fluxion and abatement* operates as a basic social process throughout the interactions which make up the macro and micro influences of *metamorphosis.*

The Government and Ministry of Education have been the instruments of principal appraisal introduction. These bodies have brought the on-going macro aspects of principal appraisal to the schools for implementation. All New Zealand schools have been required to respond to the national initiatives with their own local developments. The flexibility, allowed by Government, within these local developments, has enabled schools to take ownership of their principal appraisal process and, thereby, to abate some of the fluxion caused by *metamorphosis*. The abatement is achieved with schools writing their own policies and documents on principal appraisal and choosing how the process will work in the respective school, including the choice of appraiser. *Fluxion and abatement* is a basic social process which influences and determines the type of principal appraisal process a school will develop because of the category *metamorphosis*.

Metamorphic Reaction: Fluxion and abatement

Like *metamorphosis, metamorphic reaction* is a main category. It is concerned with the mental response of the principal appraisal participants, rather than the practical events, to the current *metamorphosis* stimulus. *Fluxion and abatement* explain two features of *metamorphic reaction*. The first feature deals with the initial time of mental questioning of *metamorphosis* by the appraisal participants. At this time, the appraisal participants are uncertain about *metamorphosis* and in a mental state of flux. The five *metamorphic reaction* questions asked of *metamorphosis* are:

1. What is the purpose of it?
2. What is the value of it?
3. What is the role of it?
4. What is its status to be?
5. How is it to be implemented?

The second feature deals with a secondary time of mental answering. At this time the appraisal participants are grappling with *metamorphosis* and in a mental state of abatement. The participants are pondering how to cope with the *metamorphosis*. They are mentally thinking of possible strategies and solutions.

Adaptation: Fluxion and abatement

The data and description given in the earlier 'findings' section on *adaptation* illustrated ways in which the research schools had devised their own systems to make *metamorphosis* suitable to the stipulated requirements. The sub-categories, identified by the research participants, which form the category *adaptation* are *preparation* and *in action*. The research participants displayed uncertainty, at the national level, as to what exactly to do to address the fluxion state of principal appraisal. This uncertainty was alleviated through some form of upskilling or *preparation*. This *preparation* took the form of training followed by policy and document *writing*. The *training* may have been undertaken in many ways but the most significant training was via workshops delivered by facilitators acting as agents for the Ministry of Education. Research participants stated that appraisal terms and expectations were well explained. The workshops and other school site facilitator meetings were usually attended by both the research school's principal and chairperson/appraiser. These joint attendances helped form a partnership between the research participants which enabled the *writing* stage to be dealt with more easily. The *writing* stage also became a time of abatement as concrete items such as policies and documents took shape. The next step was to action the process.

The sub-category *in action* deals with actioning the principal appraisal process. In its initial form, or after significant *metamorphosis,* the process is in a state of flux. The process is untried and the appraisal participants are still uncertain of their role, as well as the end results. The data highlighted that, by proceeding through the sub-categories of *in action, (monitoring, contributing, evaluating, reporting* and *reviewing)* the participants abated their own uncertainty about the process. If no new *metamorphosis* was imminent, then the *palatableness* stage of the basic social process was entered. For all of the research participants, *palatableness* had never been formally achieved.

Palatableness: Fluxion and abatement

The research participants revealed a desire to have the principal appraisal process "flowing smoothly"; that is, to have the process operating acceptably to the minds and feelings of the appraisal participants. It would be a state where the participants hold the belief that 'the process works here'; makes an important contribution to the running of the school. This state is explained by the main category *palatableness.* Unlike the other three stages of the basic social process, *palatableness* has yet to be satisfactorily attained. The significance of attaining *palatableness* is that it would give the research schools a sense of comfort with the principal appraisal process and its outcomes.

Since the *palatableness* stage was not attained in the research schools, the researcher has had to glean from the data the meaningful outcomes this stage could have. The data revealed the strong desire for evidence of effective learning

and teaching. There was also the demand that principals demonstrate 'a finger on the pulse' of many educational aspects: the staff, students, new educational innovations, leadership style and school management. In reference to these issues one chairperson/appraiser pointedly said that "We are appraising the principal for this very reason". Another chairperson/appraiser's comment made reference to the fact that principal appraisal achievements must flow to the students so that their education is enhanced. The researcher has interpreted the above statements as a demand that the principal appraisal process demonstrates that not only is the principal effective but also that the school is, as well. The *palatableness* stage, therefore, has a category called *school effectiveness*. The sub-categories involved with *school effectiveness* are: *leadership, management, school systems, learning* and *teaching*. The desire is that all of these sub-categories operate effectively in terms that are acceptable to the appraisal participants and the five boards of trustees. When such 'effectiveness' has been reached in a cycle of the principal appraisal process, the *palatableness* stage will have been attained.

The *fluxion and abatement* theory explains the on-going evolutionary nature of a principal appraisal process in five New Zealand schools. The theory discusses the national and local influences in this evolution and how the study schools have adapted to them. The theory also describes what constitutes a palatable principal appraisal process.

DISCUSSION AND RECOMMENDATIONS

The discussion of the results of this study acknowledges that the

principal appraisal process is still evolving in the five schools. This

evolution is likely to take some time, possibly years, before the

process reaches a smooth running state.

This chapter begins with a summary of the research findings. Next, is

a summary of the research theory: Fluxion and abatement. Following

this are two discussions of the theory's implications for, one, the

principal appraisal process and, two, school effectiveness. The final

sections cover the limitations of this study, possibilities for further

research and a concluding statement.

The Research into Principal Appraisal

This study has focused on the practice of principal appraisal in five New Zealand

schools. The principal appraisal process relates to the principal's key professional

responsibilities and key performance areas (MUCE, 1997, p8).

The findings have provided an insight into the evolution of the principal

appraisal process and the implications and meanings this evolution has had on the

appraisal participants. The research data and its meanings went beyond a finite

look at managing one principal appraisal cycle. Specifically, the data have shown

that much of the principal appraisal meanings relate to coping and adapting to the

continual macro changes, to the principal appraisal requirements, of the Ministry of

Education. The acts of coping and adapting have also occurred at a micro level within each school to meet their own circumstances.

With the questionnaires and interviews being semi-structured, the research participants often moved from discussing the management of the principal appraisal process to discussing the implications it had for the concepts of principalship and school effectiveness. This discussion broadened the issues in the data and highlighted the importance the research participants brought to the process. The broadened discussion in the data also provided the researcher the scope to develop a richer theory.

The data enabled the identification of conceptual categories about the principal appraisal evolution. These categories began with the way principal appraisal has evolved gradually within each of the five schools. Each developmental increment has had an impact on the appraisal participants and appraisal process. The impact had necessitated some adaptation, of both personnel and process, to the new requirement. By making the new requirement suitable to the local situation, the principal appraisal process becomes acceptable and effective for the participants and the school.

The new administration requirement for the appraisal of principals has been an evolutionary struggle. This evolutionary struggle has manifested itself in this research study as the theory of *fluxion and abatement.*

Fluxion and Abatement: The Theory

Fluxion and abatement refers to the state of flux of the principal appraisal process and the appraisal participants' actions to decrease this state, since the introduction of the educational reforms of *Tomorrow's Schools* (1988).

Fluxion and abatement ,as a theoretical model, links all the concepts that describe aspects of the evolution of principal appraisal in five New Zealand schools. *Fluxion and abatement* as an emerging theory provides understanding and explanation for both the meaning and interpretation principals and their appraisers - board chairpersons - attach to the appraisal process, and the direction it appears to be taking. The theory is explained by way of a basic social process of four stages: *metamorphosis, metamorphic reaction, adaptation* and *palatableness.* Although some aspects of the process have at times been at the *palatableness* stage, this is certainly not the case for the whole process. The research data strongly suggests that the *palatableness* stage is some time off yet.

There is still much process *adaptation* to be done. This is mainly in regard to the *metamorphosis* recently introduced: professional standards. Other issues needing *adaptation* are individual principal contracts and supplementary management grants. Aside from technically managing *adaptation* of the above issues into the process itself, there is still the participants' *metamorphic reactions,* or concerns, about the outcomes of the new *metamorphosis.* The data revealed that these concerns are about the effect it will have on principalship, school effectiveness and the future of the current principal.

The study discovered much variation and instability within all parts of the five schools' principal appraisal process. The depth at which the process has been worked is being reviewed. Capturing some attention of the appraisal participants are areas other than management areas. The data indicates more concerted effort should be levelled at the areas of leadership and teaching and learning within the principal appraisal process. Hopkins (1994b, p35) also reported a similar situation when reviewing the Kent County Schools in Britain.

> These variations are especially apparent when appraisal is considered in the context of school management generally. In some (a minority) schools appraisal is closely linked with school development planning and whole school improvement - in many its impact seems reduced by the lack of co-ordination and direction. This may, in part, be due to the relatively poorly developed processes for institutional planning in many schools.

It is of interest to cite the thesis of Irons (1994) who treated the appraisal topic as "A potential site of conflict". Irons considered that the potential for conflict was in the purpose of appraisal. Was appraisal to be used to develop or control teachers? (Ibid, p108). Although there is an element of a similar conflict in this current study, the main conflict, evident in the data, is more to do with making the principal appraisal process work and reach the *palatableness* stage.

The study data indicates that the desire to reach the *palatableness* stage is the underlying drive of principal appraisal in schools at present. The desire is derived from some frustration to get the process into a stable working state. One principal stated this desire as, 'for the goal posts to stay still'. The data also explains why the superficial managerial aspects tend to feature as the criteria for evaluating the

principal and also the process (Stewart & Prebble,1993, p185). Whether the introduction of professional standards will assist or hinder the participants' desire for stability in the principal appraisal process and its outcomes remains to be seen.

Implications for the Principal Appraisal Process

The educational administration reforms, together with appraisal *metamorphosis* announced in 1988, were introduced to "sharpen" all areas of education administration. New Zealand was following the overseas trend in seeking to improve the quality of schools.

> The new focus on quality which was signalled in the 'Tomorrow's Schools' reforms in New Zealand (1988) sharpened the emphasis on staff performance. This is an international trend: similar reforms of educational administration systems in Canada, North America, Britain and Australia have spotlighted performance management, and performance appraisal in particular, as a means of improving the quality of schools (Cardno,et. al. 1997, p9).

Principals , like teachers, were expected to participate in the new trend. Principal appraisal was to be the means to sharpen the principal's performance and the effectiveness of the school to deliver quality education. The additional *metamorphosis'* of 'Draft National Guidelines' (1995), 'Performance Management Systems' series (1997) and 'Interim Professional Standards', have continued to seek the same goals.

Natural *metamorphic reactions* of concern and uncertainty were felt by the prospective appraisal participants with each additional *metamorphosis*. Some assurance of professional status was sought.

Principals are likely to feel vulnerable if they are not fully involved in
negotiating every aspect of the appraisal process. They will be
understandably wary of any appraisal system that is poorly defined
(Stewart & Prebble, 1993, p185).

Principals were given opportunities to be involved in negotiating the development

of the appraisal process. Principals, in partnership with their board of trustees

chairperson, undertook preparation for the implementation of principal appraisal in

the school. The significant preparations were Ministry of Education training, via

facilitators, and writing the necessary documents for their schools. These collegial

acts of preparation kept the school site developments of the appraisal process

transparent for the appraisal participants.

> ... teaching is a messy, complex activity ... If appraisal is to be effective
> it should be collegial and informal, involving participation, teacher
> control of the process and transparency (Neville, 1997, p91).

In *adapting* and implementing an appraisal system for principals, the board of

trustees (BOT) must seek a credible and rigorous format. The format should

include a mix of accountability and development goals. The board must seek some

assurance from the principal that their leadership and management of the school

is delivering quality teaching and learning. The board also needs to support the

principal in these expectations through professional development opportunities

and encouragement.

> The intent of appraisal is two-fold. Firstly, it is intended to secure the
> accountability of the principal for leading and managing the quality of
> teaching (and learning) in the school. Secondly, it has a
> developmental orientation which enables the identification and
> improvement of aspects of performance. ... The board should be
> aware of its responsibility to support the principal in performing the

leadership and management role effectively and efficiently (Cardno et. al., 1997, pp148-149).

To support the principal in their role of principalship and through the appraisal process will require some training, especially by the board chairperson/appraiser. This training becomes even more important if the appraiser comes from a 'non-educational' background. The training should focus on three specific areas:

1. Nature of the job of principal.

2. Purpose and implementation of the principal appraisal process,

3. Mentoring.

For the 'nature of the job', the chairperson/appraiser needs an understanding of Ministry of Education requirements, industrial contracts, school policies, school organisation and procedures, curriculum documents, learning and teaching theory and leadership. For the second area, the chairperson/appraiser needs to rationally understand why they are doing the appraisal system and have expectations of it. They also need the skill to manage the process. The third area, mentoring, requires a person to promote the welfare and development of the principal. This would add a caring supportive dimension to the process. "In effect (appraisal) is a process of professional development with expert assistance provided by a mentor" (Cardno et. al.,1997, p107).

If the board chairperson is unable or unwilling to do these principal support functions then a 'specialist' educational colleague should be invited; possibly another school principal. A 'specialist' paired with a chairperson could be the start point to upskill the latter. With such training, appraisers are better able to prepare,

action and monitor the appraisal process.

The act of *monitoring* the process has had at its foundation the school's guiding
performance management documents, which include:

1. The school's Development Plan

2. The school's Performance Management Policy

3. The Principal's Job Description

4. The Principal's Performance Agreement

5. The Principal's Annual Appraisal Goals.

The 'Interim Professional Standards' document now has to be added to this list.

Monitoring also includes other key aspects; people, observations, data collection
and evaluation. The schoolwide functions of leadership and management
necessitate an added dimension to principal appraisal to that of teachers. How
these functions are treated in the appraisal process will determine the credibility of
the process.

> The key to successful appraisal of the principal's management tasks
> lies in the attention given to three matters:
>
> 1. The preparation of performance expectation documents because
>   these act as the foundation for appraisal processes;
> 2. The decisions made in reaction to inviting key people to contribute
>   data about the achievement of specific management objectives;
> 3. The board's own observation of the effectiveness of the tasks the
>   principal performs in relation to the chief executive role, including
>   informing and advising the board and formal reporting (Cardno et.
>   al., 1997, p173).

The final appraisal report addresses the accountability of management and

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performance as well as future principal development actions. The report

preparation should be a collegial activity between the principal and their appraiser

and cover certain points. The principal should receive due commendation and be

informed of areas of concern. Any factors affecting the latter should be clearly

stated. The results of personal development should be described.

Recommendations for the future in terms of school or principal development should

be explained. The board should be given notice of the report in a general way at a

meeting to protect the principal's privacy. If necessary, discussion should be

taken 'in committee'.

> An appraisal report must be prepared and discussed in consultation
> with the principal. A brief report detailing the conclusions of the
> appraisal interview should be recorded and approved by the principal
> and chairperson. This report *could be* tabled and discussed (in
> committee) at a board meeting.
>
> Headings used in such summary reports might be:
> * Commendation on Performance;
> * Concerns Related to Performance;
> * Note of Contingencies or Factors Affecting Performance;
> * Recommendations for the future; and
> * Outcomes of Personal Development Objectives.
> (PMS 3, 1997, p9).

The 'life' of a principal's appraisal report is not discussed in the Ministry of

Education documents. The researcher's suggestion of fifteen months is also the

British requirement.

> It is a legal requirement for a headteacher to keep the appraisal
> statement until at least three months after the next statement has been
> finalised. This is to allow sufficient time for the appraisee to lodge a
> complaint about the second appraisal, should this be considered
> necessary, and for the appointed review officers to investigate it, with
> the added advantage of having access to two appraisal statements

(Gane and Morgan, 1992, pp119-120).

With the data showing the instability of principal appraisal at present, *reviewing* the process should be done annually for the next three years. In later years, this could become every second year. The Ministry of Education document PMS 1(1997,p12) suggests biennial appraisal and provide a checklist of seven principles (Ibid, p8).

The data revealed that appraisal offers principals the opportunity to plan their immediate future emphasis, both personally and schoolwide, as well as looking towards enhancing their prospects for promotion. As Gane and Morgan (1992, p174) comment, "It is now accepted that it is often much more effective to help individuals to develop their expertise within the context of their own place of work".

On the other hand, the data revealed that principal appraisal offers the board of trustees the opportunity for assurance, that the principal is delivering management, leadership and teaching and learning outcomes that result in an effective school.

Implications for School Effectiveness

In chapter five of this thesis, the researcher explained an interpretation of the data for the *palatableness* stage. The interpretation goes beyond a school simply claiming the management satisfaction of, 'our principal appraisal process works here'. The interpretation also addresses the question of 'Where is the evidence in the school?'. The answer is to be couched in terms of school effectiveness.

School effectiveness is centred around those internal school features that make a

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difference to student progress (Hopkins, Ainscow, West,1994a, p43). In seeking to

achieve school effectiveness, the principal might well look at their own mode of

behaviour. The first priority is to question their own leadership and the emphasis

they give to teaching and learning.

> The key objective for the principal should be to provide leadership,
> direction and vision for this developing learning community. Of course
> it is also important to manage the day-to-day affairs of the school, but
> these managerial activities should be seen as expressions of this
> leadership role rather than as ends in themselves. It is more important
> that the principal should be able to think about teaching, to reflect
> about the pedagogy in practice in the institution and to promote a
> vision of how teaching and learning can develop more effectively in
> the whole community (Stewart & Prebble, 1993, p187).

Care must be taken to see that principals are not emphasising the doing of

activities in the right way at the expense of doing the right activities

(Sergiovanni, 1992, p4). In a school that bases its operation on an educative

model - as different from a managerial or social model - the students' welfare come

first in a form of moral authority and moral leadership (Ibid, p10).

What *is* motivating principals in their leadership? Is it, that only what gets rewarded

gets done? (Ibid, p20). This fear is expressed by principals in the research study.

The fear is that the impact of the professional standards and supplementary grant

payments will discolour the way the principal operates. It will narrow the job of

principalship.

> ... what gets rewarded often gets done. The reverse is also likely to be
> true: what does not get rewarded does not get done... narrows one's
> response to work (Ibid, p24).

The 'danger' is that this 'narrowing' of the job is exactly what could happen in the new, ensuing principal appraisal model developed after the *metamorphosis* of professional standards, especially, but embellished by a principal's five year contract and supplementary grant. The research participants had little problem with the intent of the professional standards document (1998, April).

> The Professional Standards for Principals will help ensure that schools are led and managed by high quality professionals. (They) identify the important knowledge, skills and attitudes that are required of an effective principal. (They) also provide a focus for planning the professional development of principals (Interim Professional Standards for Primary, Secondary and Area School Principals: Consultation Document, 1998, pp3-4).

There is a problem with what is not written in the document. What is missing is any form of focus on the ideas of collaboration or collegiality or even a meaningful understanding of the term leadership. Such oversight could be excused with the reason that it is in keeping with the philosophical flexibility of *Tomorrow's Schools* (1988). Such oversight, commented two research participants, could also further marginalise and isolate the principalship role.

What needs to be asked is, "What focus will the appraisal model take?" The research shows that principals have a sense of discomfort with the above *metamorphosis* developments and the changing dynamics it will bring to principal appraisal. There is also an expression of self preservation, as two principals stated, "there has to be something in it for me".

The individualistic focus, of the new *metamorphosis*, on managerial practices must be abated and, in an educational manner, resisted by principals and chairpersons

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within the principal appraisal process. The participants in the appraisal process

must seek to promote the 'moral authority and moral leadership' that Sergiovanni

(1992) discusses, and work within a collegial system. The challenges facing

schools today will be best met through a vibrant collaborative working atmosphere.

This vibrancy should extend into principal appraisal. As Sergiovanni (Ibid, p73)

claims, "in successful schools, consensus runs deep". This form of 'consensus'

leadership also develops "followership" (Ibid, pp67-85). 'Followership' works

 through collective purposes and goal directions. When gaining this general

commitment and participation of staff to a shared culture is of major concern to the

principal, they enter the realm of the transformational leader (Stewart & Prebble,

1993, p252). Other writers (Fullan, 1992; Leithwood, 1992; & Segiovanni, 1995)

are also calling for this style of leadership to revamp educational leadership.

> The transformational leader ... does not just attempt to meet the goals
> of followers, but tries in fact to transform them, to raise them to a
> different and higher level. The leader in effect challenges the
> followers to meet goals that the followers, and sometimes the leader,
> never even dreamed about. The transforming leader is, in Burns'
> words (1978, 455), "moral but not moralistic (Foster, 1986, p179).

It is this form of leadership style that will enable principals and supporting

chairpersons to bring the principal appraisal process into a dynamic working

system that improves school effectiveness.

> One outcome from this increasing emphasis on the links between
> school effectiveness and leadership as a process variable is the
> growing recognition that a school that looks to the headteacher as the
> single source of direction and inspiration is severely constrained. It is
> dependent on a single individual's supply of intellectual, emotional
> and physical energy - it is restricted by a single imagination. But often
> school structures reinforce this somewhat limited view, confusing
> what is essentially a hierarchy of roles with the real distribution of

knowledge and skills. We believe that research into effective schools
provides clear evidence that challenging this traditional order and
promoting a more dynamic and decentralised approach to leadership
have often been associated with school improvement (Hopkins, et. al.,
1994b, p155).

This form of school effectiveness - through transformational leadership - still sees

the principal with their 'thumb on the pulse' of the school, which was a demand of

one board chairperson in the research. The difference with the 'thumb' position

here, to continue the analogy, is that the pressure is not top-down. Instead, it works

to empower others to be creative, to take responsibility, and supports them to

improve their way forward. This transformational leadership style enables school

effectiveness to be realised in a way that benefits all participants and especially

learners.

Relationships in a transformational school emphasise collaboration
and interdependence. A commitment to improvement in teaching and
learning will be at the heart of all activity (Stewart & Prebble, 1993,
pp256-260).

The research highlighted the lack of sophisticated systems for tracking student

learning. Principals need to re-focus their energies on student learning and

improvement. If need be, the 'bricks 'n mortar' should be delegated to board

members and caretakers so that this issue gets the attention it deserves. Principals

should create tracking systems that identify individual successes and weaknesses

across all learning areas. It is via such tracking systems that school effectiveness

can be verified and improved. Tracking student learning enables each student to

reach their maximum learning potential.

To reach this 'maximum', particularly for students, requires schools to enter into school improvement or school development processes (Hopkins, et. al.,1994b; Stewart & Prebble, 1993). It is not about doing things right, but about doing the right things (Sergiovanni, 1992, p4). It is also about being a leader that inspires others - being transformational (Leithwood, 1992; Fullan, 1992; Sergiovanni, 1992, 1995). Finally, it is about injecting some verifiable credibility back into the "logic of confidence" (Meyer & Rowan, 1978, p101) that the community has in the schooling system here in New Zealand. Engendering the belief that, 'The school *is* effective'. The principal appraisal process is, now, one of the systems in which these outcomes can be promoted. This opportunity must be taken and used wisely.

Limitations of the Study

The researcher began this study with some experience with appraisal practice for teachers in schools. This gave rise to preconceptions about appraisal practice for principals. Whereas a quantitative study exercises some control on such preconceptions, a qualitative researcher documents his/her preconceptions as a means of openness and to identify the effects such preconceptions have on the study findings.

The researcher, with some ten years in senior management in schools, has had seven years experience conducting staff appraisals as well as being personally appraised. During these appraisals both the assessment and development models of the appraisal process have been used.

The researcher has always had a healthy acceptance of the appraisal purpose. What has been of concern, to the researcher in the past, is that some of the appraisal systems implemented have achieved little of the expectations of the performance management requirements. In these particular cases, the researcher has witnessed little evidence of any accrued benefits for teachers, teaching programmes or student learning. This is not to say that such expectations or benefits are not possible. Instead, it says more about the workings of the particular school culture and how the appraisal process is managed.

These concerns were only partially confirmed in the research findings. Three of the five schools, in their last appraisal cycle, had implemented a process that constituted formally written goals in a partnership setting of principal and board chairperson. These goals and subsequent achievements were later spelt out in a formally written report. Two of these reports addressed all of the principal's functions and had an 'air' of school review approach. The other report had selected three prime goals and it stipulated the criteria on which they would be judged. In all reported sections they were couched in general broad statements or task achievement.

Such documents were evidence of the *fluxion and abatement* states the relative schools had reached, with principal appraisal, at the time of the study.

Because the researcher knew all the research principals, but none of the board chairperson-appraisers, in the study, it could be viewed as a limitation in that some participants may be reluctant to declare 'truths' to a known colleague. The researcher believes that the opposite scenario was the outcome. Two reasons are

offered for this viewpoint. Firstly, three principals who were invited to participate in the study declined. One principal, who was well known to the researcher, would have made himself available if the researcher had been unable to gain the minimum number of required schools. Of the other two principals, one I had met and the other was unknown. Secondly, one of the principals who accepted summed up their willingness to participate by saying: "I'm only doing this because I know you". At no time was the researcher aware that the data collection methods were impeded or compromised because of the 'professional friendships'.

Being a researcher in one's own professional context could also be viewed as a limitation. While there is a risk of bias associated with any 'insider' research, this was counteracted by selecting schools and principals with which the researcher had never professionally served. Christensen (1990, p234) notes that this dual role of the researcher "is a viable one that can be exercised in a study using the grounded theory approach".

Limitations in time and data collection methods could restrict the development of grounded theory. The time input of the research participants was very much a variant of how they responded to the questions. This variance occurred by way of the amount of information written on the questionnaire and the amount of response time given to the interview questions. At no time did the researcher attempt to curtail a research participant's answer or additional comments.

The study's uniqueness mitigates against it being replicated. It is possible that, by selecting the same topic and following similar research approaches, another

researcher could identify similar events, patterns or categories. Others can further explore and refine the theory and use the methods.

Implications for Further Research

The grounded theory research design has the power to generate theory from circumstances that may only be peculiar to the research study setting. Therefore the theory may not be generalisable to changes in the research setting or to other settings.

The theory of *fluxion and abatement* has highlighted the on-going *metamorphosis* of the principal appraisal process and the desire for the stability of the *palatableness* stage. Of present concern is the introduction of professional standards, five year contracts and supplementary grants. Further research studies could seek to identify the impact these areas have on the theory and/or the principal appraisal process.

Another area of study that the findings showed could impact on the principal appraisal process is the introduction of 'outside' appraisers working in either a solo or tandem way. Only one school had used an 'outside' appraiser but all said they were open to this idea, or with pairing them with the chairperson.

The smallness of the study, five schools, its confinement to experienced primary school principals and its restriction geographically, all indicate areas of further study or test of the theory.

The findings of the study identified a basic individualised approach to principal appraisal. The Ministry of Education's PMS 3 document promotes this approach. Other literature (Stewart & Prebble, 1993) promote a school review approach. Schools that develop this latter approach would be interesting sites to study and test the theory.

A contentious issue within the research findings was the debate as to which model of appraisal, assessment model or developmental model, will emerge to dominate the process. This suggests another area worthy of future study.

Concluding Statement

In this study, a grounded theory approach was used to generate a conceptual framework of what is presently happening within the principal appraisal process in five New Zealand schools. The study has exposed the unwritten but on-going conceptual meanings and understandings of *fluxion and abatement* within the process. A comparison with the relevant literature available reveals other countries have also been developing teacher and principal appraisal systems over the last two decades.

The study shows that principal appraisal has tended to follow the generic format of the Ministry of Education until now. This could change with the *metamorphosis* of professional standards, supplementary management grants and five year contracts. The flexibility of the performance management requirements may be experimented with by boards of trustees seeking to be more effective in what they

do with the principal appraisal process.

The discussion of the findings suggested that the *palatableness* stage of the principal appraisal process has yet to be formally reached and may be a few years away. In reaching the *palatableness* stage the school demonstrates a smooth running principal appraisal process and how this process contributes to the achievement of school effectiveness.

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Massey Letterhead

14 April 1998

The Principal
............School
....
....

Dear Sir/Madam,

I am writing to invite your assistance with research I am undertaking this year. The research is titled,

What is happening with appraisal of school principals
in a small selection of New Zealand schools?

INFORMATION

This research topic has been selected as a thesis study because of its current interest and as a partial fulfilment of the requirements for the degree of Master of Educational Administration at Massey University.

This study will add to the small amount of research on the topic as well as giving a New Zealand perspective. These outcomes could make a valuable contribution to the appraisal process and leadership development of principals. Furthermore, as a participant the heightened awareness you gain from involvement in the research could benefit you professionally.

The Research is concerned with the principal appraisal *process.*
Throughout the research sensitivity will be exercised with the information received. There will be no direct judgments of people, their performance, or the school in the research findings. Instead the write-up will relate a theory of what is happening.

The research will involve the school's Principal, the principal's appraiser(s) and the Board Chairperson. I would like to retain the flexibility to involve other people (e.g. school trustees, others consulted in the appraisal process) if their involvement should prove useful as the research proceeds. All participants and the schools involved will remain anonymous and confidentiality will be protected in any research findings and subsequent publications. With a small sample of well known educators and community figures, total confidentiality and anonymity may not be guaranteed.

Once the Principal and Board of Trustees have consented to the Research all participants would be invited to be involved in the following ways:

    1. An initial questionnaire on the school's principal appraisal process to be completed separately by the Principal and Board Chairperson.

2. The Principal and their appraiser(s) will have at least one private interview with the researcher on the topic. This will be approximately one hour. These interviews, with participants' consent, will be audio-taped for ensuring the accuracy and reliability of research information and for referencing. Any transcribing by a research assistant will take place only after that person has signed a confidentiality agreement.

3. Discussion and supply of documents used as recording instruments and any other relevant resources.

I accept that appraisal is a personal and sensitive issue to all those involved. I guarantee each person's privacy, the confidentiality of information and the security of data. Participants have the right:

* *to decline to participate at any time.*

* *to refuse to answer any particular questions.*

* *to withdraw from the study at any time.*

* *to ask any questions about the study during participation.*

* *to provide information on the understanding that personal names will not be used unless written permission is given.*

* *to have the audio-tape turned off at any time.*

* *to be given the opportunity to edit their interviews.*

* *to be given access to a summary of the findings of the research on conclusion.*

If you have any concerns about this research you may contact my chief supervisor, Associate Professor Wayne Edwards at Massey University, (06) 351 3368 or my assistant supervisor Dr. Jenny Poskitt, (06) 357 9104, also at Massey.

I shall ring the school in a few days to discuss this further.

Yours sincerely

Neville G.L. Strong

copy also to: Chairperson BOT.

PRE-INTERVIEW QUESTIONNAIRE

Research Title: *What is happening with appraisal of school principals in a small selection of New Zealand schools?*

ALL INFORMATION SUPPLIED IS CONFIDENTIAL

NAME _____ SCHOOL _____

Principal/Chairperson BOT/Appraiser
(circle one)
Please use the back of the sheet if more room is required. Number the item.

1. Please explain how the Principal and Board of Trustees were involved with writing the Principal Appraisal Process for this school.

_____

_____

_____

_____

_____

_____

_____

2. Please explain what 'outside' assistance was used or sought. (Assistance could refer to: people, texts, Ministry of Education requirements, workshops, meetings, documents, seminars, conferences, demonstrations, advice, or other.)

_____

_____

_____

_____

_____

_____

3. Please explain the steps taken during the last principal appraisal cycle. That is:
   Who decided who would be the appraiser? _____
   Meetings: With who?(their title) Where? Time span? Who Chaired it?

_____

_____

_____

   Observations: By whom?(their title) Of what?-Why? _____

_____

_____

Documentation: Of what? By who?(their title) _____

_____

_____

Outsiders consulted: Who?(their title) How? By who? Why?

_____

_____

4. Please explain if any modifications have been made to the principal appraisal
process since the last cycle - What ? How? Why?

_____

_____

_____

5. Please explain the strengths and weaknesses you perceive exist in the present
principal appraisal process. _____

_____

_____

_____

6. Please explain any modifications you would like to make to the principal
appraisal process to either strengthen it or enable it to better serve its purpose,
from your point of view. _____

_____

_____

_____

7. Please explain how the principal appraisal process has contributed to the
following: (Please give specific examples):
(a) Improvement in the effectiveness of the principal as school leader.

_____

_____

(b) Improvement in the school's administration.

_____

_____

(c) Improvement in the school's teaching and learning programmes.

_____

_____

_____

_____

_____

8. What do you believe is the purpose (prime reasons) for principal appraisal?

_____

_____

_____

_____

_____

_____

9. What values do you believe are promoted in the principal appraisal process in your school?

_____

_____

_____

_____

_____

_____

10. Any other comments about the principal appraisal process?

Your help with this research is greatly appreciated. Neville Strong

APPENDIX C

Research Title: *What is happening with appraisal of school principals in a small selection of New Zealand schools?*

INTERVIEW QUESTIONS (Guidelines)

1. Review participant's questionnaire. Seek clarification where necessary.
(It is presumed this could take a major part of the interview time)

Further questions to be incorporated

2. Whose responsibility is it to initiate the principal appraisal process(p.a.p.)? How?

3. What policy/guidelines do you follow ? Are these documented, or arranged each time; or a mutual understanding from previous experience?

4. Would you deviate from the accepted 'guidelines'? For what reasons do you believe this could or should happen?

5. How is the process funded including the outcomes?

6. Is there any choice as to who is/are the appraisers? Who exercises this choice?

7. What is the role of (a) the principal? (b) the appraiser? (c) instruments?

8. Is this situation satisfactory? How is conflict dealt with?

9. Is a final report written? Whose responsibility is this? Who has access? Where is it stored? Is the report presented to the BOT? By whom? How? Life?

10. If principal development was agreed to, who would arrange it? Monitor it?How?

11. How did the principal/appraiser cope with the process in your opinion?

12. Have announcements/publications changed your views of the p.a.p.? That is:
(a) How the process should work; (b) More documentation; (c) Principal contract

13. Taking into account the present educational climate and the unknown future, what role do you see the p.a.p. playing for principals? How will you value it?

Supplementary Questions

1. Ministry "Workshops", "Performance Management course"
   How valuable was it in (a) subduing concerns? (b) giving direction for p.a.p.?

2. Why the Chairperson as the appraiser?

3. What consideration was given for:
   (a) Another 'qualified' board member being the appraiser?
   (b) An outside 'expert'?
   (c) Another school principal?
   (d) Should the appraiser(s) have relevant skills? What about consistency?

4. Does the appraiser make all the principal's appraisal interpretations for the final report to the board?

5. Does the appraiser do any in-depth principal appraisal:
   (a) observations?   (b) philosophical discussion as to the principal's thinking?

6. What evidence has been documented from the principal appraisal, that there is improved: (a) teaching? (b) learning? (c) leadership?

7. How could the principal appraisal be focused to achieve these?

8. How important is it to focus on the principal's leadership style during the principal appraisal process?

9. When you think of the principal appraisal cycle time again, how do you react?

10. What status should be given to the principal appraisal process?

APPENDIX E

Research Title:*What is happening with appraisal of school principals in a small selection of New Zealand schools?*

CONSENT FORM

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

I understand I have the right to withdraw from the research at any time and to decline to answer any particular questions.

I agree to provide information to the researcher on the understanding that my name will not be used. I have been informed that the information will be used only for this research study and publications arising from this study.

I agree/do not agree to the interview being audio-taped.

I also understand that I have the right to ask for the audio-tape to be turned off at any time during the interview.

I agree to participate in this research study by Neville Strong under the conditions set out in the 'Information Sheet' as referred to above.

Signed: ....

Name: ....

Date: ....

Research Title:*What is happening with appraisal of school principals* | *Massey*
in a small selection of New Zealand schools? | *Letterhead*

CONSENT FORM

for the supply and use of
Documents that pertain to the Principal's appraisal.

We have read the 'Information Sheet' (Letter) and have had the details of the research explained to us. Our questions have been answered to our satisfaction, and we understand that we may ask further questions at any time.

We understand that we have the right to withdraw or decline the use of any documents - or parts there of - from the research at any time.

We agree to provide documents to the researcher on the understanding that the School's, or our name's, will not be used. We have been informed that the information will be used only for this research study and any publications arising from this study.

We agree to the use of the documents we supply in the research study by Neville Strong and with respect to the conditions set out in the 'Information Sheet' as well as those above.

Signed: ....

Name: ....

Designation: ....   **Date:** ....

Signed: ....

Name: ....

Designation: ....   **Date:** ....

Signed: ....

Name: ....

Designation: ....   **Date** ....

Signed: ....

Name: ....

Designation: ....   **Date:** ....

APPENDIX G

DATA ANALYSIS SHEET

Description:

Interview 6. (Principal)   1/7/98

Fact or Incident	Code	Interview Transcript
Development and Training	Training Partnership Personnel	Attended M.O.E. series of P/m workshops. Board chairperson attended two also. (1) P/m general overview (2) Principal appraisal
Metamorphosis	MOE guidelines and directives	The 2nd one outlined a scheme that they thought was sensible and workable.
Adaptation	Writing — Reviewing —	We have a policy which had just been revised with the addition of the new Interim Professional Standards.
Metamorphosis	writing — preparation met g+d	We linked it back to MOE workshops and PMS series. Fully set out procedures.
Final Appraisal report – last cycle. Adaptation	Interpretations Reporting Partnership Monitoring Personnel	Appraiser did it. Took notes at the meeting we had – consulted on these. A summary of it was presented to the board by the board chairperson. The principal and chair have copies. They are available for the board for perusal.
'Life' of the report	Evaluation	Currency of the report? Not really thought about it. Previous and current one?
Future Value	Evaluation	I've changed my opinion of appraisal since going through the process. I look at it with slightly different viewpoint. I've not changed because of any announcements or publications. I have concern with the
Metamorphic Reaction	Politics of change MOE g.+d' In Action Role How Purpose	new contracts and professional standards delivery. If all standards are to be addressed annually – its really mission impossible. That has been loudly voiced by principals throughout the country. I don't think the Ministry are listening. To
Adaptation		insist the above will cause it to fall over – or people will get around it in
'sure' for	value	some way – or they won't achieve what they are trying to achieve.

DIAGRAM 1.

Title: Creation of principal appraisal process

Date:

Source: 3 questionnaires

Uncertainty

What is required of the school?
Who will undertake the preparation in schools?
What documentation needs to pre-empt the process?
What style /model is to be used? Who decides?

Training

Attendance of Senior Management
(Chairperson, Principal, ...?)

Seek information
 —Govt. documentation
 —Other colleagues

Site Preparation

Personnel → Development → Documentation →
         (meetings)   (drafts)
→ Report → Approval → Action
(to Bor)

Process in Action

- - - - -

APPENDIX I

DIAGRAM 2.

Title: Appraisal Process Development.

Date:

Source: 8 questionnaires
9 interviews
3 reports

People states	Process stages	Objects	Functions
↓	↓	↓	↓
	INITIATORS	Government policy Ministry of Education B.O.T.	Innovations Guidelines Strategic plan
	Initiation		
	PREPARERS	MoE – facilitators – workshops Other – past experiences literature, colleagues 'Outside' agencies	Provide training Seek 'training'
	Preparation		
	Site **DEVELOPERS**	Principal BoT Chairperson	Create – Documents – System
	Development		
	DIRECTORS	• School development plan • Perf. Management policy – Job description – Performance Agreement • Appraisal goals.	Instruments that direct the process
	Direction		
	MONITORS	Principal – self Appraiser(s) BoT Chairperson	People who direct the process
	Monitoring		
	CONTRIBUTORS	Staff – 'rep' Board/parents	Data collection methods
	Contributing		
	EVALUATORS	Principal – self Appraiser(s) BoT (?)	Peruse data interprete 'judgements' – progress – quality
	Evaluating		
	REPORTERS	Chairperson Appraiser(s) Principal BoT	Final Report Written Feedback Review of process New goals set
	Reporting *Reviewing*		

Left-hand vertical labels:

Uncertainty

Partnership – Consultation – Collaboration

questioning | training | writing | selective focus | Data collection | Analysis | Feedback + New direction
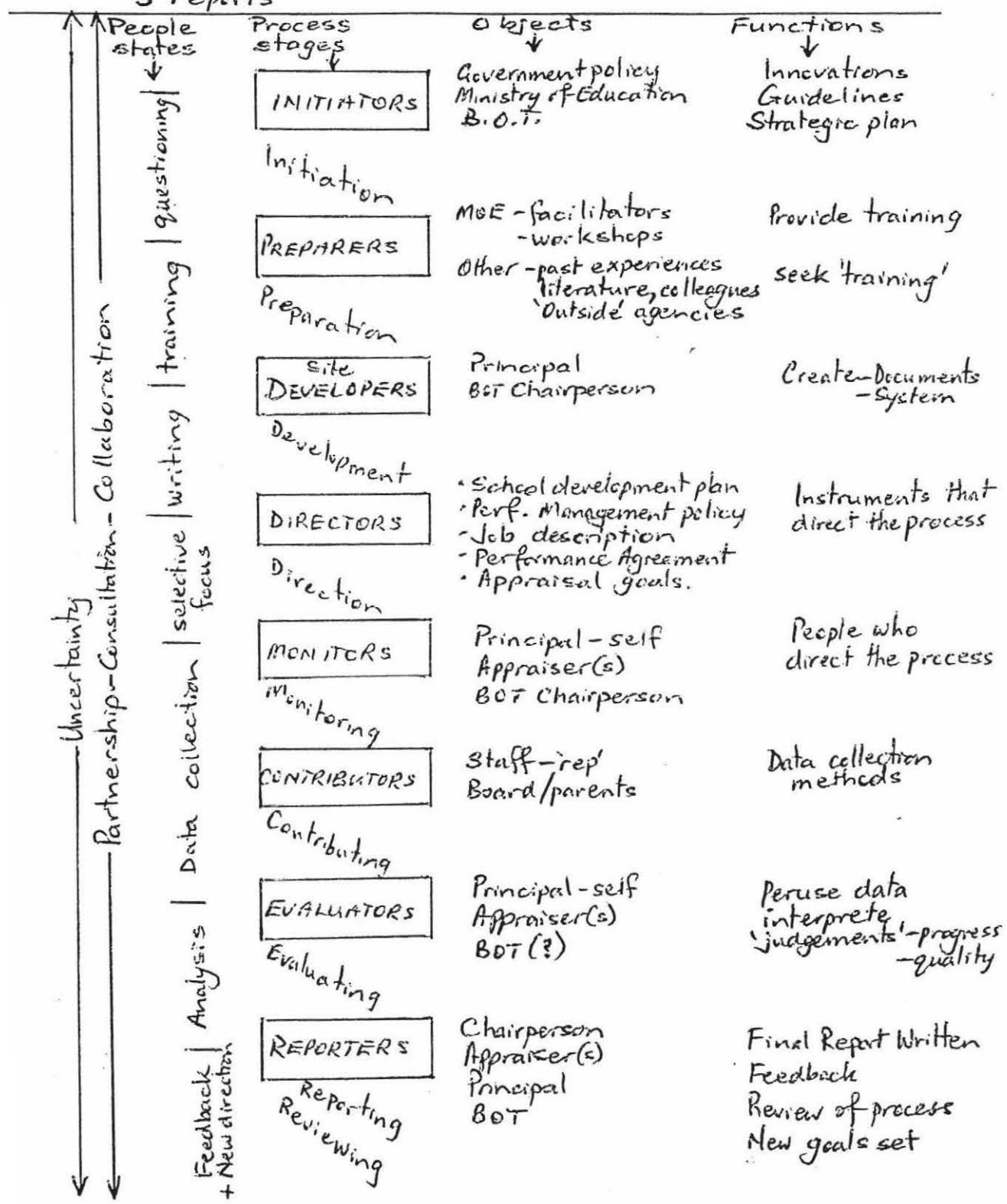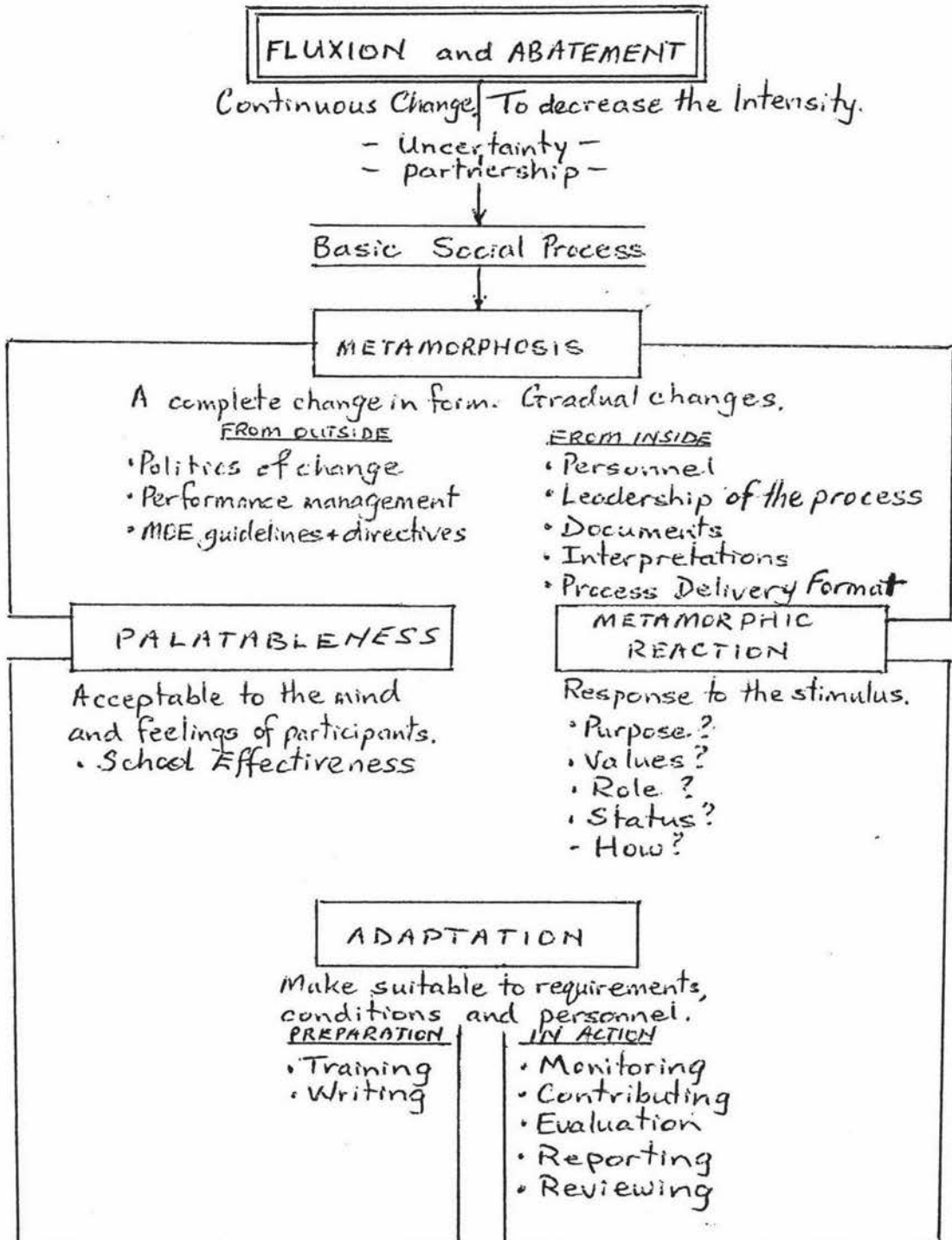
DIAGRAM 3(b)

Title: What is happening in principal appraisal   Date:

Source: 9 Questionnaires
         9 Interviews
         3 Reports
         1 Seminar

FLUXION and ABATEMENT

Continuous Change. To decrease the Intensity.
- Uncertainty -
- partnership -

Basic Social Process

METAMORPHOSIS

A complete change in form. Gradual changes.

FROM OUTSIDE
- Politics of change
- Performance management
- MOE guidelines + directives

FROM INSIDE
- Personnel
- Leadership of the process
- Documents
- Interpretations
- Process Delivery Format

PALATABLENESS

Acceptable to the mind
and feelings of participants.
- School Effectiveness

METAMORPHIC REACTION

Response to the stimulus.
- Purpose?
- Values?
- Role?
- Status?
- How?

ADAPTATION

Make suitable to requirements,
conditions and personnel.

PREPARATION
- Training
- Writing

IN ACTION
- Monitoring
- Contributing
- Evaluation
- Reporting
- Reviewing

APPENDIX K

<u>MEMO</u> 1

Title: *General thinkings.*　　　　　　　　　　Date: 5/98

Source: *2 Questionnaires*　　　Triggered by: 'Gaps' in the information

Cross ref:

---

1. Training: — Different descriptors are used to describe the training that took place. That is, 'performance management course', 'workshops'. Are these events the same? Where they of value? How did 'training' assist with developing school documents?

2. Appraiser: — Some clarity is needed as to the process used in appointing an appraiser. Was it a mere formality to appoint the B-O-T- chairperson? Did they have the necessary skills? Is there a policy for doing this?

3. Observations: — No observations of any form were done. I wonder as to the reasoning behind this?

4. Interpretations: — Does the appraiser make all the interpretations in the appraisal process? Further clarification.

5. "better learning": — these words are used as an outcome of the appraisal process. I'm interested in what evidence is documented to substantiate this.

6. "Accountability": — This word is used to justify the appraisal process look at — the principal, school management practices, leadership, teaching, learning. This needs further investigation at the interview stage.

APPENDIX L

Title: 'Partnership' — Core Category???   Date: 7/98

Source: Previous analysis.   Triggered by: Diagram 2

Cross ref: Diagram 2.

It is clear that the manner in which the principal appraisal process has been bought into a school involves partnership. This partnership occurs at many levels as the process evolves from the initiator — the MOE — until it reaches the final principal appraisal Report notification to the BOT.

There is partnership between the principal and board chairperson when they attend the courses. There is partnership between the Course facilitators and the school, through their contact at the courses and later visits to the school.

Partnership occurs between the principal and the board chairperson when consulting to prepare the documents for principal appraisal.

There is strong evidence that the manner in which the process of appraisal is conducted is a partnership

I have doubts that 'partnership' is the core category of this research. Further analysis needs to be done before settling on such a decision.