TEACHER APPRAISAL AND ITS MANAGEMENT

A STUDY OF THE PERSPECTIVES OF TEACHERS

Thesis submitted for the degree of
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by

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ABSTRACT

This thesis is inspired by the theory that a system of teacher
appraisal can achieve maximum effectiveness only when there is
harmony between its managers and other participants.
Exploration of the theory is pursued in a study of the
anticipatory concerns and relevant experience of a sample of
Northamptoshire teachers about to become participants and/or
managers. The findings are evaluated in the light particularly
of experience of teacher appraisal in Canada and USA, where
developments are very much further ahead than here.

Government policy is analysed with reference to key
considerations which currently determine how schools are
managed in this country. A traditional dichotomy separating
curriculum management from the management of staff
relationships and which has created a style of teacher
isolation is found to present problems. The risks of teacher
appraisal simply becoming a celebration of the status quo are
recognized. The probability emerges that the teachers will
soon control the system, not government, nor the appraising
bodies. Therefore, in anticipation of that outcome, certain
key skills and knowledge are identified and commended in this
thesis as governing the effectiveness of teacher appraisal, if
it is to progress teaching and learning.

The main conclusion of the research is that teachers are
capable of initiating and supervising a robust system of
teacher appraisal which can bring radical change to school
management in the interest of school improvement. Their
perspectives contrast with those of government most remarkably
because the teachers' primary concern is to ensure that
whatever the time and effort which is put in, the impact on
pupils provides the justification. This thesis seeks to
illustrate the potential value of teacher appraisal when used
as an instrument of action learning rather than as an
instrument of general management.

May 1992

Preface

I am very much indebted to Professor Maurice Galton for stimulating and wise advice given throughout the six-year period when I worked on my subject.

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1.1 INTRODUCTORY

1.1.1 Historical Background

Teacher appraisal does not have origins on which everyone agrees, and a lack of consensus concerning its nature and purpose is the dominant characteristic of the historical background. The causes of the controversies are reflected in the literature and in the diverse views expressed by the advocates of teacher appraisal. Often also the terminology used with teacher appraisal is imprecise. Because of this situation, the first section of this chapter is designed to give sufficient illustration of these contentions so as to bring out the key issues which were requiring attention when the pilot study sponsored by government began.

The case to argue is strong that the history of teacher appraisal in this country at any rate is a very short one. Here, until recently, there were partial developments which were on a small-scale, and the origins appear traceable only to the 1970s, or thereabouts. These are the developments which seem considered most often to have current relevance. There are however other opinions which in their differences reflect the extremes of belief about what can properly be described as teacher appraisal.

Byrne, for example, says that "Teacher appraisal is not new: schemes were in operation a century ago" (Byrne 1987). He refers to schemes of payment by results adopted in the last century, in this country. He also refers to schemes employing rating scales, in use around the turn of the century, in USA, and to later schemes used there designed for the purpose of checking the effectiveness of teachers. Byrne however omits to note the special influence bearing on these later schemes, namely, desegregation in schools in the South and its impact on policy governing the recruitment of teachers. The context in which a system of teacher appraisal is developed influences its nature and purpose. In his stance cited here, Byrne regards teacher appraisal as essentially a policing system intended to safeguard the public interest in teacher

competency. As is shown in chapter 2, in Canada and USA there are now in place advanced systems of teacher appraisal designed quite differently and intended to foster the professional growth of teachers.

In contrast to Byrne, concerning developments in this country, Turner and Clift suggest that the beginning of teacher appraisal is identifiable only during the late 1970's (Turner and Clift 1985). They see in this beginning something quite new in the schools, tantamount to innovation. Significantly, Turner and Clift were able to record the details of only 52 school schemes, using data gathered from the responses to their national enquiry made through the educational press. What was found in those schemes was that practice was not uniform, especially with regard to the extent of the voluntary nature of participation. Classroom observation did not form part of most schemes, which typically relied on the use of an interview schedule. As a rule, the interviews were conducted by members of senior or middle management, and were designed to lead to formative rather than summative outcomes, meaning the purpose was to help teachers to develop themselves as teachers, rather than policing, and not essentially to assure minimum competency and report its presence. Turner and Clift's findings in these respects have not been challenged in the subsequent literature. Such findings were indeed foreshadowed by observations made by HMI two years earlier (DES 1985). In the mid-1980s in this country, evidence could not be found of an advanced technology of teacher appraisal anywhere in the schools.

During the decade or two prior to 1985, in this country, it was the teachers who had taken the initiative in the area of teacher appraisal. Probably, what happened is indicative of an important influence on the teacher's viewpoint at the time, as Butterworth suggests (Butterworth 1986). This influence, he says, came from the major teachers' association, the National Union of Teachers (NUT), which had proposed in 1981 that: "Every teacher should have the right to an annual career development discussion", and that this should be associated with "a system of self-appraisal" (NUT 1981). Butterworth,

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formerly one of Her Majesty's Inspectors of Schools (HMI), also says that the responses to an enquiry into LEA curriculum policies conducted by the Department of Education and Science (DES) in 1977 frequently revealed the effects of the outcomes of local school curriculum reviews as evidence of another cause of an emergent interest in teacher appraisal, and teacher self-appraisal (Butterworth 1986). In these instances, the purpose of teacher appraisal is associated in a general way with the achievement of effective school management and largely lacks a distinctiveness of its own. Trethowan has developed that approach (Trethowan 1987). Within its modest limits, this purpose can evidently be carried out cost-effectively, and thus has considerable attractions.

With regard more particularly to teacher self-appraisal, or teacher self-evaluation which seems the preferred term, and concerning the position in the mid-1980's, Baker had earlier suggested in a Schools Council publication, that this was not a new concept "but ... a relatively new practice in schools" (Baker 1984). At this time, another relatively new practice which was being commended by other authorities was the use of the opinions of pupils as data in teacher self-evaluation (Wragg 1984, Hopkins 1985). As circumstances were changing, these latter signs along with others indicative of incipient teacher interest in appraisal, in some form, developing in the 1970s, show the teachers desiring to act as traditionally self-regulating professionals in a timely way to improve internal school-based, or inner-directed, controls over themselves in their schools. What can also be seen is the beginnings of a trend towards a breaking down of the isolation of teachers as individuals who work typically on their own in classrooms with the doors closed. These latter events seem to have been inspired by a purpose which was more obviously person-specific and oriented towards enhancing self-awareness and professional growth than was likely if only the broader purpose of achieving effectiveness in school management had been pursued.

However, whether linked to teacher appraisal, or to teacher

self-appraisal, the principal concern leading to the school curriculum reviews was with institutional accountability coupled with auditing the use of resources. This reflected what Schmuck discerned as "the increasing demand that teachers and schools be evaluated, and thus financed, on their performance" (Schmuck 1980). Early on in the development of political interest in teacher appraisal in this country, it was foreseeable that there were going to be dilemmas concerning matters of purpose and that the tide of the initiatives coming from the teachers would be met by powerful crosscurrents of contrary activity stimulated by government.

It is an irony that when the focus of public attention on schools sharpened somewhat in the mid-1970s, culminating with the intervention of the Prime Minister in 1976, in the following so called "Great Debate" on the state of the nation's schools, and in the green paper "Education in Schools" (HMSO Cmnd 6889 1976), teacher appraisal was not included on the agenda. It was not openly made part of the concern with school accountability at this outset. Not until nearly a decade later was there an expression of government perceptions concerning the state of teacher appraisal and a call for nationwide action which in 1986 encompassed legislation.

In expressing these perceptions, Her Majesty's Senior Chief Inspector of Schools said that:

> *teacher appraisal is patchy and still at a stage where much more work in the development of effective and acceptable instruments and techniques is required.*

(Bolton 1985 p. 38)

In this light, as a conclusion to draw from this brief overview of the historical background, it is reasonable to observe that the government's new policy was launched knowingly at a time of great opportunity for developing teacher appraisal as a key innovation in the larger programme of school improvement which it also espoused. Yet the policy faltered.

1.1.2 Teacher Appraisal becomes a National Issue

As a major item on the national, political, agenda for school

improvement, teacher appraisal was introduced in "Better Schools", a government White Paper, published in March 1985. There, it was associated with the means needed - it was implied urgently - to ensure improved "management of the teacher force" (HMSO Cmnd 9469 1985 p. 8). In similar vein, a few months earlier, in the course of the negotiations for a new salary structure for teachers, the LEAs, as the employers, had given as one of their objectives that:

*Every teacher will be expected to participate in an open and continuous process of professional appraisal rooted in performance in the school and conducted by the senior professional and managerial colleague to whom the teacher is accountable ... *

(A New Remuneration Structure for Teachers - Management Proposals, Objective 6   15 November 1984)

At once, as a national issue, teacher appraisal was seen from the viewpoint of people looking for a means to place an external control over teachers, not as an option developed from the alternative viewpoint of the teacher as a self-regulating professional. In this sense, Byrne's opinion on the historical background does have some cogency, but, unlike the government, he drew attention to the substantial information available on the proven shortcomings of schemes such as the one it had decided actively to promote (Byrne 1987).

In amplification of the government's viewpoint, in a major speech delivered at the end of 1985, the Secretary of State for Education and Science said: "teaching approaches, teacher training and teacher management" formed one of the government's current "larger areas" of policy development, making clear to his audience that teacher appraisal was included within this area (Joseph 1985 pp. 2 and 3). So within a period of barely a year, teacher appraisal had come to be part of a "larger area" of policy, part of salary negotiations, and firmly approached then as a twofold matter of national concern: educational and organizational.

When the legislative provision was made, options in abundance were introduced to facilitate government action:

*The Secretary of State may by regulations make provision for requiring local education authorities, or such other persons as may be prescribed, to secure that the performance of teachers to whom the regulations apply ... is regularly appraised in accordance with

such requirements as may be prescribed."
(Education (No.2) Act 1986 s 49 (1))

1.1.3   Early Signs of Ambivalence in Government Convictions

Accompanying the suddenness with which government took hold of teacher appraisal was ambivalence which brought uncertainty over what to expect into the minds of the prospective participants.   In 1985, the representatives of both Her Majesty's Inspectorate (HMI) and the Department of Education and Science (DES) were at pains, on the one hand, to assert that "unsystematic appraisal goes on now the whole time", in the words of the Permanent Secretary (Hancock 1985).   On the other hand, in a paper prepared by an HMI and published in the "Better Schools" conference papers, it was claimed that:

> *"it would be impossible to run an effective school system without appraising the performance of teachers.   Teachers are appraised daily in the schools of England and Wales."*

(DES 1986)

The implication of this conference paper from the HMI was that the school system was already effective, so not much had to be done, contradicting the policy position adopted in "Better Schools" (HMSO Cmnd 9469 1985).

The latter policy position included major curriculum reform upon which teacher appraisal was seen inevitably to depend. The government approach was to make the latter an instrument to help accomplish the former.   Yet teacher appraisal on the current basis manifestly was known not to be established strongly enough for the task, according to no less an authority than the Senior Chief Inspector whose observations (Bolton 1985) are referred to above (p. 4). Absence of a clear sense of direction in statements made on the behalf of government concerning teacher appraisal recurred frequently, during the formative stage of policy making, and later.

At that formative stage, influencing people in the agencies of central government, there were probably two key but embarrassing considerations.   One, it is reasonable to suppose, was simply that it would have been insupportable for the Secretary of State to acknowledge that so important a

matter as teacher appraisal had been overlooked for so long in the maintained school system. Such acknowledgement would have implied serious dereliction of duty on the part of these agencies which avowedly shared the responsibility "to promote the education of the people of England and Wales ..." (Education Act 1944, Part I. 1), and, indeed, "to seek to ensure that the quality of that education is maintained" (HMI 1985). The other consideration no doubt was the tacit objective to transform a practice, which was deficient only because it was casual, perhaps, or at any rate kept away from public scrutiny, into an open, formal and systematic practice, rather than to innovate. Either consideration allowed care to be taken to ensure that the policy the government was advocating was not interpreted to mean requirements for new resources. The dilemma of government was resolved, but that of the teachers increased, as they were left still uncertain about where they were supposed to be going and how they would be helped.

So it was that at the beginning of the government's show of interest in teacher appraisal, there was no proposal for a new conceptual framework to turn the casual event into a formal structure, nor any offering of management theory to guide the fresh developments, from the spokespersons of the central agencies. What was pressed was basically the idea that teachers were unnecessarily behind the van of good management practice. It was asserted that they could no longer expect to cope with all the changes that the contemporary world was compelling them to address, other than by accepting that in this regard they were on the same ground as their counterparts in other walks of life, where systematic appraisal of staff was part of the well established routine of management (Hancock 1985). In this scenario, teachers needed to pull themselves together, just that, there being no promise of help from persons using an advanced technology based on a strong conceptual framework.

Creating an appraisal system distinctive for teachers did not appear then as a concern of government, nor yet the concern to provide continuing professional education (CPE) for each and

every teacher. Certainly not the latter progressed on a level with the best practice for professional people in the other walks of life government cited, as examples, to show teachers the way ahead to take. What signs government gave of its view of teachers and their professional status were not flattering and the inference was that teacher appraisal was required in order to remedy a great many shortcomings in school management, including teacher management, rather than in the individual capabilities of teachers to teach and pupils to learn.

1.1.4   Teacher Appraisal as a Multi-Purpose Instrument

Bolton, Hancock and Joseph each talked in their different ways about teacher appraisal as if it were a versatile management instrument that would be effective for all manner of purposes. For Bolton, "accepting that appraisal may serve many different purposes" meant improvement in staff development, career development, and organizational development were among these purposes (Bolton 1985). For Hancock, the purposes were those indeed, but with elaboration, and he mentioned providing the opportunities for "the teacher to discover how his or her performance is perceived by management" and "to help the school ... to improve standards by setting goals to which each member of staff is committed ..." (Hancock 1985). In all, Hancock referred to seven purposes, namely: staff management to foster realization of potential, staff deployment, improving management decisions affecting in-service training, personnel data collection including material for external references, identification of serious failure of performance, career development, and internal promotion (Hancock 1985). The Secretary of State stated the intention tersely as "teacher management", and he meant keeping "a watch on the standards achieved" (Joseph 1985 pp 2 and 8). The model proposed by these three spokesmen of government is one which provides for senior people to watch over the work of junior people, sharply contrasting with Handy's vision of things at the time in schools where teachers "in the manner of professionals, like to manage themselves" (Handy 1984).

So far as the approach of government to teacher appraisal was

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influenced by HMI, then clearly the relationship between appraiser and appraisee was seen as a relationship between expert and relatively inexpert, much as HMI collectively, and, no doubt, as individuals, see their relationship with teachers.

> *"The term 'Inspection' is usually associated with an external appraisal ... carried out by an individual or group who, having regard for certain criteria, provide expertise, objectivity and a breadth of view."*

(HMI 1985, p. 59).

For HMI, in inspecting classes, the "central task is to report on the standards of learning achieved" and to determine "whether the standards achieved by the pupils are commensurate with their abilities" (HMI 1985 p 61). In other words, HMI know better how to teach the classes than the latter's own teachers do. Following the HMI example, the DES model of the relationship between appraiser and appraisee makes it an unequal one, and the appraiser knows better. Moreover, as Hancock described the relationship, the requirement brings in line management as well (following the LEAs, see above p. 5), to reinforce the inequality through:

> *"a system in which each level of senior teacher would assess (sic) colleagues accountable to them [and] with the next senior level monitoring those initial assessments, and the head teacher able to add further comments."*

(Hancock 1985, p. 11).

Pulling the argument together, Joseph asserted that "inspection through HMI" was one distinct service of "evaluation and appraisal" provided by government, giving schools "a basis for assessing and improving their current practice" (Joseph 1985 p. 23). Probably, here was indicated the government's essential purpose regarding teacher appraisal, namely, setting it up as a vehicle for disseminating HMI principles of inspection, and giving scope for employing these principles with an increased frequency.

However, seemingly judging needs in terms of the work habits in a government department of civil servants and HMI, the latter and the Secretary of State conceived and presented teacher appraisal mainly as an annual personnel audit which was closely associated, as in the case of civil servants and HMI, with career prospects and promotion, and so even about

"spoils". Making teacher appraisal an instrument in a "spoils system", as it were, meant enabling scarce benefits to be distributed to preferred individuals on the basis of "findings from broadly consistent appraisal arrangements" (Hancock 1985). Sharing this optimism, Joseph thus envisaged the replacement of "haphazard, informal unsystematic appraisal of performance" which was how he saw the basis of "the current promotion arrangements" and which he claimed also were seen as a "lottery" by some of the unions (Joseph 1985 p. 33). His ground was firm concerning the appointment of head teachers as had been shown in the POST investigation (Morgan 1983). Therefore, in the proclaimed inventory of benefits from teacher appraisal, it was presumably seen as tactically sound to give emphasis to the presumption of merit being recognized in tangible career gains and the rewards of individual advancement. The mundane issue of improvement of professional functioning in classrooms rarely came through sharply as the direct point of focus in government expectations.

So, in support of this approach, the claims were made that HMI and the civil servants were appraised on their performance, much in this audit style, and that the work of teachers, while different from the work these others did, was not so distinctive as to preclude in their case the application of performance appraisal, modelled indeed on civil service lines (Hancock 1985). Evidence was not offered to show how appraisal improved the performance of civil servants and HMI, nor, by extension, how it would do so for teachers.

1.1.5 Definitions and Terminology

At the critical time when the policy concerning teacher appraisal was introduced, there were many ambiguities to handle in the terminology which the central agencies adopted. It is presumed there were attempts at clarification, such as giving the definitions contained in "Quality in Schools: Evaluation and Appraisal" (DES 1985), reproduced in Table 1.1. Apart from their brevity, these definitions were of limited value because, for example, the terms "assessment" and "appraisal" in other places were often used interchangeably by the DES and its representatives, for example, above (p. 9) by

Hancock (1985) and (p. 10) by Joseph (1985).

Table 1.1   SOME DEFINITIONS USED BY HMI
i   evaluation is a general term used to describe any activity by the institution or the LEA where the quality of provision is the subject of systematic study; ii   review indicates a retrospective activity and implies the collection and examination of evidence and information; iii   appraisal emphasises the forming of qualitative judgements about an activity, a person or an organisation; iv   assessment implies the use of measurement and/or grading based on known criteria.
(DES 1985 p.7)

The impression was given that, if teacher appraisal was based on a government model, it did mean all teachers would be graded "on known criteria" (see Table 1.1 iv). This would be a reasonable interpretation if the "accurate knowledge of each teacher's performance" (HMSO Cmnd 8836 1983 para. 92) was going to be used in personnel procedures, for instance, promotion procedure. The consideration of how to achieve consistency amongst the graders was overlooked, then and later, and the criteria were not made explicit then, or later when the Regulations were made governing teacher appraisal (SI 1991/1511).

Moreover, the distinction which was intended to be understood between "appraisal" and "evaluation" was not elaborated. This made difficult the understanding of official pronouncements where the terms are coupled together, rather than employed in distinctive ways, which is confusing to the reader (for example: DES 1985). One way round this is to disregard the distinctions made by HMI as unhelpful (Byrne 1987). These terms can be treated like others which HMI hardly define at all, for example, "accountabiltity", but then interpretation becomes very idiosyncratic which is logically a cardinal problem to avert in (teacher) performance appraisal, since if this problem is not averted gradings become unreliable and their purpose is defeated. In this field of terminology, as in most other fields of knowledge, skill and experience connected with the concept of teacher appraisal there was lack

of clarity in the pronouncements of the central agencies, and it could not be counterbalanced by greater understanding in the LEAs.

1.1.6 Impasse

It was evident that government had a lack of confidence in both the know-how and the willingness of the LEAs to secure the setting up of teacher appraisal in schools, on a formal and systematic basis, voluntarily. From its own viewpoint, the diagnosis made by government was not unfair, bearing in mind how little there was in place, judging from the surveys of Turner and Clift (1985), HMI (Bolton 1985), and Butterworth (1986).

It does seem without question that during the mid-1980's much needed to be done in schools, by LEAs and by government to eliminate ambiguity concerning the nature and purpose of teacher appraisal. The need was one which called for approaches at the levels of both theory and practice. These approaches were necessary whatever the standpoint of policy makers or system designers. There was an obvious need also for harmonization of many potentially conflicting standpoints apparent at the time. Before an action plan was produced however a major dispute occurred between the teacher unions and the employers, mainly over pay and conditions but involving teacher appraisal. This caused an impasse.

In due course, during 1986, as an outcome of this dispute and the result of negotiations to settle it, terms of reference were agreed for the development of a national framework for teacher appraisal. This result was achieved under the auspices of the Advisory Conciliation and Arbitration Service (ACAS) and set out in an influential report (ACAS 1986). Next came the setting up of pilot projects intended to test the framework. Consideration of what was accomplished requires a separate section of this chapter. Before commencing this consideration, it is useful for comparative purposes to study some aspects of appraisal in non-educational organizations where there were advanced systems of appraisal already in place.

1.2 APPRAISAL IN NON-EDUCATIONAL ORGANIZATIONS

1.2.1 The Intention in this Study and Sources of Information

Given the lack of substantial relevant experience in the educational sector in this country, there was reason for looking towards the non-educational sector where the practice of appraisal was of long-standing. The researcher's object was to achieve an informed position from which to view proposals for teacher appraisal, whether coming from government or elsewhere. The effort made achieved its purpose through yielding insights into the concept of appraisal, bringing out clearly the potential value of teacher appraisal, and giving re-emphasis to key issues which were identified in the study of the historical background.

In this subsection, the matters studied are those designated as important in the ACAS report, specifically, the job description, professional development, career planning, in-service training, and staff deployment. Additionally, attention is given to "accountability", a concept often associated with teacher appraisal. In order to gain the information needed, data was gathered by studying documentation received in response to requests made to eight organizations, and by means of visits to four of them. The visits were to three large commercial companies and a large public organization principally concerned with the supervision of local authority services. The companies were a motor manufacturer, a credit card organization, and a manufacturer and distributor of cosmetics. All the organizations are listed in Appendix 1.1. During the visits, there were meetings with personnel and general managers who freely gave advice and explained their philosophies and the methods or technology used to support the appraisal systems they had in place. Good prior personal contacts had been made with these organizations over a number of years. This was partly why they were visited, but mainly the reasons were utilitarian. The numbers of staff employed and their qualifications in each of these organizations had characteristics such as were required to facilitate comparison with the position in an average LEA.

1.2.2   Understanding a Job: A Developed Methodology

Judging from the data gathered from the non-educational organizations whose practice was reviewed, the initial important finding to report here is that appraisers made a systematic and sustained effort first to achieve and then to maintain an understanding of what was involved in all dimensions of the jobs which people they appraised were required to do. In particular, there was regular consultation with jobholders, so their viewpoint and that of management were kept jointly under review. Personnel managers followed the precept that:

> "a job description should be regarded as dynamic, not static, in concept."

(Paisey and Paisey 1988 p. 167)

The effort just mentioned was distinguished by the high degree of conceptualisation employed to gain understanding of jobs. Such conceptualization was seen as a key issue and applied to all jobs. Here the concern is with jobs linked to salaries similar to those earned by teachers, and requiring qualifications similar in status to those teachers have.

To assist with making the job description there was a job analysis done first, giving clarification and an evaluation of the tasks, knowledge and skills comprised within the job. It was found that consultants were often employed to do the analysis, and it is relevant to consider the approach of one influential group.

This group approached the job description by way of analysing and quantifying the influence on the characteristic behaviour of a job holder of three job components, namely: know-how, problem-solving, and accountability. Each component would be examined by applying a matrix test to it. For example, the matrix for know-how required, on the one side, consideration of what was expected of the jobholder in terms of breadth of planning, organizing, and controlling.   The levels of difficulty or challenge at which these three functions might be exercised were sub-categorized as: non-supervisory, related (meaning specific, but involving other 'related' activities), managerial, diverse (meaning coordination of other important

functions diverse in nature and objective), and broad (at an organizational planning level). On the other side, consideration had to be given to the level of technical know-how required. In this latter component, the sub-categories were: primary, elementary vocational, vocational, advanced vocational, basic professional/scientific or specialized, seasoned professional/scientific or specialized, scientific or professional mastery, and unique authority. In this format of categorization, concerning depth and range of know-how, the final category would be rarely occupied, as it signified an 'Einstein' level.

For the sake of an exemplification of this methodology, the suggestion is offered here that a teacher's job can be located in the know-how categories: "related", and "basic professional/scientific or specialized". Since the "human relations" aspect is exceptionally important in a teacher's job, a step of further refinement can be taken so that if the category "related" is agreed, then its significance is increased, by recognizing the skills of a teacher in human relations as "critical", which is the highest category. The value of this kind of analysis is not confined to matters of pay assessment, but extends to bringing out, in a rigorous conceptual fashion through discussion shared between appraisee and appraiser, where there can be development of a person in a job, or where the job needs re-design. Appendix 1.2 reproduces in detail the example of a know-how matrix.

Similar sophistication was shown in the structure the consultants offered for the sub-categories of the two other matrices, bringing helpful refinement to the degrees of difference about the challenges of problem solving and of accountability for jobholders, and extending the analytical power of the methodology. Some additional detail concerning the consultancy group's concept of "accountability" merits attention here, as this detail bears on all the matters of importance mentioned at the beginning of this section, with reference to the ACAS report. The main elements of its definition are set out in Table 1.2.

Table 1.2	A DEFINITION OF ACCOUNTABILITY A BRIEF SUMMARY OF THE MAIN ELEMENTS

Accountability is the answerability for action and for the consequences of that action. It is the measured effect of the job on end results. It has three dimensions in the following order of importance:

Freedom to Act - measured by the existence or absence of personal or procedural control and guidance as defined [in terms of seven categories relevant here from "prescribed" to "subject only to broad guidance on policy"].

Job Impact on End Results - as defined [summary here only] in terms of whether 'responsive', 'contributory', 'shared', or 'prime', [given in ascending order of accountability].

Magnitude (Area of Impact) - indicated by the general size of the area(s) most clearly affected by the job.

(Hay Management Consultants 1980)

Undertaking a job analysis on these lines contributes to building a conceptual basis for determining the focus of professional development activity. Use of such methodology for clarifying the responsibilities, the working context, and the scale of intentional impact that a jobholder has, and through the learning opportunity it creates of itself, has potential value in relation to teacher appraisal.

Experience in the non-educational sector suggests that an enhanced understanding of the concept of a job description is a probable basic need for newcomers to teacher appraisal, bearing in mind that:

"Appraisal should be related to the teacher's job description ... "

(ACAS 1986 p. 5).

It is therefore relevant to recall that until recently few teachers had job descriptions (Youngman 1984). Despite the position, neither ACAS nor, later, the National Steering Group (NSG) thought methodology important enough to mention, marking a contrast between their management values and those which are identified in this section as distinctive of the non-educational sector in this respect.

In the non-educational sector, besides the previous example of a way of describing jobs, there were other approaches which would have a different but nevetheless clear utility for schools to help with the management of teacher appraisal and

the activities of professional development. Appendix 1.3 shows an approach that relies on the time span of decision making as the variable to use to differentiate between jobs. Its utility can be illustrated by referring to a particular stage in the approach. This is the stage of differentiation between "operational" and "comprehensive" decision making. Here some of the distinctions in function between members of senior management teams in schools and classroom teachers can be identified, possibly the really critical ones.

At the operational level, in the classroom, the work to be done could be described as to "adjust, modify and fine tune an operating system in order to cope with changing trends and make the most of the particular operating system". Despite the unfamiliar language, this description has helpful applications to the classroom teacher's work, such as, say, handling cross-curricular elements in the national curriculum, for example, the moral development of pupils (Education Reform Act (ERA) Part 1, chapter 1, 1.-(2)) or strands within levels of attainment. As the analysis given above of the DES model of teacher appraisal shows, it is easy when no systematic discipline of job analysis is applied to misunderstand what a teacher does in comparison with the work of other professionals, and consequently to create a system of appraisal for teachers which is inappropriate for them or hard for them to appreciate. The point can be amplified.

Within the parameter of cross-curricular work taken again as an example, the forward look in planning the impact of decision making might be some months, or perhaps somewhat less, or a year or more. For the headteacher, or other members of the senior management team, the comprehensive level of decision making often means taking a forward look over a period of some years, for example, a period covering a generation of pupils, say three to eight years, depending on the phase and the age range of a school, or even longer periods if demographic changes are the concern. In these several instances, using the time span as a point of reference has relevance in appraisal, limiting as well as clarifying expectations, say, regarding strategic thinking, or

"planning" or "development" which are the more frequently used concepts in the educational literature, for example, Morrison and Ridley (1988) and Preedy (1989), generally relating to the curriculum of a school and its management.

The rigour of the discipline which requires the examination of jobs in terms of the time frame for decision making is flexible, taking in work activity on any scale. This enables concentration, if necessary, only on a content in, say, a programme of study. Consequently, the skill requirements concerning method or the planning of the use of the pupils' time, logically, are potential focal points in an appraisal modelled on this approach, promising, it is suggested, a deepened awareness for appraisee and appraiser alike of what is being done. In all cases, justification of the elements in the job description becomes necesssary on rational lines.

Concerning the management of teacher appraisal, having the strategic aspect of the teacher's job identified provides an additional basis for a choice of focus, helping to determine priorities. In chapter 5, this is seen as important in the discussion concerning goal setting. Later in this chapter, developments in the pilot projects, and the recommendations put to the government by the NSG, are examined for signs of such approaches

Logically, it is a key issue whether a "job description" created from a conceptual framework is a more useful, versatile tool in appraisal than one devised as a description of tasks which the jobholder is expected to perform, as is usual for teachers, and an example of which is given in generic form in their Pay and Conditions of Employment Regulations (see Appendix 1.4). The latter method of approach to the job description became outdated some time ago in the non-educational sector (Armstrong 1990). The question which arises, namely, which approach to the job description would be preferred by teachers, if they had a choice, as having the greater practical value is addressed in chapters 3 and 5.

1.2.3   Career planning

ACAS associated professional development with career planning. Obviously, during an individual's career there arise considerations which include those bound up with succeeding to a job previously held by someone else. These considerations have a bearing upon the choice of professional development activity, being likely to affect an individual teacher's preferences.

In the non-educational organizations, career planning was integrally bound up with succession planning which was considered both a neccessity and feasible. Few schools might be large enough for practical succession planning on the same scale, and local requirements for advertising vacancies might inhibit school-based succession, as also might the independence of school governing bodies. The relevance of the practice in the non-educational organizations is nevertheless strong, as career planning was also seen as being a concern to develop people in their current jobs, to prepare people for alternative jobs at the same level of seniority, and to involve a continuing process of professional education and upgrading of skills. As one authority on performance appraisal in non-educational organizations has summarized the position:

> *"the most effective way for the employee to be promoted is to do the best possible job in the present position ... the supervisor must make an analysis of the employee's potential as it relates to the organization's present and future human resource needs."*

(Morrisey 1983)

There is seen to be a matter of mutual self interest here. Thus for one company, appraisal was found to be part of a career management framework. This framework is shown in Appendix 1.5. If this framework is studied, attention is called to the importance of the operational context in which a system of appraisal is located, as a key issue.

1.2.4   The Operational Context and Further Key Issues

For the company last mentioned, the key issue of context included ensuring that their staff acquired robust techniques of team building and self development, that the skills inventories, programmes for formal courses, opportunities for

sabbaticals, and the triggers for organization review, among other devices, were compatible with the expectations the company had concerning staff performance. This meant taking continuing professional education (CPE) seriously and participation as relevant to everybody. As an example of such seriousness, it is noteworthy that the public organization, which was visited, used a unit of time as the indicator, allocating ten days per person per annum as the average for all its staff. In other words, provision for CPE was seen as a logical accompaniment of an appraisal system and a key issue. This provision was set at a level intended to match all individual needs adequately. Typically, this level was monitored through staff feedback or self-evaluation on their progress with CPE.

In the non-educational organizations, the aim was to maximize the 'human resource', and appraisal was not considered the appropriate 'mechanism' for dealing with discipline, for which there were other wholly separate management strategies. In these organizations, the basic expectation was that the job should be 'achieved'; and the basic question was: "how can we help you?". On its behalf, the appraiser asked this question in terms of all aspects of the work which the appraisee undertook with the organization.

This fostering of a positive attitude on the part of all staff to each other and towards the organization was typically seen as a key issue for the managers of an appraisal system. For example, in one company where seminars of preparation for appraisal were observed, the theories of Herzberg and reflections on McGregor's Theories X and Y were staple elements in training. It was stressed to newcomers to the organization that it was important to know the views people held about human motivation. Also seen as important were concepts concerning levels of personal needs and, in this case, the starting point was discussion of Maslow's theories. In having regard for management research, the people in this company were typical of personnel staff involved in training and staff development in the non-educational organizations where appraisal practice was studied. In effect, the view

taken appeared, despite a difference of setting, very clearly to be that commended by Scherkenbach:

"Cease dependence on inspection to achieve quality."

(Scherkenbach 1989 p. 19)

The aim was to achieve and maintain self-operating, self-regulatory systems and self-regulating staff.

1.2.5   Cautionary Observations

There are however cautionary observations made by personnel people in these non-educational organizations to note. Essentially, they advised vigilance to ensure the retention of credibility by an appraisal system with its users.   For example, if ratings are used, there is a need to watch for "bracket creep" or the tendency for individual ratings to move upwards over time, yet not signifying equivalent change in performance.   One senior manager acknowledged that he had colleagues who when making a decision about another's promotion would not rely on an appraisal rating, but would go to private sources of information.   This was one of many danger signals received pointing towards the problems of seeking to operate a multi-purpose system of appraisal, especially when trying to develop a person and to assess the person's suitability for promotion within a single process.

The experience of people in the non-educational sector in using rating scales suggests there are therefore substantial risks in this.   A wider study of such use affirms that there are risks of demotivation of the appraisee when the rating is felt to be too low, of encouraging underachievement even mediocrity if there is over-rating, and of discouraging teamwork if there are differential rewards offered to team members (Scherkenbach 1989).

It is a surprise that in the DES model devised to apply to teachers, there is little evidence that heed has been given to the wealth of knowledge and experience of appraisal in the non-educational sector.   Relevant information was ready to hand, as seen above, and in the non-educational literature:

"Much of the current interest has centred on the developmental aspects of performance appraisal, with emphasis on counselling and motivation rather than evaluation and judgement.   One result of this

has been the increasing preference among some practioners to use the term "performance review" rather than "appraisal" since the latter is perceived as judgemental in nature and devoid of concern for individual development and well-being."

(Long 1987 p. 4)

1.3 THE PILOT PROJECTS

1.3.1   Initiation and Terms of Reference

The School Teacher Appraisal Pilot Study began in January 1987, and lasted two years under the direction of a National Steering Group (NSG). As stated by NSG:

> *"The aim of the pilot study was to develop programmes in which appraisal as conceived by the ACAS group might be put into practice."*

(NSG 1989 p. 1)

The ACAS group was an Appraisal and Training Working Group set up in the course of the negotiations intended to settle the industrial dispute mentioned at the end of section 1.1.6 above (p. 12). This group was made up principally of union and employer representatives, with representation also from other quarters, including the DES. The membership of this ACAS group totalled twenty, of whom nine were not teachers and only a small minority were normally in the classroom most of their working day. The study involved three urban LEAs: Croydon, Newcastle, and Salford, and three county LEAs, Cumbria, Somerset and Suffolk, and in each there was a trial project.

Nearly 2000 teachers and 150 schools participated in the study (NSG 1989). This sample comprised about 0.5% of all teachers and schools in the maintained sector. Judging from information in the NSG report (1989), the resources invested in the pilot study were modest by comparison with standards in the non-educational sector. Training in the procedures was taken to require between 1.5 and 3.0 days for teachers other than appraisers. The latter's time for training sometimes amounted to 4.0 days. Heads had extra training amounting to between 2.0 and 4.0 additional days. Allowances were made to facilitate classroom observation on the average scale of some 2.0 hours for each teacher appraised, plus other time for interviews and discussion. There were comparably modest allowances of further time for administrative support.

For the people in LEAs where the pilot projects were run, the starting point for their operations was determined in a twofold way: on the one hand, by what was in the ACAS report, and, on the other, by the strong influence of the DES. The LEAs had submitted proposals for vetting at the DES where the selection of those who participated was made. Judging from copies of their proposals, at the top levels of management in the chosen LEAs there was a readiness to do what was expected of them and to trial the ACAS framework without demur.

Forming part of an address to teachers, what was expected had been summarized earlier by the Permanent Secretary:

"(i) First, I put it to you that effective staff management, in education as elsewhere, must rest upon a continuing effort to help all teachers to realise their full potential. Amongst other things, this means providing a regular opportunity for each teacher to discuss his performance with a senior colleague and consider how to build on strengths, tackle weaknesses, widen experience and so on.

(ii) Second, beyond this individual professional purpose, managers in LEAs, in colleges and in schools need accurate and up-to-date information on performance in post in order to take good mangement decisions - for example, about staff deployment and in-service training.

(iii) Next, I suggest that the only way of getting such information for our 410,000 school teachers and 80,000 college lecturers is through formal and systematic arrangements. Left to chance or individual preference what is needed will not happen. It is, of course, essential to good management that the information obtained be used positively and sensitively.

(iv) Where the appraisal reveals unsatisfactory performance and it persists even after counselling, support and training, then action must be taken in the interests of the college or school and its students. In the last resort staff whose performance cannot be restored to a satisfactory standard ought to be dismissed. The burden of an incompetence which has proved to be irremediable weighs heavily on colleagues - a point frequently overlooked.

(v) Lastly I would argue that decisions directly affecting career development within the current salary structure - internal promotion and references for external promotions for example - should be as well informed as possible and this, I believe, is a further argument for a systematic appraisal system."

(Hancock 1985 pp. 3 to 5)

There was an air of what Fullan (1987) might have described as "brute sanity" in the Permanent Secretary's approach, having regard to its apparent rationality and strong conviction. More particularly, there was "the tendency to overlook the complexity and detailed processes and procedures required, in favour of the more obvious matters ... " (Fullan 1987 p. 145).

From ACAS came the desired approach to teacher appraisal which was set out in a statement of "Agreed Principles". The introductory part of these principles is as follows:

"The Working Group understands appraisal not as a series of perfunctory periodic events, but as a continuous and sytematic process intended to help individual teachers with their professional development and career planning, and to help ensure that the in-service training and deployment of teachers matches the complementary needs of individual teachers and the schools."

(ACAS report 1986 p. 2)

The agreed principles included injunctions on: how to select appraisers, matters of frequency for appraisal events, methods, preparation, appraisal interviews, classroom observation, appeals, records and training. These injunctions were brief, amounting to a few lines for each topic. There was recognition of a need to differentiate the approach for probationers, and separate procedures were defined for head teachers, but otherwise what was stated in the agreed principles was intended to apply to all teachers. In summary, the ACAS group set out the six key requirements which are given in Table 1.3.

Table 1.3 ACAS REPORT ON TEACHER APPRAISAL
SIX KEY REQUIREMENTS

i   Planning the induction of EG (Entry Grade) teachers and assessing their fitness for transfer to an MPG (Main Professional Grade).

ii   Planning the participation of individual teachers in in-service training.

iii   Helping individual teachers, their head teachers and their employers to see when a new or modified assignment would help the professional development of individual teachers and improve their career prospects.

iv   Identifying the potential of teachers for career development, with an eye to their being helped by appropriate in-service training.

v   Recognition of teachers experiencing performance difficulty the purpose being to provide help through appropriate guidance, counselling and training. Disciplinary procedures would remain quite separate, but might need to draw on relevant information from the appraisal records.

vi   Staff appointment procedures. The relevant elements of appraisal should be available to better inform those charged with the responsibility for providing references.

(ACAS Report 1986, Section 3)

It is evident that these six key requirements correspond closely with the expectations Hancock had stated a year

earlier on behalf of the DES. This correspondence is indicated in Table 1.4.

Table 1.4	TEACHER APPRAISAL: A COMPARISON OF EXPECTATIONS AND REQUIREMENTS	
DES Expectations (Hancock's Items)		ACAS Report Requirements (Items in Table 1.3)
Item (i)	corresponds with	Item iv
Item (ii)	"	Item i, ii
Item (iii)	"	Item vi
Item (iv)	"	Item v
Item (v)	"	Item iii

1.3.2 The Limitations of the Terms of Reference for the Pilot Projects

The bearing that teacher appraisal was expected to have on the learning of pupils, and their attainments, was not defined in detail in the main part of the ACAS report. This bearing was indeed only referred to tersely, in that teacher appraisal was wanted "to promote the effectiveness of the teacher's work in the classroom" (ACAS 1986 p. 5). Neither what Hancock laid down nor the content of the agreed principles made plain what were the core values concerning teaching and learning in the proposed teacher appraisal system. The impression given was that what was valued most was systematic procedure and monitoring: process rather than impact.

Besides the effect of lack of expression of such core values, the scope of teacher appraisal was restricted also as a result of the industrial dispute (see above p. 12). There could be use only of data sources which were acceptable to the teacher unions in the circumstances. The unions, understandably, were in the ACAS negotiations in the first place to protect the interests of the teachers, especially the terms of their contracts and tenure, and therefore were unprepared to admit into the appraisal process as "evidence" (Rumbold 1986) hard data purporting to demonstrate in any degree "the effectiveness of the teacher's work in the classroom ..." or indeed of other work, including that of head teachers. They preferred reliance on professional judgement, oddly sharing ground with HMI as both groups then wanted teacher appraisal to follow lines safe to each.

An absence of admitted concern for pupil outcomes has been found to be an indicator of an acountability model of teacher appraisal (Stiggins 1986). According to notes taken at the first national conference of pilot project participants, held at York in 1987, there had been an attempt in Croydon, initially, to have information on the attainments of pupils considered in an appraisal, but this was prevented through the NSG. As the upshot, the arrangements created in the pilot study copy the HMI practice, taking as entirely feasible the making of a "judgement of performance" without overt or public reference to the data on which the judgement is based, meaning there is little scope for testing its rigour. This is likely to make the process "cosy" and safe, by lessening impact, a situation to avert urged the evaluators (CIE 1989 p. 63). Experience suggests that here is a factor of bracket creep (see above p. 21). Perhaps, the sympathetic influence of civil servants was evident too, coming from habits of keeping appraisal data confidential.

This is not to say there were no indicators or criteria given on which to base the desired judgements of teacher performance. There were prompt lists and other guidance offered in the annexes to the ACAS report. These indicators are shown in Appendix 1.6. While the indicators were of a general kind, as can be readily apppreciated in view of the context, they were there to help the appraiser to make judgements on what was seen in classrooms, for example, in deciding if "The material was well presented" by the teacher, or "The pupils were actively involved". Relative to making the judgements, it is fair to say that pedagogical advice was offered only at a rudimentary level. The advice was not very clear, rather exhortatory, as shown in the following example:

> "The first aim of the appraisal is developmental, ie the process should enable the teacher to become more effective in the classroom and the school."

(ACAS Report 1986 Notes for the Guidance of Teachers and Appraisers Section 1)

The second and further aims were not identified, but it was proposed that:

> "the result should be to present an agreed, professional picture of the teacher at the time of the appraisal; to provide information concerning his/her developmental needs (eg Inset, secondment, reading, etc.); to record the career aspirations of the teacher and

to compile an agreed agenda for action during the succeeding 12 months."

(ACAS Report 1986 Notes for the Guidance of Teachers and Appraisers Section 1)

Even if this wide angle is used, the focus of the ACAS report is aimed at the teacher's own concerns, and not directed as well and with equivalent attention to detail towards the concerns of the pupils, or near to any value being added at the time to their learning and believed attributable to the teaching seen. In effect, whatever focus is taken, the terms of reference for teacher appraisal in the pilot study turned out to be not very stringent. Success with the study was clearly seen as going to depend on how the teachers interpreted these terms.

1.3.3 The Pilot Study: Implementation, Monitoring, Outcomes

The DES probably concluded that the terms of reference for the pilot study lacked stringency and anticipated as a consequence a tendency towards waywardness to show on the part of participants. Whether or not, supervision was adjudged necessary, although termed "coordination".

Responsibility for this coordination of the pilot projects was assigned to a small team based in the National Development Centre for School Management Training at Bristol University. As required by the DES, the principal commitment of the coordinators was "to ensure that the six pilot schemes [were] consistent and in line with the principles set out in the ACAS Working Group report" (Interim Report 1988, p. 41). A fuller statement of the tasks set for the coordinators is give in Appendix 1.7. Besides coordination, there was provision made by the DES for evaluation and this was entrusted to another small team from the Cambridge Institute of Education. The evaluators perceived their role as a monitoring one which also meant looking at the issues faced by those participating in the pilot projects, and making comparisons (Interim Report 1988). Both teams produced regular reports for NSG and the participants in the projects. Interim and Final Reports were published by the teams and NSG, and other literature was produced in the project areas. In the

preparation of this thesis, this literature was used as the main source of information on the operations of the pilot projects, supplementing records of less comprehensive conversations with participants.

In their interim report of May 1988, the coordinators recorded a range of questions which had arisen, but which, as was to be expected, did not open up substantive new issues for investigation. It was in the reports of the evaluators that the substantive new issues began to emerge. Key examples at the interim stage are summarized in Table 1.5.

Table 1.5 INTERIM REPORT OF EVALUATORS: KEY EXAMPLES OF EMERGENT ISSUES
How far appraisal schemes can become an integrated part of school and LEA policies, linked, say, through whole school self-evaluation and management training.
Applying ideas on change to the question of appraisal, treating it as an innovation and referring to research.
Tension between some LEAs' wishes for a common approach and the desire of schools to have autonomy to adapt schemes to suit their own circumstances.
Peer appraisal for headteachers may sit uneasily at the side of the appraisal of teachers by their superiors.
The respective influences of appraisees and appraisers, creating bias: towards management or individual need.
Variety of language describing the same component: eg classroom observation as 'teaching analysis' or 'looking at learning', presaging difficulty with generalising.
How far appraisal generates unabsorbable new costs.
(Interim Report of Evaluators 1988)

In their final report, besides the issues identified in Table 1.5, the evaluators raised other new issues, some of which were very important if it were supposed that the prime concern with a system of teacher appraisal should be helping pupils to learn. One of these issues, a key one, has to do, first, with self-appraisal and the question of honesty with oneself, and, next, with sharing the findings of one's self-appraisal with an appraiser. In the pilot project schools, such sharing was not obligatory, and, according to the evaluators, practice varied. This issue was essentially one of confidentiality and about whether vouchsafing the findings of self-evaluation, especially, so to say, self-critical ones, could be risked in a context where personnel decisions might be influenced.

Progress towards resolution of this issue was limited, and growth and accountability concerns were not effectively separated (CIE 1989).

Because the model of teacher appraisal used in the pilot study lacked theoretical underpinning, predictably the evaluators found no noteworthy effort to conceptualize "accountability" on lines comparable with those followed in the non-educational organizations (see Table 1.2 above p. 16). Consequently, there were crucial matters affecting teachers, relating to their "freedom to act" and to the impact of their decisions, which were probably not addressed very clearly, nor analytically. How, for example, use of the style "teaching analysis" in place of "classroom observation" (see Table 1.5 above p. 28) affected a self-evaluation was not shown in the evaluators' Interim or Final Reports. The evaluators did not say that it quickened an appraisee's readiness to share the findings, diminishing concerns with personnel issues and increasing the attention given to issues bearing on teaching and learning.

Language and terminology were presumed early on in the development of the pilot study to have a bearing upon participants' attitudes and behaviour (Interim Report p. 50). There were glossaries compiled in the pilot project areas and these aimed to elucidate the terminology of teacher appraisal and to secure consistency in usage within an LEA. An example is given as an appendix (Appendix 1.8). The glossaries were not comprehensive and, as the example shows, the compilers seemingly were unconcerned with the language of teaching and learning. There was not a common glossary developed for the pilot study as a whole.

The instrument of the glossary was not used to elucidate the declared object behind the ACAS formulation for teacher appraisal. This formulation was:

"to raise the quality of education in schools by providing teachers with better job satisfaction, more appropriate in-service training and better planned career development based on more informed decisions"

(ACAS Report 1986 p. 3)

Along with the bold inference that job satisfaction and the further provisions mentioned have a connection which is sufficient to bring about a raising of "the quality of education in schools", without other preconditions, it is important to notice there was no theoretical framework provided to strengthen understanding of this declared object. None was then offered by the central agencies, nor while the pilot projects were running, nor ideed later.

There is no mention of discussion on this topic in the published records of the national conferences held for participants in the pilot projects (McMahon 1987, Interim Report 1988, NSG 1989). The evaluators do not refer to the topic in their final report (CIE 1989). It appears to have been taken for granted that the sense of the expression: "the quality of education in schools" was sufficiently understood by all concerned and consensus was seemingly assumed. It may be "the problem is that determining school 'quality'...is difficult ..." (Hopkins 1987 p. 4). All the same, such lack of concern for fundamentals contrasts with the position as found in the non-educational sector, described in section 1.2 above. The matter merits a little further attention.

Relevant is an interesting suggestion which Webb has made concerning "quality" in the non-educational sector saying that experience points to five components usually perceived to require attention (Webb 1991). To show the relevance, these usually assumed components are summarised and compared with ideas on possible school focused counterparts in Table 1.6. If the issue of quality is tackled in this way, then attention in the case of teacher appraisal is compelled towards teaching and learning, and diverted from preoccupation with other concerns of management. The analogy in the non-educational sector is with the service or product being offered, and thus with an organization's core tasks, and questions indeed of survival. Analogously, for a school the survival questions have to do with teaching and learning, not necessarily so that the school continues to exist, but because of the essential reason why pupils attend. What is therefore being argued here is that in the pilot study as there was no theoretical

exploration of the concept: "the quality of education in schools", inevitably the outcomes were mainly ancillary to teaching and learning, and not directly connected with these processes (see Table 1.7 below   p. 33).

Table 1.6 COMPONENTS OF QUALITY - A COMPARISON BETWEEN THE NON-EDUCATIONAL AND EDUCATIONAL SECTORS: THE USUAL AND THE POSSIBLE	
Non-educational Sector (Usual)	Educational Sector (Schools) (Possible)
Customer need expressed through the market	"New products" in curriculum; feedback from pupils/parents as clients; keenness of pupils; "pupils are actively involved"; "engaged time"
Concealed market requirements	Capacity for innovation; lack of variety in teaching styles; teacher dominance hides options;
Role of pricing	Evolutionary response; physical environment; class size; materials used; time allocation
Product or service design	Versatility; "fit" of schemes of work; programmes study; national curriculum
Conformance to specification	Interdisciplinary activity; balance and breadth; relevance; continuity and differentiation; goal of rising pupil attainment

In Table 1.6, the items are intended as self-explanatory, so far as they go, but some amplification using two examples helps the argument.   Under "Non-educational Sector" in Table 1.6, "Concealed market requirements" refers to a situation where the unexpected appearance of a new service offered by a competitor may cause a large and immediate fall in demand for an existing service, if the latter in the light of the competition is revealed as obselescent and is discarded. New arrangements for post-sixteen education and training offer an educational parallel when provision in colleges, say, replaces that in schools. Trends in the student take-up of curriculum options may offer other examples. Under "Educational Sector", the reference to "Balance and Breadth" is derived from ERA 1988 (C.40 Part 1 chapter 1.-(2)).   Interdisciplinary activity is given emphasis by the legislation and so is shown as a component of quality in the sense of "conformance to specification" regarding teaching and learning.

What Webb and others (for example, Scherkenbach 1986) have done in the non-educational sector has not been emulated in the LEAs where a comparable taxonomy of quality components for teaching and learning is lacking, and rigour in monitoring therefore weakened. Current educational interests in TQM (Total Quality Management) and BS (British Standards) 5750 are therefore signs leading in a new direction towards a change likely to be helpful regarding teacher appraisal, even if these new concepts lack close educational affinity as yet.

What is here being argued is that frameworks of reference, of which the one to do with "quality" is just an example, that for "accountability" being another (see above p.16), and more come below, are needed no less by teachers than by people in the non-educational sector. As it were by way of affirmation of the case, it has been suggested that: "teachers are largely unaffected by the technical language of education" (Sayer 1985). What Sayer implies is that the technical language to which he refers does not reflect teachers' values, particularly no doubt with regard to teaching and learning or the core concerns of teachers.

In the pilot project areas, it has to be mentioned, there was frequent use of whole school review arrangements, but this evidently was so in order to bring the goals of individual teachers and the school into a common field as in Cumbria (Interim Report 1988 p. 9). These were not cases however where the values underpinning these reviews necessarily had prior endorsement from the whole staff who had, at this prior stage, collectively developed a conceptual framework of quality to rely upon beforehand. At any rate, such situations are not referred to by the evaluators, nor are they mapped out in training videos used in the pilot projects. As a matter of context affecting developments in the pilot projects, the inference has to be that what was meant by "quality of education" was uncertain and unexplored.

Proposals concerning theoretical considerations or conceptual frameworks to help with the development of the values which should support teacher appraisal are notably absent amongst

the key outcomes overall of the pilot study. This opinion
relies on the individual reports of the participant LEAs, and
the conclusions of the evaluators and HMI. The key outcomes of
the pilot study are summarized in Table 1.7.

Table 1.7   OUTCOMES OF THE PILOT PROJECTS: A SUMMARY

1   There was not a common agreement on key findings
shared between government and the other participants.

2   Distinctive standpoints were identifiable for the
DES/HMI, LEAs, the people in the pilot projects, the
teacher associations, the evaluators, and the National
Association of Governors and Managers.

3   The DES laid emphasis on the instrumental management
functions of the LEA, especially regarding professional
development and INSET, but including career progression
for teachers and the allocation of incentive allowances,
leaving conflicts of interest unconsidered,

4   There was agreement that the LEA would have to manage
the introduction of teacher appraisal in its area and
the process once appraisal got into operation, A local
steering group was required and a central coordinator.

5   Each pilot area had distinct concerns. Cumbria saw
whole school review as a key to success with appraisal.
Suffolk and Salford stressed the importance of the
credibilty of the the appraisers. Somerset and Croydon
identified school size as an issue of importance in the
management of appraisal. Overall there were differing
approaches which suggested that there was room for some
distinctiveness in each LEA within a national framework.

6   The evaluators observed that there was not a common
language of appraisal developed across the pilot
projects. This reflected the absence of agreement on a
conceptual framework.

7   The teacher associations were agreed between them on
several matters as essential. These included
self-evaluation, training, initial review discussion,
classroom observation, the appraisal interview seen as a
professional discussion, appraisal as school-based
within national guidelines, and follow-up which
involved INSET.

8   The work in the pilot areas did not produce guidance
on what might be the place for school governors in
teacher appraisal. The NAGM indicated expectations for
school governors to participicipate in the management of
appraisal, in training, and in the process of appraisal
of head teachers.

9   Key questions remained to be answered, namely: how
would time be found, what were the predictable costs and
how would these be met, what was a reasonable timetable
for implementation, what should be the focal purpose,
and what format was considered best for training.

HMI in their own detailed evaluation of the work of the pilot
projects, indicated that they had favoured the development of
"agreed competencies", implicitly lamenting the fact that such
competencies had not emerged from these projects (HMI 1989 p.
34). This was also implicitly a reference back to the concept
of teacher appraisal seen as a form of inspection (see above

pp. 10-11). When earlier expressed, this concept was found wanting by teachers' representatives (Hart 1986) no less than at this later stage (AMMA 1989). It was not that the concept was threatening to teachers, but rather that it was alarming, as checking for "mimimal competencies" would waste time and inhibit "professional development as part of their growth as teachers" (AMMA 1989 p. 19). Thus HMI were seen to persist in their unsophisticated approach to the development of teacher appraisal. So between the teachers' representatives and HMI there continued to be a notable absence of shared values concerning teacher appraisal which the pilot study in its outcomes rather reinforced.

In the event, the intentions of government for teacher appraisal were only partially fulfilled during the pilot study. This was so because inevitably teachers influenced the applications of teacher appraisal through being the principal actors. They caused what happened to reflect the realities of their jobs and their working environment rather than the presumptions in the ACAS model. For example, the evaluators found that energy was concentrated on fewer purposes than the number in the ACAS report, or the number proposed by Hancock (see above p. 8). Career development became a major casualty (CIE 1989). The teachers gave priority to findings arising from classroom observation (CIE 1989). This was logical since it would be in the classroom where practical gains would be most sought by teachers from teacher appraisal.

1.3.4   Classroom Observation and Teaching and Learning
Nevertheless, despite its importance to teachers, classroom observation was not invariably seen in the pilot projects by those who managed them as the paramount concern at all times:

"Its importance may vary according to the teacher's role within the school eg it might contribute little to the discussion of a major management role."

(Interim Report p. 5).
Here then is an important value expressed, namely, that a major management role in a school can be conceived as relying "little" for its justification upon the observable impact it makes in the classroom. This seems clearly to show that in the pilot projects there was a significant underestimation of

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the importance of the classroom as the focal point of teaching and learning in a school. Indeed, there is a dichotomy in management thinking expressed in this extract from this Interim Report and it is a point which requires substantial attention in the context of teacher appraisal. This is attempted in chapter 3.

As would be expected in such circumstances as typified in the above reference to classroom observation, collection of data about children's work was not systematic and integral to the general data gathering found as part of teacher appraisal in the pilot projects. This was what the evaluators found (CIE 1989). The collection of such data "may be appropriate" NSG said disparagingly (NSG 1989). Having regard to the origins of the pilot study, (see above p. 12), it can be assumed that there was a reluctance to concentrate energy on such means of validating teaching skills. It was in line with the views of the national representatives of teachers alluded to above (p. 25) to see the matter as one for determination according to the judgement of individuals.

There was not then an automatic assumption made by participants in the pilot study that teacher appraisal should be expected mainly to focus on the teaching skills of teachers. For example, in Cumbria the view taken was that:

"the county sees the activity designated as appraisal as being wider than individual teacher appraisal"

(Cumbria Interim Report 1988 p. 9).

Probably the statement which best encapsulates the standpoint is that of Newcastle where it was declared that:

"The arrangements concerning records are designed to facilitate school management decisions by providing better information for headteachers about the performance and potential of their staff".

(Newcastle Interim Report 1988 p. 21).

Even when teaching and learning is mentioned as in Salford, it was considered that the end product was professional development:

"The purpose of teaching analysis (ie classroom observation) and support is to generate knowledge about the teaching and learning process in the classroom as a basis for professional development."

(Salford Interim Report 1988 p. 25)

Thus, as typified by these examples, the approach to classroom observation adopted in the pilot study assumed that where the impact of teacher appraisal should mainly be was not on the pupil, but on "management" issues.

Besides being a means of assuring compliance with the agreed principles, this approach to classroom observation adopted in the pilot study appears also in the form of a dependent variable related to the qualifications of the appraiser. In the pilot study it was evidently concluded that as it was justifiable to recognize that the functions, for example, of headship did not embrace typically the same range of skills as the functions of the class teacher, it followed logically that a head would not be invariably better able to judge the "rightness" of a teaching decision than the teacher who made it. It could be so, but not always, nor necessarily. In the pilot study, the recognition of this situation possibly contributed to causing the tendency to focus away from teaching and learning and classroom observation onto fields of teacher activity found more familiar, for example, an "additional responsibility" such as a coordination role, or relations with parents, or performance at staff meetings, which are topics noted in this regard by the evaluators (CIE 1989).

One way of putting what is at issue here is to say the question is one of credibility - the credibility of the appraiser. The latter needed to have credibility, and evidently not all had (CIE 1989 pp. 61,62). Plainly "good appraisal depends on good appraisers ... ", as a respondent to the evaluators pointed out (CIE 1989 p. 61). Even if appraisal is defined as suggested by HMI (DES 1985 see Table 1.1 above p. 11), it is necessary that the judgement which is expected comes from a person whose expertise is respected. In the pilot projects, an early response to the dilemma was peer appraisal which was found useful (CIE 1989). In a classroom situation, peers had a credibility which "line managers" could not be assumed to possess as a matter of course.

Nevertheless, even if appraisee and appraiser are reasonably

well agreed on the nature and meaning of events which have occurred during a classroom observation, there are still plans to make for the future, requiring decisions on teaching strategies. The appraisee has to carry out the decisions. This presupposes the capacity to do so exists. Thus the principle emerges, as evidently it did so in the pilot study, that an appraiser who encourages the adoption of a particular teaching strategy shares in the responsibilty to assure that the required resources are in place, whether human skills or knowledge, attitudes or beliefs, or instruments such as new materials or other teaching aids. Thus here again appear conceptual considerations of mutual accountability and job design which were seen to require strong theoretical underpinning in the cases instanced in the non-educational sector in section 1.2 above.

So long as the considerations affecting mutual accountability and job design were unclarified, the likelihood was high during the pilot study that there was "uncertainty over the availability of resources for follow-up" which the evaluators suggested was a factor limiting the impact of appraisal (CIE 1989). This concern with follow-up marks a strong contrast between the model of teacher appraisal which was developing during the pilot study and a model based on HMI inspection practice. With the latter, follow-up so far as HMI are concerned is inevitably directed from a distance in an aftermath which is uncertain except for the brief return visit after six months. With teacher appraisal modelled on the lines developing during the pilot study, follow-up can be immediate and be what brings the possibility of strong gains in teaching and learning. But then the higher stakes are accompanied by higher risks which means commitment from the managers, effective monitoring, precise expectations and efficiency generally, or there is a probability of wasted effort (CIE 1989).

The uncertainty concerning resources for follow-up touches on issues not far removed from the heart of the matter. Here also there was uncertainty present in the minds of participants, this time over whether the pilot study was about

an innovation in schools or systematization of current practice. Investigation of that uncertainty leads to a larger question: if teacher appraisal as a system is integrated with organizational and curriculum systems in schools, how far does this imply further integration with external management systems operating in LEAs and nationally, controlling the flow of resources? What might the scope for innovation be there? These latter questions need attention in chapter 8.

1.3.5 Teacher Appraisal considered as an Innovation: Some Issues affecting Institutionalization

In this sub-section, teacher appraisal as it developed in the pilot study is evaluated as an innovation. This evaluation presumes that a DES intention was to gain a blueprint for the institutionalization of teacher appraisal in schools.

At an early stage, the national coordinators stated that:

"The NDC recognises that appraisal is a major innovation for all concerned - teachers, heads, advisers, officers, trainers, unions, HMI and DES and so approaches it in the light of what we now know about the management of change".

(McMahon 1987 p. 13)

The coordinators did not indicate clearly why they recognised appraisal as a "major innovation", nor why they believed the other groups did so. However, they did see classroom observation, which was deemed "an essential feature of appraisal" (ACAS Section 7.ii) as "a component of the innovation", commenting that:

"Classroom teaching is at once the most central and the most private aspect of teachers' work. There is no tradition of systematic observation of classroom teaching (apart from in student teaching practice) and it provokes considerable suspicion from teachers ... This is partly because there are no generally agreed criteria for judging effectiveness."

(McMahon 1987 p. 15)

Thus it was a serious eventuality that as time went on commitment to classroom observation became diluted (see subsection 1.3.4 above and chapter 8), weakening teacher appraisal as an innovation.

The evaluators stated that: "For many of those involved, appraisal has been and is an innovation" (Interim Report 1988 p. 48). Their view was that this was so mainly because teachers were working much more closely with each other.

There was also an additional point of interest, as the teachers who saw the introduction of teacher appraisal as an innovation were frequently found studying the research literature on change management. Thus there was involvement of the users, meaning all teachers of all levels of seniority, in the planning of bespoke appraisal systems for their schools (Interim Report 1988).

Perhaps, when considered as an innovation, there was an even more important component of teacher appraisal to notice. This was the provision of time for individual teachers to talk about their work, especially when it was about their teaching, in some detail and depth, to a senior colleague for the first time in their careers. The evaluators go into some detail about this (CIE 1989 pp. 58-60). The representatives of teachers who belonged to the NSG gave emphasis to this aspect of the appraisal interview, by designating it "a professional discussion" in their joint statement made at the national conference on progress in 1988 (Teachers Panel 1988). "Professional discussion" figured with importance in the flow chart of procedure compiled in Newcastle (Newcastle 1987 p.32) but more generally the notion appears subsumed, for example, in "appraisal dialogue" (Suffolk 1987 p.15) or "review discussion" (Somerset 1988 p.22). There was no consistency in the language used to describe the dialogues between appraisee and appraiser. Probably this reflects the differences of approach to classroom observation in the pilot project areas (CIE 1989), and thus a varying degree of concentration on teaching and learning in the dialogues.

The published reports of the evaluators and the coordinators do not offer an analysis of these dialogues between appraisee and appraiser, but what is described indicates the focus was mainly on professional development and considerations of in-service education, rather than on the other requirements set out in the ACAS report (see Table 1.3 above p. 24). It was not recorded by the evaluators that there was an emphasis in the dialogues on teaching and learning directly. The evaluators did point to difficulties which were experienced by participants in finding acceptable criteria to use in

classroom observations and in making judgements using the criteria available. Evidently, neither the publications of HMI (for example DES 1985, 1988), nor what was collated of HMI wisdom within the project areas, nor by other authors (for example Broadhead 1986), was found sufficient. It is a reasonable supposition that these difficulties with criteria would have tended to inhibit the dialogues on teaching and learning which appraisees had with appraisers. At any rate, what the evaluators record in their final report is teacher centred rather than pupil centred (CIE 1989). If this is a correct assumption, the innovative developments during the pilot study were to do with staff relationships and not with what MacMahon called "the private aspect of the teacher's work" (see above p. 38, MacMahon 1987 p. 15)

Nevertheless, the reports of the coordinators and the evaluators suggest that teacher appraisal was being treated more as an innovation than just a process of systematization. Table 1.8 offers a summary of the issues arising when considering teacher appraisal as an innovation, and when, in contrast, teacher appraisal is considered according to DES preference as systematization of current practice.

Table 1.8 TEACHER APPRAISAL (TA): TWO VIEWPOINTS AND ALTERNATIVE SETS OF PRIORITIES	
TA as Systematization	TA as an Innovation
Stress being systematic in "Line Management"	Develop and extend Classroom Observation
Spread "best practice"	Value Student Feedback
Operate as Check on Competency (use criteria)	Use Models (Teacher; Teaching; Learning)
Have alternate purposes: eg Staff Deployment; Pay Entitlement; Promotion	Focus on Teaching and Learning: Apply Research
Use as Instrument of Management	Use to individualize each Teacher's Growth Plan
Flow Information to LEA	Flow Information to Teacher
Concentrate on gathering "evidence" of Teacher Performance	Determine Action by assessing probable Gains for Pupils
Build better teams	Help teachers not to work in isolation from each other
Review the past, assess and make "judgements"	Anticipate, act strategically

Without doubt, at the DES before the trials started, there was no sure assumption that teacher appraisal was an innovation, and consequently it was not analysed as such, beforehand. There was no government guidance therefore to follow when the assumption was made during the pilot study. Subsequently, NSG commented:

"The full impact of appraisal on the schools involved in the study cannot yet be assessed and there may be new lessons to learn from the study over the next few years."

(NSG 1989   p. 2)

There is a sense of anti-climax in the above comment which may reflect some disappointment concerning the impact of classroom observation. In a statement which can be taken as a confirmation of the argument advanced above that in the pilot study the main thrust of attention was not on teaching and learning but on management issues, HMI have said:

"On the crucial question of the effects of appraisal on the work of pupils and students, firm evidence is difficult to come by."

(HMI 1989   p. 28).

Turning now to the issue of institutionalization and taking this to mean that teachers are willingly participating in teacher appraisal, seeing it as a school improvement strategy, the reasonable assumption is that the context in which this participation occurs is crucial. As to this context, there can be said to be three main dimensions which require consideration. These are essentially organizational, social, and cultural in character (Miles 1987). In the pilot study, changes in the norms of teacher behaviour probably did not cover these dimensions sufficiently to assure the institutionalization of teacher appraisal in the schools concerned. There was no blueprint produced to rely upon to secure institutionalization in other schools in due course.

Amongst the important norms of teacher behaviour, there were evidently three which changed in schools involved in the pilot study. These were norms affecting the supervision of teachers including relationships amongst staff, the patterns of classroom observation, and the role of headship. Norms affecting the collection of data on student performance, the

structure of school management, the concept of the teacher's job, the professional development of teachers, beliefs about teaching, and the methods employed for the evaluation of the effectiveness of teaching, were not changed, judging from the literature. The apparent approach to the trials in the pilot study was a conventional one. If then the changed norms of behaviour did not extend over the dimensions of context sufficiently to produce a blueprint for the institutionalization of teacher appraisal, this would both account for the diverse practical outcomes of the pilot study (see above Table 1.7 p. 33) and the apparently weak theoretical base which emerged to build upon, especially with regard to the management of teacher appraisal and its impact on teaching and learning.

1.3.6 Irresolution

In the NSG report, the requirement from ACAS that teacher appraisal should be a "continuous and systematic process" (ACAS report para. 3) becomes a large number of conditions with which the participants in teacher appraisal should comply. The result is systematic in that the events in the process are sequential, those coming first influencing to some extent those coming later. Also, there is an evident interdependence between the events which themselves belong to a structure. Within this "system", there are only weak indicators to show how the events are governed externally and internally. What is expected to make the system work is left unclear, except for the mention of those considerations which are perhaps not unfairly regarded as obvious, and the implicit hope for the presence of goodwill.

Basing judgement on the NSG recommendations, it seems fair to say that only a preliminary stage in the development of a theory of teacher appraisal to apply in the maintained sector had been completed when the report appeared. The NSG recommendations provide for "an appraisal programme for teachers and head teachers respectively" (NSG 1989 para. 28). There are two programmes which have components in common and follow the same outline which is reproduced in Figure 1.1.

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│ │  Figure 1.1.                                          │   │
│ └───────────────────────────────────────────────────────┘   │
│                                                              │
│            Components in the appraisal process:             │
│                    a biennial cycle                         │
│                                                             ▲│
│        ┌──────────────────────────────────────┐            ││
│    ┌──▶│     INITIAL MEETING BETWEEN           │           ││
│    │   │     APPRAISER  AND APPRAISER          │           ││
│    │   └──────────────────────────────────────┘           ││
│    │                                                       ││
│    │                                                       ││
│    │   ┌──────────────────────────────────────┐           ││
│    │   │     APPRAISEE SELF-APPRAISAL          │           ││
│    │   │  CLASSROOM/TASK OBSERVATION(S)        │          Y││
│    │   │  COLLECTION OF 'OTHER' DATA           │          E││
│    │   └──────────────────────────────────────┘          A││
│    │                                                      R││
│    │                                                       ││
│    │   ┌──────────────────────────────────────┐          1││
│    │   │     APPRAISAL INTERVIEW              │           ││
│    │   │     TARGET SETTING                   │           ││
│    │   │  APPRAISAL STATEMENT PRODUCED        │           ││
│    │   └──────────────────────────────────────┘           ││
│    │                                                       ││
│    │                                                       ││
│    │   ┌──────────────────────────────────────┐           ││
│    │   │ FOLLOW-UP DISCUSSIONS/MEETINGS BETWEEN│           ││
│    │   │     APPRAISER(S) AND APPRAISEE        │           ││
│    │   │  PROFESSIONAL DEVELOPMENT ACTIVITIES  │           ▼│
│    │   └──────────────────────────────────────┘            │
│    │                                                       ▲│
│    │                                                       ││
│    │   ┌──────────────────────────────────────┐          Y││
│    │   │     FORMAL REVIEW MEETING            │          E││
│    └───│  ADDITIONS TO APPRAISAL STATEMENT    │          A││
│        │  FOLLOW-UP SUPPORT AND PROFESSIONAL   │          R││
│        │           DEVELOPMENT                 │           ││
│        └──────────────────────────────────────┘          2││
│                                                           ▼│
├─────────────────────────────────────────────────────────────┤
│   Source:  NSG (1989)   School Teacher Appraisal: A         │
│            National Framework   p. 9                        │
└─────────────────────────────────────────────────────────────┘
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In the narrative of the NSG report, guidance on how to work
the programmes outlined in Figure 1.1 is given in the form of
the weak indicators mentioned at the beginning of this
section. For example, NSG recommended that LEAs and schools
be advised that appraisal interviews are likely to be
successful only when:

> "both appraiser and appraisee are well informed and well prepared"
>
> "the topics to be discussed are agreed in advance"
>
> "discussion concentrates on the areas on which information gathering
> has focussed"
>
> "the interview is free from interruptions"
>
> (NSG 1989 para. 42)

Less weakly, NSG by way of preliminary elucidation also

asserted that:

"appraisal is an integral part of the management and support of teachers and must not be treated as an isolated exercise."

(NSG 1989 para. 10)

Despite evidence from the pilot study showing the strong preference of participants for far fewer purposes, the NSG was obliged to adopt the multi-purpose approach to teacher appraisal (see subsection 1.3.1 and Table 1.3 above p. 24) which inevitably meant absence of theoretical clarity to show how this integration is achievable. In practice, conflict rather than integration often arose.

There were conflicts of interest which were recognized early on during the trials. Examples of these conflicts include the following two observations concerning meetings between appraisers and appraisees:

"Agreement should be reached on how much of this confidential discussion ["interview"] should be released to other parties (specifically identified) and upon the content of the final appraisal statement"

(NSG 1988 p. 12 Observation from Cumbria)

"In style the review discussion is not an interview situation, but essentially a professional and friendly dialogue between the teacher and the reviewer to approach, explain and resolve issues together ... it is advisable that the reviewer reminds the reviewee of the conditions governing the distribution, access, life and use of the agreed statement [produced afterwards]"

(NSG 1988 p. 32 Observation from Somerset)

On the point of the first of these observations the evaluators insisted that:

"A crucial balance must be struck between making appraisal information more widely available than has typically happened in the pilot study and providing enough confidentiality to guarantee frank discussion."

(CIE 1989 p. 47)

The evaluators also observed that both headteachers and their staffs "reported concerns about problems of loyalty which arise when information and opinions are sought from staff" (CIE 1989 p. 39) in connection with the appraisal of headteachers.

The code of practice affecting data collection which was appended to the NSG recommended framework did not address ethical issues, other than blandly, for example:

"Those giving information should be encouraged to make fair and considered comments which they are prepared to acknowledge and to sustantiate if required."

(NSG 1989 p. 70 Code item 20).

The evaluators suggested further that there was "a wider issue of how far staff need to be informed about a head teacher's targets ..." (CIE 1989 p. 39), an issue which the NSG framework does not cover. As the evaluators indicated, it was a curious case where the head teacher's targets were not openly integrated with those belonging to other staff. These conflicts of interest over targets and the flow of management information touch on the context into which teacher appraisal is introduced, revealing its importance. Because of this context the ground of judgement was insecure for the NSG, making it proceed cautiously. Caution, however, is not an adequate reason for omitting to explain how "appraisal is an integral part of management ..." (NSG 1989 para. 10 see above p. 44). If appraisal is a covert activity, its value as "an integral part of management" is small, making, in effect, the matter of the interdependence of participants and the relationships between them secret. Borrowing an idea from Molander, the system causes "unproductive behaviour" (Molander 1986 p. 99). He also suggests that the best way to avert it is to put the initiative with the appraisee.

Another example of unproductive behaviour is the recommendation that:

"... once an appraisal statement and any separate note on training and development have been agreed all other documents relevant to the appraisal should be destroyed."

(NSG 1989, para. 67)

There are not signs here of a sharing of data which was expected to illuminate teaching and learning, showing where "the quality of education" was capable of enhancement in the schools concerned. This was presumably the lesson of what happened if the the function of teacher appraisal was to deliver a "judgement of performance" on teachers, making the opportunity cost of the pursuit of accountability a threat to the free flow of educational information. Therefore it seems NSG found it necessary to state:

"the need for teachers who are new to an appraisal scheme to have

of the scheme and to discuss any concerns they have before their first appraisal begins"

(NSG 1989 para. 31)

This was a point which NSG had taken up from the evaluators (CIE 1989 p. 64).

At the practical level, then, in the course of the trials in the pilot projects, if there had been an intention to develop a theory of teacher appraisal through exploring ideas outside the bounds of procedure, NSG would have needed to have come to a vision of optimal school management within which teacher appraisal could also be optimally managed. Evidently, it could not do so, being unsure what were the management norms in maintained schools. For example, NSG urged that:

"head teachers should be expected to reflect on their own performance"

(NSG 1989 para. 53)

"appraisal statements are personnel documents of a particularly sensitive kind; they should be treated carefully and kept in a secure place in the school"

(NSG 1989 para. 65)

Similar comments were fed back from the pilot project areas, for example:

"Teaching is not a routine activity and no one observation is likely to typify the generality of a teacher's classroom performance"

(NSG 1988 p. 32 Observation from Somerset)

All the above extracts from the report of NSG suggest its authors had a low expectation about what was "good" practice in school and LEA management. Additionally, the last extract indicates NSG lacked confidence that what was being recommended was not fraught with new prospects of conflict at school level between teachers and their senior colleagues.

NSG showed its uncertainties not just about the norms of school management, but even about its own credibility, in the language of its report. For example, what is followed up has to be "properly followed up" (para. 46), benefit has to be "maximum benefit" (para. 53), dialogue between appraiser and appraisee has to be "genuine dialogue" (para. 61), professional criteria have to be "sound professional criteria" (para. 62), records have to be "proper records" (para. 63), a

day has to be "full, uninterrupted ... " (para. 74), what is used has to be "fully used", and so on; this list is not exhaustive. There was also the persistence of ambiguity which, for example, was lightly disguised by statements relying on an interpretation in some twenty instances of "appropriate", "as appropriate", "where appropriate", "wherever possible".

Irresolution is a fair description of the state of things affecting teacher appraisal and its management during the follow-up after the pilot study was finished. Being evidently dissatisfied with the NSG report, government engaged in further consultation over teacher appraisal, directly involving this time people with business connections. Nearly two years later, when the Statutory Regulations appeared, the upshot of the several stages of consultation was little change from the position government had adopted in 1985. This outcome is reviewed in chapter 8.

1.4 CONCLUSIONS
1.4.1 The Emergent Alternatives
In this chapter, there is clarification of which aspects of teacher appraisal were addressed during the pilot study and which were not. It is clear that many aspects were addressed, but mainly those defined most clearly were such as belong to procedures, not concepts, skills and systems. The NSG progammes exemplify this outcome (see above p. 44-6). At the heart of the outcome is the evaluators' finding that LEA guidance on classroom observation tended to "focus on organizational and procedural matters rather than on the skills required" (CIE 1989 p. 20).

Although neither the evaluators, nor the coordinators, nor NSG claimed that a definitive scheme of teacher appraisal was established during the pilot study, nevertheless two emergent possibilities can be discerned. These can now be outlined.

One possibility for teacher appraisal likens to a closed system of remotely controlled maintenance checks on a mechanism, namely, the "teaching force" (HMSO 1985 p. 4) or

"teacher force" (NSG 1989 para. 79). The stance in this case is that provision in schools is basically satisfactory (see HMI comment above p. 6), but with regard to management procedures there is a need for greater "systematization" (see Table 1.8 p. 40). The checking arrangements available need to be better used to maintain the designated mechanism in good working order. The focus here is on deployment tasks: on managing existing skills to the best advantage. Partial attention is given to the refinement of these skills, using the conventional means of Inset. The system is "closed" in that it is not interactive with the external environment, or not very much, meaning line management limits contact between teachers and with other systems. The system is remotely controlled in that the frequency of the checks is determined by central government, their cost is likewise determined, and monitoring is directed from sources located outside the school, at the levels of the LEA or government.

With this first example of a possible scheme, the question which is essential to ask is how well are teachers (appraisees) performing; and the key responsibility of the appraiser is to decide the answer. The scheme excludes probing deeply into teaching and learning, or exploring connections between teaching options and pupil attainments, since doing so is considered to take up too much time, to arouse controversy, to lack susceptibility to bureaucratic control, and to require new resources.

The "maintenance checks" required in this scheme mean using criteria which are intelligible to lay "managers", school governors, for example, to whom reports giving the answers to the essential question are made. The criteria used are of a general nature (see Appendix 1.5) and there is no fundamental reliance on external sources of information to help in validating their applications, disregarding, that is to say, the occasional contact with HMI or the local inspectorate and reference to testing associated with the national curriculum. There is no great interest in research generated by this scheme, even though there is interest in "good practice". What is required is a good showing on the part of the school,

reassuring all concerned, especially politicians, that there is regular account given by teachers of what they are doing.

Even in this outline, as a low cost mechanism, within the limits of its capacity, this first example of a possible scheme demonstrates with some force the potential cosmetic merit of teacher appraisal. What is brought out is its apparent attractiveness when seen and used as a means of control over what teachers do, or at any rate over the flow of information suggesting what they do. This example of a scheme of teacher appraisal displays what is essentially a political solution to the perceived problem. A representative expression of an LEA's interpretation of the scheme in the form of a flow chart is shown in Appendix 1.9.

The flaw in the above possibility is that inevitably the assumptions on which the scheme depends are not clear. As a result, the images of the appraisee and appraiser are blurred, and the ways in which teacher appraisal is intended to be related to other components of school management are uncertain. In this case, teacher appraisal is a self-contained "mechanism" which can operate on its own, probably causing little difference to its environment. It tends to celebrate the status quo. It is not the best vehicle to use to convey any new means of enhancing teaching and learning.

The second example of a possible scheme of teacher appraisal emergent from the pilot study can be modelled as a human activity system (Checkland 1981). The scheme in this second example is avowedly an innovation (see subsection 1.3.4 above and Table 1.8 p. 40) and intended to serve the purpose of school improvement. It relies heavily on theoretical underpinning, and participants believe they can improve their understanding of teaching and learning by becoming "more articulate about what [they] do" (CIE 1989 p. 54) " sharing ideas and seeing each other teach" (CIE 1989 p. 49) and so they apply andragogic principles in professional development activity. As an international teacher educator has observed:

"Learning through one's own experience has the advantage of

*involving the entire individual, ie both intellect and feelings, and
of therefore being more enduring and more important to the
individual. Furthermore, this type of learning is more likely to be
translated into action than instructions from other people as to
what one ought to do."*

(Stego et al 1987 p. 187)

Consequently, with this second possibility, the focus of the
attention of the managers of the system is on social
relationships, social structures and the interdependence of
the persons involved in the school, including pupils and,
possibly, parents, particularly at the evaluation stage. This
system is an open one which operates in an integrated way with
other management systems in the school.

The dominant sense of the "privacy" of the teacher in the
classroom (McMahon 1987 p. 15, see above p. 38) is removed
once the flow of information gathered during appraisals is
directed towards the teacher and used as a resource to
progress teaching and learning. Everyone's targets are shared
in the common cause of "promoting the development of [the]
school" (CIE 1989 p. 58). Spurred by the changes to
traditional patterns of supervision and headship roles, the
teachers are willing to participate and the requirements for
institutionalization are met (Miles 1987, see above p. 41).

In this scheme, the question considered essential to ask is
how can the organization help the appraisee. The appraiser
has the qualifications and status to stimulate "a good two-way
sharing" (CIE 1989 p. 59), and the credibility necessary to
assure the follow-up. Problems arising from confidentiality
and loyalty issues such as those highlighted by Pring (1984)
seem much reduced, if not removed. Student feedback is valued
as guidance on teacher effectiveness or as an affirmation of
the active involvement of students (ACAS p. 35, Appendix 1.5,
and above p. 3). Self-evaluation is habitual with all staff
in accordance with bespoke arrangements distinctive for each
school (Interim Report 1989 p. 48).

The willing engagement of staff in appraisal means that its
value determines its priority as a call on time, and the
resources are found so that the process is continuous. There

are formal records, but these are designed for formative purposes which the LEA supports. Monitoring is linked with school focused provision for teachers' continuing professional education. The LEA develops this largely from outcomes from the consultative arrangements upon which its policies towards teacher appraisal are based.

The two schemes of teacher appraisal suggested above as potentially emergent from the pilot study need be outlined only at this point to show the contrast. The remainder of the thesis is much concerned with the building up of each scheme. This is done, on the one hand, by applying the findings of the empirical study, and, on the other, by detailing the development of government policy on teacher appraisal. In the following chapters, it is argued that the policy makers choose basically and for all practical purposes just between one or other of these two schemes.

1.4.2 Importance of the Approach taken to Teacher Appraisal

As is clear from the presentation in the preceding subsection, the choice of approach to teacher appraisal is important for many reasons. However, in the last analysis, there is the key reason which is that in their choice of the approach, the policy makers reflect their beliefs or doubts about teachers and their principal concerns. If, for example, the approach is on the lines illustrated in the first example in the above subsection 1.4.1, the policy makers are reflecting inter alia their doubts about whether teachers are professionals, their misgivings about school management, and their assumptions about expertise on teaching. If the choice follows the lines of the second example, what matters most to policy makers is the concern teachers have with making interpretations of the curriculum and with assessing whether, as a result of those interpretations, desired impacts on students have been realized. In other words, the vision of the policy makers is important, determining the choice of approach, or the nature of the practical compromise made over the choice of approach, and influencing the way the system eventually adopted is managed.

As one expression of the vision in prospect, it has been
suggested that at a political and organizational level, there
is need to respond to the pressure on schools to secure:

*"an increased social interplay among school (staff at all levels)
and between them and the community;*

increased pedagogic efficiency;

increased democracy in the school's internal work."

(Stego et al 1987 p. 191)

Given that the pressure on schools is as Stego (1987) suggests
above, then it seems likely to lead to a reversal of the
influences shaping teacher appraisal from those coming from
the top down, as during the period 1985 to 1991, to those
coming from the bottom up, at a future date. This is a good
reason for getting to know more at the grass roots about the
thinking of teachers on teacher appraisal.

Moreover if Stego is right, it matters greatly that teachers
are seen as professionals. Having regard to the various
attributes of professionals identified in this chapter, it
can be suggested that there are five which are likely to be
more relevant than others to teacher appraisal. These
attributes are briefly summarized in Table 1.9.

Table 1.9 ATTRIBUTES OF PROFESSIONALS RELEVANT TO A CONSIDERATION OF TEACHER APPRAISAL
1 Deployment of distinctive skills and knowledge
2 Shared methods support the approach taken to solve problems
3 Collegial style when working with colleagues
4 Commitment to continuing professional education
5 Exercise of peer pressure to influence standards

The attributes summarised in Table 1.9 mean that discretion is
a very important professional parameter for a teacher.   As
Brophy and Everston have indicated:

*"Effective teaching is not simply a matter of implementing a small
number of basic teaching skills. Instead effective teaching
requires the ability to implement a very large number of diagnostic,
instructional, managerial and therapeutic skills, tailoring
behaviour in specific contexts and situations to the needs of the
moment. Effective teachers not only must be able to do a large
number of things; they must also be able to recognize which of the
many things they know how to do applies at a given moment and be
able to follow through by performing the behaviour effectively."*

(Brophy and Everston 1976)

Stego's point about pedagogic efficiency can be illuminated by taking up a suggestion from Davies (1971) according to whom there are four key variables affecting the management of teaching and learning. In the school context, these variables may be described as: first, the curriculum including its organization, second, the internal school environment and its organization, third, the student (or pupil), and fourth, the teacher. The interaction of the four variables with each other, and the respective or collective interactions between these variables and the external environment have a combined influence on teaching and learning. Figure 1.2 illustrates the position diagrammatically.

Figure 1.2   THE MANAGEMENT OF LEARNING

THE ENVIRONMENT

ORGANIZATIONAL OBJECTIVES

AN INTERACTION PROCESS

TASK VARIABLES
Structure, Requirements, Needs, etc.

ORGANIZATION VARIABLES
Structure, Technology, Needs, etc.

STUDENT VARIABLES
Capabilities, Attitudes, Needs, etc.

TEACHER VARIABLES
Philosophy, Style, Needs, etc.

PERFORMANCE VARIABLES

Source: Davies I.K. (1971) p. 13
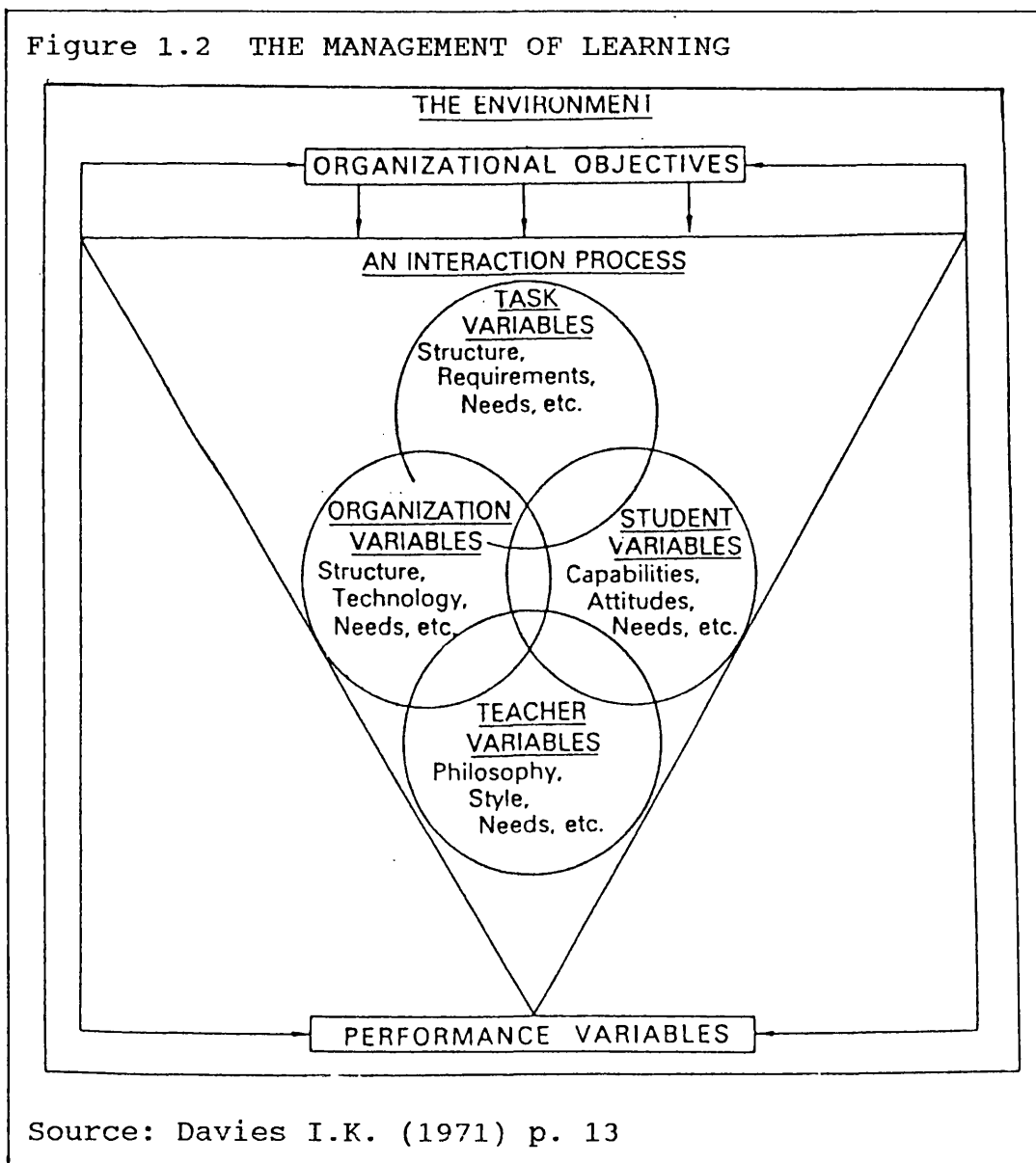
A conclusion to draw from the observations cited above expressed by Brophy and Everston (1976), Davies (1971) and

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Stego (1987) is that if teacher appraisal is taken to be about assessing a teacher's performance in accomplishing tasks, as in the approach made by ACAS and by NSG, and persisted with by HMI (HMI 1989 para. 90), then only a small proportion of the concerns of teachers are comprehended. Teacher appraisal has to take account of all concerns, practically and conceptually. Examples of how this can be done and of approaches which give emphasis to teaching as a professional activity are available.

Over longer periods than is so far the case here, in USA and Canada explorations of approaches designed to require "accountability" from teachers have led to changes of direction and a different realization of the function of teacher appraisal based on the assumption that the teacher is a professional. The special interest lies in the comparison of this experience overseas with the emergent possibilities described in the conclusion of this chapter. The next chapter examines this experience overseas.

Chapter 2   <u>Teacher Appraisal in the United States and Canada</u>

2.1 INTRODUCTORY

The system of teacher appraisal which is the subject of this chapter has a clear resemblance in structure with the system which has been proposed for this country and which has been discussed in chapter 1.   The system now to be considered includes a cycle of conferencing and observation, planning and time management, data collection and feedback in written or verbal form, culminating in follow-through activity to gain further benefit from the appraisal for participants.   A diagramatic example of this cycle from Toronto is shown in Figure 2.1 on page 58.   Two other examples are given in Appendix 2.1.   The wider context of the system as depicted diagramatically in a Canadian study of teacher appraisal is shown in Figure 2.2 on page 59.   Figures 2.1 and 2.2 illustrate positions representative of those found in the school districts visited, in both USA and Canada.   The structural similarity between the two systems belies however contrasts in the point of focus and in the anticipated or actual norms of behaviour of the participants.   The argument of this chapter is that this difference is at the heart of the matter of whether teacher appraisal is worthwhile or not.

Part of the justification of the argument in this chapter derives from the belief that experience in USA and Canada with teacher appraisal is relevant to this country.   It is useful to establish from the first that there are several good grounds to make this a reasonable belief to hold.   Foremost is that in those countries there has been increasingly widespread participation for a period approaching two decades and the development in that time has been remarkable from our point of view.   Second, despite many operational differences between how schools are run there and in this country, we share much of the philosophy that informs educational thought in USA and Canada.   For example, in a Manual for Teachers, published by the   Alberta Teachers' Association (1979 p 15), concerning matters relevant to teacher appraisal, the observations are made that:

"1) schools which operate quite differently may be

equally effective

*2) a school should be assessed in terms of what it is
trying to accomplish"*

These observations would make a good fit with our own situation. Third, the circumstances of change there and here affecting schools are very similar . For example, in 1980, at the Summer Institute of the Chief State School Officers (Halperin 1980), it was forecast that such issues as the following would be dominant concerns for school management and leadership during the eighties:

2.1.1   *the massive explosion of new knowledge*

2.1.2   *revolution in the technology of handling and
transmitting knowledge*

2.1.3   *erosion of traditional authority structures and
decline in respect for "leaders" of all types*

2.1.4   *decline in most universally shared or central
social values*

2.1.5   *uncertainties over the availability of economic
resources for education*

2.1.6   *creating self-renewal mechanisms for schools and
for teachers who would be both aging and
difficult to replace*

There and here these issues persist, and have had to be confronted in the schools at times when the voices of dissatisfaction with educational achievement can be seen to come from from all parts of the political spectrum. The issue described in 2.1.6 is particularly apposite to the subject of this thesis.

Interest in Teacher Appraisal had quickened in USA and also in Canada around 1980. In USA, ethnic desegregation of pupil enrolment in schools, particularly in the South, gave impetus to the development of teacher appraisal, affecting especially beginning teachers (or probationers), to secure that the teachers who were recruited to the newly reorganized schools met defined standards of subject and pedagogic knowledge and skill. Between 1979 and 1982, in USA, competency testing of teachers had become mandatory in 20 states; teacher appraisal was associated with such tests of competency which were extended to affect entitlement to continued employment in teaching as, for example, in Georgia where much pioneering work on teacher appraisal was undertaken in the early eighties (Solomon 1980, Berland 1983, Freeman 1983). In Canada, the

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setting up of local autonomous School Boards in the late sixties and early seventies marked a change of interest there. This can be illustrated by reference to experience in Ontario where teacher appraisal emerged to replace the discontinued, periodic, visits by the school inspectors from the Ministry of Education of the province. By the mid-seventies, while only a minority of the new School Boards had formal systems, nevertheless teacher appraisal, generally termed "teacher evaluation", was perceived as a replacement regulator of good practice in teaching, operating under the general direction of newly appointed supervisory officers. These officers were given as a statutory duty visitation of classrooms as part of their supervisory function over teachers. Judging from a report produced in 1986 for the Canadian Council of Education Ministers, there were similar developments elsewhere in Canada (Lecuyer 1986).

In both Canada and USA, the object at this time was to provide the means of assuring teaching standards in changed circumstances, which included marked public anxiety over the standards of attainments of the students, especially in USA (Berland 1983), and a context of falling rolls, especially in Ontario (Hay 1985). While the origins of the current approaches to teacher appraisal in these countries were thus in certain ways dissimilar, pursuit of that common object has led to outcomes which have strong affinities, as we shall see.

In USA and Canada, it was evidently the concern of politicians to reassure the public that there was effective quality control over teaching in publicly funded schools that drove the initial developments in teacher appraisal. Then the goal was to secure accountability from teachers and school administrators that they were not covering up incompetence, nor slackly accepting low standards in schools, through lack of oversight, but were indeed striving for improvement. We can learn from the experience of teacher appraisal in those countries, as that initial course of development in North America is being replicated here. However, we perhaps do not need to stumble in the same pitfalls because, as it will be argued, the lessons are so clear from which we can learn.

Figure 2.1

SUMMARY OF STEPS IN TEACHER PERFORMANCE REVIEW

SYSTEM GOALS
Reviewer/Reviewee discuss T.P.R. process, schedule, goals of system, family of schools and school

POLICIES
Reviewer/Reviewee discuss relevant Board policies and curriculum guidelines

PRE-GOAL OBSERVATION
Reviewer observes and records observations and discusses observations

CONFERENCE
Reviewer and reviewee discuss and agree on goals and indicators of success

AGREEMENT
Reviewer/ Reviewee sign and retain copy of goals

IMPLEMENTATION & OBSERVATION
Reviewee implements goals. Reviewer observes

CONFERENCE
Reviewer assesses and discusses progress with reviewee

REPORT
Reviewer prepares and signs report

SIGNING
Reviewer/ Reviewee discuss T.P.R. report and reviewee signs it

CONFERENCE
Reviewee encouraged to comment on process and indicate plans for professional growth

PRESENTATION
Report sent to appropriate Supervisory Officer for signature

DISPOSITION
Report returned to reviewee who may forward it to the Staff Development Department

Source: Teacher Performance Review Guide 1986-1989   (1986)
Toronto School Board

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Figure 2.2

Systems Model for Performance Appraisal

```
                         ┌─────────────────────┐ 1
                    /    │   Organizational    │  \
                   /     │ Goals and Objectives│   \
                  /      └─────────────────────┘    \
                 /           /        \              \
                /           /          \              \
               /           /            \              \
          ┌──────────────┐ 2          ┌──────────────┐ 7
          │ Organization │            │  Purpose of  │
    - - ->│  Structure   │ - - - - ->│   Appraisal  │<─-─
          └──────────────┘            └──────────────┘        PREPARATION
                 │                           │
                 ↓                           ↓
          ┌──────────────┐ 3          ┌──────────────┐ 8
          │     Job      │            │              │
    - - ->│ Descriptions │ - - - - ->│   Criteria   │<─-─
          └──────────────┘            └──────────────┘
                 │                           │
                 ↓                           ↓
          ┌──────────────┐ 4          ┌──────────────┐ 9
    - - ->│   Contracts  │/ - - - - ->│ Data Collection│
          └──────────────┘            │     Type      │
                 │                     │    Source     │<──      DATA
                 │                     │    Method     │        COLLECTION
          ┌──────────────┐ 5          └──────────────┘
          │  Individual  │               /  \
    ─────>│  Objectives  │              /    \
          └──────────────┘             /      \
                 │                    /        \ 11
                 ↓                   /       ┌──────────┐
          ┌──────────────┐ 6        /        │ Follow-  │
    - - ->│     Job      │         /         │ Through  │
          │ Performance  │        /          └──────────┘
          └──────────────┘       /              ↑
                \               /               │
                 \             / 10             │     REPORTING
              ┌─────────────────────┐           │     AND
              │    Performance      │           │     FOLLOW-UP
              │      Review         │           │
              ├─────────────────────┤
              │ Analysis of Data    │
              │ Decision (Type &    │
              │ Method)             │ 12
              │ Method of Feedback  │ ┌─────────────────┐
              └─────────────────────┘ │ Assessment of   │
                       │             │ Appraisal System │
                       ↓             └─────────────────┘
    IMPACT                      EVOLUTION OF POLICY
```

Source: Lawton, S.B., et al (1986) Development and Use of Performance Appraisal of Certificated Staff, Ministry of Education (Ontario)

2.2 METHODOLOGY

The methodology followed in compiling the data which provides the basis for the rest of this chapter comprises three distinct research strategies:

2.2.1 The written teacher evaluation material used in eleven school districts was studied in detail. This material described policies and procedures. It indicated standards and timescales, affecting the development and use of teacher evaluation. Comparisons were made with similar material collected four or five years earlier in USA, during previous study visits, in 1982 and 1983.

2.2.2 In depth interviewing was undertaken with 73 people of varying status and in different locations. The greater parts of their individual responses during the interviews were recorded on tape, providing some 20 hours listening.

2.2.3 Mini-case studies were made. The subjects included examples of teacher evaluation and supervision in practice, and of groups participating in training programmes. It was necessary to make school and classroom visits for extended periods of up to a whole day at a time.

The experience of teacher appraisal in North America is illustrated in this chapter using information gathered during the field visits. These visits were arranged with the aim in mind of identifying, if possible, in a variety of locations, current and previous practice relevant to our circumstances. The choice of the locations was the outcome of discussion with persons contacted either on the earlier visits, or during international, OECD sponsored, seminars which were attended during the mid-eighties, concerning the broader but related subject of school improvement.

The locations of the field visits included large and small school districts in rural and urban areas. The people met included teachers and professional school administrative staff of all levels of seniority, representatives of professional

associations, and academic staff and educational consultants associated with the training and in-service development of teachers and school administrators. High schools and Elementary schools, Teachers Centres, Colleges and Universities were visited. The offered opportunity was taken to sit in on teacher appraisal sessions, share in classroom observations, and to participate in training programmes and a range of other activities illustrative of the context in which teacher appraisal was conducted during late 1986 and the Spring of 1987. This opportunity has mainly provided the material for the analysis which follows of teacher appraisal policies and practices in North America. The viewpoint adopted in making this analysis is intended to be one with which persons engaged in educational administration and teaching in this country can be comfortable. Appendix 2.2 lists the places in the itinerary and gives further information about who was met during the field visits. When referring below to persons quoted verbatim from interviews, the initials and the location are given. These references can then be related to the information in Appendix 2.2 as required.

2.3 THEMES

The focus of attention in this section of the chapter is to study whether and, if so, in what ways teacher appraisal in USA and Canada was seen as an approach to the improvement of teaching and learning. "Theme" is used here in the sense of a set of recurrent ideas or experiences. In the places visited, each such set was found to express a fundamental influence on how teacher appraisal was perceived by participants, and how it was expected to operate in terms of bias, support systems, procedures and values. Through an exploration of these themes the pertinence and importance of the findings from the field visits to Canada and USA can be conveniently shown in relation to the development of teacher appraisal in this country. There were six major themes which emerged during the field visits. These themes are summarised below:

   2.3.1   an approach to teacher appraisal unified with organizational development overall

   2.3.2 collegiality and sharing

2.3.3   the powerful appreciation of the differences
between "accountability" and "growth" models of teacher
appraisal

2.3.4   the versatile functions of goals and the goal
setting process in an approach to teacher appraisal
unified with organizational development overall

2.3.5   the high value attached to empirical research and
to the use of theory by all concerned with the
development and the operation of teacher appraisal and
the assessment of its benefits

2.3.6   student centredness as a characteristic of
criteria informing the approach and used to measure the
value of the system

Concerning these themes, as it is helpful in bringing out
their meaning, it is noteworthy that at the Summer Institute
of the Chief State School Officers in 1980 referred to above,
it was suggested that:

*if we are to understand a constituent group as an organization or
network of professionals ... the following variables need to be
considered:

GOALS   To what degree is the constituent group clear   about what
its purposes are in relation to the area of concern ... ?

AUTHORITY RELATIONS   Who are the major persons in control of the
constituent group?   What is the basis of their authority?   Is the
authority centralized in a small group of staff, or is it diffuse
with many centres?

ROLE DEFINITION   How well defined are the central roles of the
constituent group?   Are there key roles which must be influenced if
the group is to be influenced?

COMMUNICATION PATTERNS   How effective are the current linkages
between the constituent group and the agency?   Is there a need to
create new linkages?

INTERGROUP DYNAMICS   How can the relationships between this
constituent group and other groups that must be influenced be
characterized?

NORMS   What are the informal operating rules of the constituent
group which will either interfere with or facilitate influence by
the agency?

CONCERNS   What does the constituent group want from the agency?
What reciprocal influence exchanges might occur with the constituent
group?*

(Lake 1980)

After exploring the six themes, the variables which Lake
(1980) suggested merit consideration will be used as reference
points for further diagnosis purposes, in the conclusion.
This is justified because, as will be demonstrated, it was
evident that the managers of teacher appraisal in Canada and

USA were mindful of such variables. Meanwhile, it will prove useful to bear them in mind.

Theme 2.3.1 <u>An approach to teacher appraisal unified with organizational development overall</u>

It appeared of fundamental importance, to supervisory officers and to appraisees alike, in the school districts visited that the approach to teacher appraisal was 'unified'. By this was meant that teacher appraisal was considered not in isolation from other aspects of human resource management, but as part of the larger whole, and from the perspectives of those staff whose responsibilities embraced organizational management and development. The approach was epitomized by the Superintendent of Employee Services for the Halton School Board who said he defined:

> *"the role of administration as being the provision of helpful systems to the people who are doing the real work in the organization ... we look at the supervision and evaluation process as a helpful system (BW Halton)"*.

A principal of a large elementary school (670 pupils, 30 teachers) in Peel County suggested that:

> *"everything we do should be evaluated, because we are never as good as we want to be; and only by a process of evaluation can we realize where we have to concentrate our efforts to improve (MB Peel)"*.

A School Superintendent in Peel County expressed the same viewpoint and said his school district had:

> *"a formal student evaluation process, a student evaluation plan, a school evaluation plan, including everything from teacher made informal tests, standardised tests, discussion sheets, observation and conferencing with the child, objectives for every division [subject area], and formats for reports to parents ... (BQ Peel)"*.

These arrangements were supported by comprehensive guidance for Principals and teachers. This approach to teacher appraisal as just described was in line with the comprehensiveness of policy characteristic of all the school districts visited.

Such policy and the approach was supported by an abundance of documentation so that at all levels staff knew what was expected. "The key to the thing is that we are trying to get no surprises", as one Principal stressed in Leeds and Grenville (MRC Leeds and Grenville). A young teacher in her first year at Central Peel High School indicated that she

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considered teacher appraisal to be "just a way of life" (LC Peel). In this situation, clear role definition is crucial, and also a job description that gives a faithful statement of the reality of a person's work, in a practical way which enables job development and job performance to be criterion referenced. Typically, there was a handbook or manual of standards of performance for every job any professional in the education service in the district might undertake. Three examples from different school districts are given in Appendix 2.3. At school level, these standards might be further refined as shown in Appendix 2.4. or conceptualized for self-evaluation as shown in Appendix 2.5.

The definition of desired roles and necessary tasks in an organization, the identification of the skills and the range of knowledge required to promote the effective execution of those roles and tasks were seen to imply an understanding of a mission which the school boards invariably declared. A notable example was found in Hamilton. This was derived from a long range planning document called a guide and entitled "Blueprint for the Eighties (Focus on the Classroom)" published by the Board in 1980. This document was supplemented by updated material on a regular basis annually. In the initial document, there was a detailed statement of commitment to appraisal of staff, at all levels from Director of Education to classroom teacher. The commitment to appraisal was given as follows:

Evaluation, or Staff Performance Review, is a continuous, constructive, cooperative process designed to determine educational objectives and the degree of success in these in order to determine future directions and strategies. The basic goal is greater satisfaction through improved teaching and learning.

(Hamilton 1980)

Annually, the Director of Education has provided for the Board a statement of "Goals and Objectives" relevant to the whole education service in the Hamilton School District, and these have permeated into the schools, and into all the supporting agencies controlled by the Board. This permeation was achieved through the goal setting process of this district and demonstrated in the relevant records. The process in Hamilton and elsewhere is described as part of the account of Theme

2.3.4, below. Here it is relevant to say that the value of teacher appraisal as a cause of systematic planning was highly rated in schools. For example, in Hamilton, the Principal of a Vocational High School expressed the position by saying that:

"A number of years ago ... teachers were working on a day-to-day basis. If they got through Thursday, they were ready for Friday; if they got through Friday, they were ready for Monday ...I really am trying to get people to look down the line: a half-year at a time, a year at a time. I am constantly doing it myself; I am constantly challenging staff to do that ... you know, darn it, I have been successful at that. Staff make more long-range plans because of this than they ever did before (TL Hamilton)".

The importance of teacher appraisal in long-range educational planning was emphasized in the School Districts visited in USA. For example, in Pittsburgh, the planning of the development of teacher appraisal from 1981 was central to the implementation of a policy of school improvement that had been initiated in 1980. This policy derived from a needs assessment survey of the school district, leading to a new approach to staff development and a new system of monitoring achievement in Pittsburgh schools. Following the survey, a review was undertaken of concepts and methodologies of teaching and the literature by an "Instructional Leadership Committee" comprising teachers, Principals, supervisory staff, and other members drawn from the education department, numbering twenty in total. "The task of this committee was to address the staff evaluation need by establishing a unified approach to effective instruction" (Davis 1983). The product of the committee was called PRISM, the Pittsburgh Research-based Instructional Supervisory Model.

The creation of PRISM owed much to the work of Dr Madeline Hunter and Dr Theodore Forte, both well known researchers and teachers in the relevant fields. Two staff development centres were set up to make possible the systematic retraining of all the teaching and supervisory staff working in the Pittsburgh schools, block release time being provided (8 weeks for secondary teachers, 6 weeks for primary), and follow-through activity in the schools. The teaching model was demonstrated and practised by the "visiting teachers" at the centres, and then applied in their schools. Subsequently,

teacher appraisal has been based on this model. (Appendix 2.6 shows the main components of PRISM.)

Each centre in Pittsburgh was based at a school, one a secondary, and the other a primary. Visits to both showed that the staff development centre worked integrally with the operating school. Both operating schools were regarded as exemplary and thus offered models for educational activities over wide fronts, being experimental schools in themselves. For example, at Schenley Senior High School, there was an annual school climate survey undertaken, relying heavily on student responses; and the school had an "Educational Improvement Cabinet" comprising all administrators (ie the Principal and Vice-Principals), the departmental chairpersons, a counsellor, a social worker, and two teachers on special assignment (ie carrying a temporary additional responsibility). Occasionally, students and parents might be co-opted to this cabinet.

The particular merit of these centres from the teacher's point of view appeared to be the evidence they gave of the School Board's commitment to promoting the continuing professional growth of teachers, judging by conversations with teachers who had experienced the training offered. Such teachers had an opportunity to pursue an individual project in addition to the centre experience. Examples of projects described by three teachers were:

2.2.1.1 a visit to NASA for a week

2.2.1.2 release to bring together a collection of instructional drawings for craft work in jewelry making and uses of metal gathered during a career but needing systematic sorting and indexing

2.2.1.3 preparation of science teaching materials showing distances in space (and involving a training flight).

Another teacher (GN Pittsburgh) described her experience as having four components:

2.2.2.1 learning the instructional model

2.2.2.2 a clinical experience

2.2.2.3 participation in professional seminars

2.2.2.4 professional development (including externship eg industry visits relevant to personal teaching fields of interest)

More generally, the centre experience was valued by GN because it meant "being able to talk to colleagues systematically" (GN Pittsburgh). One teacher spoken to informally said that the evaluation experience at Schenley gave him pride in the Pittsburgh school system. There was certainly a stimulating environment at both centres, exemplified during the visit in discussions by visiting teachers of matters such as a group observation of a colleague's lessons, a presentation by a medical officer on teenage difficulties in growing-up, and a shared experience of teaching lessons in critical thinking (which were obligatory for all teachers, regardless of phase or specialism, and were playing a key role in the plan to raise student achievement in Pittsburgh's public schools). Besides superordinate evaluation, the Pittsburgh plan of teacher appraisal included a requirement for four peer observations a year. The person observed chose the observer, but the selection of someone not belonging to the observed teacher's own department was encouraged.

Observing in classrooms where the subject was outside one's own discipline was a matter addressed in different ways. In Pittsburgh, the belief was that a person trained in PRISM was capable of observing in any discipline since the model drives the conferences (ie the discussions relating to the observations) between the evaluator and the evaluatee. Firsthand experience of conferencing in these circumstances, following a physical education lesson, suggested that this capability was developed. However, in Toronto the approach was to provide guidelines for all subject and phase disciplines, bringing out the distinctive teaching elements to notice. The guidelines were the products of teachers in the respective disciplines. Nevertheless, the Principal of a Technical High School in Toronto stressed that:

"what you want is for the data to speak for itself ...so that when you're speaking with the teacher ... you want the data to talk to to the teacher rather than your opinion ... so you are not saying this was well done or this was poorly or whatever ... you want to be as non-judgemental as possible" (JW Toronto).

The object then can be briefly stated as being to consider what happened in the classroom in terms of what the teacher intended to happen and the realization of lesson objectives.

This object was often made explicit in school documentation, a relevant example of which is the framework "Instructional Assessment" provided at a high school in London (Ontario) and copied in Appendix 2.7.

There appeared to be no doubt in anyone's mind that teacher appraisal compelled Principals and Vice-Principals to be out and about in the school and in the classrooms, and to take a keen interest in teaching and learning styles. Moreover, "the more time you spend at the head-end, the better off it will be ..." was the view of a Superintendent in Toronto (BB Toronto). This Superintendent thought that a third of the time of the Principal and Vice-Principal should be spent 'at the head end'. There was agreement amongst the Principals and Vice-Principals with whom this matter was discussed that they did have to be out and about in their schools. Those who had experienced former practice, when Principals were expected to show a low-key interest in actually having classroom visiting as part of their regular function, generally preferred the new, one in particular stressing another benefit which was that "it takes the pressure off when you get into the formal evaluation system" (JK Leeds and Grenville). Compared with the inspection mode the contrast was clear: "no longer some stranger coming into your classroom to sit there for a quarter of the day making notes at random" in the words of a Teachers' Federation representative (LT Hamilton EWTF).

The growth in the scale of familiarisation of supervisors with their schools and the teachers where they worked was valued. In a discussion with a Superintendent and an elementary school Principal, the comprehensive gains in knowledge, confidence and management effectiveness from teacher appraisal for staff was emphasized.

> *"In our system, it is the Principal who is the one who does the teacher evaluation - because of numbers and so on. If the Principal sits down with each teacher at the beginning of the year and reviews that teacher's plan, then it seems to me that the Principal is knowledgeable, and is in a position to be helpful, whether it is approving and encouraging excursions of kids, whether it's buying materials, or planning the budget, professsional development, setting reasonble objectives for a department of first grade, or for the individual" (BQ Peel).*

The Principal said:

> *"I think that now that the Superintendents and Principals are*

knowledgeable about program (curriculum/syllabus), resources, strategy, teaching techniques, they are seen more as an asset to the teacher as opposed to the fire inspector coming in to inspect the building once a year, whatever. So it's a matter of establishing climate; it's a matter of establishing rapport, of shared knowledge. There are a lot of criteria that go into the making up of, you know, that climate where evaluation can flourish and be beneficial" (MB Peel).

Beneficial teacher appraisal meant that there was a systematic follow-through element. This is clear in the Pittsburgh approach, already described; it was clear to the teachers in Ontario. At a meeting at the offices of the Ontario Public School Teachers' Federation, the point was made that the model of staff development associated with teacher appraisal provided a post event focus so there was always an eye to follow-through and internalising and institutionalization of change (NC OPSTF). The theme explored so far implies collegial relationships and much sharing amongst staff, as suggested by MB, and this topic needs now to be considered.

Theme 2.3.2 <u>Collegiality and Sharing</u>

In Ontario, the Education Act 1980 sets out the duties of teachers in some detail. One of these duties enjoins the teacher: "to assist in developing co-operation and co-ordination of effort among the members of the staff of the school" (Education Act chapter 129 Section 235 (1) (d)). A similar duty is enjoined upon the Principal who is: "to develop co-operation and co-ordination of effort among members of staff of the school" (Education Act chapter 129 Section 236 (b)). The Ontario Teachers' Federations were highly supportive of collegiality and a sharing approach, from an early stage. In 1979, the Ontario Secondary School Teachers' Federaration published its first "Evaluation Bulletin" entitled "Evaluation A Game two can play", and offered a model of teacher evaluation for debate. This Federation said then:

"It is our feeling that for the good of the educational system and the students involved, the process of evaluation be a demonstration of skill both on the part of the evaluator and the teacher."

(OSSTF 1979)

The Federation was at pains to point out the need for the game to have rules to avert arbitrariness, or luck, or unequal

strength being the determinants of the outcome. It urged that the participants play the game "co-operatively for the purpose of improving the teaching-learning situation [rather than] as adversaries with little chance of improving anything (OSSTF 1979)." Following the classroom visitation, the function of the evaluator during the post-visitation conference was stated to be "to suggest how the teacher can assist in collegial professional growth" (OSSTF 1979). Another Ontario Teachers' Federation, the Ontario Public School Teachers' Federation, has regarded this issue of collegiality as sufficiently important to make discussion of the concept a main part of the introductory module of its teacher evaluation training programme. A key word summary identification of the main considerations has been devised by OPSTF as shown in Table 2.1.

Table 2.1 THE COLLEGIAL MODEL	
What it IS NOT	What it IS
1 Inspectional	1 Growth oriented
2 Adversarial	2 Mutual
3 Unilateral	3 Co-operative
4 Closed-ended	4 Open-ended or cyclical
5 Passive	5 People centred
6 Rooted in protocol and rules	6 Active
7 Ritualistic	7 Purposeful
8 A simplistic paper process	8 A human and humane process
OPSTF 1986	

A good example of collegial working was described by the Departmental Head for Modern Languages at Central Peel High School. She said:

> "We have a system here, in our department in particular, that's a very mutually dependent one. We have common files - activity sheets, song sheets, videos, games, practice sheets, resources, all sorts of things ... we've done it for years now - we have common tests, we do similar lesson preparation; so we confer a great deal outside of the classroom ... The sharing aspect of [the way the department works] is very strong ... we all teach with an open door" (DB Peel).

This meant that while a Department Head did not have an evaluative role, there was familiarity with classroom observation in a trusting, mutually supportive, confidence

creating environment, in which the distinction between supervision, which was a responsibility of the Department Head, and evaluation, which was the responsibilty of the Principal or Vice-Principal, was not strongly made. Supervision and evaluation then were complementary, positive influences affecting the whole working environment. As the first year teacher at this school said: supervision and evaluation comprised "a way of life" (p. 64 above LC Peel).

In Hamilton, sitting in during a major part of an evaluation of a Principal enabled a close view to be taken of another aspect of collegiality and sharing. This Principal was responsible for an elementary school of 600 pupils, including 42 with special needs, in the inner part of the city. The evaluation was conducted by the school's own Superintendent supported by another from a different part of the school district. The process lasted from shortly after 9.00am until 3.30pm and the four fields to focus attention upon on the day were chosen by the Principal in the course of developing the strategy for the day, during the first hour. The Principal's choices were: i) curriculum development implementation (this related to an initiative to do with pupil counselling), ii) communications, iii) discipline, and iv) special education: integration and remedial work. An optional part of the procedure of evaluation for a Principal was that two Superintendents check back with staff in the school about the Principal's perceptions, corroborating them, as it were. Once the preliminary work was complete, the two Superintendents divided, and the commencement of sessions with individual staff began, at 11.00am.

The Principal had been at the school two years and was in his second Principalship. The school had a five year development plan from which its current annual aims and objectives were derived and which gave relevance and importance to the chosen fields. Fourteen of the school staff were "visited with" (we would say "interviewed"). Using the language of the evaluation report, they were "middle school staff, primary/junior school staff, vice-principal, secretaries, teacher-aide, caretaker, and school social worker." The two superintendents concluded

that they "received a representative view of Q. M. School" (DR Hamilton). Besides the four chosen fields for the day, the two superintendents also considered the "leadership" of the Principal.

Each superintendent saw seven staff. The following comments are based on a presence with half of the staff during a superintendent's visiting with them. The principal was not present while the staff were being seen. Each member of staff was told on coming into the room to meet the Superintendent what the four fields were for attention and it was explained that the Principal was interested in the staff perceptions about his approaches as Principal in these four fields. The spontaneous responses from the staff were informative and of practical help. Notably, they were impersonal, and collectively gave an impressive appraisal of how the school was functioning in the four fields. The responses yielded useful differentiation of perceptions eg this Principal's system of communication with parents was seen as exemplary, but several staff suggested he could be more resourceful in his communications with them. Different values also came to light concerning the integration of children with special needs in mainstream classes. This was certainly a valuable form of shared feedback, reflecting a collegial approach on the part of the Principal. The Superintendents were well informed about the teachers and able to relate to them as individuals, and put their remarks in perspective where necessary eg in a case of knowing that a teacher who sought more support in the field of curriculum development perhaps needed rather more to develop personally as an individual, bearing in mind she had recently changed her phase. At the end of this day, the superintendents gave to the Principal a verbal summary of what they had heard and some comments; a written summary of four pages was provided a day later.
The staff appeared to regard this form of principal evaluation as much about them as about their Principal. Everyone co-operated fully and displayed a team spirit. There was an air of excitement in the staff room at the beginning of the day, and lapel badges (inscribed: "Who's Bill?"), referring esoterically to Bill, the Principal, were being worn to signal

that the day was a special one.

The Hamilton system of Principal Evaluation had been in place since 1981. It was valued both for giving the Board's officers a better perspective of the different needs of schools than otherwise would be available, and for being an effective evaluation system. The Superintendents made the point that the the School Board encouraged this marketing style contribution to the resource of sound district data on which depended the capacity of the school system, they said, to differentiate effectively according to the needs of clients. The Principal avowed that the system achieved effective feedback for himself.

Invariably, it was possible to establish with regard to all the evaluation systems which were in place and seen operating in the School Districts visited that the participants had been effectively represented at the policy making stage, and when the instrumentation was designed and procedures defined, and were enabled to pursue matters in depth and in detail. For example, in the development of the Teacher Evaluation system in Pittsburgh the Task Force appointed to work out this system comprised twenty two professionals of whom fourteen were currently holding posts in schools from teacher to principal, the remainder being central office staff. This was a collegial style of consultation and negotiation which mirrored quite exactly the expectation that teacher appraisal would be implemented in a collegial way, in schools. This style was feasible because there was evident professional trust between the supervisory officers and the staff in schools. It did appear as a matter of significance that the statutory requirement in Ontario and the corresponding conventions in USA, affecting the minimum qualifications for persons appointed as supervisory officers, which meant, in effect, possession of a higher degree and a prior appointment as a principal, assured their academic standing and experience in the eyes of teachers.

Trust between participants was clearly seen as a critical factor of effectiveness in teacher appraisal, and it is

helpful, as a means of appreciating the significance of this factor to give examples of where such trust was encountered. One such example, given by a Superintendent (MB Leeds and Grenville), shows the role which the Teachers' Federations often played. In this instance, following a search, initiated by management, for exemplary practice, information from ten other school districts, within and from outside Canada, was collated by a high school principal who at the time was president of his local professional association. This principal presented the material to the school district's consultative committee on teacher appraisal; and his work largely was instrumental in the gaining of the acceptance of both staff and the School Board for the management's final proposals. These were derived from the analysis which this principal provided of the teacher appraisal practice that had been surveyed. Another illustration of co-operative development can be drawn from experience in Hamilton, where, as the local president of the Elementary Women Teachers' Federation observed, it was recognized that there were "lots of different perspectives to account for and to speak for" (LT Hamilton EWTF). It was therefore necessary to have effective consultation to ensure that teacher appraisal would be worth the effort once implemented, through being focused properly. In Hamilton, this workmanlike approach meant there were professional committees set up to develop understanding of needs, and to devise implementation strategies, applicable for each level of teacher and the phase concerned. A capacity for such differentiation amongst the elements in these and other fields of concern in teacher appraisal was strongly evident in the data collected during all the visits to school districts. It affected the address given to issues of purpose, to individual status, and to the functioning of the principal actors. Perceiving that job descriptions differ, and so roles and activities differ, the conclusion reached was that the best way to establish the significance of the differences in relation to teacher appraisal was to consult with the representatives of the job holders. A consequence was that the teachers were said by their representatives to be generally comfortable with the system which had been put in place, as, at the developmental stage, they had had "the

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chance to air concerns" as it was put in Hamilton by the president of the Teacher's Federation mentioned above (LT Hamilton EWTF). This position in Hamilton was found to be typical of practice in the other school districts visited.

A superintendent in Peel County said that in this district there was a:

> "whole history of including the people who are being evaluated in the discussions and in the development of what kind of format [to have and in determining] what's fair in terms of the need for evaluation [because] the evaluator and ... the teacher or the person being evaluated ... need an input into what's fair from their point of view" (BQ Peel).

In the light of the practice typically accounted as good in school districts to engage teachers to work with the supervisory officers at key stages of policy making and in the planning of the management of teacher appraisal, it was not surprising that the immediate past president of the Ontario Teachers Federation (GM OTF) said that the School Boards "respected teachers' attitudes to teacher [appraisal]", adding that consultation was "continuous" with the Ministry also, although not in public, at the formative stages of provincial policy making. GM considered that teacher evaluation was the best process to employ to change teachers.

A contentious issue that arises with the collegial model of behaviour in a school and a school system concerns the influence of different members of the hierarchy in the school and in the system. Partly, this is a reflection of the significance of the chosen purpose of teacher appraisal (which is considered with the next theme). It has also to do with the roles that have to be exercised in an organization. In an illuminating discussion with a Departmental Head in a Toronto secondary school the influence of role on collegiality was well brought out. He spoke as a representative of the Ontario Secondary School Teachers' Federation and said:

> "We perceive a collaborative approach as necessary as the most successful means of achieving our goal. Our goal is that [teacher appraisal] be collegial, positive, non-threatening mechanism and that the distinction between evaluation for competence and termination be absolutely separate from professional growth" (AH Toronto).

With regard to letting the Supervisors make the running, even in a collegial structure, he went on to claim that his

Federation had the belief that there were:

*"more efficient methods of polling the people in the trenches in
terms of what they perceive the needs to to be. I think there is a
strong scepticism towards mandated needs from above as opposed to
articulated needs from below ... we are looking for things such as
subject councils by disciplines ... system wide at secondary level.
We tend constantly to try to build things laterally and we tend to
like to abhor rigid flowcharts that are vertical, recognising that
you absolutely do have to have Principals ... we must have
Superintendents, Directors of Education, absolutely ... but doubt
whether wisdom comes from on high from the few ..."* (AH Toronto).

AH indicated that he considered collegiality worked up to and
including consultants and co-ordinators, but did not include
Superintendents. Members of the hierarchy "were called upon
by trustees (ie elected members of the School Board), unlike
consultants, and have to accept that as priority" (AH
Toronto). AH participated in the professional committees
vigorously by all accounts. His views might have been
exceptional, and in any case he did acknowledge that lateral
arrangements have to be managed and cannot be expected to
generate conflict-free situations. In the end, probably the
fair conclusion was that it could be said that: "effective
change is the result of the cooperation and coordination of
the individual and the district", using the representative
words of the policy statement on teacher evaluation relied
upon in an Oregon school district (Centennial 1987).

What seemed very clear in the collegial approaches in the
School Districts which were the subject of this study was that
the advice offered at the Summer Institute of Chief State
School Officers was being followed to:

*"'begin with the assumption that implementation begins at the
bottom, not at the top' (Elmore 1980). This is to say that the
success of policy depends heavily on the capacity of people at the
delivery level."*

(Lake 1980)

The participants in teacher appraisal seemed well aware of
this proposition and because of their participation manifestly
became increasingly reflective about their teaching
experience, and had sharing reflexes towards one another. In
turn, to protect the professional growth interests of the
teachers, their representatives were increasingly watchful
over matters of purpose, which now require attention as the
next theme to examine.

Theme 2.3.3   The powerful appreciation of the differences
               between accountability and growth models of
               teacher appraisal

In their statement of policy resolutions published in 1984, the Teachers' Federations in Ontario expressed their concern to distinguish between what were typically summarised as "accountability" and "growth" models, or systems, of teacher appraisal   The relevant resolution stated:

> *That there be a clear separation between those processes operating within teacher evaluation programs, whose sole purpose is the improvement of performance, and those evaluation processes which a school board may adopt for making employment decisions affecting individual teachers.*

(OTF 1984)

This policy position emerged in the collective agreements negotiated with individual school boards.   An example was the agreement reached in Hamilton.   The following is an extract from the collective agreement between the Hamilton School Board and the local affiliate secondary teachers' federation:

> *Article 26*
>
> *(i) *Evaluation* shall mean an assessment of a teacher's work by a Supervisory Officer of the Board, a Principal, a Vice-Principal or a Supervisor for the purpose of determining the quality of job performance.*

(HSB/OSSTF 1986)

This main clause was followed by eleven detailed clauses setting out the procedure to be followed if the evaluation was intended to be for "competence and contract maintenance". Another main clause referred to evaluation of "job performance for professional development".   The terms of this clause were:

> *Evaluation of Job Performance for Professional Development*
>
> *26.02 (i)   The Board shall develop, in consultation with the Branch Affiliate, criteria and procedures for the purpose of evaluating teacher performance with a view to improving the quality of instruction in the system.*
>
> *(ii)   The implementation of any procedure under this article shall be entirely separate from procedures for the evaluation of job performance for competence and contract maintenance.*

(OSSTF 1986)

These latter main clauses were not followed by further detailed clauses setting out additional constraints or directions which was significant, showing an entirely different comfort level affecting both parties, compared with evaluation functioning as an assessment of a teacher's competence.

The mid-eighties in Canada appear to have been a watershed time, when the business of clarifying the distinctions to be made in systems of teacher appraisal captured the attention of most of the interested parties. These distinctions were often expressed as distinctions between "formative" and "summative" purposes in appraisal. The OPSTF described the summative purpose as being "to collect a broad sample of information about a teacher's overall performance" (OPSTF 1986) with an outcome possibly found in adminstrative decisions affecting employment, tenure, or promotion, for example. Unsurprisingly, the process here was seen as formal and legal, and indeed the view taken was in line with the perception behind the collective agreement between the secondary teachers of Hamilton and the School Board referred to above. The formative purpose was seen by OPSTF as being "to gather specific information about (an) individual teacher's strengths and weaknesses" (OPSTF 1986) with an outcome found in improved individual performance, further training or retraining: the "continuous progress approach" (OPSTF 1986). The process was seen as diagnostic, informal and instructional, and as helpful, not threatening. While, so far, the illustrations have been taken from Ontario experience, a similar preliminary analysis could be made of the experience in USA. In an article in the NASSP Bulletin for May 1986, Stiggins has made such an analysis to which reference can usefully be made. Experience in USA, he suggested showed that:

> *all accountability evaluation mechanisms are designed to protect the due process rights of the teacher and the school district. Therefore, they are rigidly rule-governed processes that are carefully negotiated and managed. Growth systems are not constrained in this way. For example, in growth systems - unlike accountability systems - the performance criteria can be individualized, and the nature and sources of performance evaluation data can be much broader than those used in accountability systems.*

(Stiggins 1986)

He concluded that where the flow of information is towards the teacher, as in the growth model, and not towards the district adminstration, as in the accoutability model, there is greater likelihood of improvement in teaching, with resultant benefits for pupils. Stiggins had been closely in touch with developments in Oregon for a number of years. His views were found to be widely respected in the school districts visited in Oregon in the course of data collection for this research.

The powerful importance of distinguishing the possible differences in approach and purpose in appraisal systems, and the resultant impacts on teachers, was strongly perceived amongst individual teachers and supervisory officers and their views were found to support the analysis made by Stiggins (1986). Inevitably, following a summative purpose, and more especially concerns of accountability, leads to the grading of performance, possibly the use of rating scales. This approach was found unwelcome, and viewed with apprehension. For example there was LT (a primary teacher) who said that:

> "a big part of evaluation is observation. We want a teacher evaluation model to be an observation ... [we] can't very well give a child of six a long maths test and say this is going to be your grade for the year ... [teacher evaluation] is observation over a period of time. A teacher evaluation report is an anecdotal report, rather than a number ..." (LT Hamilton EWTF)

She continued later in the conversation by saying:

> "I think you would have a lot more upset teachers if there were a number attached. As soon as there is a number, you rank order people, and there's going to be somebody at the bottom. The only way that's going to be valid is if everybody is evaluated on exactly the same thing ... It would all be seen as a sham ... why do you need a number? Because it becomes comparative - rather than growth ... what did you get: what's your ranking? What's mine? ..." (LT Hamilton EWTF)

Even without ranking, there were still perceptions of being kept on toes through teacher evaluation. An assistant principal in Peel County observed:

> "I expect it to be positive - but I do find it stressful, but not negatively stressful ... I sort of enjoy it ... I think it's good. I would keep evaluation going. Being an evaluator or being evaluated forces you to make sure you know what you are doing: why you are doing it; whether it is relevant; whether it is being done too long ... because you talk about those things ... you hear yourself speaking - sort of at a distance - and you tend to evaluate your program, so it's one method of continuing self-evaluation." (MC Peel)

He suggested that evaluation be looked at as a "method of continuing support, upgrading, improving, professional development ... " (MC Peel).

MC was mindful while he was talking that he was seeing teacher evaluation in dual terms: on the one hand, as a process requiring teaching staff to accept that they were regularly accountable for showing their fitness for continuing employment, which was something of a use potentially threatening to an individual's sense of security, and, on the other hand, as a means for improving performance, which was intended as a non-threatening use. There was a problem of

reconciling these uses one with the other.

In practice, it appeared that the accountability model was less threatening than theory would make it. Partly, this was because of the relative infrequency of its use so far as any individual teacher was concerned, since there were cycles of between three and five years not uncommonly in place . It was also the case that supervision was becoming more sophisticated in its capacity to serve as an instrument of professional support for teachers. The style of supervision appeared to influence the style of evaluation, as can be deduced from the material presented in the discussion of Theme 2.3.2.

The scope of supervision as an instrument of professional support for teachers was given emphasis by the Ontario Association of Educational Adminstrative Officials, to which supervisory officers belonged. In October 1986, this association had arranged for a presentation on the subject to newly appointed Ontario supervisory officers at its Seventh Annual Internship Program. The presenter was a Superintendent from Calgary (PK). She offered a definition of supervision as follows:

> *"Supervision is a process of facilitating the professional growth of a teacher, primarily by giving the teacher feedback about classroom interactions and helping the teacher make use of that feedback in order to make teaching more effective."* (PK Calgary)

PK talked of "Differentiated Supervision" which consisted of four components: clinical supervision; cooperative professional development; self-directed development; administrative monitoring. The range of instruments that would be used in support of these components would include those used in teacher evaluation, for example, statements of standards, conferencing, video tapes, observation schedules, checklists, and so on. These instruments provided an interface alike between the two evaluation models and between them and supervision in its various forms. The quality of the interface depended on the quality of the data gathered, particularly from classroom observation, and if it were well esteemed then there was scope for reconciling all teacher evaluation activity. One aspect of this reconciliation was

seen in the Calgary system of differentiated supervision, in cooperative professional development, which, as described in a handout, introduced a process "whereby a small group of teachers work together for their own improvement, observing each other's classes and conferring about those observations" (OAEAO 1986). According to PK, teams of two or three work best. Just such a team were met working together in a "pod" (an open-plan two class space) at the elementary school in Peel County where the Principal indicated there was a collegial working environment (see Theme 2.3.1).

In discussion, these two teachers (JB Peel and BG Peel) said that their cooperative professional development contributed to their further studies for degrees (a first degree and a Masters respectively). This was an example of the possibility for teacher evaluation in the formative mode of peer evaluation to become a strong dimension of an effective system of staff development, whether ostensibly designed with the intent of meeting the requirements of accountability enjoined on a school board, a school and its teachers, or not. The point was that even if teacher evaluation, initially, or, at intervals, was a quality assurance exercise designed to express a sense of accountability to the public, or to senior management at the level of the School Boards, the activity was frequently seen to have, so to speak, knock-on effects which were immensely beneficial. These beneficial knock-on effects arose from establishing evaluation as "a way of life", and not as a 'visitation of strangers'. 'Accountability' was a concept that conjured up doubt about criteria, whereas 'growth' was a concept welcomed by teachers, conjuring up understanding of what they were expected to do and support for this, thus making a selling point for teacher evaluation in USA and Canada.

In Toronto, the strategy adopted was comprehensive. The Superintendent for Personnel in Toronto, who was responsible for the "Teacher Performance Review" (TPR) in that school district, expressed the opinion that:

"TPR is very much about professional growth. It is not about management" (HB Toronto).

Necessarily, in any sensible organization the approach to the evaluation of its staff has to be made on the basis that few, if any, are fairly described as incompetent. In the words of the "Guide" to the TPR:

"the conviction [is] that most teachers and administrators are competent and responsible and continually seek to increase their knowledge and understanding, to develop their ability to communicate effectively, and to enhance the quality of their creative experiences."

(Toronto Teacher Performance Review Guide/1986-1989 p. 2)

It was the intention that each teacher should go through TPR once in three years in accordance with the ground rules set out in Table 2.2

Table 2.2	TORONTO TEACHER PERFORMANCE REVIEW: PURPOSES AND PRINCIPLES
a)	The purpose of the TPR Program is to evaluate performance, to improve instruction and to help the teacher develop as a professional.
b)	TPR is intended to encourage professional growth.
c)	TPR is not undertaken or continued when there is concern about the reviewee's competence.
d)	The determination of TPR goals and indicators of success must be a matter of mutual agreement.
e)	The assistance of the appropriate supervisory officer may be sought at any time if mutual agreement cannot be obtained.
f)	The TPR report will be returned by the supervisory officer and becomes the exclusive propery of the reviewee.

If an established teacher was found lacking in competence, that teacher did not continue with the TPR, but a separate, special procedure, duly negotiated, was used. Similarly, the approach used for a probationary period was separate from that of the TPR, and the practice of probation applied to promoted posts, including posts of Principal.

While the TPR was used as an instrument of formal evaluation, its greatest value could be that it indicated where the distinctive fields of activity for a particular post were to be seen. It was in these fields where an individual's goals for a year were expected to be set, and derived from them were important indicators of success in job performance.

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Significantly, data collected during the TPR cycle was protected, and not available if a teacher's tenure came to be put in question. Furthermore, the Teachers' Federations had gained acceptance of their view that an evaluation rating or report should not contribute to decisions concerning redundancy. Thus, the TPR was about professional growth, not management, as HB said (see above p 81-82).

A School Board in Ontario had the autonomy to determine the terms of reference for teacher appraisal. In USA this was not the case, the state having the jurisdiction, and consequently a different strategy was necessary if the potentially quite major conflicts between designated formative and summative, or accountabilty and growth, systems of teacher appraisal were to be resolved. The strategy adopted in Pittsburgh was to propose that that fields of concern given in the Pennsylvania evaluation instruments be changed to those fields which PRISM and the related staff development programmes embraced, and, as in the Ontario school districts, to omit graduated scales for the judgement of performance, except for probationers. The Director of Personnel and Employee Relations in Pittsburgh was asked by the Superintendent "to take a look at what we were being taught to do in terms of our staff development program by way of observing and conferencing teachers and tie that into how we actually evaluate teachers during the year and the summative at the end of the year ... we wanted to be able to show that the kind of formative evaluation which led to the summative evaluation was exactly the same thing we were teaching Principals and Supervisors to do" (LN Pittsburgh). The Teachers' Federation was supportive. A Task Force representative of those affected was established and carried out the remit. The Pittsburgh proposal was accepted. Examples of the old and new evaluation forms are included in Appendix 2.8.

The intention in the various initiatives brought together in this theme was the reconciliation of the two modes of evaluation, so far as possible. More profoundly expressed, perhaps, and bringing out the function of evaluation emerging as a resource rather than a control, is the view of the

situation given in the words of the Toronto Departmental Head who said:

"I expect evaluation to be a resource: to suggest ideas, to encourage people to try different things. I think TPR is designed to encourage people who are quite clearly competent, doing their job well, to experiment, to try something new .,. challenge themselves, and as a result to indirectly improve their teaching. Because I interpret the purpose of of the TPR in that way, I interpret my role [Departmental Head] to enforce that." (AH Toronto).

The perceived enhancement of the role of the departmental head expressed in the words of AH in Toronto was paralled in Pittsburgh. At a Senior High School, sitting in on a supervision session with an Instructional Chair brought out the the follow-through development of the concept of a "collegial monitor of instruction" a role that the Instructional Chair (JZ Pittsburgh), considered she was undertaking during her 3 to 6 observations of teachers a month. The Instructional Chairs were given additional training (beyond the basic 6 or 8 weeks release time) from the Clinical Resource Teachers (as the tutors at the two Teachers Centres were designated). The notion of the "collegial monitor of instruction" was much of a piece with what was suggested in other school districts. JK in Leeds and Grenville had regarded this as an important part of the leadership role of departmental heads when helping to make teachers grow through being in classrooms with them.

For the OPSTF, a senior official (NC) indicated that the view of this Federation was that:

"a growth program is two professional colleagues working together focusing in on an improvement of teaching and learning in a non-threatening situation" (NC OPSTF).

He said that the approach that OPSTF made to school boards was on this stance as a basis for negotiation. Harmonization of the growth and accountability systems was possible, as is seen above, and NC indicated that 30 school boards had accepted this. The example cited by OPSTF was the Windsor School Board (whose Director of Education visited the School of Education at Leicester University in the Spring of 1988 and made a presentation to postgraduate students). The Windsor model combined three cycles of appraisal in a coherent way. There were two cycles of appraisal for teachers: a professional growth cycle ongoing from year to year; a performance

appraisal cycle with a maximum five year frequency, depending on status or request; and a "program" review, meaning a school curriculum review. The last cycle was interesting as it articulated the curriculum management function more explicitly with the teacher appraisal function than was found usual during the field visits, although the two functions were necessarily conjoined in practice because of the goal setting aspects of evaluation.

In this theme, it has been seen that two problems required solution. One problem was the "problem of competence", which was a problem of energy misuse if competence had to be checked with everybody. Requiring this scale of checking had come to be seen as unnecessary on its own account. The other problem was the "problem of growth" which for teachers was partly about self-reflection and partly about interaction with other teachers, mostly on the basis of peer relationships in the working situation. Given the approach to teacher evaluation was one of promoting professional growth, teacher evaluation became in practice a concern to articulate the direction to take, and this was bound up with goal choice and the goal setting process which constitute the focus of the next theme.

Theme 2.3.4 <u>The versatile functions of goals and the goal setting processing in an approach to teacher appraisal unified with management overall</u>

In their review of the literature on performance appraisal, Ondrack and Oliver state:

> "The concept of performance objectives in education has evolved over the last two decades. This approach involves a dialogue between a supervisor and supervisee who mutually develop goals and objectives for an upcoming period of time. Unlike measurement against a predetermined set of criteria, performance is assessed against mutually-derived goals and objectives. A strong proponent of this approach, George Redfern (1980), claims that "evaluation actually should be regarded as a diagnostic process, enabling individuals and their evaluators to focus on appropriate objectives -- objectives that, if accomplished, will produce better and more effective services."

(Ondrack and Oliver 1986 p. 101)

In Portland, Oregon, at the North West Regional Educational Laboratory, there was a research unit whose members at the time of the visit were studying teacher appraisal in the local area, and more widely afield. The Laboratory also had a unit

with members offering a major training progamme focused on the use of goals as principal instruments in a school improvement effort. There was acknowledged cross-fertilisation of ideas between the units. In the approach of the staff of these units in the Laboratory, which undertook assignments with non-educational organizations, there was clearly a reflection of awareness of the high value placed on the use of goals as motivators of staff in a variety of organisations. This regard for goals was shown in the extensive research cited by Ondrack and Oliver (1986 p 102). It appeared that there was an awareness of such research in the school districts visited, where there was found what could be called a friendly environment to support prominence for goal setting as a versatile device within a system of teacher appraisal.

The Principal of a District High School in Leeds and Grenville showed he was working in this friendly environment, when expressing his view that in teacher evaluation goal setting made evaluator and evaluee "partners in an important enterprise" (LG Leeds and Grenville). This Principal suggested further that every teacher should have ideas for goals that assisted the implementation of the curriculum goals of the provincial Ministry of Education. In this matter, he spoke with authority because during a secondment to the Ministry some years previously he had made a study of just how Ministry goals were implemented in schools. Judging from several discussions with Principals in Leeds and Grenville, it appeared strongly that in this district's schools there was exemplification of the position described by Ondrack and Oliver (1986 p. 70) referred to above (p. 85). Another Principal there insisted that with teacher evaluation "we have to have everyone buy in" (JK Leeds and Grenville), and that the goal setting process helped this to happen. JK analysed in some detail the process which he had followed, indicating "we set the school goals first" and that he liked one or two of them to be directly based "on discussions with department heads", and others would be derived directly from the goals for the year for the district. He firmly expressed the view that, in any event, the wording or the detailed terms of the school goals had to be staff generated, and then the

particular departmental goals would have "to work in somehow to the school goals". This approach to goals was not particularly distinctive of Leeds and Grenville, nor of high schools, but applied in the other school districts visited, and to schools in the elementary phase.

Sharing in goal setting meant staff were together creating and sharing in school improvement efforts, and having the same focus on what was happening. These points were re-affirmed strongly by GB in Halton as being part of the strategy of supervision and evaluation, in that school district. In Peel, MB described how in May and June the school staff at her elementary school got together to examine whether the school objectives, or goals, for the year had been reached, "how well? What needs more work?". She gave examples of school objectives, one being: "to make use of community resources to complement our science and social science programs, with excursions being the primary components". This was expressed by the individual teachers in a wide variety of ways, including having in parents to help, developing a cadre of volunteers (some fifty being regular in their support), and inviting them to talk about their work or leisure (examples cited included a fireman, a policeman, a nurse), to help with office work or with publishing children's writing.

In Toronto, JW gave an example of a high school approach. He explained that:

> "we want the world to perceive that we have worthy programs. Our attitude is one of image; that is what our concern is: the image sells the school" (JW Toronto).

He went on to explain that at this school, he and his colleagues were concerned about the small size of the girls entry. JW used Toronto's TPR as an instrument to work for an increase in that size. The Principal and his three Vice-Principals and Technical Director sat down together to think about the school's goals, focusing on the size of the girls entry. Next, steps were taken to integrate the goals they came up with into the staff TPR goals, the resultant strategy being designed to bring about the required institutional change.

Usually, the goals formulated for a school would be discussed with the Superintendent who would agree a plan with the Principal for their implementation. This plan would cover the more detailed tasks being undertaken, the timescale, and the nature anticipated of the results and how they might be evaluated.

For individual teachers, an important element was the collection of data relevant to their own goals. Deciding on the data was something a Principal or Vice-Principal had to agree about with the teacher, while, at the same time, following the noteworthy advice typically given in training sessions that evaluators should ensure that the individual's goals were challenging. The assurance of the challenge, one Superintendent suggested was achieved in the pre-observation period which she called "the credibility check" (BB Toronto). She also recommended that some time be spent in observation before the decision on the terms of the teacher's goals were settled, to help ensure the relevance and importance of these terms for the individual.

As has been implied, it was usual that the procedure for setting goals took account of the two-fold function of meeting both school or organizational needs and individual or professional needs. Consequently, elaboration alike of the process and the procedures figured strongly in the documentation on teacher evaluation published in the school districts, and in the training programmes. With regard to the latter, the training offered was found, without exception, designed quite explicitly to support the professional growth of the teachers in the district's employment. Practice in Pittsburgh represents a highly developed example, as can be inferred from the information given in the analysis of Themes 2.3.1 and 2.3.2 (above pp. 63-76). Another example from USA was found in Oregon, in the Centennial School District and Appendix 2.9 indicates the approach there clearly. Goal setting in effect often served as a link between teacher evaluation and teacher in-service activity.

Teacher evaluation was not, however, seen as a system that had

the function directly to facilitate the design of in-service activity for teachers, except that it was plainly an instrument of action learning and enabled the teacher to support the transformation of the findings of an episode of action research, and indeed the findings of other research, into practice. The process too of teacher evaluation was regarded as valuable as a learning experience, not just for the person being evaluated.

BM in London thought that the Principal might expect to gain as much as a teacher during an evaluation cycle, especially during conferencing, which was when, first, goals were agreed, and, later, reviewed to assess the progress accomplished. However, it was not adjudged appropriate as a rule to expect an indidividual's in-service planning to derive directly from an evaluation. Typically, the view was that it was not feasible to design in-service around the needs of particular individuals, as collectively they were unlikely to agree on the priority. The argument was that it was better to focus on priorities determined from data collected from more than one source. So whether in London or in other school districts in Ontario, or in Pittsburgh or school districts in Oregon, the view taken was that generic training was the kind to develop, basing it on agreed standards of good practice. As an example to cite of generic training, there was, in Halton, a strong initiative concerning leadership and a large investment of in-service resources was put into this field. The choice of this priority for in-service activity was considered a proper responsibilty for the district, rather than a matter for negotiation with individuals. All the same, room always seemed to be left to support self-directed development as proposed, for example, in the Calgary model mentioned above (p. 78) or seen in the case of the two sharing teachers in Peel, also mentioned above (p. 81).

Goal setting and goal delivery could be indeed interpreted as an in-service system, providing scope for the individualization of teacher capacity to deal with change, as Duke, in the light of practice in USA and his particular focus on Oregon, his place of work, suggested:

"goal setting is the component of supervision and evaluation systems that provides the greatest opportunity for accommodating individual differences among teachers."

(Duke 1987 p 150)

Relevant to gaining appreciation of Duke's suggestion, is the example of the approach of BM who considered teacher evaluation essential to help him bring about change, because it enabled specific initiatives, eg to bring change into the work of a division (year group), to be given expression in the terms of the goals of individuals. This meant that the initiatives for change could be taken forward effectively, that was to say, in a way that secured the coordination of the efforts of several people (BM London). Teacher evaluation was also seen to create an opportunity for goal setting which gave a teacher a considerable "benefit in working cooperatively with a second person" (NC OPSTF). OPSTF was sufficiently impressed by the versatility of goals as developmental devices that it had created an important module on goal setting for its evaluation training package, "Evaluation for Growth", showing the scope offered to support change efforts at individual and institutional levels (Lemley 1986).

Table 2.3 GOALS: A FRAMEWORK OF SKILLS AND CONTENT AREAS	
CLASSROOM MANAGEMENT SKILLS	INSTRUCTIONAL PROCEDURES
COMMUNICATION SKILLS	STAFF RELATIONSHIPS
PERSONAL/PROFESSIONAL DEVELOPMENT	OTHER AREAS
OPSTF 1986	

Included in the OPSTF module was a framework "of skills and content areas" of the same kind as relied upon in Centennial for giving direction to in-service work (see Appendix 2.9).

This framework had been adapted, as shown in Table 2.3, to provide a set of categories for guiding teachers in their choice of goals. In the OPSTF formulation, they would be expected to make their choices within the context of teacher evaluation intended to promote professional growth (see Appendix 2.10). A practical demonstration on video was offered to accompany the module. Three or four goals would be agreed in terms of the above categories, based on drafts entered in the appropriate boxes. In Appendix 2.11 examples taken from the OPSTF training pack are shown. In other situations, it was also found that goals might be further distinguished, as maintenance goals or growth goals.

Table 2.4 recapitulates some fields and some examples. In all these examples, it is clear how choice of goals can help with finding linkage between a chosen instructional or teaching strategy and pupil learning.

Table 2.4 FIELDS FOR GOAL SETTING SOME FURTHER EXAMPLES ILLUSTRATED	
FIELD	ILLUSTRATION
building on strength	an area of specialist knowledge
developing a new interest	computing, action research
correcting a weakness	group management, interpersonal skills
locating individual effort in context	changes in a syllabus
extending skills	questioning, assessing,
implementing new policy	community links
creating new work patterns	cooperative development

Clearly, substantial time was given to preparatory work relating to goal setting. Nevertheless, it was recognised acutely 'in the trenches', that there was a "secret: to know how to set goals, which ones to set, or not to set" as the matter was put in a discussion with a curriculum consultant in Toronto (JR Toronto). She found it helpful, first time round with the TPR, to consult friends; and she was handing on her skills then to uninitiated colleagues. A particular point made by her was:

"if you set a goal that was very vague and didn't have clear markers
as to it being accomplished, you could be going on forever trying to
show that you had done it, whereas if you set your goal carefully
with saying ... OK there are going to these indicators that showed I
had done it ... then you can go through the debriefing, [and
effectively] talk about how things went" (JR Toronto).

Thus, there was a better sense of direction gained by an individual through the use of goals as a standard working practice. This better sense of direction was achieved because goals could be used to implement change in a variety of fields, all of which bore closely on the teaching and learning situation. Moreover, the activity of goal setting in this way stimulated interest in empirical research which is the next theme to be considered.

Theme 2.3.5 **The high value attached to empirical research and**
the use of theory by all concerned with the
development and operation of teacher appraisal
and the assessment of its benefits

At the beginning of the eighties, in USA there was considerable work done in a number of states in the fields of research concerned with teacher effectiveness, to produce documentation that could support teacher evaluation efforts. Notable examples were found in Geogia, Utah and Florida during visits made in 1982 and 1983. In Georgia, the Teacher Performance Assessment Instrument (TPAI) was developed by the Georgia Department of Education in association with the College of Education, University of Georgia. While a major purpose of the TPAI was to check the competence of teachers, especially those seeking tenure in a first appointment with a school district in the state, it was also intended through two of its components to foster "professional development and research purposes" (TPAI p 2). These latter components focused on "Professional Standards" and "Student Perceptions". The others were "Teaching Plans and Materials", "Classroom Procedures", and "Interpersonal Skills". The Florida Beginning Teacher Program comprised a view of teaching distinguished into six domains, and throughout the documentation relating to each were references to the research from which were drawn the recommendations concerning what to look for as characterising effective teaching. The Utah Skills Project (USP) again relied on "the literature and field

observations" (USP 1982 Foreword) as the basis for the fourteen skill areas which it defined, but its overarching approach assumed that

> "full competency values three major dimensions: (1) Teacher Personality (2) Subject-matter knowledge (3) Teaching behaviour and skill"

(Utah Skills Project 1982 p V).
The detail of the Utah formulation was very considerable, comprising elaboration of theory, case studies and exemplary material for in-service work. The intention in each state was that there should be active implementation in school districts in accordance with this model showing practical respect for the literature; in other words, the approach to the monitoring of teacher performance should be a learned one. There was also recognition of the need to accommodate both the requirements of accountability and the expectations teachers would have for growth experience in their profession. The findings in the field visits now being considered in this part of the thesis were that the recognition of the dual function of teacher evaluation gained deeper expression during the later eighties, as a result of research led development.

The regard taken of educational research when formulating proposals for change was evident in all discussions with participants in teacher appraisal in Ontario and in USA, alike. As a practical expression of this, there was a readiness to employ consultants, especially persons who were engaged in research in fields relevant to teacher appraisal. In Pittsburgh, LN suggested it was "a normal reflex in USA to to bring in consultants" (LN Pittsburgh). Consultants recruited from outside the school district were found regularly to be leaders of in-service activity, and mostly they were from USA, whether the venue was there or in Ontario. In Toronto, a published synopsis of research on "Effective Teaching" (AASA 1986) was a vade-mecum at appraisal training sessions, used with reference to issues emerging in feedback from appraisals. In Hamilton, "Directions", the mission statement for 1986/87, setting out school priorities and system (or District) tasks, began with a reference to "twelve key factors which, according to the research, make schools effective" (Directions p 13). The Windsor document

"Evaluation for Windsor Teachers" commended the self-evaluation component to the teachers of the District on the grounds that it was an outcome of research commissioned by the OSSTF (Windsor 1986 p 13). A self-evaluation instrument was included in the document prepared by the Alberta Teachers' Association "Cooperative Assessment: A Manual for Teachers". In the latter, the definition offered of self-evaluation was: "the process whereby a teacher reexamines his or her teaching in terms of effective behaviors, attitudes and feelings". Both instruments exemplified self-evaluation as a mode of empirical research to which the teachers consulted during this study typically attached great value.

It was from empirical research that the resource base for teacher evaluation in Pittburgh, PRISM, was derived. The principal researcher behind it was Dr Madeline Hunter, from the University of California. Pittsburgh's Director of Staff Development, in a paper he presented about the Pittsburgh initiative to the Annual Meeting of the American Educational Research Association, stated further that PRISM "incorporated elements of the Behaviour Modification Model based on Skinner's ideas with Reinforcement Theory (and) Motivation Theory, incremental learning theory and prime time theory" (Davis 1983). In Pittsburgh, another example of the use of research in a practical way to improve teaching was TESA (Teacher Expectations and Student Achievement) an in-service programme initially developed in Los Angeles and concerned with interaction between pupil and teacher. This was seen as an instrument of reinforcement of the effectiveness of teacher evaluation, sharpening a particular field of focus within the classroom observation aspect.

Pittsburgh also had developed a strategy to use data on student achievement directly to influence teaching and learning styles in the classroom. This strategy, known as "Monitoring Achievement in Pittsburgh" (MAP) had a focus on the intended purposes of given programmes of study, or series of lessons, being designed to facilitate the monitoring of the accomplishment of these purposes, indicating whether this was well, or not so well, done, using as much precision as

possible. Various assessment instruments had been devised and feedback after their use was being arranged speedily to the teachers in the classroom. For the teachers, the gain was improvement in the diagnostic testing materials they had available. The provision of data of high quality enabled them to modify their teaching decisions eg through clarification of their `objectives' and by means of classroom observation focused on the concerned teaching or learning style, before too long for the benefit of their current pupils.

Richard Wallace, the Superintendent, and Paul LeMahieu, the Director of Research, Testing, and Evaluation, for Pittsburgh, were very clear in their minds that the purpose of testing for diagnosing the learning of individual students and for school (or teacher) evaluation should not be confused. Nevertheless, they argued that:

> *"it is untenable to agree that achievement is the product, and test scores are its measure and then assert, "Please don't pay too much attention to the test scores. ... If testing is to take its place in the evaluative scheme, emphasis can be shifted from the results of the test to the very fact of their use in planning instruction. ... when the emphasis is shifted to this informational and planning aspect of testing as part of the operating system of the schools, all professionals will have a vested interest in the accuracy of the test results."*

(LeMahieu and Wallace 1986 pp 13, 16).
This approach was supported by the belief that "there is a growing literature to support the notion that enforcing this perspective will contribute to student growth" (LeMahieu and Wallace 1986 p 16).

The attention given to research in the Pittsburgh School District, and more particularly to research with regard to testing, could be seen as part of a wider Pittsburgh strategy designed "for breaking down teacher isolation" and for helping the process of "teachers learning from one another" (in words taken from public presentations describing the work and aims of the Schenley and Brookline Teachers Centres) (Pittsburgh 1987). The processes of teacher evaluation in Pittsburgh and in other school districts which had the same conceptions of effectiveness in the classroom and where there was equal recognition of the need for creating congruence between student achievement and beliefs about how to raise the latter

through improved teaching, had to have regard to the research bearing on these isues. No other school district was as comprehensive as Pittsburgh in attempting to apply educational research in daily classroom routines, and in using assessment data collected in classrooms as research resources from which to provide feedback to the teachers for use in their own classrooms from which the raw data originated. It was however the case that the observation model suggested by Hunter, denominated ITIP: standing for Instructional Theory into Practice, was found to be widely used in schools in Halton, Hamilton, and Leeds and Grenville.

All school districts were evaluating systematically their evaluation process, considering that it was a reasonable assumption "that if the process is improved, the product will be" (BB Toronto). Looking at the process meant considerable consumer research, to find out the opinions of teachers, and others. Both the school districts and the Teachers' Federations were active consumer researchers. It was also normal in the school districts frequently to survey the opinion of parents in fields of interest relevant to teacher evaluation eg in Toronto, the parents were invited to indicate what criteria they thought appropriate for determining the job and person specifications of Principals and Vice-Principals (Ryerson 1986, Bloor 1986, Bowmore 1986). Such criteria were regarded as relevant in reaching conclusions concerning performance during the period of probation holders of these posts in Toronto had to complete to secure tenure.

The influence of research was evident in virtually all aspects of the approaches made in school districts to the development of teacher appraisal. It was also the case at provincial level. In Ontario, this culminated at the end of 1986 in the publication of a six volume survey of practice in school districts in the province, together with reviews of the literature and proposals for the future (Ondrack et al 1986). The inspection of teachers and teaching was abandoned because it was found that there was no proof that it was leading to general improvement, or indeed to improvement in the functioning of individual teachers. In effect, particularly

if teacher evaluation is regarded as one of its forms, empirical research had taken the place of inspection, and there was confidence that it was improving delivery of the educational service to the client. Teacher evaluation was a principal mediating device through which educational goals were considered to be being better accomplished, and in large measure this outcome could be seen as the result of the effort put into applying the findings of research. The student centredness of the educational goals which were directly associated with teacher appraisal is the final theme and is considered next.

Theme 2.3.6   Student Centredness

In essence, this theme concerns a vision of teacher evaluation from the viewpoint of the student. In the school districts visited, this viewpoint was assumed to be the viewpoint of a client of the educational services provided. The object of serving the pupil as the client was invariably kept in the forefront of documentation in all the school districts. It was stated particularly explicitly in Hamilton's "Blueprint" as follows:

> *"An administrative organisation, regardless of the type or model that is used, is merely a system for facilitating decision-making and the delivery of services and support to the client. The client in this case, of course, is the child and the key delivery agent is the school. Everything else should act as as a support to the school and the role that it is serving in the community."*

(Hamilton 1980 p 38)

The first goal of the Teacher Evaluation Process in London was stated as:

> *"To provide, through formative and summative evaluation of teaching staff, every assistance toward the progress of our students by securing for them the most favourable conditions for growth and the achievement of excellence in their studies."*

(London 1984)

These two statements are representative of a strong line of thought captured in this theme which recurred in the educational documentation in Ontario school districts. At the presentation to new supervisory officers at the University of Western Ontario (see above p 80), this theme was also made evident by the visiting presenter, the Superintendent from Calgary, in a document she used for reference. The Calgary

School Board, in 1985, published "From Competence to Excellence", which was mainly a plan for the development of teacher evaluation in the School District. As part of this plan, each school was required to prepare a position paper on the basis that "student centreness (sic) is at the heart of the position paper". The document goes on to elaborate the sense of the expression, referring to the setting of standards of effective instruction, using research findings, and setting targets, among other things, all on the lines discussed above, all with the goal "to ensure individual student development through effective education." (Calgary 1985) The reference to the Calgary situation is doubly relevant since the Superintendent in charge of the plan for the development of teacher evaluation there was the presenter at the OAEAO seminar.

In the school districts visited, the intention that teacher evaluation should be student centred was made evident in a number of other ways. There were affirmations of such an intention during the interviews with teachers or supervisory officers. An example of such affirmation at Principal level was given in the words of PH:

> *"My focus should be on what is happening in the classroom and how the curriculum is being delivered in the classroom ... ." (PH Halton)*

At teacher level, this affirmation was evident in comments made by a departmental head (DB) and a probationer (LC) during a conversation concerning the position of an evaluator who did not have the specialism (modern languages in this case) of the teacher. DB said:

> *"He will be able to guage pace, control of the class, positive reinforcement, negative reinforcement ... he looks at the kids' notebooks to see whether they are doing homework, he asks them how they know how they are doing, then of course, they bring out mark summary sheets, and they talk about the four skills, so with or without expertise within that area, I think that any supervisory officer from Principal to Superintendent, even a Director of Education, could, I think, make some conclusions on just sitting in on a class, both in terms of content, and in terms of teacher expertise or style, or control or whatever you choose to call it ... (DB Peel).*

LC intervened to suggest that this evaluator had scope:

> *" ... just to see what the chemistry is in the classroom, if things are working, if the students are learning, enjoying the learning ... classroom is dry or boring ... these things they can pick up ..." (LC Peel).*

DB continued sagely:

"I think overall that the teachers who are being evaluated by and large don't resent a Principal coming in who doesn't have the same background - so long as it appears they are making some intelligent conclusions ..." (DB Peel)

In Peel, from the instructional point of view, the primary purpose of teacher evaluation was succinctly stated as being: "to improve the quality of teaching and learning" (Peel 1984). What these two Peel teachers were saying reflected a faithful understanding of this purpose admirably. The situation in Peel was not exceptional.

The primary focus was never found to be directly on the teacher, but on the job as performed. It was fundamental, therefore, for the evaluator to be as objective as possible, avoiding the use of judgemental statements when observing, concentrating on recording what was happening. This was where the observation instruments were useful, derived as they were from both research sources and consultation. Achieving the objectivity required was a perceived area of difficulty which had to be addressed. In Toronto, for example, it was done by stressing the need to use "behavioural language". In Toronto, a substantial training input was devoted to this concern for using behavioural language. A brief overview of the principles of this approach is given in Appendix 2.12. What was well understood, there as elsewhere, was the imperative requirement to avoid a position in an evaluation where the words used were viewed as expressions of praise or blame in a context of their felt, personal impact, which was how a Director of Education put the concern (JL London). There were other occasions for expressing praise or blame, as was often pointed out.

It is relevant in providing further exemplification of the theme of student centredness to note that in the documentation on teacher evaluation, which was found in circulation to teachers in all the school districts, there was a stress also on the purpose of promoting their personal and professional growth. In North America, a strong body of literature has developed on such growth, an example of which it is relevant to cite. In this example, the presence of three developmental

stages in the growth of teachers is suggested. Teachers are said to experience three "stages", or clusters of concerns, as they move through the first years of their career. Early concerns, which may be referred to as "survival concerns", the argument continues, focus on classroom control, mastery of content and evaluation by supervisors. Later concerns focus on the teaching situation itself, for example, adequate resources, teaching assignments, and conflicting expectations. At the third or final stage, attention shifts, it is said, from self to students and the concern is to ensure that they learn what is required to help them advance. (Fuller p. 140).

The coupling of improvement of instruction with professional growth, as so often found in the teacher evaluation documentation, therefore can be held to be well conceived given that Fuller's analysis is empirically sound, as it was plainly believed to be by most persons met during the field study. It is an analysis that offers further credibility to this theme of student centredness, rather than teacher centredness or the accomplishment of an ideology being the bottom line, so to speak

In Oregon, another route towards achieving student centredness was described by a Deputy Principal (then on secondment to the NWREL) who explained that, in her school, goal setting in an evaluation always required that one goal should focus on instruction. Favoured fields for this often were: analysis of questioning techniques and concepts such as "critical thinking", and "wait time" (briefly, this was about "latency" and deemed "especially important with low achievers (as) many times it is simply a matter of the low achievers not being as sure of their answers and needing more time to collect their thoughts." (TESA Unit 13)). Goals figured in KD's school on an annual basis for each teacher regardless of whether connected with a formal evaluation, and always had to include an instructional goal, a curriculum goal, and a personal professional development goal; again their development was on the lines already discussed above.

In all these endeavours, it was recognized that the quality of

the teaching and curriculum materials in use mattered crucially. There were, therefore, strong teams of curriculum writers recruited by school boards from amongst the teachers in their schools. Usually, the arrangements provided for limited secondments of up to a maximum of three years. So studentcentredness was about the impact that was being made on students by the current delivery systems of the desired curriculum. It was not just a vague liberal humanistic approach towards the individual development of students, but an expression of a measured intention to enable the student to achieve typically "excellence in their studies" (London 1984 see above p. 97). In Ontario, the sense of "studies" was defined extensively, and with a good deal of precision, in each school district and by the Ministry of Education (eg "Shared Discovery Teaching and Learning in the Primary Years" Ministry of Education 1985, "Observing Children" Toronto 1980). In Ontario, there were also the materials of the Ontario Assessment Instrument Pool for guidance and these were aimed in much the same direction as the MAP materials in use in Pittsburgh (see above p 94). In each school district, the use of all these various instruments, techniques, and materials was found to be articulated with the system of teacher evaluation in place, as part of the overall design of management to ensure that the viewpoint of the student was kept well in sight.

2.3 CONCLUSION

This study of teacher appraisal in five school districts in USA and six in Ontario showed a strong trend in practice towards two major outcomes. One outcome concerns decentralisation; the other concerns confinement of purpose and avoidance of multiple purposes.

In Ontario, decentralisation affecting teacher appraisal has been in the direction away from a superordinate, inspection style towards an open, cooperative style as would apply between peers. The inspection style was a legacy from the time when teachers and schools were regularly inspected by staff from the Ministry of Education. As there were long periods of years between inspections, and fundamentally the

arrangements were selective, not all teachers were affected most of the time. What was organized was a checking system, relying on sampling methods, to establish whether it could be said that the schools in the province as a whole were operating satisfactorily. This was the position which obtained before supervisory officers were appointed from 1970 onwards and given a duty to visit classrooms and observe what was happening.

The current Ministry regulation requires supervisors to be certificated teachers, to have a first degree and a higher degree, and, unless possessing some alternative qualifications regarded as the equivalent, to be certificated and experienced as Principals (Regulation 276 made under the Education Act). In each school, the Principal and the Vice-Principal also have been given by the Education Act duties of supervision, including the duty to visit classrooms, to observe and to evaluate teachers (Regulation 262 made under the Education Act). The fact was however that not all teachers could be annually observed by Supervisory Officers and evaluated by them, nor by the Principal and Vice-Principal every year, at any rate in most secondary schools and larger primary schools. Nevertheless, the value of teacher evaluation, especially the observation of teaching, came to be recognized by the teachers and their representatives, and in consequence the role of the departmental head has come to be enhanced, taking on various supervisory functions akin to those associated with teacher evaluation, except in the summative form or involving ranking. Generally, there were not departmental heads in elementary schools, and peer observation and peer evaluation was developing, supported by formative appraisal by Principals and Vice-Principals, in these schools.

The second major outcome was the progressive differentiation of purposes within various fields of human resource and personnel management. At the beginning, when the School Boards took over responsibility from the Ministry of Education the overriding concern was to check whether teachers were competent. As time went on, the assumption was made that typically the teachers were competent. Consequently, enabling

teachers to build on their professional strengths was seen as the purpose of teacher evaluation, through refining processes, such as goal setting and conferencing designed for formative purposes. "No teacher was (then) ignored" (KJ Ministry). It was then possible for interest in the system of teacher evaluation to become focussed upon: "how this system manages itself" (BQ Peel). The two trends were overlapping and can be separated only in theoretical terms. This overlapping was important as, essentially, the question asked was what impact do decisions to change the ways of teachers arising from their evaluation have on students.

Much the same happenings as in Ontario were found in effect in the school districts in USA. There was the same preoccupation initially with enquiry into the levels of competence evident in the performance of teachers at work in the classrooms. The instruments used provided for the ranking of observed performance, and the focus was wide-angled, aimed to give an overall view of the teacher's level of functioning. As there was a development of concern with the professional growth of teachers, and increasing sophistication in the methods of evaluating student performance, energy was directed away from activity designed to monitor teacher behaviour, to see if it conformed with prescribed standards, towards activity designed to extend the professional self-awareness of teachers, in a context of accomplishing educational goals. By this was meant empowering them to become more effective in understanding how well what they had decided on as their choice of teaching strategy in a given situation was working to the advantage of their students in enabling them to learn. What emerged was the belief, which is best put in the words of the Superintendent in Pittsburgh:

> "that teachers are most familiar with the opportunities and limitations of the classroom setting. Accordingly, professional teachers must make the the critical decisions ... Enhancing teachers' professional self-esteem is a necessary step in releasing their professional talents and helping them improve their teaching skills."

(Wallace 1982 p. 2)

Events in Pittsburgh can be seen to epitomize the trends in both the directions mentioned. In particular, what was happening was that "in isolation" was ceasing to typify the

way that teachers worked. This isolation could be described as the "common yet serious malady infecting many schools" by Rosenholtz and Kyle (1984). In its place, a cooperative approach was emerging strongly in the school districts visited in USA, and so it was in the Ontario school districts, symbolized there perhaps in the handclasp logo on the literature describing "cooperative supervision and evaluation" in Halton (see Appendix 2.13). Necessarily, the management structures had to demonstrate this approach, and they did so in the schools and in the School Board offices. Tables 2.5 and 2.6 offer summarized presentations of the essential findings so far considered in this concluding section of the chapter.

Table 2.5 TEACHER EVALUATION: THE DECENTRALIZATION TREND	
The Evaluator Mode	The Approach Mode
Inspection by Ministry Inspector	Infrequent sampling by strangers
Supervisory Officer function	Superordinate evaluation by external staff
Principal/Vice-Principal function	Superordinate evaluation by internal staff
Departmental Head function	Evaluation as Supervision at department level
Peer function	Peer support as Supervision
Peer with Student and/or Parent	Teacher Evaluation integrated with Assessment of Student Attainment, as systems
Note: the progressive development follows the direction of the arrow	

Clearly, in the circumstances outlined above, if individuals with supervisory responsibilities were unable to lead effectively, and if classroom teachers were sceptical of the capabilities of the supervisors or hankered after old ways there was difficulty. More than one Principal was mindful of the importance of the effective execution of the role of the departmental head or the instructional chair, especially with regard to the activity of formal evaluation, if discussion over the year became "fractionalized", as a principal in London put the matter, and there was not a sustaining climate

of support from the departmental heads. This principal expressed the belief that departmental heads were exercising more real influence as change agents than principals and vice-principals (RM London). In Halton, a principal remarked that the departmental heads in his school had unequal capacities for supervision, and especially for cooperative goal setting. He had had to develop three departmental heads who had been paying lip service to Halton's system and to the system in his school. Devices this principal used included modelling supervision and matching up the less effective departmental heads with effective ones, which he called "buddying" (GB Halton). He wanted to establish a climate where people were comfortable about risk-taking, accepted evaluation from parents and students of school efforts, and invited ideas from all concerned with the school on the subject of how to measure that the school was accomplishing its goals. His style of principalship demonstrated the difference the individual could make to a system of teacher evaluation, by the way it was integrated into the whole school situation.

Table 2.6 TEACHER EVALUATION: TYPES OF DATA SOURCE FOR DECISION MAKING	
Characteristic of Ground Rules	Key Outcome Aim
Ambiguous or Unknown Criteria used	Overall Assessment of Teacher Performance
Competencies categorized and formal procedures	Categorized Assessments with Ranking
Differentiated Criteria for Phase, Subject, Post	Classified Focus on Individuals without Ranking
Anecdotal Observation in Classroom	Cooperative Goal Setting to promote Teacher Growth
Dual Concern: Student and Teacher	Cooperative Goal Setting with clear eye on Impact on Student
Note: the progressive development follows the direction of the arrow	

Near the beginning of this chapter (see p 60), reference was made to certain variables which Lake (1980) suggested are important with regard to gaining an understanding of a network of professionals. It is certainly helpful in gaining an understanding of the teacher evaluation systems which are

under scrutiny here, if they are regarded as networks of professionals. There is no necessity for the present purpose to consider in detail from this point of view all of these variables, although it will have become clear that they all indeed do have relevance.

The variables are considered below in turn, more or less briefly, in the order originally given. Starting with goals, what has emerged is the clarity with which the members of the constituent group have come to agree about the concerns and about how helpful it is for there to be a sharing of goals. Next, with regard to the exercise of authority, it was seen during the visits to the school districts that the credibility of the managers of the several teacher evaluation systems was esteemed very highly by participants. The expertise and application of the managers, their commitment to values shared with those evaluated, and an acceptance that their concern was to improve student attainment, never appeared to be in doubt. With regard to control over the constituent group, in practice this was distributed widely, and ultimately it was seen to belong to the autonomous participants. Concerning the variable of role definitions, what was remarkable was the great scale of effort which was put into establishing credible statements of expectations. There was evidence of some problems with role definitions, but these reflected a need for staff development which emerged as a standing requirement in a climate of change such as was prevailing. With communications, the major instrument was the device of effective consultative procedures. The intergroup dynamics constituted about the most important variable, especially at the policy making stage. Here the key relationship was with the Teachers' Federations and it was creative and typically non-adversarial. In Ontario, probably as important was the relationship which the Ministry of Education people had both with the Federations and with the Ontario Association of Educational Administrative Officials. Within the membership of the constituent group, in line with the actual expectation, there were strong collegial relationships and this evidently brought about trust in the group's representatives as being reliable guides to opinion, whenever these group

representatives met the representatives of other groups. The variable of the norms, or the operating rules, which were found as part of the systems of teacher evaluation in the field can be succinctly expressed by reference to the approach extolled in Halton of "Education by Agreement" or EBA (DF Halton). More explicitly, BW expressed this approach by saying:

> "One of the strategies that we have used in this school system to bring about positive changes in our culture: culture in the schools, and within the total organization, and broadly defined those changes would be in the direction of human values - if you like, of cooperation, treating one another with dignity and respect, prizing performance, prizing high achievement and so on." (BW Halton).

Another aspect of this variable was the ample documentation on the system available in every school district. It was invariably the case that what was intended was explicitly and comprehensively stated. There seemed to be a remarkable absence of ambiguity in the communications between the agency (the Board Office) and the constituent group. Within the context of the communication variable can be located the enhanced role of the departmental head, since this person interpreted the day-to-day running of supervision, determining in the process very largely the climate of the environment for teacher evaluation. This observation leads nicely to consideration of the variable of the concerns or what the participants wanted from the agency. What was crucial in these concerns can be identified in the discussion of theme 2.3.2 and it was the belief, seemingly always evident, displayed locally and at provincial or state level, in the capability and trustworthiness of teachers to participate in policy implementation and profoundly to influence its course. LT was moved to say:

> "On the whole, people understand that we are evaluating because we want it to be a valuable experience, not because we have to. That the main thrust is ... it is for everyone's good - specifically you as an individual teacher. It will help you to become a better teacher." (LT Hamilton EWTF)

From the viewpoint of this country, there are two further questions to address. First, were there characteristics about the school districts visited not yet mentioned, but of relevance? The size of the school districts is relevant, because they were mostly rather smaller than the average size

of an LEA in this country, but yet were able to deploy sufficient human resources. Their selection as locations for field work was based on prior knowledge that they would offer exemplary guidance for anyone interested in introducing teacher appraisal into a school system. Pittsburgh conformed well with the criteria suggested in the Rand study of effective practices in teacher evaluation (Wise et al 1984). Oregon came within the same term of reference, but also had experience of teacher evaluation reaching back into the early seventies, and, moreover, Portland was centrally placed for the investigation of pioneering work of research and experiment in relevant fields. With regard to practice in Ontario, the report issued in late 1986 by the Council of Ministers of Education (Lecuyer 1986) indicated that this practice was as well developed as anywhere else in Canada; moreover it was not mandatory but had grown from local initiatives.

The second question asks whether the experience analysed in this chapter has great relevance to current developments in teacher appraisal in this country. This may seem self-evident. Nevertheless, the relevance becomes clearer still in the following chapters.

Chapter 3   The Management of Schools

3.1 INTRODUCTORY
3.1.1 Recapitulation

As is clear from chapters 1 and 2, it is feasible to create appraisal systems which gain the esteem of both appraisees and appraisers who alike reckon worthwhile the time and effort involved. These appraisal systems which are well esteemed are conceived and designed not as discrete parts of management activities, but as integral parts. When a system is constructed in this way, appraisal becomes a part, so to say, of a management "way of life", helping the staff to maintain a clear and steady focus on the needs of their organization's clients. This position is found in cases taken from both the non-educational and the educational sectors. In these exemplary cases, typically, along with the appraisal system there are extensive, associated systems supporting staff development and continuing professional education.

Probably some of these exemplary cases were known to the DES, since, by commissioning a study of the practice of teacher appraisal overseas, it had for reference the data collected by the Suffolk team during their visit to Canada and USA (Graham et al 1985). Earlier, it had been given access to similar appraisal data gathered from USA and also Australia (Henley 1983). Why then DES displayed "the insularity typical of our educational planning" (Marland 1987 p. 3) is a matter for speculation, but most likely has to do with the approach traditionally taken to the management of schools in this country and which it is now necessary to consider.

Government justifies formal teacher appraisal by arguing that as a result of its introduction the management of schools will be changed for the better. The plausible case presented by government and the central agencies is discussed in detail in chapter 1. Principally, the case made is that appraisal improves the flow of management information, in particular by making available significant material which is not provided by other means. In schools starting from scratch with appraisal, immediate improvement is anticipated in the quality of

information available about the functioning of individual teachers, leading, it is presumed, as a matter of course to action which makes the operation of the schools better. Such action addresses teacher needs broadly, intending improvement in career planning, professional development, promotion arrangements, staff deployment, line management operations, in-service provision, and a range of additional personnel functions. Finally, the assumption of government is that as these components of school management support teaching and learning, it follows that by improving the former there are gains for the latter.

Contrasting with this government viewpoint, what is seen in chapter 2 is that in the exemplary cases of teacher appraisal found in Canada and USA the expectations are not expressed in a focus of attention which is widely angled over school management. Instead, this focus is set sharply upon the fields of activity which teachers cultivate in order to increase the probability of learning on the part of their pupils. This contrast reflects differences between the concepts of school management adopted there and here.

Recalling conclusions from chapters 1 and 2, the essence of these differences is expressed in the presence or absence of what seems best described as a "unified approach" to the management function. The argument which is developed below is that an approach like that contrasts diametrically with our traditional approach which separates the management of schools from the management of the curriculum. Providing the basis of this segmental approach are two separate and distinct theoretical frameworks and there is very little attempt to establish links between them. Thus following from that argument, the conclusion is that the advent of teacher appraisal occasions a need for radical rethinking on the subject of the management of schools and this is the main theme of the chapter.

3.1.2   The Task of this Chapter

Assuming when government and the central agencies: HMI, ACAS, and NSG, considered how best to establish the relationship

between the management of schools and teacher appraisal they took a traditional approach, then this approach and its implications in this context require exploration. The exploration makes up the first part of the task of this chapter. Options for an alternative approach are considered as the second part of the task.

The methodology shaping the way the task is addressed relies initially on a situational analysis largely based on the literature. Next, comes the study of a model of school management different from the traditional one and put forward here as better suited to support teacher appraisal. It then becomes necessary to make some observations on the job of a teacher, and on the process of enabling a teacher to grow professionally in the interest of school improvement.

As the task unfolds, a number of assumptions which underpin the methodology become evident. These assumptions need to be tested empirically and the final part of the task of this chapter is to give a preliminary explanation of the reasoning which led to the empirical study which is the main topic for chapters 4 to 7.

3.2   THE MANAGEMENT CONTEXT: A SITUATIONAL ANALYSIS
3.2.1 Dichotomous Thinking and Practice in School Management
In a work describing the general outcomes of an international study of school improvement, an interesting observation of relevance to this thesis is offered that:

> "we can see that the reigning organizational image held by people in a school has a profound effect on the day-to-day work of school improvement."

(Van Velzen et al 1985 p. 154)
That teacher appraisal is avowedly a school improvement effort is not a matter of contention, as shown in chapter 1, so "the reigning organizational image" can be presumed important when implementation is under consideration. This presumption is consistent with the finding that in several ways the outcome of teacher appraisal is determined by the context (Duke and Stiggins 1987). This context greatly influences both the way in which a school is organized and how its curriculum is created. This means persons concerned with the implementation

of teacher appraisal have to resolve difficult issues bearing on school management. Five such issues, being key ones, drawn from chapters 1 and 2 are summarized in Table 3.1.

Table 3.1	IMPLEMENTING A TEACHER APPRAISAL SYSTEM: FIVE KEY ISSUES IN SCHOOL MANAGEMENT
1	Assuring all aspects of the management of a school are being approached in a unified way
2	Developing and maintaining collegial staff working relationships
3	Ensuring activities of professional development focus on the needs of pupils
4	Establishing shared values to govern the choice of the teaching and learning styles deemed best for the pupils in their various groupings in a school
5	Ensuring at the level of the school that policy makers foster the roles of classroom teachers as policy implementers

A search of British literature relevant to the these issues was conducted with a view to to gaining a theoretical assessment of the current situation. This step was necessary to back up knowledge gained from practical experience and other primary sources, including the material on the pilot study which is considered in chapter 1. This meant making reference to a range of work concerned with the organization and management of the schools maintained by LEAs.

In an important example of such work, Hoyle, tellingly, has suggested that:

"understanding schools as organisations is not to be equated with understanding the process of schooling. The latter is perhaps best understood through studies of the curriculum, classroom interaction and of the relationship between them ... "

(Hoyle 1986 p. 15)

By taking this stance, Hoyle is able wholly to separate "issues relating particularly to power and professionality in schools" from "the teaching and learning process" and to write a book puporting to deal with issues "mainly centred in the management dimension" which is concerned "not at all with pupils" (Hoyle 1986 p. 21). What Hoyle describes reflects effectively the dichotomy built into the traditional approach to the management of maintained schools, whether the view is

taken from an external or internal standpoint. This dichotomy penetrates deeply.

In the literature, there is no significant disagreement with Hoyle's analysis. For example, Everard and Morris, in "Effective School Management" (1985), concentrate on issues of staff management, concerning themselves little with what a school is generally supposed to be for, namely, in their words, "to promote its pupils' learning, within a curriculum acceptable to its stakeholders" (p. 12). Everard and Morris do not attempt to link their observations about management behaviour with pupil outcomes, nor do they regard the time pupils put in at school as a resource requiring management, as they bring into consideration only the books, the buildings and finance, along with the staff. The variables suggested by Davies (Davies 1971) and referred to in chapter 1 as being at the heart of the process of the management of learning are not brought together into the account by Everard and Morris (1985, 1990). Sometimes also it seems ideological approaches foster dichotomous thinking about school management (Maw et al 1984).

In the British literature with a bearing on school management, there was a consensus of opinion when teacher appraisal became a national issue. In this literature, attention is divided between concerns focusing on the curriculum, including observation studies of the experiences of teachers and pupils in classrooms, and concerns focusing on the management of the relationships the staff have with each other and with persons outside the school. With regard to the latter, there has been a preoccupation with classification of staff cultures which have been held significantly to typify schools as organizations. While this typology has value in helping to create understanding about the different styles professional people may adopt in forming their working relationships with each other, it is not put forward by its supporters on the grounds that it has a direct or more than partial bearing on the interaction the teachers have with pupils. The partial bearing in mind is bound up with the school ethos which is influenced by these relationships and which has been found to assist the effectiveness of teachers (Rutter 1979).

Generally, however, one has to go along with Hoyle, agreeing that the approach does not illuminate the teaching and learning process. Other representative examples of the approach referred to here are Handy (1984), Everard (1986), Handy and Aitken (1986). Moreover, HMI have adopted this dichotomous approach.

HMI in their publications have tended to present management in schools in a segmental way that rather proves Hoyle's argument. As an example of this tendency of HMI, a survey of secondary schools published in 1988 can be cited. This survey which is based on HMI inspections conducted during the years 1982 to 1986, has a section entitled "Summary of major findings" which includes the topic of school management as one of a number given parity of status. The topics having parity are listed in Table 3.2.

Table 3.2	HMI SECONDARY SURVEY (1988): CLASSIFICATIONS OF CATEGORIES INTO WHICH MAJOR FINDINGS ARE PLACED
Standards of work	Curriculum
Teachers and teaching	Organisation
Management	Assessment
Pastoral care	Accommodation
Resources	

Concerning these schools inspected between 1982 and 1986 and the bearings which their approaches to mangement might have had on the findings referred to above, no analysis is offered by HMI. While relevant to teacher appraisal, such bearings as might particularly have related to standards of work and teachers and teaching are not noted. The major findings of HMI are presented without management considerations affecting the relationships between them being addressed. In the survey, there is a separate section called "Management of the curriculum". It deals with staff roles, questions relating to job descriptions, and schemes of work mainly. Judging by this survey, the concept of management possessed by HMI thus comes across as being dichotomous and, moreover, somewhat constricted in scope. The questions of school improvement, strategy, planning, and the focus of effort amongst staff, for example, are disregarded, at any rate so far as explicit mention is a fair guide. The stance adopted in this survey is

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not atypical of the HMI approach.

In the annual reports of HM Senior Chief Inspector of Schools, called "Standards in Education", the standards applying to management have for all practical purposes been omitted from consideration. These reports have not included a description of the conceptual framework which HMI have relied on in forming their conclusions. While such published evidence of what HMI believe about the function of management in schools is ambiguous (and unsurprisingly reminiscent of government thinking), in contrast, the belief exemplified in what Hoyle has written is clear, even if carrying only modest expectations about the impact of management on how teachers mostly spend their time: namely on teaching and learning. However, Hoyle admits to the possibility that there is a "suggestion" of a "relationship" between "the management dimension" and "the schooling dimension" (Hoyle 1986 p. 20). What advice HMI were offering in the mid-1980s at the DES about this relationship and the connections with teacher appraisal remains a matter of speculation.

On this relationship referred to by Hoyle, there is an interesting viewpoint applying at the level of headship. This is offered by Hughes who in his "dual role model" suggests a theoretical split in the role, between two sub-roles of "leading professional and chief executive" (Hughes (1972, 1976) and in Glatter et al 1988). Neither role is described as including classroom visiting. Being the leading professional is proposed as engaging, for example, in the career counselling of teachers and offering a professional orientation in the conduct of the school's external relations. It does not mean being capable of fostering directly the effectiveness of teachers, as was expected of the principals and other supervisors of teachers in the North American cases discussed in chapter 2.

Hughes may be seen as marking out a cross-current of educational change moving through schools during the 1970s and 1980s bringing heads and teachers professionally closer, despite the evident dichotomy in management thinking which

continued to prevail. Following Hoyle, it seems highly likely that "the relationships between heads and teachers, which are the basis of the administrative climate, are related to the relationship between between teachers and pupils" (Hoyle 1986 p. 16). The fostering of these relationships can be construed as an initiative which helps at least a little in attaining resolution of the issue summarized as Item 1 in Table 3.1 (see above p. 112).

Possibly, there is also a connection relevant here between the dual role model offered by Hughes and events belonging to what has been referred to as a "new wave" of curriculum evaluation which emerged in the 1970's. This new wave, according to Hopkins, "was concerned to illuminate educational processes and issues" (Hopkins 1989 Preface). The connection suggested here would be with the leading professional side of the dual role model, although it would be a limited connection. During the 1980's, Hopkins further argues, a different evaluation style came to be advanced by government. Then proposed as key considerations were "performance indicators", "needs assessment", and "product evaluation"; also, significantly, bearing in mind what is noted on the subject in chapter 1, there was "a concern for, but a limited view of quality in education" (Hopkins 1989 Preface). Thus there is a strong connection to see between this later different evaluation style and the chief executive side of the headship role as adumbrated by Hughes. Here again are visible the cross-currents of contrary educational changes. Most particularly visible, however, is the dichotomy characteristic of theory and practice in the traditional approach to school management.

Another interesting inference to draw from the literature on the mangement of schools is that generally there has been a lack of interest in questioning whether it is best for teachers to be left alone, in their classrooms, workshops, or laboratories, not just as much as possible, but rather for all practical purposes. This situation reflects a range of conventions found in schools. In Glatter et al, citing Siddle (1978), there is reference to "a traditional reluctance to

interfere with the professional work of one's colleagues" on the part of heads of department (Glatter et al 1988 p. 67). There are many other references in that work to similar findings which bring out the acceptance of a situation described elsewhere as one where:

"teachers are not encouraged to be open about their work, and knowledge of what happens in other's classrooms is relatively poor."

(Stillman and Maychell 1984)

The traditional situation in school management has been then one where "when you are teaching you don't have to share your ideas with anyone so you don't have to define what you feel" as was said by a teacher participating in a Schools Council project focusing on teaching and learning (and designed to remove the perceived current isolationist position of teachers) (Thomson 1984).

3.2.2 Managing Useful Teacher Appraisal

Judging by the material referred to above and in the earlier chapters, it appears sensible then to believe that teacher appraisal is likely to be useful or not as a means of improving teaching and learning depending on the approach taken to school management in the LEA and the school where it operates. This is a belief which has withstood exhaustive investigation in the North American context by Darling-Hammond, Wise and Pearce (1983) and by Duke and Stiggins (1986). Furthermore, because it is reasonable to assume that the behaviours of the appraisee and appraiser are influenced significantly by the context for teacher appraisal created by school management, it follows that it is important to know in respect of this context what are the factors which matter.

Besides the two factors considered already, namely, a prevailing dichotomy in management thinking and a practical isolation of teachers from each other, there is another factor to recall here. This is the expression in the school of the values espoused by those responsible for its management. The importance of this third mentioned factor can be illustrated by reference to a significant expression of values made with schools in mind by Gray who observed that:

"In education nothing is quantifiable against a 'correct' measure. Because education is a process and ultimately an individual experience, no decision or action is capable of an 'objective' evaluation; that is because there is no tangible product. Everything that is decided in education is a matter of opinion or is capable of an alternative opinion."

(Gray 1984 p. 116)

Anyone sharing Gray's opinion presumably has unease about involving teachers in appraisal, and is seemingly bound to lack sympathy with the intentions considered in chapter 1. Starting from a position such as that held by Gray, it is very hard to see how a conceptual framework to support the management of the "quality of education for pupils" (S.I. 1991/1511 4.-(2)) can be developed through teacher appraisal. At all events, if this opinion which is defined by Gray expresses values which are strongly and widely held, the implication is that more than just "initial awareness raising" (NSG 1989 p. 22) is necessary to ensure the presence of shared (and completely changed) values in every school where appraisal is to be put in place. Possession of shared values characterises good schools according to HMI (HMI 1977).

The point however is that there is a large obstacle to overcome, namely, the lack of practice in creating shared values possessed by school staffs, and members of LEAs. It is indicative of this lack that at the time when the government proposals for teacher appraisal were launched Kogan was arguing that:

"A tiny number of schools might be collegial ... It is safe to say ... that British schools are hierarchical and managerial ..."

(Kogan 1986 p. 140)

Lack of participative experience was a characteristic of British educational administration identified by the OECD team which made a report on "Education in England and Wales" in 1976. This team observed that:

"Decentralisation of authority is characteristic of British political practice in general, but it is nowhere more evident than in the sensitive area of education ... this decentralisation does not automatically signify a high level of participation in the administering and control of the system."

(OECD 1976)

As another aspect of this situation, it is also noteworthy that the salary scales of teachers support the application of hierarchical arrangements in schools. For Hoyle, the

replacement of such arrangements by collegiality would mean dismantling the current structure of the salary scales for teachers (Hoyle 1986 p. 88).

As is shown in chapter 2, the persons engaged in teacher appraisal in North America clearly understood the importance of their own participation "in the administering and control of the system". Affirming the value of this participation, it was a conclusion reached in an American study of effective practice in teacher appraisal that:

> *Teacher involvement and responsibility improve the quality of teacher evaluation.*

(Wise (1984) Conclusion Five)

Wise also stressed that shared values are possessed by participants in effective teacher appraisal and that such values embrace teaching and learning (Wise (1984) Conclusion One). There seem no grounds for doubting that the reasonable assumption to make here is that the implementation of teacher appraisal in all schools means widespread radical changes in the conduct of school management and, in turn, changes in the habits of teachers, possibly also sometimes in their values.

What situation is envisaged by government has not been made clear except that it is not one which is dependent on substantial new resources. Probably, the ambiguity of government proposals concerning teacher appraisal was perceived by teachers through their grass roots understanding of the depth and variety of the potential implications. Teachers no doubt saw the implications as more far-reaching than government realized. Perhaps, through emphazising systematization (see chapter 1 above p. 40), government misled itself into minimizing the scale of change it intended and the nature and extent of the resources required. Besides, therefore, the conclusion that change is needed in management at school level, another conclusion is that the political environment beyond school needs change too, to help get the context right and ensure the effective sustaining of teacher appraisal with appropriate resources and idiographically.

At all levels, school, LEA and nationally, theoretical tools have to be found to help in the implementation of the changes required in order to put teacher appraisal in place in a useful way. These theoretical tools have mainly to be capable of facilitating adjustment with regard to the roles of the key people in schools and LEAs. There are also some practical problems to solve relating to people working at the level of the central agencies. Basically, reflecting the current theoretical position, the fact is that there has been a lack of a unified approach in educational administration generally. This lack has been particularly evident in the separation of inspection functions from administration in LEAs and the DES. The process of gaining knowledge of the way in which schools work is divided between the inspectorate and education officers or the adminstrators, and there is a deference to the opinions of one side or the other in discussions about school development or change, causing judgements to be made which rely on a curious mixture of sureness and uncertainty. The outcome is the further problem which has been described as the "very weakly developed notion of the meaning of professional competence, and the means to its development" possessed by most administrators, and many educationists, concerning teachers (Wilson 1989 p. 210).

All this tends to leave schools in a position where the influences playing upon them from the policy making environment have touched upon their core tasks either lightly or, when heavily, often clumsily, leaving the implications of much policy to be discovered as events unfold. Policy making on teacher appraisal has followed this traditional line. In other words, the signs of need for change are read by one group, but the routes to follow are decided upon by others. Radical change in thinking about the management of schools is necessary. This then is the final problem which needs attention. There are communications of an unfamiliar two-way kind within schools and between them and their external environment which have to be established to support teacher appraisal, if the assumption is made that it has the potential to improve teaching and learning. Without this innovation in communications, there is a likelihood, as Reynolds and

Saunders (1987) have observed, that expecting teachers "to give business-like accounts of what they are about to outsiders" (p. 212) invites them to develop a dual language. This suggestion of the use of such language draws attention to the root difficulty with dichotomous thinking in school management showing why it is incompatible with effective teacher appraisal.

3.3 TRADITIONAL SCHOOL MANAGEMENT SYSTEMS: LIMITATIONS WHEN CONSIDERED IN RELATION TO TEACHER APPRAISAL

3.3.1 The Paradox of the Current School Situation

The power to secure the effectiveness of teacher appraisal is located in the last analysis in the school, where the positive outcomes are created. Hence the recognition of the need for a bespoke system for each school, even though within national and LEA frameworks, from the first. Sir Keith Joseph had said:

> *"teacher appraisal should largely be conducted at the level of the individual school by the teachers themselves."*

(Joseph 1985 p. 36)

What Joseph recognizes is that agencies outside the school cannot compel teachers to achieve outcomes of the highest possible quality from teacher appraisal, whatever control procedures are put in place.

In the light of North American experience, it can be said that high quality outcomes arise from teacher appraisal because of the commitment of the participants. They will have previously gained and got used to applying the required skills and learning at a mastery level. This achievement of quality is probably tantamount to "the way of life" which teachers in Canadian schools spoke about and which was also identified in the non-educational sector in this country. In both instances, participants recognized that the best way of validating quality in appraisal was for them to look at the evidence of the impact of its intended outcomes on the client. In this section, therefore teacher appraisal is viewed as a development effort at the level of the school, and the focus is on the impact of its outcomes on the client who is assumed to be the pupil.

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Generally, this country's authors of models of school management have concentrated on the analysis of organizational behaviour, dichotomously in the sense referred to in the previous section of this chapter. Comprehensive examples of such models are found in Bush (1986) where educational organizations are seen as expressions of the management styles which are adopted by the staffs who run them. What is stressed as important by Bush (1986) and Hoyle (1986) is the way these staffs group themselves or how power is exercised. The issues tend to be described essentially then in terms of whose influence has been most visible in case studies, and not in terms of how well pupil learning is promoted. Indeed, there is amongst the authorities a debate, to which Bush refers, on who it is that the school serves. So long as there is an assumption of uncertainty on the mission of the school, there is going to be difficulty in conceptualising the "school" in a way useful for model building to help progress teacher appraisal. The difficulty applies whether modelling the institution or the teacher. In such circumstances, it was not surprising that Hoyle claimed that:

> *"At the present time, there is little to suggest that there there is a systematic relationship between the managerial domain and the core task dimension of teaching and learning."*

(Hoyle 1986 p. 15)

Here then is a paradox. If Hoyle is right, concentrating in line with government policy on management issues creates an unlikely vantage position from which to initiate action through teacher appraisal to improve teaching and learning. Unless the sense of "management of the teacher force" was meant to signify an impending non-traditional approach to the management of schools, government policy contains a serious flaw requiring remediation.

3.3.2 Some Basic Needs

The presence of the dichotomous approach to school management appears to handicap policy makers who as a result have difficulty in understanding how schools work. As reference to major authorities in the British literature dedicated to school management shows, there is little attention given in a theoretical way to the linkage between a school's educational

system and its organizational system. This is to say that curriculum management and school management are not conjoined within a single theoretical approach which teachers can turn to practical use.

It has indeed been argued by Weick (1976) that the autonomy accorded to the teacher causes the decisions of management to have only a "loosely coupled" effect on classroom activity, meaning that the impact of such decisions on the essential work of teaching and learning in classrooms tends to be unlike what is intended. As well, in relation to teachers working at their core tasks, it can be said that school management functions primarily at the level of hygiene factors, rather than the motivating factors. The factors meant here are those defined by Herzberg (1959) and summarized in outline form in Table 3.3.

Table 3.3 MOTIVATING AND HYGIENE FACTORS	
Motivating Factors	WORK ITSELF ACHIEVEMENT GROWTH RESPONSIBILITY

Hygiene Factors	ADVANCEMENT
	RECOGNITION
	STATUS
	
	INTERPERSONAL RELATIONS
	  - SUPERVISORS
	  - PEERS
	  - SUBORDINATES
	
	POLICY AND ADMINISTRATION
	JOB SECURITY
	WORKING CONDITIONS
	
	SALARY AND PERSONAL LIFE

(Herzberg 1959)	

In the main the hygiene factors address organizational issues. It is the motivating factors which address the issues of service to the client. This is an important point. Government proposals and the recommendations of NSG give emphasis to hygiene factors, using Herzberg's terms. This suggests that the factors which are likely to be overlooked in the management of teacher appraisal include those factors which motivate people, meaning that the factors which logically require the most attention may receive the least.

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Therefore, having regard to the points made above based on what Wieck (1976) and Herzberg (1959) have said, and assuming teacher appraisal can help school leaders to focus on teaching and learning above all, it seems an effective tool is required to analyse the relevance of the activities that are in place and to give direction to proposals for change. The tool has to be capable of unravelling the educational and organizational systems in a school and of facilitating their conjoint management. The need for this tool arises simply because of the powerful influence of the separate theoretical frameworks currently used and the consequential preoccupation with issues of accountability as the central but mistaken purpose of teacher appraisal, instead of the issues of teaching and learning.

3.4 SCHOOL MANAGEMENT: A NEW DEVELOPMENT MODEL
3.4.1 Overview
A theory of school development which conjoins the organizational and the educational systems of schools has been developed by a Dutch educational research team: De Caluwe, Marx and Petri (1988). They have suggested that the educational system of a school can be conceptualized as being at or near to one of five different stages of development. Similarly, they have suggested one of five different stages of development can be found to apply regarding the organizational system of a school. Use of this theory is intended to help persons concerned with the management of schools to gain understanding of current organizational and educational systems both when considered separately and when conjoined. To supplement what they knew of schools, the team drew upon experience in the non-educational sector.

This theory enables management values in a school to be analysed on a basis that brings out what is distinctive for the school, while at the same time strongly motivating the staff to choose their own orientation in alignment with the school's policies and distinctiveness. It is noteworthy that De Caluwe, Marx and Petri envisage variables in accordance with a methodology not unlike that used by Davies (1971) which is referred to in chapter 1. These authors identify four key

factors determing school development.   These   factors   are
summarized in Table 3.4.

Table 3.4   FOUR FACTORS DETERMINING THE
             DEVELOPMENT OF SCHOOLS

1   The people in the school (staff, pupils), with
their views, capacities, desires and aspirations

2   The   school's educational system or educational
programme: the   objectives,   curriculum   content,
methods,   resources,   grouping   patterns   of   pupils,
pupil counselling service, etc. which apply to the
school.

3   The   organizational   system: the   way   in   which
teachers   are   grouped;   the   existing   organizational
culture;   the   relative   positions   of   staff;   the
management   structure;   the   distribution   of
responsibilities.

4   The environment which affects the school.   The
national school system as it is: the way in which
education   is   organized   (for   instance: financing of
schools   and   legal   regulations);   the   social   and
local   environment   (the   economic   situation,
political   relations,   neighbouring   schools,   parents
and such).

(De Caluwe, Marx, and Petri   1988 p. 11)

The   four   factors   are   envisaged   as   interactive,   influencing
each   other   in   a   way   illustrated   diagrammatically   in   Figure
3.1.

Figure 3.1   THE INTERACTION OF FOUR FACTORS
              DETERMINING THE DEVELOPMENT OF
              SCHOOLS - DIAGRAMMATICALLY EXPRESSED
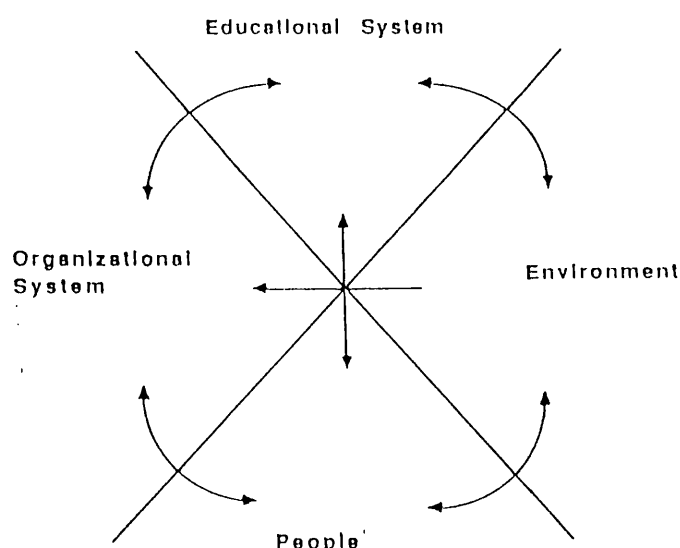
(De Caluwe, Marx and Petri   1988 p. 11)

In   Figure   3.1,   the   environmental   factor   is   envisaged   as

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largely independent; in effect it circumscribes the influences of the other factors. For theoretical mapping in the schools where teacher appraisal is going to be implemented, it is sufficient to consider just two of these factors, namely items 2 and 3 in Table 3.4.

3.4.2 Analysing Educational Systems in Schools:
Relevance to Teacher Appraisal

Exploring the theory by looking more closely at the five "models", as the Dutch team have designated the stages of development they identify in educational systems, shows that the nomenclature used is descriptive. This nomenclature is given in Table 3.5.

Table 3.5 FIVE EDUCATIONAL MODELS: NOMENCLATURE
1   selective streaming model 2   setting model 3   mixed ability model 4   integrative model 5   innovative model
(De Caluwe, Marx and Petri 1988)

With respect to these educational models, the theory coceptualizes movement from model 1 to model 5 as progression. This means that teachers in their curricular practice move away from dependence on strongly cognitive approaches which are dominant in model 1, and instead balance their attention over affective, expressive, social, and normative concerns as well as the cognitive, doing so progressively from one stage to the next. This movement also strengthens the educational system, by improving its three key capacities, namely: to individualize arrangements for pupils, to achieve curriculum breadth, and to cope with innovation. The theory presumes that the effectiveness of each capacity is demonstrated in the functioning of the seven main components which are considered to make up an educational model. These components are named in Table 3.6 on the next page.

In the process of teacher appraisal, the components shown in Table 3.6 have relevance through their obvious affinities with factors of importance in teaching and learning and because how a school creates each such component influences the norms

of teacher autonomy, determining, for example, the nature of collegiality in a school. The Dutch team provide a theoretical analysis of each component. The analysis can be extended at school level as required by reason of the school's distinctiveness.

Table 3.6   THE COMPONENTS OF AN EDUCATIONAL MODEL
A   main structure of the educational model B   curriculum content C   curriculum organization D   grouping patterns of pupils E   pupil guidance F   testing and reporting G   evaluation of instruction processes
(De Caluwe, Marx and Petri   1988)

Pupil guidance, for example, component E in Table 3.6, besides being a matter to do with accomplishments in fields of knowledge, skills, and understanding, or in subjects, or personal growth, also relates to a pupil's attitude to school, home support and causes generally which encourage or discourage the pupil. Assuming a focus in an individual appraisal, is on a topic, say, belonging to "pupil guidance", the suggestion now put forward here is that the significance of an appraisal topic within the school's educational system can therefore be more greatly clarified with the aid of the Dutch theory than when using conventional means. Thus the individual teacher's capability to strengthen a component of a school's educational system in a desired way also becomes clear, facilitating the making of personal action plans which can progress school development plans. It is suggested as well that an application like this of the Dutch theory draws attention in a compelling way to its potential for assuring pupil learning as the proper reference point for determining priorities in a scheme of teacher appraisal.

Thus, with teacher appraisal, the potential value of the methodology of the Dutch theory is that it relies on the recognition of educational points of concern enabling them to be analysed, assessed and classified meaningfully. A map, so to speak, is then provided on which to plot the desired orientation, or direction ahead, which is being proposed to a

teacher.   Unlike the typical models of curriculum analysis available to schools (Preedy 1989), those offered by the Dutch team do not just acknowledge pedagogic values, or rather take them for granted, but place them in a conceptual framework. The models moreover are dynamic which means they presume in management practice the presence of change-supportive norms which the North American experience suggests are prerequisite for the effective management of teacher appraisal.

The assumption here is that if teachers possess a theory which can inform them of the comparative position of their school in terms of educational systems configured as in these models, it is likely they will see that they can choose a direction to follow through the developmental stages.   The further assumption is that the awareness gained of the current developmental stage reached in a school's educational system, or curriculum, enables directions ahead to be mapped by school leaders, both for the school and for the teachers who can then create their own tracks for their classes leading towards the chosen stage of further development knowing they are expressing a school-wide strategy.   The events of teacher appraisal can on this basis be designed to help accomplish a school-wide educational strategy.   It is suggested that this promises a dual utility: helping, on the one hand, to improve management effectiveness and, on the other, teacher effectiveness, and does so openly and on a coherent basis.   If the applications outlined above seem feasible for this country's schools, then potentially the theory can fill a gap and appeal widely to the central agencies, to LEAs, to school leaders, and, most particularly, to teachers.

This Dutch school development theory is supported by detailed schedules of key concerns in educational systems to help with a deeper analysis of the position in a particular schoool.   An example of a schedule is given in Appendix 3.1.

3.4.3 Analysing Organizational Systems in Schools: Relevance to Teacher Appraisal

The Dutch team's framework of theoretical analysis used to identify stages of development in the educational systems in

place in schools is complemented by a similar one which applies to the associated organizational systems. Exploration of this latter framework is worthwhile as it shows how a theory of analysis applying to organizational systems in schools is relevant to teacher appraisal. There are again five "models" which in this case have been designed to highlight five theoretical stages of organizational development. Diagnostically, these are considered by the Dutch team to have affinities with the organizational models constructed by Mintzberg (1979, 1983) applying to management systems in non-educational settings. The models for the school setting are named in a way which shows the essential characteristic of each identified stage, as indicated in Table 3.7.

Table 3.7	SCHOOL ORGANIZATIONAL MODELS: NOMENCLATURE
I II III IV V	segmental model line-staff model collegial model matrix model modular model
(De Caluwe, Marx and Petri 1988)	

In Table 3.7, the sequence of these essential characteristics is intended to signify advancing capacities in a school organization: for flexibility, handling complex tasks, and organizational development. In parallel with the methodology followed in the analysis of the educational systems, the theory states that belonging to each stage of development recognizable in school organizations there are again key components. These components are indicated in Table 3.8 on the next page.

Table 3.8	THE COMPONENTS OF AN ORGANIZATIONAL MODEL
1 2 3 4	organizational units coordinating mechanisms governing structures organizational awareness
(De Caluwe, Marx and Petri 1988)	

In Appendix 3.2 is a schedule which exemplifies the organizational models and the components in further detail.

For illustrative purposes here, reference can be made to what is distinguished in the organizational units (component 1 in Table 3.8) which concern ways in which teachers work, whether very much together or in relative isolation. Teachers may work in their schools in lateral associations with one another or in accordance with hierarchical provisions, within a year group, a subject department or curriculum team, or within a project group temporarily. For example:

> "the segmental model ... may be characterised as an organization in which individual teachers formally have a highly autonomous position ... [which] implies strong tendencies to the effect that every teacher teaches his subject matter (discipline) in his own way to classes of pupils ... and there is a minimum of interrelatedness with activities of other teachers ... the teacher may use his own teaching method, or change it; it does not affect other classes, other teachers or other activities in the school."

(De Caluwe, Marx and Petri 1988 p. 101)

3.4.4 A Theoretical Basis for a Unified Approach
to the Management of a School: Importance to
Teacher Appraisal

As conceptualized by De Caluwe, Marx and Petri, "managing" means creating a particular relationship between the educational and organizational systems of a school. The relationship which can be created derives from the possibilities which are indicated in the summaries of the typologies of the models given in Tables 3.5 and 3.7. This relationship specifies the nature of the interdependence between the components of the curriculum and teachers' work styles. In other words, the effectiveness of teachers depends on this relationship and on the consequential commitments placed upon them as individuals. This is the situation in which teacher appraisal operates, and by which the limits are set to what can be realistically expected of teachers.

The point which has importance here can be illustrated by making reference to a created relationship and its bearing on concerns of cross-curricularity:

> "neither the mixed-ability model, nor the collegial model has much innate power to cross the barriers of subjects and departments"

(De Caluwe et al 1988 p. 107)

Clearly, in such situations as conjoined here theoretically in the two models mentioned, teachers are constrained.

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Specifically, the bearing in this example is on a lack of capacity to progress cross-curricularity, say, in line with the expectations defined in ERA (1988). The instance of an "implementation gap" (Becher 1989) revealed here is arguably not one that a system of teacher appraisal on its own can overcome. Whatever the purpose of teacher appraisal, the situational constraints created by management are real in every case, but the point is that it is useful for appraisees, appraisers and the managers of the systems to know better how they occur or may occur and can be combated.

Valuably to broaden out the point, reference can be made to the final stage of the theoretical development of these Dutch models where the educational and organizational systems, respectively, are distinguished by a distinctive pupil centredness typifying the educational approach and a distinctive professional collaboration typifying the organizational approach. The relationship between the developmental stages is clearly argued by the Dutch team:

> *"Typical of the integrative-matrix model is its broad educational base: more or less equal attention is paid to the development of cognitive, affective, normative, social and expressive skills. It is also typical, that the content structure of the curriculum is not determined by strong boundaries between streams and is only partly determined by boundaries of the traditional subjects [and] multi- or interdisciplinary [...] criteria [...] gain in importance [...] The integrative model [...] needs an organizational structure which allows for cooperation in many combinations (networking) [... and] in this way each teacher gets information, guidelines and facilities [... and] a balance exists between the top-down approach (dominant in the line/staff organization) and the bottom-up approach (dominant in the collegial organization)."*

(De Caluwe et al 1988 p. 110)

The last two statements above which are cited to illustrate the Dutch team's theory make the point that when school leaders take management decisions they create the educational and organizational systems which conjointly determine fairly precisely what can reasonably be expected pedagogically of a teacher in their school. In other words, saying with regard to teacher appraisal that teachers need to know what is expected of them means just as clearly saying what working environment the teachers shall have provided for them by their line managers. The nature of the mutual responsibility on which the effectiveness of teacher appraisal depends is thus

brought out and emphazised. This Dutch theory has therefore considerable utility as a means of creating awareness of the current working environment, illuminating it valuably for the participants in teacher appraisal whatever their level of involvement, and bringing out, moreover, the bearing this environment has on the autonomy of the teacher regarding teaching and learning. Diagrammatically, the relationship which the theory suggests exists between the organizational and educational models is shown in Figure 3.2.

Figure 3.2   THE KITE DIAGRAM: GROWTH PATTERNS IN SCHOOL EDUCATIONAL AND ORGANIZATIONAL SYSTEMS

I - II - III
Assumption that
core tasks take
care of themselves

IV - V
Assumption that
core tasks regularly
need evaluating

Concentration on
cognitive needs
and abilities in the
teaching and the
learning styles

Cognitive, affective,
expressive, social
and normative needs
and abilities are
balanced in the
teaching and the
learning styles

Pedagogical direction gives
increasing support to
cross-curricular themes

Central "snake" suggests line of probable movement over time in management orientation

The kite-shaped diagram in Figure 3.2 shows the developmental stages of both models indicating the complementary positions. The diagram is intended to illuminate the connections which there are between decisions affecting the curriculum and decisions of complementary appropriateness on organizational structures. Clearly, what is brought out through reflection on this diagram is the broad range of management options which can be searched to find systems most likely to be mutually supportive in the pursuit of given school goals, being systems thence capable of being developed in the direction desired by

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management. Therefore, it is suggested, at all times that chosen direction is a crucial component of the process of teacher appraisal, affecting its scope and power to progress its purpose. For comparative interest, a theoretical location for each of the four organizational cultures conceptualized by Handy (1976) is shown, using his symbols.

Going from left to right across the Kite in Figure 3.2, represents development of the curriculum in terms, for example, of balance, breadth and impact on the individual pupil, and, at the same time, an increase in the participation by all staff in policy making and management decision making in the school. This is the direction which is assumed to mark a pattern of growth.

If teacher appraisal causes pedagogic and management issues in schools to cease to be considered apart from each other, then it is here presumed desirable to have conceptual frameworks to rely upon which can demonstrate the probable reciprocal influences which decisions ostensibly taken in the organizational area can be expected to have on the educational area, and vice-versa. Thus the ideas to be gained from the pioneering work of the Dutch team can help to elucidate the radical change which is required in the management of schools to accommodate teacher appraisal.

The conclusion here is that teacher appraisal requires theoretical underpinning in management terms and that the Dutch models illustrate how this can be provided. A further conclusion is that the model which Davies constructed for the management of learning and which is referred to in chapter 1, together with an instrument of school based review, used in combination with the Dutch models offers a way of achieving the synchronization of management mechanisms with educational concerns, argued here as necessary if teacher appraisal is to work with maximum effectiveness. One other element has also to be strong however to ensure that the theoretical picture is complete. This element is the gain which comes when there is also an accompanying clear vision of both the teacher's job and teacher expectations of the job. These topics are

considered in the next section of this chapter, but, before
moving to them, it is noteworthy that there have been signs of
viewpoints similar that of the Dutch team emerging in the
British literature.

Besides the Dutch team, as an example of other writers who had
earlier been pointing in similar directions to theirs, there
is Coulson.   Influenced by environmental considerations, he
had suggested that the position of teachers was being moved
away from segmental organizational arrangements by changes in
the architecture of schools:

> *"as the physical separation of classes decreases, the individual
> teacher's zone of authority and decision making diminishes:
> decisions formerly made in the classroom by each teacher may now be
> made collaboratively ..."*

(Coulson 1980 p. 283)

and by other, socio-economic influences towards collegiality:

> *"in view of the complexity of the educational enterprise in modern
> society, it is no longer desirable or practicable for the heavy
> responsibility of controlling and directing a school to be placed on
> upon a single indidividual - the head"*

(Coulson 1980 p. 287)

More recently, Becher also has pointed to a number of
significant connections between organizational and educational
"systems" in a school, for example:

> *"a traditional didactic teaching mode will fit comfortably with a
> strongly subject-and test-oriented curriculum, and a progessive one
> with a more open, student-centred framework"*

(Becher 1989 p. 60)

The Dutch theory is pertinent, clearly.   It greatly clarifies
the relationships which exist within a school between its
organization which enables it to work and its educational
offering which it intends for its pupils.   These relationships
crucially control the functioning of the teacher whose job
they shape.   It is now apposite to consider the teacher's job
in greater depth.

3.5   THE TEACHER'S JOB: CHOOSING A MODEL

3.5.1 Some Key Considerations
At the beginning of the 1980s, job descriptions for teachers
were so rare that the Clegg Commission in 1981 had to abandon

an intention to size the teacher's job for the purpose of
salary determination because of the lack of examples. Since
then, the typical job description for a teacher has become
task driven, much on the lines of the example taken from the
Teachers Pay and Conditions Regulations given in Appendix 1.4.
Such job descriptions offer only limited insights into what
happens on task, and thus have weaknesses if used in teacher
appraisal. Nevertheless:

> "Any appraisal system must include in its guidelines a definition of
> the teaching task [...] The way the teaching task is defined will,
> quite clearly, shape assumptions about teaching, and condition
> expectations from it: it will also indicate something about the
> relationship of the teacher to the school and to the LEA."

(Graham et al 1985 p. 1)

If Graham et al do not give the whole story, they raise
interesting questions which lead to other points to consider.

Because the job of a teacher has a professional nature, as is
generally accepted, and more particularly because of the lack
of opportunity for consultation with peers or superiors
during lessons, it is the case that a teacher will always act
autonomously most of the time, using discretion and responding
ad hoc to many unpredictable combinations of needs expressed
by pupils. No lesson is strictly comparable with another, but
"one-of-a-kind", and that essential characteristic makes what
teachers do typically professional (Shapero 1985).

In an interesting work on "Managing Professional People",
Shapero (1985) suggests that there is a distinctive dilemma to
overcome in appraising professional people, namely, the fact
that a great effort of the highest quality may be accompanied
by failure of achievement of the intended objective (Shapero
1985). Research and medical treatment are suggested exemplars
of this dilemma, and, often, so is teaching, it could be
added. Professional work is beset with high uncertainty.
Nevertheless, (and apart from gains which are possible for
personnel administration), Shapero considers that diagnosis of
individual and organizational developmental needs are
effectively accomplished through individual appraisals.
Shapero includes teachers within his definition of
professional workers. He argues that:

> "Since professional work is nonroutine and inherently uncertain,

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professional workers have no ready, objective measures they can use to inform themselves how well they are doing. As a result, the professional has a need to receive some judgement or evaluation from respected others."

(Shapero 1985 p. 90)

Shapero echoed Gray with regard to criteria, but went beyond him in echoing also Herzberg, Maslow and others in stressing the importance of giving recognition to what people are achieving in their place of work, so helping them foward to professional growth. This theme of professional growth, as in the present case it affects teachers, now merits elaboration here.

A teacher has many attributes each possessed of many facets. Some facets derive from education and training, others from experience, yet others from seniority. Therefore, to gain understanding of the potential scope of the functions of school management in relation to teacher appraisal, it is necessary to deepen the analysis of the teacher's job beyond the level in the Regulations where few of its facets are touched. Through this deeper analysis, it is possible to locate where the teacher's critical needs are likely to be once teacher appraisal is in place, and also further causes for a unified approach to school mangement emerge, following the argument in the previous section.

In commencing this analysis, there is benefit in referring to a useful classification of criteria for teacher effectiveness. Developed by Mitzel, this classification uses three categories comprising presage, process and product criteria.

"Presage criteria relate to teacher characteristics that are present before the teaching act begins. Such criteria include those traits and background variables that the teacher brings to the job: attitudes towards students, length or type of pre-service education and achievement in university courses, personal characteristics such as appearance and and voice. Presage criteria are assumed to have predictive validity. Process criteria are those aspects of teacher and student behaviour that are believed to be worthwhile in their own right. Although process criteria are not necessarily directly related to the primary objectives of education, their presence (or absence) in the classroom is sometimes looked for because of their mediating effects on product criteria and educational outcomes. These criteria include such things as methods of instruction, interaction patterns among students and teachers, and verbal behaviours in the classroom. Product criteria depend for definition on a set of objectives towards which teaching is directed. Such criteria are viewed as measures of student performance, student attitudes and other educational outcomes. The use of product criteria emphasizes the assessment of teacher effectiveness in the light of effects on students."

(Mitzel 1972)

In a Canadian work, Mitzel's theme is continued with the observation which is very relevant to the development of the present thesis:

> "Surveys show that presage and process criteria are stressed when teachers are evaluated [ie "appraised"] for administrative purposes, while product criteria with its emphasis on measurable objectives is used when teachers are evaluated for instructional improvement purposes."

(Palmer, Musella and Lawton 1972)

Continuing with this theme, it is noteworthy that HMI have particularly called attention to the role of the teacher's personality. With this role, the inspectorate associated three main attributes: respect for pupils, attention to pupil talk, and concern for individuals (HMI 1983). If these attributes are highly valued, theoretically they belong with models which occupy a position located well to the right in the Kite diagram shown in Figure 3.2 (p. 132). Taking a view from such a position, the teacher's "personality" is an important variable when measured in terms of the three sub-variables which HMI identify. In the light of practice in Toronto, the variable becomes suitable as one to consider in the cycle of teacher appraisal, as a relevant factor in the professional growth of a teacher, when the sub-variables are taken as elements in the behaviour of the teacher, rather than elements in the teacher's personality. The sub-variables are then perhaps susceptible to the influence of management action (see Appendix 2.12). For example, this can be demonstrated through the setting of the individual's goals in fields where change is desired in the identified behaviour.

As it happens, HMI have been considered to make too much of the role of the teacher's personality, or what they deem as that role (McNamara 1986). Nevertheless, beyond presage and process concerns, beyond qualifications and descriptive statements of tasks, there are certainly additional facets of the "teacher" to take into account when considering teacher effectiveness and teacher appraisal. NSG recognized this (NSG 1989 para. 24). The teacher acts as a counsellor, as an evaluator, the creator of the classroom ethos, and the manager of the classroom, workshop or laboratory, among other things.

As they cover such breadth of activity, teachers are bound to exercise discretion over the way they apply the relevant skills, differing from one another perhaps in this, and to be similarly different in the attitudes which they display from time to time. This reflects the professional nature of the teacher's job, and, as demonstrated in chapter 2, the strength of a system of teacher appraisal includes its capacity to individualize circumstances and needs. That is the important point, if what is the priority is pupil learning and not applying generalised criteria puporting to determine whether a teacher is effective.

3.5.2 The Teacher's Job: Alternative Ways of defining Models
Theoretically, the approach to the definition of the teacher's job can be made in a number of ways which have usefulness for teacher appraisal. Reference to one such approach is included in Appendix 2.9, and the model is shown in Figure 3.3.

Figure 3.3   A TEACHER'S JOB DESCRIPTION
               A MODEL FOR USE IN TEACHER APPRAISAL

CLASSROOM MANAGEMENT SKILLS

KNOWLEDGE OF CHILD GROWTH AND DEVELOPMENT

KNOWLEDGE OF CONTENT

INSTRUCTIONAL SKILLS

PLANNING SKILLS

KNOWLEDGE AND USE OF MATERIALS

HUMAN RELATIONS SKILLS

Source: Ontario Public School Teachers' Federation 1986
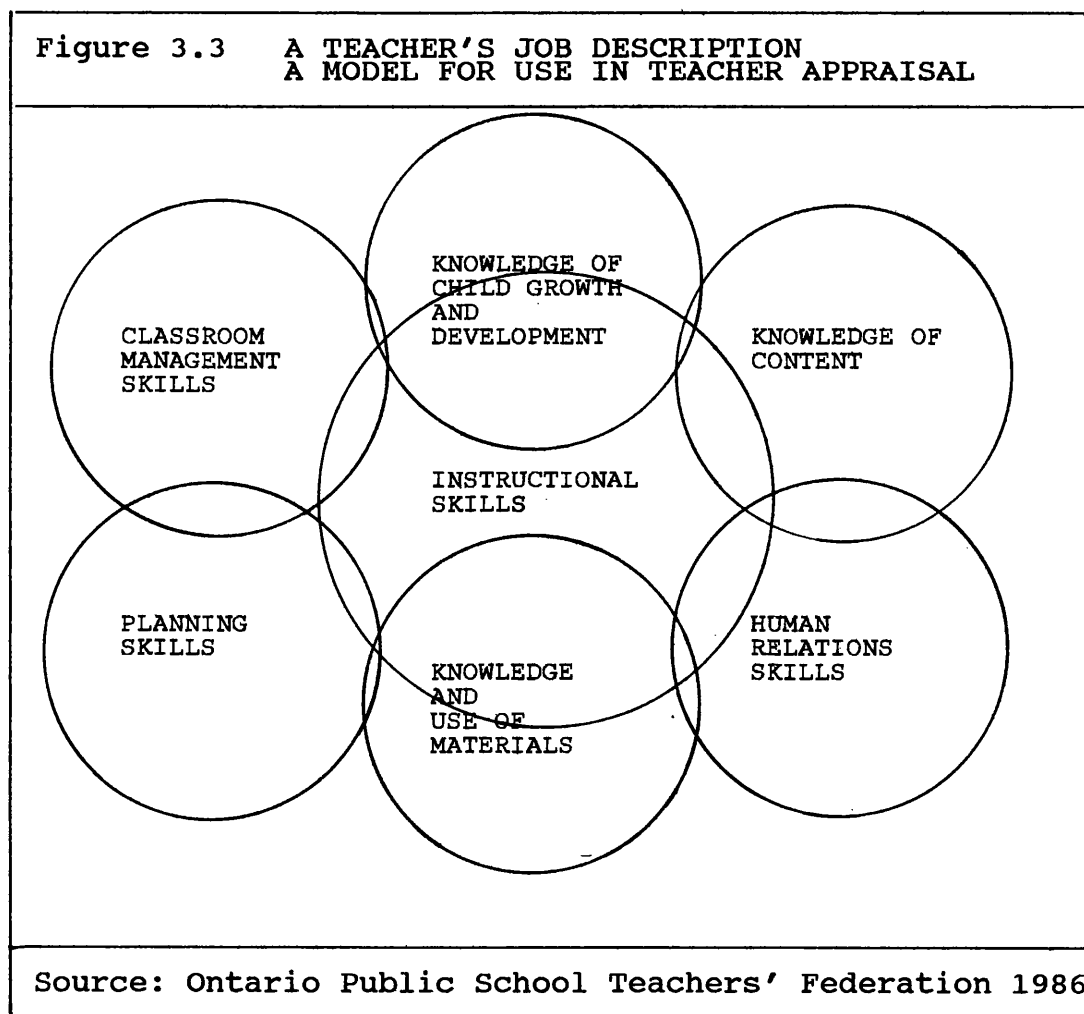
At the time of the field visits described in chapter 2, the

model shown in Figure 3.3 (p. 138) was relied upon widely in North America. It was used, for example, by the Ontario Public School Teachers' Federation in the teacher appraisal training programmes run by that Federation. Another example of its use was found in the Centennial case which reflected established practice in Oregon. An explanation of the structure of this model is given in Appendix 2.9.

In this country, an approach relying on research has been made in the further education phase, as a staff development exercise which was supported by the Further Education Unit. The exercise produced a model based on the finding that:

"*an analysis of the current literature and the responses from over 250 [lecturers in further and higher education] placed the activities of further and higher education teachers into seven main categories.*"

(FEU 1987)

The categories are shown in the model, called a "profile", in Figure 3.4. Each of these categories was analysed into components and an example of a category and its components is given in Appendix 3.3.

Figure 3.4 A PROFILE OF A FURTHER EDUCATION TEACHER
A SECOND MODEL OF A JOB DESCRIPTION

(FEU 1987)
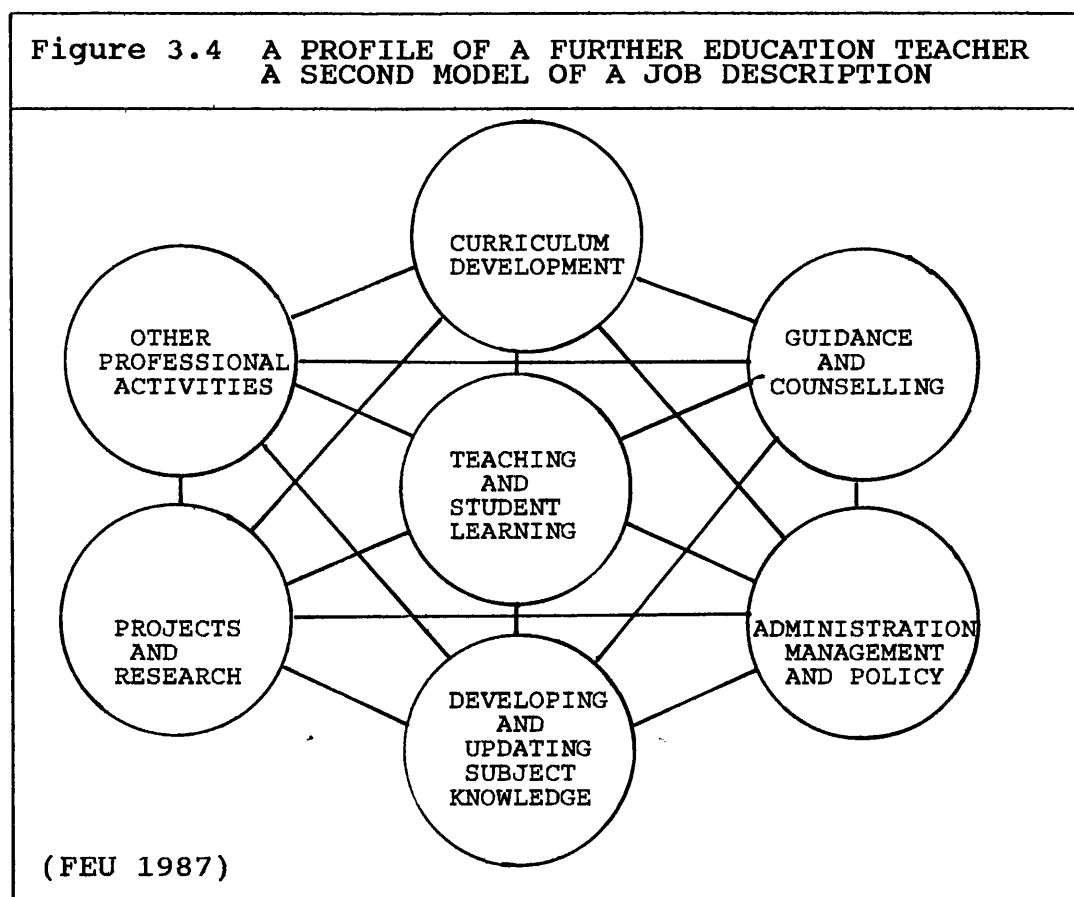
The purpose of this profile is to help teachers in further and

higher education to grow professionally. The profile is an effective instrument of self-evaluation and helps with identifying the fields of professional activity having current priority for individual FE teachers. The potential use and effect of the profile can be deduced from its detail given in Appendix 3.3.

Further exemplifications of this technique of making job descriptions are given in an paper published in "School Organization" (Henley 1989). Taken from this paper are the two job descriptions given in Figures 3.5 and 3.6 which show the main categories of activities associated with the jobs of a head and a deputy head. In these cases, teachers determined the categories during in-service exercises.

Figure 3.5   A HEAD'S JOB DESCRIPTION: A MODEL FOR USE
             IN (HEAD) TEACHER APPRAISAL
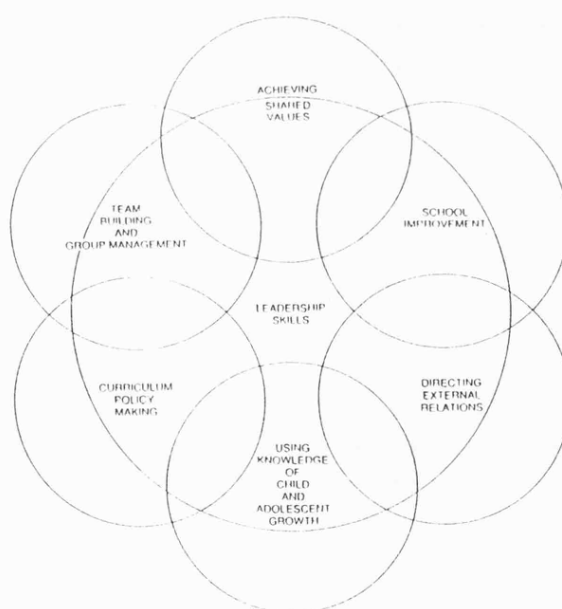
When the main categories in the job descriptions shown in Figures 3.5 and 3.6 are studied in detail on lines similar to those followed with the FEU model, the resulting analysis creates in each case a set of components which align with the perception of the jobholder about the job being done. In other words, this type of model is dynamic which, interestingly, is the type favoured for the jobs identified in

the non-educational sector cases studied in chapter 1 (see above p. 14). The focus is on the skills, knowledge, attitudes, and experiences deemed important in the light of know-how gained from performing the job, and the result is found motivating. The potential for motivating jobholders belonging to the technique was stressed in the research findings behind the further education "profile". In contrast, judging from experience, when the tasks of teachers are described by schools, or LEAs, the resulting job descriptions typically lack indicators showing sufficiently what is intended to enable jobholders to perform well and to accomplish the job in a way which is motivating.

Figure 3.6   A DEPUTY HEAD'S JOB DESCRIPTION
A MODEL FOR USE IN TEACHER APPRAISAL
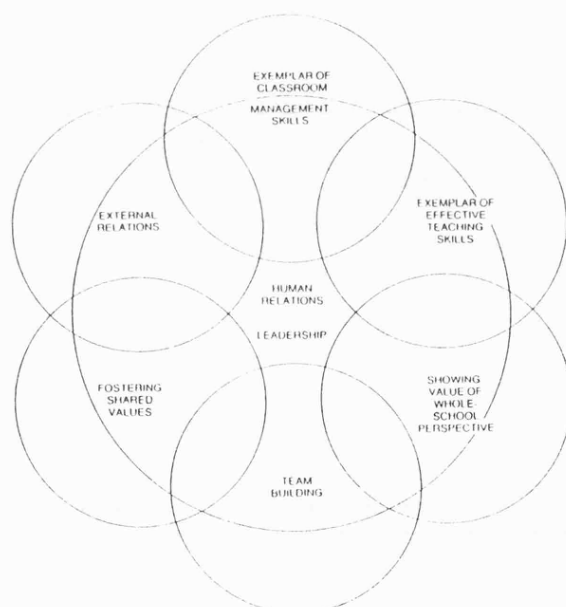
Models of job descriptions like those shown in Figures 3.3, 3.4, 3.5 and 3.6 can complement management models such as those created by the Dutch team. Moreover, taken as a whole the models provide a theoretical frame of reference in which teacher appraisal can be located as an integral part of a unified approach to the management of schools. Teacher appraisal then is likely to be made secure as a "helping system". This means a school and its teachers are helped to accomplish as effectively as possible their jointly agreed

educational· goals. Judging from the cases discussed in chapters 1 and 2, this situation holds good in practice, subject only to the provision for continued professional education or professional development.

3.6 PROFESSIONAL DEVELOPMENT: TERMINOLOGY

3.6.1 Overview

Concerning a proposed national framework, from an early stage there was agreement amongst the interested parties on the categorical imperative to follow-up every teacher appraisal with development activity. However, what this development activity was meant to be like, or how it was expected to be different from existing arrangements for professional development was not made very clear. Finding this situation prompted an investigation to see whether there was a case for a new approach here also.

ACAS gave voice to the early agreement on the priority of the "professional development" of teachers as an intended outcome of teacher appraisal when stating its understanding of:

"... appraisal ... as a continuous and systematic process intended to help individual teachers with their professional development ..."

(ACAS 1986 para. 3)

After including "career planning" as an intended outcome, ACAS stated as the next understanding the intention:

"... to help ensure that the in-service training ... of teachers matches the complementary needs of individual teachers and ·the schools"

(ACAS 1986)

Despite those understandings, Bollington and Hopkins found the "development phase of appraisal" to be "the least informed area of the literature" (Bollington and Hopkins 1988). In this literature, and in pilot study cases, terminology is loosely used, showing uncertainty about the purposes desired to give direction to the development of teachers as individual staff members and as professional people. This uncertainty is another example of noteworthy weakness in the theoretical context in which the teacher appraisal initiative has been developed. Also again noteworthy is the absence of a unified management approach to teacher appraisal. Consequently, the

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intended outcomes from the development phase are primarily
teacher centred, not client centred.

3.6.2 Terminology: Need for Clarification

Particular examples of terminology subject to loose usage
are: professional development, staff development, personal
development, professional growth, and Inset. All these terms
are frequently used interchangeably, and sometimes avowedly so
(Oldroyd 1988). Furthermore, the meaning of "career planning"
is found unelaborated when the topic is referred to in the
literature on teacher appraisal. In the official
documentation (ACAS 1986, NSG 1989), the several terms just
mentioned are used without a glossary for guidance.

For the sake of clarification at the basic level, a
distinction appears desirable between the provision of
activities designed to advance the professional knowledge,
skills, experience and self-awareness of teachers and the
impact of this provision on the participating teachers. The
key to the distinction is the observation of Stenhouse that:

"only teachers are in a position to create good teaching."

(Stenhouse 1984 p. 69)

Considered in relation to the activities mentioned at the
beginning of this paragraph, the statement from Stenhouse
suggests that the term "professional growth" may be best used
when restricted to issues of impact on the teacher as an
individual, and "professional development" when the reference
is to issues of provision. This seems consistent with
practice in North America, and in the non-educational sector.
With regard to the latter, for example, according to Herzberg
(1959) professional growth contributes significantly to the
person's happiness in a job. Herzberg also included change in
professional outlook and the accomplishment of greater
preparedness for assuming a new role, as components of growth.
A good deal follows on after making this basic distinction.
Expressing opinions which are consistent with the views of
Herzberg and Stenhouse, teachers who were consulted during the
development of this thesis said they believed that one key
characteristic of professional growth is its potential
origination in a teacher's own professional experience. The

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catalyst is the teacher's wish to reflect upon this experience. Their belief is then also in accord with the observation by Hopkins about engagement in:

"systematic self-conscious enquiry in order to understand and improve practice ... [and] ... self-study which is a hallmark of those occupations that enjoy the label "professional" ..."

(Hopkins 1987).

Showing a further dimension, this logically means that the scale of the professional growth to be expected from teacher appraisal is determined by the volition of the teacher. Thus while part of the justification advanced generally for teacher appraisal is that systematic evaluation of the teacher's own performance can lead to enhancement of skill or deepening of knowledge of some particular, such an outcome depends on the teacher's good will, if that is prequisite for the professional growth of a teacher.

So it follows that in the appraisal process there is required a place for a "respected other" to help (Shapero 1985), a point supported by Marland who has written:

"In a busy teaching life and in a complex school it is very difficult to know what is actually happening; it is even harder to know what one is doing in a classroom merely from one's own consideration of pupil feed-back and the feel of the lesson."

(Marland 1987 p. 7)

Moreover:

"We only speak of a person as professionally competent if he is an educated observer and understands what he is doing, and is able to plan and organize applications, and is experienced in their execution."

(Juch 1982)

If the professional growth of teachers, defined as now suggested, is fostered more intentionally in the future, there are therefore again implications affecting how a school is managed. These implications have a most particular bearing upon the professional relationships the staff have with each other in the school.

Such relationships matter with regard to another key characteristic of professional growth suggested by teachers, namely, its multi-dimensional nature. This nature is visible in three ways: at the level of theory, at a practical level in a collegial context of shared activity, and at an individual

level as identified by the mediation of a mentor or appraiser. There is an interconnection between these levels. Theory can suggest the route towards progression, however the latter is defined. Collegial activity can bring collective or team growth. Individual growth can result from feedback from colleagues, being the benefit, for example, from the interaction noted in the previous paragraph. Professional growth therefore is further strongly characterized as having a dimension which is an outcome of a shared experience on task. Using the terms of school development proposed by the Dutch team, the integrative/matrix and the innovative/modular models have good capacities to accommodate this model of professional growth.

Returning from the questions of growth to those of provision, it is noteworthy that Birchenough has suggested professional development is:

> *"the process of improving the professional knowledge and skills of teachers through activities carried by and for the teachers concerned. These activities include in-service training in the form of courses and a range of planned learning experiences including job rotation and experience in fields besides education (eg industry and commerce)."*

(Birchenough 1986 p. 120)

Following Birchenough, concerning in-service training at school level, predictable requirements include release time to facilitate cooperative teaching and development work more frequently, longer term in-service planning, exchange between schools of opinions about outside in-service providers, greater opportunities for subject knowledge updating, and generally the means to ensure distinctive school needs are addressed.

When "professional development" is understood as provision of activities, it is easier to appreciate the reasons for believing that teacher appraisal is probably going radically to change current norms. Given that government policy means teacher appraisal applies to every teacher, these activities of professional development necessarily become commensurate with an aggregate of the individual expectations of appraisees. If the teachers respond to the ACAS vision (see above p. 24), their expectations seem likely to cause a

turbulent cross current of change affecting the management of schools.

As a way of summarizing and clarifying the course of the argument so far, the ten basic requirements which are suggested as having emerged as necessary in follow-up activity to teacher appraisal are set out in Table 3.9.

Table 3.9   DEVELOPMENT ACTIVITY AS FOLLOW-UP TO TEACHER APPRAISAL: TEN BASIC REQUIREMENTS
1   Reflect a conceptual awareness of the implications autonomous nature of the teacher's job
2   Validate by reference to planned pupil gains
3   Work within an overall, school-based, unified management strategy
4   Involve users at all planning and evaluation stages
5   Begin with needs identified by the teachers
6   Relate development to current experience of the teachers concerned so they can find immediate applications
7   Anticipate applications to key areas of knowledge and skills
8   Always include cooperative forms of development for all participants as part of their individual programmes
9   Develop school exchanges as part of development system
10   Create a positive learning environment for the development activity so that it is "part of a way of life"

3.6.3   Teacher Appraisal and the Management of Schools: Impact on Inset Policy

In any event, fulfilling the expectations arising from teacher appraisal in a logical way which respects individual circumstances and needs, means teachers must have a thorough understanding of their school's aims which is likely only if acquired through participation in their formulation. The approach to the management of a school therefore necessary requires involvement of teachers at a policy making level and recognition of their status as co-managers, or local managers, in a school, whether they have designated formal management

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roles or not. Consequently, it is instructive to consider the managerial characteristics displayed in much of the behaviour teachers exercise as they go about their normal work. Being suggested here as relevant with regard to teachers, in Table 3.10 are summarized key examples of the characteristics of managerial behaviour which are derived mainly from Armstrong (1990). These characteristics are considerably richer than those noticed by ACAS (see Appendix 1.6) and later embraced by NSG (1989).

Table 3.10	TEACHERS AS LOCAL MANAGERS: KEY CHARACTERISTICS
1	Frequency of participation in a group working mode
2	Exercise of functions in changing situations and sharing in managing such situations
3	Frequency of use of communicating skills
4	Frequency of use of interpersonal skills
5	Employing understanding of the structure, culture and direction of development of an organization (the school)
6	Dependence on awareness of different functions of staff and other members of the school community
7	Involvement in the school's strategic planning
8	Control over the work of others, especially in deciding what they are to do
9	Accountability for what those others do
10	Reliance on own resources of know-how, and time
11	Requirement to plan ahead
12	Use of motivating skills
13	Unpredictability of events in working environment to which response is required without notice, or with short notice
12	Obligation to address ambiguity in instructions or expectations in a way which brings minimum disadvantage to service commitment

Although at any time most of the items in Table 3.10 form part of the daily experience of teachers, Inset typically addresses few. This example is intended simply to reinforce the point that if teacher appraisal causes Inset to address the actual concerns of teachers, the approach to professional development has to change and a policy has to be built up from a base in the teachers' perceptions of what they do.

It is pertinent to observe here that there was an implication

in Coulson's observations which are cited in section 3.3 that teachers needed support to enable them to handle events effectively in the new situation which he identified. In other words, he was saying that there was an emergent professional development need to provide support for teachers to enable them to create collegial relationships and share in policy making and management at school level, and also to interpret their concerns to the lay public in a convincing and assured way.

If, as seems predictable, teacher appraisal brings an improved understanding of the teacher's job, a changed teacher input into in-service planning, therefore, becomes necessary in order to secure a match between provision and the individual professional growth needs of teachers in key areas of knowledge and skill. Respecting such areas, schools may press LEAs to give more importance to cross-curricular work, human relations skills, the needs of adjacent schools taken together, for example, leading to a new approach which gives emphasis to managerial skills such as conflict management. An implication of what is presented in this chapter is the involvement at the Inset planning stage of the largest possible number of teachers, effectively. In in-service activity, matching "the complementary needs of individual teachers and the schools" (ACAS 1986 para. 3) means sharing outcomes of appraisals with providers so they understand. Once again, the desirability of running teacher appraisal as an open system is evident.

There is a recurrent combined theme to notice here which is the reconciliation of individual and institutional needs, and institutional needs and the needs of policy makers external to the school. Where this reconciliation is required is at the several levels of operations, in policy making, and within the school organization, as well as in the LEA. The issues may overlap in several places, but invariably it appears desirable to distinguish issues of professional growth from issues of professional development, using these terms in the senses adopted in this chapter.

The issues relating to professional growth may be seen primarily as outcomes of self-evaluation, and to arise when the appraiser adopts a cnsultant style during an appraisal. The goals to be accomplished are assessed in personal and professional terms against an individual's own criteria. In these cases, many of the follow-up activities may be relatively cost free and depend on warm peer relationships in a school, supported by organizational and educational systems which have the capacity to progress these activities.

Professional development, on the other hand, may reflect issues which arise as outcomes of externally generated initiatives, or compulsion to update or modify skills, knowledge and behaviour. What is dominant here is an obligation to negotiate the priorities with reference to institutional needs, or even needs perceived at a national level to have importance without regard to local categories of urgency. Clearly, in a professional development effort, the major components of the negotiation may have to cover arrangements for release time, liaison, meeting costs and so on. In this context, a component of negotiation embraces not just concern for resources, but also for priorities.

An important aspect of the conflict existing between teacher appraisal systems designed for "growth" and those systems intended for "accountability" purposes becomes clear when attention is given to the issues affecting priorities in the management of schools. Hoyle's observation is relevant:

> "What educational theorists and researchers, on the one hand, and teachers and policy makers, on the other, ... need to do is to explore ways of furthering the professional development of teachers which take as their starting point the teacher's definitions of his problem."

(Hoyle 1980 p. 53)

Summarizing the points of difference suggested above between the concepts of professional growth and professional development a diagrammatic representation is offered in Figure 3.7 on the next page. This form of summary is intended to identify the management considerations in particular.

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┌─────────────────────────────────────────────────────────────────┐
│ Figure 3.7    PROFESSIONAL GROWTH AND PROFESSIONAL               │
│               DEVELOPMENT COMPARED                                │
├─────────────────────────────────────────────────────────────────┤
│  Parameter 1  How to teach and what to teach                     │
│  ─────────────────────────────────────────────────────────────  │
│                       Consultancy                                │
│                            │                                     │
│  Personal Qualifications   │   P. Professional Knowledge         │
│                       ↘    ▼        ↙                            │
│  INDIVIDUAL          PROFESSIONAL GROWTH        CURRENT          │
│  EMPHASIS                                       FUNCTIONING      │
│                       ↗              ↖                           │
│  P. Professional Skills   P. Professional Expectations          │
│                                                                  │
│                       │    ↑                                     │
│                       ↓    │                                     │
│                                                                  │
│  Extended Knowledge/Skills        School Policies               │
│                       ↘              ↙                           │
│  MANAGEMENT      PROFESSIONAL DEVELOPMENT      PRESENT ROLE      │
│  EMPHASIS                                      DEVELOPED ROLE    │
│                       ↗              ↖                           │
│  National Priorities        ↑           LEA Policies            │
│                             │                                    │
│                       Negotiation                                │
│  ─────────────────────────────────────────────────────────────  │
│  Parameter 2  Probable increased pupil learning                 │
└─────────────────────────────────────────────────────────────────┘
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Inherent in the ACAS and NSG proposals, there is the danger
of overloading a teacher appraisal system with too many
purposes, spoiling the outcomes and causing ineffectiveness.
This danger is seen when the views are taken of several
authorities drawing on experience from both educational and
non-educational sectors (eg Handy 1976, Nuttall 1986, Ondrack
and Oliver 1986). The overloading issues which appear to
emerge in relation to career planning and staff development
can be deduced from the positions set out diagrammatically in
Figure 3.8 on the next page.

Making a comparison between Figures 3.7 and 3.8 shows readily
that the considerations which arise in relation to
professional development and professional growth are widely
different conceptually and practically from those arising in
relation to career planning and staff development. If the
concerns of teaching and learning become the main focus of
teacher appraisal, leading to follow-through activities aiming
to achieve professional growth, time is unlikely to be

available within the process cycle for all the other proposed concerns as well. Besides, "there are no 'instant miracles' to achieving professional development [ie "growth"]; it is a cumulative process over time" (Holly 1987 p. 17). As a matter of sensible management, scarce resources need to be deployed with care, and here there seems to be a risk of spoiling resources because of excessive expectations.

Figure 3.8 CAREER PLANNING AND STAFF DEVELOPMENT
KEY CONSIDERATIONS: DIAGRAMMATIC SUMMARY

Individual or Management Emphasis

Extended Capability   Preparation for Promotion

CAREER DEVELOPMENT

Succession Planning   Other/extra Responsibility

Team Building   Role in School

STAFF DEVELOPMENT

Management Initiatives   Organization's Needs

Management Emphasis

It is probably wrong also to assume that reconciliation of legitimate institutional and individual needs is always possible. Both lack of reconciliation and overloading as referred to above moreover may apply if the several development fields affecting staff are not differentiated, and in effect pursued simultaneously. There is a suggestion of the possibility on these lines in the records of the in-service developments associated with the Technical and Vocational Education Initiative where the view of Fenstermacher has been cited:

Staff development, as the name implies, means the improvement of staff collectively, not of individual teachers.

(Fenstermacher 1985)

While he may not be right, it is sensible to be aware of the

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distinction made by Fenstermacher (1985) between developing people in order to make the organization to which they belong successful, and providing opportunity for individuals to improve their knowledge and skills in accordance with their own determination of priority. An effort is necessary to avoid conflict which can be regarded as a form of overloading. Another relevant view which is drawn from business experience proposes that:

"There are two principal goals of of any effective employee development effort. The first and foremost is to improve the performance of employees in their present jobs. This is the payoff, the place where employee development should provide its biggest return. ... Employee development, despite its lofty title is not a philanthropic activity. It must provide some immediate as well as long term benefit. The second goal, preparing the employee for possible future opportunities, is a bit more tenuous than the first. On the one hand, it is a natural fall-out of the first, building on the basic philosophy that the most effective way for the employee to be promoted is to do the best possible job in the present position. ... The only way an organization can expect to operate effectively and efficiently over an extended period of time is with the continued upgrading of the capabilities of its workforce."

(Morrisey 1983 p. 91)

An important point is brought out by Morrisey above: that in career development there are at least two main considerations. The level of functioning in the present job is one and is an obvious concern of appraisal. The other is aspiration, towards the present job or another whether a promoted post or just laterally different. It is essentially a task of management to find solutions to these dilemmas posed by Fenstermacher and Morrisey.

Ironically, the approach of government in predicting, in principle, no change of practice (only "systematization" see above p. 40) tends to consolidate the longstanding position of teachers where typically they are expected to attend to their own professional renewal. Even after the initiative of government to introduce teacher appraisal, the position remains, it seems, where costs of advanced provision, especially fees for courses leading to higher degrees may have to be found by the teacher unaided by employers. If this turns out to be the case, a severe constraint is applied to the understanding asserted by ACAS, referred to above (p. 148). This is the result if there is no movement towards greater involvement of teachers in in-service policy making,

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but a continuation of the practice of establishing task forces of experts, and the minimilisation of financing by distribution of finance to schools on terms fixed pro rata to pupils. Initiatives are still needed to enable universities sufficiently to extend their involvement and systematically to disseminate research findings so that all teachers can acquire a familiarity and find causes for applications. There is evidently no real change in the position concerning the approach of government to in-service. It still seems a case of "provision of inservice training but no policy" (Hargreaves 1987 p. 70).

3.7 CONCLUSIONS

In the two foregoing sections, in the analytical view taken of the teacher's job, the aim is to conduct an investigation which goes progressively more deeply. The attempt is made to show how the broad issue of the management of schools is related to teacher appraisal by the means of addressing some important questions which implicitly arise from behind that broad issue. These questions have to do primarily with what is esteemed as the professional nature of the teacher's job and with professional development; they are bound up with further questions to do with teacher autonomy which is a point of reference requiring attention the whole time while the teacher's job is being analysed in this way. Prompting the questions is the theory induced from the advent of teacher appraisal that educational managers need to improve their conceptual understanding of the teacher who constitutes one of the key variables in any teaching and learning scenario in a school (see Figure 1.2 p. 53).

In the previous section, policy and practice receive attention with regard to current approaches to professional development and to topics related to it. The focus is thus ultimately on teacher appraisal in its development phase which is the phase strongly advocated in the Agreed Principles as an effort designed for the particular benefit of individual teachers. Having regard to these several issues, there can be perceived to be implications for the principal actors in teacher appraisal. These implications are set out in Tables 3.11 and

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3.12 and they are based on the preferred approaches which have
been identified in this chapter. They have relevance,
nevertheless, to teacher appraisal in situations derived from
the traditional approaches which have been considered also in
the chapter.

Table 3.11	IMPLICATIONS OF A UNIFIED APPROACH TO THE MANAGEMENT OF A SCHOOL FOR APPRAISER
	SEQUENCE OF MAIN ACTIONS FOR APPRAISER
1	Begin from an informed position on the school's management strategy; rely on openly shared values
2	Beforehand gain understanding of the assumptions supporting the job description of each appraisee
3	Be up to date on the school's policies affecting professional development activity, especially the potentiality for helping the appraisees
4	Collegially delimit the field(s) possibly coming within the scope of each prospective appraisal in order to avert overloading the process
4	Recognize that the data assembled is anecdotal
5	Share the assembled data without editing with the appraisee
6	Draw meanings mutually from this data
7	Think mutually about these meanings
8	Determine mutually the importance of the anecdotal data relying chiefly on considerations of impact on pupils
9	Agree with appraisee the focus of development activity as follow-up (see Table 3.9 above p. 143)
10	Locate the capacity for progressing the desired development activity
11	Secure the use of this capacity
12	Organize follow-through with appraisee and others who are interested
13	Agree how to evaluate the follow-through
14	Settle timetable

Bearing on teacher appraisal, there are then two basic
considerations which require attention from the persons
responsible for management in a school. These are the support
and informational functions which a school exercises. Each is
complementary to the other. Moreover, as Eisner has
suggested, the value of "enabling teachers and others engaged
in education to improve their ability to see and think about
what they do" is that it is the way most probably that will

lead to improvement in education (Eisner 1978). While this view has not been accepted in the debate about teacher appraisal in this country, and only partially in evaluation practice, that is, only in the "new wave", the position was altogether different in the North American cases considered in chapter 2. It not unlikely that the situation here will change, as has been intimated from time to time in this chapter, to one closer in outlook the situations in those North American cases.

Table 3.12	IMPLICATIONS OF A UNIFIED APPROACH TO THE MANAGEMENT OF A SCHOOL FOR APPRAISEE

SEQUENCE OF MAIN ACTIONS FOR APPRAISEE	
1	To begin with be sure on personal orientation in school with regard to own job description, having completed a self-evaluation
2	Assume reliance on already openly agreed collegial values
3	Agree mutually on the programme of activity for the appraiser to follow to gather anecdotal data
4	Actively share in considering the anecdotal data with the appraiser
5	Express own meaning to attach to the anecdotal data and explore other meanings (if any) suggested by appraiser
6	Evaluate the data for its worth as guidance to suggest impact on pupils of the observed pedagogic strategy
7	Reach agreement with the appraiser on the relative importance of the data, having regard to issues of relevance and urgency
8	Consider where there is scope for desirable development and agree conclusions with the appraiser
9	Share in defining the educational goals for a potential development effort
10	Decide whether the effort to achieve the desirable development probably might be worthwhile, if not revise educational goals
11	Agree an action plan with the appraiser
12	Evaluate this plan for its development power
13	Adopt or revise the plan until ready for adoption
14	Collaborate with the appraiser on follow-through

As was noticed in chapter 2, in Canada and USA the approximate process called "teacher appraisal" here was generally called "teacher evaluation" there. Certain distinctions which matter

quite considerably about the alternative processes can be identified when some implications of the difference in terminology is thought about. These distinctions are set out in Table 3.13. It will be noted that they have relevance in the light of Eisner's observation, just cited.

Table 3.13 "TEACHER EVALUATION" IN NORTH AMERICA AND "TEACHER APPRAISAL" IN UK: SOME POINTS OF CONTRAST AND COMPARISON	
"TEACHER EVALUATION"	"TEACHER APPRAISAL"
Evaluator need not be a a decision maker, observes and interprets primarily	Appraiser expected to be a decision maker, giving judgements on quality of behaviour "observed"
Long time spent observing: an aspect of a norm of classroom observation	Short time spent observing – an exceptional practice
Creates debate; intent mainly formative	Limits debate; intent to make summative statements
"Way of life" with own intrinsic power to cause improvement	Episodic, limited in power to generate valued data
Criteria tend to enhance as evaluation proceeds	Preferred criteria determined in advance

The choice of items in Table 3.13 has been made for the purpose of bringing out some key differences in approach which the terminology can be seen to signify, and which have a bearing on school management. For example, there are linkages between a system of teacher appraisal which has the attributes listed on the right hand side of Table 3.13 and a line and staff management organization. The latter, probably, influences teaching styles, for example, restricting risk taking and innovation, and influences learning styles, for example, encouraging cognitive-based methods. The linkages based on the attributes on the left hand side are likely to be with a collegial organization and an "open door" teaching environment which supports variety in learning styles and accepts student contributions to an evaluation process in a school. Movement, theoretically, towards the positions shown on the right hand side of the Kite diagram (see Figure 3.2 above p. 132) is dependent on management intiatives aimed to take a school in that direction. While the deduction is reasonable that teacher appraisal can help progress a management initiative intended to promote such movement, the

presumption that it has the capacity to bring the movement about through its own process is decidedly foolish. As is argued in the following chapters, teachers tend sensibly to keep the capacity of teacher appraisal to bring improvement to a school in perspective.

If, following the approach suggested by the Halton superintendent (above p.63), the mangement of schools is conceived as being about the creation of "helpful systems", designed to support teachers in their endeavours to accomplish their school's educational goals, this conception has an important bearing on the system design for teacher appraisal. The relevance of the content in Table 3.13 is thereby made clear and thus also the implication of a very strong need to gain a clear vision of the perspectives of the teachers in this country on teacher appraisal. There is also the implication to grasp from chapter 2 and this chapter that paying regard to a developmental theory of management unifying educational and organizational considerations in schools is likely to be helpful when designing a system of teacher appraisal. These matters indicate the need for the empirical study which is the concern of the following chapters. This study investigates the perspectives of teachers and assesses their significance for persons responsible for managing teacher appraisal.

Chapter 4   Outline of The Empirical Study

4.1 INTRODUCTORY

In the first three chapters, the essence of the argument is
that policy making concerning teacher appraisal in the United
Kingdom has been defective because it did not begin with a
study of the perspectives of the classroom teachers. Because
of this deficiency, as is made clear in these chapters, the
approach of the policy makers lacked the vital element
necessary to give them a clear sense of direction.   In the
North American cases, classroom teachers were found to have a
role in policy making and they crucially influenced the
particular direction teacher appraisal was following in those
cases. The implications of omitting this role in this country
require to be established.   In part, the purpose of the
empirical study, therefore, is an attempt to do this.
Additionally, the empirical study brings to light and explores
the alternative approach to teacher appraisal which teachers
can suggest, and this approach is contrasted with that of
government.

Basically, this empirical study aims to examine the
perspectives of teachers for their own sake because they are
deemed highly relevant, in any case.   The perspectives
studied are those concerning especially such key components of
teacher appraisal as most probably can contribute to the
fashioning of ways forward towards the improvement of teaching
and learning in schools. At the beginning of the research, it
was hypothesized that gaining an understanding of what is
required to establish an appropriate management context for
teacher appraisal depends on possession of an adequate
knowledge of these perspectives.   It was not part of the
purpose of the empirical study to seek to collect data from
which to draw conclusions concerning all major management
issues.   Some issues, for example, specific team building
needs or the learning styles of individual teachers in
particular schools which bear on the contextual aspects of
school management are considered in the light of the works,
for example, of Belbin (1981) and Honey and Mumford (1982), in
the final chapter of this thesis.

The empirical study was mounted knowingly at a time when teachers, in the main, were unfamiliar with teacher appraisal, whether considered theoretically or as a matter of experience. The timing was regarded as significant because these teachers believed they were about to face the development of a system of appraisal.

In carrying out the task of exploring those teachers' perspectives which were under investigation, the first problem addressed was how to achieve a sharing of information about experience, expectations and so on between the researcher and the teachers in a systematic way so that the data gathered would be valid and reliable. In other words, how was the initial stage of data collection to be accomplished? The two most common modes of data collection in all of the many branches of social-behavioural science "are questionnaires and interviews" (Adams and Schvaneveldt 1985 p. 250). Both modes could reasonably be assumed to be familiar to virtually all teachers, if only as part of common public experience, besides being a staple of educational research. So it could then be anticipated that use of either meant mainly taking into account considerations of courtesy rather than extensive technical preparation or notice with regard to prospective respondents, especially so far as the concern was with a questionnaire which could be completed in twenty to thirty minutes when convenient (within a proposed time span of two or three weeks). There was need to reflect upon whether it would prove safe to be entirely confined at any stage to one mode, but as the ground to be covered was new, it appeared sensible from the viewpoint of the researcher to rely on interviews selectively for follow-up activity, for example, clarification or elaboration, as necessary, and not as a main vehicle at the start. Since the focus of the interviews would in that case be determined by outcomes arising from data collection using the questionnaire, respondent interest could be anticipated as likely to be open and quickened by the previous knowledge already gained as to the issues being investigated. In assuming this would be so, there was a promise that interviews could be managed economically.

Thus, for the main initial work of data collection the questionnaire was the selected mode. Indeed, it would not have been practical for the researcher to have attempted to interview up to 250 teachers in a stratified random sample within the resources available to him. But underlying his thoughts was a more fundamental concern which was the matter of objectivity, and his desire to avoid a sense of obligation coming into the minds of respondents to modify their responses to supposed levels of acceptability to him, because of his position up to that point as a Chief Education Officer. The bias might have gone in any direction, but probably would have been inclined to idealism, he surmised. This consideration outweighed the acknowledged main weakness of the questionnaire in that respondents were compelled to express their viewpoints by means of selecting their responses in terms of predetermined options which had been set by another person. The principal concern however was to achieve a detached response which was reckoned as more likely when respondents were acting anonymously and performing a "self-administered interview", as the questionnaire mode has been described (Adams and Schvaneveldt 1985 p. 202). It was accepted that the data collected from the questionnaire would need to be evaluated in the light of the circumstances in which it was collected. In the event, there was discussion with respondents who offered additional observations on the returned questionnaires. These observations are referred to later.

4.2 DESIGN OF THE QUESTIONNAIRE

4.2.1   Overview

In designing the questionnaire, regard had to be taken of the events in the appraisal cycle which, typically, as shown in chapters 1 and 2, was considered to include the components as outlined in Table 4.1. Not all the components were adjudged to require extensive investigation in the empirical study, using the means of the questionnaire. For example, making an appraisal report, which, while important, was considered a second line concern, and so not as influential in determining the characteristics of the system as those components which were chosen.

Table 4.1	THE MAIN COMPONENTS OF THE APPRAISAL CYCLE

1   The exploring, the agreeing or determining, and the describing of the context and purpose of the appraisal system and putting this on record

2   The self-evaluation of the appraisee

3   The setting of the appraisee's goals

4   The preparation for classroom observation and/or other task observation and/review

5   The undertaking of classroom observation and/or other task observation and/review

6   Discussion of the data collected during the classroom observation and/or other task observation and/or review

7   The making of the appraisal report

8   The arrangement of follow-up ie support or professional development activity

9   Review of the applications of management roles in the operation of the cycle of appraisal events

Clearly the experience and perspectives of teachers in the fields of classroom observation had to provide sectors in the questionnaire.   Observation in classrooms is intrinsically necessary in teacher appraisal.   Moreover, there exists an abundance of research evidence, for example, the ORACLE project, suggesting in a considerably detailed way how the interaction between teachers and pupils in classrooms is a powerful determinant of the the progress of the pupils.   An extensive summary of this area of educational research is given in Croll (1986). The activities which are referred to here are susceptible to an improvement process, such as appraisal has the potential to foster.   However, there was another good reason for the inclusion of classroom observation, namely, it was deemed crucially important in the negotiations between the representatives of teachers and of government during 1986 and 1987.   Thus two sectors on this subject were included, concerning repectively the views which the teachers had on classroom observation, and its place in their experience.

It is convenient here to name the six sectors of interest which were identified for the questionnaire.   These sectors were as indicated in Table 4.2.   How they were chosen is

described in the remainder of this section.

Table 4.2	THE SIX SECTORS OF QUESTIONNAIRE
A	The perceptions teachers have of teacher appraisal
B	The expectations teachers have concerning the outcomes of teacher appraisal
C	The experience and knowledge teachers have of goal setting
D	The requirements of teachers concerning appraisers
E	The views teachers have about classroom observation
F	The experience teachers have of classroom observation

4.2.2 Objectives, Concerns, and Preparation

There were two objectives behind the design of the questionnaire. One was to find out how a representative sample of teachers in one local authority, namely Northamptonshire, were thinking about teacher appraisal and envisaging its applications. The second was to find out the extent of the experience which these teachers had of classroom observation and of goal setting. The value of being aware of this experience was that it was assumed to comprise a key contextual factor, likely to influence teachers significantly in their disposition towards teacher appraisal, at the implementation stage.

The data intended to be collected using the questionnaire was regarded as important because the expectation was that from this data conclusions would be drawn showing what needed to be done in order to set up an appraisal system which could contribute to the improvement of teaching and learning in the classroom. More particularly, the intention was to assemble data, for example, to create profiles or models of the appraiser and appraisee, with regard especially taken of their roles as change agents. Following on from the arguments put forward in the previous chapters, the intention was to collect the data in order to see whether it could be demonstrated further why an appraisal system that was dependent on the commonly found management practices of the loosely coupled school systems would thereby be put at risk of becoming bureaucratic, typically, in Weber's sense. Other reasons

which were in mind for believing the data to be important will be pointed out later in this chapter. This line of reasoning influenced the approach taken towards defining the fields of enquiry, that is to to say the concerns.

Investigation of the perspectives of the teachers meant it was necessary to define sectors and fields of concern in considerable detail. The sense of 'concern' was thought of in a twofold manner:

first, as reflecting what had been found to be influential over events, or of particular interest to individual participants, where teacher appraisal systems had been in use for a period of time,

and,

second, as what prospective participants in appraisal were anticipating as likely seriously to affect the extent of their satisfaction with appraisal.

As explained in chapter 1, at the time of the investigation, there were two known prior surveys of what existing appraisal systems there were, and what these systems were like, (Turner and Clift 1985, Butterworth 1986). The opinion there expressed was that the unmistakable conclusion which it was sensible to draw from these surveys was that there was only very recent experience of appraisal in schools in this country. Moreover, this experience was limited in scope, as virtually all known schemes were rudimentary; most did not include classroom observation. Therefore, it was necessary to look elsewhere to gain knowledge of the first concern just mentioned. As preliminary studies had been carried out in USA and Canada, it was decided to use data then collected to provide the theoretical framework to help to articulate concerns relating to experience of teacher appraisal (the first category indicated in the previous paragraph). The anticipatory concerns (the second category indicated in the previous paragraph) could be defined through examination of references in articles in the educational press, and in discussion with local and national teacher representatives, and with Northamptonshire teachers directly.

In Canada and USA, the places visited and the persons met by the researcher are described in Chapter 2. Identifying the sectors and fields which were of concern to prospective participants was mainly accomplished by meeting officials of the two largest teacher unions (National Union of Teachers, and the National Association of Schoolmasters/Union of Women Teachers), talking to the local teacher representatives, and by studying both the documentation of the TARP (Teacher Appraisal Research Project 1985-87) in Northamptonshire and gaining randomly, as opportunity arose, from the teachers participating in that project their suggestions which were expressed during personal contact, until the researcher considered he had the information he required. The latter enquiry was completed in the early Autumn 1986, prior to the visit to Canada.

During the Spring 1987, when the first draft of the questionnaire was ready, it was worked through by a Head of a secondary school, a primary teacher holding a post on Burnham Scale III, and a teacher seconded to assist in another research project. Their task was to check for ambiguity and ease of completion. After this a number of amendments were made. A larger scale trial of a sample sector of the questionnaire was undertaken during an appraisal awareness meeting with fifty teachers drawn from all levels of seniority, but mainly from senior levels. This trial established the time needed for completion and the nature of accompanying explanation required concerning methodology and purpose. In fact, the questionnaire was found generally to be sufficiently self-explanatory, but during trial activities, the footnotes relating to the sense of "goal", "lesson", "no opinion", were added. This period of trial was effectively a pilot exercise.

The ranges of the concerns being covered by the questionnaire were wide, and closed-ended questions were preferred to open-ended questions. The main reason for this preference was that the data collected from the responses had to be manageable and desirably susceptible to quantitative analysis. There was the issue too of the time required for completion.

From the prospective respondent's point of view, ease in making a response and the brevity of the response time needed were adjudged major considerations, along with ease of realization of the frame of reference. Additionally to take into account, there were the need for constant promotion of objectivity affecting all items, ease in scoring and coding, and the return rate. Associated therefore with the closed-ended questions, a five point rating scale was devised on the lines of the Likert model. The questions, or items, were clustered into six groups, or sectors, as shown in Table 4.2, and respondents were invited to discriminate amongst the items by giving each a rating, and to bear in mind that they were also classifying the items in an order of importance according to these ratings.

The form of the questionnaire was decided on as the choice which offered the best way to group into sectors the items which were accumulated as a result of the above-mentioned work of defining the fields of concern for this part of the research. It was necessary to take into account the emergent patterns that appeared as the items progressively became defined.

4.2.3   Taking Experience into Account

Preliminary exploratory design thinking was helped by the findings of certain North American researchers who had been able to indicate what the key considerations in effective teacher appraisal appeared to be in the light of content analysis of fifty case studies of teachers in Oregon and Hawaii. The teachers in the case studies had been identified as teachers who had "actually improved their performance, understanding, or attitudes" through appraisal. This work of Duke and Stiggins (1986) was found to be of great practical help. They have identified "five keys to effective evaluation as guidance for teachers and adminstrators wishing to forge systems that promote continued teacher growth and enhance school effectiveness" (Duke and Stiggins 1986 p. 7). These keys consist of clusters of attributes, examples of which are given in Table 4.3 on the next page.

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Table 4.3 THE FIVE KEYS TO EFFECTIVE TEACHER APPRAISAL: EXAMPLES OF THEIR ATTRIBUTES	
Key	Examples of attributes
The teacher	Expectations; Openness; Experience
The appraiser	Credibility; Interpersonal skills
Performance data	Criteria; Sources; Evaluation style
Feedback	Planning; Relevance; Environment
The context	Policy; Service contract; Resources
(Duke and Stiggins 1986)	

Knowledge of these "keys" and their attributes as identified by Duke and Stiggins (1986) influenced the process of making the final choice of the items included in the questionnaire, because it helped to improve the constructs used, especially their preciseness or clarity. Determining which items were likely to be seen as having relevance beyond just individual concerns, and which probably without disadvantage could be discarded at the drafting stage, was made less problematical when reference was made to this work of Duke and Stiggins. When the researcher met them, both gave of their time to explain the context in which they worked on the subject of 'teacher evaluation' in Oregon, and wider afield. This experience suggested that there is high value for the policy makers if they establish the actual starting point of teachers as well as the desired starting point, prior to introducing a teacher appraisal system. If achieving maximum effectiveness with teacher appraisal at a fairly early stage after implementation depends on the actual starting point, then clearly this point is an important matter which merits investigation. The work and advice of Duke and Stiggins provided the third source of opinion from which were derived ideas on the structure of the questionnaire.

While, as far as this researcher could tell, Duke and Stiggins were seen in USA as pioneering investigations into the causes of effectiveness and of ineffectiveness in the operation of teacher appraisal systems, they were building on the work of others, collaborating with researchers at the Northwest Regional Educational Laboratory, and sharing ideas with

opposite numbers beyond Oregon, for example, in Pittsburgh. Their own work on the "Five Keys" was jointly sponsored by the two National Associations of Elementary and Secondary Principals, the American Association of School Administrators, the National Education Association, and the U. S. Department of Education.

The first two keys in the list being the appraisee and the appraiser embrace the human resources, and less attention was being paid to these resources than to the structure of appraisal as a mechanism, at the time in this country. The grounds for this conclusion are given in chapter 1. In essence, the upshot of the studies the researcher made of practice in North America was a focus in the design of the questionnaire that was sharpest on the human resources. Thus was met what was required to facilitate an exploration of the hypothesis that without adequate understanding of the thoughts, the feelings, and the quality of the relevant experience of the teachers, prior to bringing them to participate in a teacher appraisal system, the level of effectiveness reached by that system could be shown as likely to be unnecessarily lowered.

The sectors in the questionnaire have a correspondence with the five keys referred in the previous paragraphs. This correspondence is seen in that there are two sectors which focus on the attributes of the teachers; there is one sector which focuses on the appraiser; and there are two sectors which focus on a major aspect of the collection of performance data, namely classroom observation. The remaining sector in the questionnaire focuses on goal setting which is closely associated with the process of feedback. A sector devoted to feedback as such was not decided upon as it appeared to the researcher as a matter which was appropriate for investigation as a sector in its own right only when teachers were experienced. At the current stage, the other keys, using the terms in sense employed by Duke and Stiggins (1986), commanded priority. While no sector in the questionnaire focuses exclusively on 'context', the design allows for relevant data to be gathered in from all sectors. It is also to be borne in

mind that the issue of context has also been dealt with at length in chapter 1.

The designations of the sectors were partly decided as a result of the researcher's deliberations over the characteristics of the the fields taken in the aggregates which formed logically. The designations and groupings of the fields were also partly the result of prior reference to the components of the appraisal cycle, and the defining of fields which were perceived to belong to one or other of the components in question.

It was a help at this stage to have in mind a theoretical model of teacher appraisal as an interaction process and this is shown as Figure 4.1 which is based on an idea borrowed from Davies (1971) referred to above (p. 53).

Figure 4.1 APPRAISAL AS AN INTERACTION PROCESS

THE INTERNAL AND EXTERNAL CONTEXT

A SCHOOL'S EDUCATIONAL GOALS

AN INTERACTION PROCESS

DATA VARIABLES
Criteria
Goal Focus
Sources
etc

APPRAISER VARIABLES
Status
Skills
Input
etc

APPRAISEE VARIABLES
Experience
Openness
Hopes
etc

FEEDBACK VARIABLES
Relevance
Planning
Impact
etc

SCHOOL IMPROVEMENT VARIABLES

The aim in devising Figure 4.1 is to illustrate both the nature of teacher appraisal as an interaction process, and

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also its "technology" which alike create the distinctiveness of each school's own system. Producing a clear view on these lines helps to create a focus on the crucial variety of possibilities which there are for data collection, and leads to the recognition of the priorities which are described below. In the light of the theoretical insights gained from developing this view, while it was concluded at the beginning of the research that it was thus neither desirable nor, indeed, feasible to define the separate sectors in the questionnaire exactly in terms of the five keys, it was useful to have them as second reference points for the checking and refining of the chosen design and its details, after using the other sources mentioned above to progress the matter.

Distributed amongst the questionnaire's six sectors, there are items pertaining to each of the five keys. The distribution of the items is indicated by the figures in Table 4.4. The usefulness in this research of the ground covered within the sectors would be marred if the considerations arising from the findings of Duke and Stiggins (1986) could not be reflected upon in the light of conditions in this country. The range of the items in the questionnaire therefore allowed for reflection upon the five key considerations in this way. All told, there were 47 items relating directly to the human resources and 51 items relating to the other resources, a distribution regarded as balanced for the purpose in mind.

Table 4.4 DISTRIBUTION OF ITEMS IN QUESTIONNAIRE BY REFERENCE TO THE FIVE KEYS

Key\Sector	A	B	C	D	E	F	Total
The appraisee	3	5	1	4	3	3	19
The appraiser	2	–	–	14	1	11	28
Performance data	4	3	5	–	5	–	17
Feedback	2	6	–	–	1	–	9
Context	3	3	6	1	8	4	25
Total	14	17	12	19	18	18	98

4.2.4   The Approach Summarized

The approach that was taken can be illustrated by reference to the prime consideration. This had to do with the matter of the context in which decisions were made affecting teacher appraisal. The context had topical as well as technical appeal, and appeared thereby to merit especially close attention. There was a context of controversy in this country surrounding the debate and the government's action on teacher appraisal at the time when the questionnaire was being designed. Interestingly, included amongst the important attributes of context, according to Duke and Stiggins (1986), are the purpose of teacher appraisal, performance standards, performance criteria, the frequency of appraisal, a range of procedural issues, resources for professional development, kinds of data admissible in an appraisal, and the individuals chosen to be appraisers, all of which examples of significant contextual items reflect considerations that figured in the debate and controversy here. It was also the case that the other keys contained attributes which had clear affinities with fields of concern identified by teachers in Northamptonshire, and indeed by the representatives of teachers negotiating in the national environment with government representatives.

Accepting the position of the appraiser as a key consideration, it is possible not only to illustrate another level of the design process of the questionnaire but also to give a further example of the affinities just previously mentioned. Duke and Stiggins studied carefully a necessary attribute of the appraiser as a "key", namely, credibility, which they conclude to be a function of many things including: knowledge of technical aspects of teaching, knowledge of subject area, familiarity with the teacher's classroom and pupils, and expertise in fields of pedagogy, for example: appropriateness of lesson objectives, relevance of learning materials to pupil needs and abilities, balance and fairness, among others (Duke and Stiggins 1986 p. 22).

The questionnaire includes items of a general nature such as the concern of credibility, and, as sub-sets of credibility,

more particular fields modelled on the attributes described by Duke and Stiggins. The responses received to these items thus can be examined for internal consistency and, when taken together, studied in extra depth, meaning beyond the level open when the item is surveyed simply on its own. It was not deemed wise when presenting the items to show them to be conceived in sets and sub-sets, the intention being to let affinities between the items be perceived, or not, by the respondents acting independently.

Except that the items were grouped in sectors, the order in which they were set out was random. The sectors were given headings to indicate what collection of fields was under consideration and to render the task for respondent and researcher more manageable than it was believed handling an unbroken, unclassified list of 98 items would have been for establishing relative ranking. A copy of the questionnaire is included in Appendix 4.1.

4.2.5   The Respondents

Because the researcher theorized that, in each distinct sector, the responses of the teachers were likely to be influenced by the main factors affecting their working environment and embracing their personal standpoint, the questionnaire provided for information to be given concerning these factors which are identified in Table 4.5

Table 4.5 KEY FACTORS AFFECTING THE WORKING ENVIRONMENTS OF THE TEACHERS IN THE SAMPLE
1   The level of post held
2   The phase of education in which the post was held
3   The size of the school where the post was held
4   The number of years during which the teacher had taught
5   The number of different schools in which the teacher had taught (other than as a supply teacher).

The ACAS report (ACAS 1986) distinguished three levels of post as relevant to discriminate between, namely the Head, the Main Professional Grade Teacher, and the Entry Grade Teacher. The

researcher's own experience suggested that the perspectives of Deputy Heads and Middle Management people or Heads of Department should also be be distinguished. LEA in-service practice commonly groups Deputy Heads in separate professional development activity. For example, in Northamptonshire and Buckinghamshire, Deputy Head development groups had been running successfully for many years. For both Deputy Heads and Middle Managers (Heads of Department and Heads of Year), study of a sample of school staff handbooks and knowledge of job descriptions gained over a period of years by the researcher also indicated that sufficiently discrete functions were found associated with posts at these levels to suggest that there was a probability of relevant independent perspectives which merited exploration. Reference to the literature reinforced this view (for example, Bush et al. 1980, Turner and Clift 1985, Lambert 1986). For the entry grade, relatively few teachers would be concerned at any time and the intention expressed in the ACAS report was specific and limited, namely, to cover the transition from the probation stage to Main Entry Grade level. The researcher took the view that it was reasonable to hypothesize the existence of a relevant perspective possessed by teachers not themselves significantly involved in the management of the work of others and that exploration of this perspective would bring out distinctive data relevant to the development of the thesis. Teachers holding posts on Burnham Scales 1 and 2 were placed in this category. These are the teachers who generally are named "classroom teachers" in the following text.

Bearing in mind differences in the scale and complexity of the formal organizational structures associated with the phase and size of schools, on the one hand, and differences in teaching and learning styles and curriculum between phases, on the other, and recognizing that these differences are of a major character, suggested to the researcher that the factors of phase and size merited being discriminated in terms of the respondents and where they taught. It was not thought that the isolation of level of post alone would sufficiently distinguish the possible influence of management characteristics on the perspectives of teachers.

Use of soft systems (Checkland 1981) to analyse the perspectives of teachers about their work as influenced by their years of experience suggested that there might be issues worth probing. A light-hearted analysis (at the "mess" stage (Ackoff 1974)) of the perspectives of teachers, and other interested persons, prior to participation in a mandatory scheme of appraisal is illustrated in Appendix 4.2. Whilst it was hypothesized that the level of the post was probably more influential, part of the rhetoric concerning teaching in the 1980s extolled the distinction of persons who could be good classroom practioners without at the same time wanting to exercise management responsibilty for the work of others, and this distinction might be associated with an identifiable perspective on appraisal related to length of service as a teacher. Such long-serving teachers could be seriously affected if a performance-related salary system were introduced, possibly beneficially.

The factor of having taught in several schools was included because such experience in our country's system could be significant in developing a teacher's perspectives, especially as regards contextual influences affecting appraisal. As the OECD Survey team reported:

"the virtual immunity of head teachers from external control allows innovatory initiatives to exist side by side with the most traditional arrangements."

(OECD 1976)

While the situation has been changing (and will probably change more rapidly as a result of the ERA (1988)) some explanation of important differences in perspectives that might emerge through the responses towards some appraisal constructs, or signifying relevant appraisal-type experience, for example, concerning goal setting, itemized in the questionnaire could be attributable to this factor. Consequently, an option to address it in the analytical procedure was provided.

It was not part of the theory governing the choice of the factors which were considered to affect the working environment of the teachers to provide for gender differentiation.

4.2.6 The Outcome of the Design Process

Following the actions described up to this point, the researcher believed that he had established a coherent questionnaire with regard to teacher appraisal which embodied probes into:

1 the concerns of teachers experienced in teacher appraisal;

2 the concerns of teachers inexperienced in teacher appraisal.

The dual enquiry therefore provided for gathering data which could show where the two kinds of identified concern were much the same or quite different, and whether anything important could be discovered in this light, affecting the implementation of teacher appraisal at any level of management. This line of development in the enquiry is referred to in the final chapter.

There remained at this stage a third aspect of the development of the investigation plan to complete:

3 scope to analyse on a comparative basis responses from Northamptonshire teachers relative to these concerns.

This third aspect is the subject of the next section of this chapter.

4.3 THE SAMPLE

4.3.1 Design method

The overall purpose of the questionnaire was to obtain clarification about how teachers saw the nature and scope of teacher appraisal impending in 1987, and to gain an assessment of their experiences in relevant preparatory fields. Therefore, it was necessary to secure responses from a sufficient number of teachers who collectively were representative of the total number. The goal was to achieve what Cohen and Manion (1985) call a "probability" sample which is to say a sample which included in reasonable proportions all of the types of post held in schools, namely heads, deputy heads, heads of department, and so on.

The distribution of the questionnaire was based on the model

of stratified random sampling (Adams and Schvaneveldt 1985 p. 181). This technique required the teacher population in the county to be divided into parts, or strata, according to distinguishing characteristics, and then selection of a random sample from each of the defined strata. The strata were teacher populations in urban schools, rural schools, schools of different sizes (rolls up to 75, and then from 76 to 200, 201 to 300, 301 to 600, and above 600), secondary and upper schools, middle schools, primary and lower schools, and at different levels of seniority on Burnham salary scales. Bearing in mind that a teaching career may span 40 years before retirement and cover posts in more than one school, the researcher introduced a check to show whether there was a spread of teachers in the sample across several additional strata, each of different periods of time spent in teaching, and of numbers of schools in which posts had been held. The researcher did not deliberately target teachers in the additional strata, but left this component of the sample to a random outcome.

Initially, only Northamptonshire teachers were invited to assist in the sampling. This happened in the following way. In the early part of 1987, several awareness raising presentations on the topic of teacher appraisal were being made to teachers from all Northamptonshire schools, two representatives, one normally the head or deputy head and the other chosen by the school, coming from each. The researcher was the main presenter. Part of these presentations included completion of a section of the questionnaire, it being explained that the purpose of this was to improve understanding in the county of teacher in-service needs, in relation to teacher appraisal in particular. Teachers who were interested in completing the whole questionnaire collected copies on the occasions of these presentations, on an entirely voluntary basis.

When the initial distribution of questionnaires had been returned a check was made on the composition of the sample, to see how far the teachers returning the questionnaires were representative of the composition of the teachers in the

county as a whole, by reference to the phase (primary, middle, secondary), locations (urban and rural) and sizes of schools where they taught, and to the levels of posts they held. The data used for reference was supplied by the county education department. The final analysis was made by the researcher.

The interim check indicated a need for additional numbers of questionnaires to be circulated to schools. These went out with a covering letter which explained the purpose and invited further volunteers to return completed questionnaires so that a sample of teachers reasonably closely representative of teachers in the whole county would be achieved. The aim at this stage in the data gathering process was to encourage the coming forward of volunteers holding posts at the level of seniority required, in schools of the size and phase necessary to complete the sample. Direct personal contact with the heads of the schools was made then. The researcher did not make the contact with the teachers. The intention was to continue to collect responses on as random a basis as possible, compatible with gaining a representative return in keeping with the model.

4.3.2 The Status of the Northamptonshire Sample
Clearly, there were advantages in restricting the exercise of data gathering to one locality, provided the data was being gathered from a reasonably representative population. The main advantage would be the saving of time and expense. The grounds for considering the sample representative of the teachers of Northamptonshire are outlined in this section. The further grounds for taking the findings gained from the data gathered using this sample as having relevance to the broader national situation are also discussed in this section.

A total of 250 questionnaires were distributed, aiming at a 5% sample. There were 192 questionnaires returned, a response rate of 77%. Two questionnaires were spoiled, the personal data not having been entered; and seven were returned too late to be included in the computer analysis. The sample size of 183 was approximately 4% of the total population of teachers in primary, middle and secondary schools in Northamptonshire

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in 1987. With regard to the distribution of teachers between rural and urban schools, the researcher defined rural schools as those schools not located in the four main towns of the county: Corby, Kettering, Northampton, and Wellingborough.

The grounds for regarding the sample as reasonably representative are illustrated in the following Tables 4.6, 4.7, 4.8, and 4.9. These Tables indicate clearly that the sample included teachers who were drawn from a wide range of schools, who held posts across all levels of responsibility, who were diverse both in their years of school experience and the number of schools they had served in, and who were probably as representative of the whole body of teachers in the county as could be obtained.

Table 4.6   COMPARATIVE DISTRIBUTION OF THE TEACHERS IN THE NORTHAMPTONSHIRE SAMPLE ACCORDING TO THE LEVEL OF THE POST, PHASE, AND SIZE OF SCHOOL

	Sample		County	
	Number of Teachers	%	Number of Teachers	%
Level of post				
Scales 1 and 2	77	42	2746	58
Heads of Department	44	24	1257	27
Deputy Heads	27	15	369	8
Heads	35	19	330	7
Phase of School				
Primary	83	45	1943	41
Middle	33	18	465	10
Secondary	67	37	2294	49
Number on Roll				
75 or less	9	5	164	4
76 to 200	24	13	790	17
201 to 300	26	14	611	13
301 to 600	54	30	884	19
Over 600	70	38	2253	47

Table 4.6 indicates the comparative nature of the sample in terms of the posts the teachers held and the schools they were teaching in classified by size and phase. Overall, as it happened, the sample replicated almost exactly the

county-wide distribution of the teachers between rural and urban schools. This is shown in Table 4.7.

Table 4.7	COMPARATIVE DISTRIBUTION OF THE TEACHERS IN THE NORTHAMPTONSHIRE SAMPLE BY THE URBAN OR RURAL LOCATION AND THE PHASE OF THEIR SCHOOLS			
	Sample		County	
	Number of Teachers	% of total in phase	Number of Teachers	% of total in phase
Urban - Primary	45	54	867	44
- Middle	25	75	417	88
- Secondary	28	42	1240	54
Rural - Primary	38	46	1078	56
- Middle	8	25	48	12
- Secondary	39	58	1052	46
Urban Totals and %	98	54	2524	54
Rural Totals and %	85	46	2178	46

Comparative data on the number of changes of school that individual teachers currently teaching in Northamptonshire had previously made was not available. The latter situation of the teachers in the sample is shown in Table 4.8.

Table 4.8	THE SAMPLE OF NORTHAMPTONSHIRE TEACHERS: EXPERIENCE OF CHANGES OF SCHOOL	
Number of changes of school made by the teachers	Number of Teachers	% of Total
0	36	20
1	37	20
2	37	20
3	26	14
4	23	12
5	14	8
6+	10	6

For the factors so far illustrated, only the position of the teachers in the sample can be recorded here comparatively within Northamptonshire. Nevertheless, in important respects it is clear that the sample was representative of a diverse mix of teachers in a comparatively large LEA. The next

consideration then was to estabish whether or not there were reasonable grounds for believing that this Northamptonshire sample could be seen as a reflection of the national position.

It was possible to make a comparison with the national situation in terms of the different periods of time teachers in the sample and in the national teacher population had spent in teaching. There was striking similarity in the relevant data concerning spent in teaching.   Table 4.9 shows this similarity.

Table 4.9 THE SAMPLE OF NORTHAMPTONSHIRE TEACHERS: TIME INDIVIDUALS HAD SPENT IN TEACHING		
	Sample Number of Teachers	Percentage of Total Northants National*
Under 10 years	66	36 32
10 to 19 years	70	38 36
20 to 29 years	36	20 25
30 years or more	11	6 7
* proportions estimated in England and Wales (derived from Statistics of Teachers in Service England and Wales DES 1986 Table B 127 (v))		

Assuming that the distribution of senior and other posts being generally dependent on criteria applying nationally was comparatively much the same in Northamptonshire as at the national level, the key further question is whether Northamptonshire replicated the national position in other significant respects, for example, socially and economically.

In 1987, Northamptonshire had a school population of nearly 100,000 in 330 schools, ranging in size of roll from 20 to 1300 pupils.   There were schools with a variety of separate age ranges: 5 to 7 years, 5 to 9, 5 to 11, 7 to 11, 9 to 13, 11 to 18, 13 to 18.   The schools were distributed between urban and rural areas in fairly equal proportions. There were areas of substantial new development; both Corby and Northampton, having been designated New Towns, were expanding in housing and commercially. Thus, measured in these terms, in Northamptonshire there was a diversity of school environments which was reasonably comprehensive compared with

the range in the whole country, according to the data given in
the annual bulletins for the period of the Statistics and
Information Branch of the DES. Supplementing this information
with statistical data on social structure used by the
Department of Health and Social Security, and further data on
ethnicity, provision of free school meals, and educational
attainment, from the DES (Statistical Bulletin 8/82) and
financial data from CIPFA (Chartered Institute of Public
Finance and Accountancy) led a study group in the education
department of the county to the conclusion that the
educational environment of Northamptonshire was close to
average conditions for England and Wales (Northamptonshire
1986). Moreover, although the data collected using the
questionnaire was valuable enough on this basis, it transpired
that there were other grounds, which are mentioned at the end
of this chapter, to justify this judgement about the validity
of the sample of Northamptonshire teachers to serve as a
position indicator on a wider basis, possibly nationally.

Indeed, it became clear that when analysed the data
forthcoming from the teachers in Northamptonshire in their
responses to trial questionnaires, as well as to the
definitive version, offered valuable insights on matters of
central importance in the national appraisal debate.

4.4 THE ANALYSIS
4.4.1 The Steps followed
As a summary, it can be stated that the analysis followed two
steps. The first step consisted in the abstraction from the
completed questionnaires of raw data which was sorted and
studied. To assist with this the frequency distributions of
the values individually given by the teachers to the items in
the questionnaire were crosstabulated with the five factors of
a teacher's environment specified in Table 4.5 (above p. 171).
Pearson correlations and the results of factor analysis were
also studied. This process yielded valuable information
relevant to the issues introduced in chapters 1, 2, and 3. The
second step was the testing of a number of hypotheses by means
of exploring the information yielded from the first analysis,
in quest of answers to the many questions arising from the
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hypotheses, and from the new knowledge gained from this empirical study.

By way of illustrating this strategic approach to the analysis, further explanation follows concerning the structure of the questionnaire. Along with this explanation of the questionnaire's structure, reference is made to some hypotheses and to sample questions which will be addressed in depth in chapters 5, 6 and 7.

4.4.2 Criteria governing the selection of items in the questionnaire.

In this research, the selection of the items to go in the questionnaire was part of a data gathering plan which had the purpose of accomplishing some exploratory mapping of the common ground shared by all teachers, as well as the purpose of locating the places where there were differences amongst them. Thus, it was likely, and not to be deemed a disadvantage, that there were included in the questionnaire items that would turn out to be non-discriminatory in relation to different categories of teachers. That was an assumption the researcher made. What was deemed here as valuable was data which enabled exploration of the nature and scale of the commonality of viewpoints or experiences, or the levels of the shared concerns, amongst the teachers. Thus the items expressed constructs which were conceived as probes directed towards each of these purposes.

Behind these approaches, the reasoning was derived from the researcher's hypothesis that if, as he believed was probable, all teachers were not thinking alike about teacher appraisal and its implications, it would be necessary, in the interests of efficiency and effectiveness, to identify the important differences which policy makers and school leaders would be well advised to respect when introducing and implementing a system of teacher appraisal in a school, or group of schools. A similar hypothesis applied in relation to the teacher's common ground and the planning of the implementation stage which might be better arranged if it was based on a starting point of shared experience and values.

For everyone engaged in appraisal, an important question concerns who will be the appraiser. From the point of view of the teachers, what criteria in relation to this question can be derived from the empirical study? How do these criteria compare with the criteria government has advanced? Did the teachers express differences regarding the criteria according to their circumstances in any way? Have any identified variations in desired criteria implications for policy making and management, at various levels? If Hoyle (1986) is right in suggesting that teachers have had very little involvement in whole school decision making and management hitherto, are we to see a major change in management practice coming through the adoption of appraisal, because it is something which, commensurate with its effectiveness, will impinge on teachers directly and fundamentally in their day-to-day operations, unlike management practice typically until now?

The intended approach to the analysis of the responses was anticipated in the grouping of the items into sectors, from A to F, in the questionnaire and also in the provision within the sectors of items belonging to sets, meaning items having deeper affinities with each other than just being in the same sector. Reference is made above to the attributes of the keys to effective teacher appraisal as conceived by Duke and Stiggins (1986). This conception influenced the detailed assembly of the questionnaire, by inspiring the idea of the sets which idea assisted the refinement of the raw constructs from their initial form, in the direction of enabling relevant data, if it existed as hypothesised, to be captured.

The provision of the sets meant that systematic investigation of three or four considerations deemed basic in a sector was facilitated. The distribution of these considerations is shown in Table 4.10. After the first stage of the analysis, which was to examine the responses to each item in each sector of the questionnaire in relation to each factor of the teacher's environment (see Table 4.5 above p. 171), systematic investigation was undertaken into the ways in which these basic considerations had been addressed by the teachers.

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Table 4.10	BASIC CONSIDERATIONS OF APPRAISAL IN THE SIX SECTORS OF THE QUESTIONNAIRE

A The perceptions teachers have of teacher appraisal

Consideration	Relevant Items
Its purpose	5,6
Distinctive nature	7,9,10,12,14
Preparation and Training	8,11
Subjective/Objective Influences	1,2,3,4,13

B The expectations teachers have concerning the outcomes of teacher appraisal

Consideration	Relevant Items
Personal professional gains	1,2,3,4,5,9,13
Direct teaching impacts	6,7.8
Influences on work style	10,12,15,16,17
Other impacts	11,13,14

C The experience and knowledge teachers have of goal setting

Consideration	Relevant Items
Kinds of goals	1,3,7,8,9
Frequency elements	4,5,6
Staff relationships	2,10,11,12

D The requirements of teachers concerning appraisers

Consideration	Relevant Items
Credibility	1,2,4,10,15,19
Expertise	3,9,11,12,18
Capacity to individualize	7,8,17
Distinctive style	5,6,13,14

E The views teachers have about classroom observation

Consideration	Relevant Items
Concerning self	1,4,10,11,17
Ground rules	3,5,6,7,9,14
Context	2,12,13,15,16
General benefits	8,18

F The experience teachers have of classroom observation

Consideration	Relevant Items
Being observed	1,17,18
Observing: situations	2,3,6,7,8,9,13
Observing: frequency/duration	4,5,10,11,12
Context	14,15,16

Relevant to the introduction of a system of teacher appraisal into a school, there are also basic considerations of the internal management ethos to investigate. Items designed as probes to help this investigation were distributed amongst the sectors of the questionnaire. Table 4.11 on the next page indicates this distribution. The approach to the systematic investigation of these further basic considerations was on the same lines as those followed in relation to the considerations specified in Table 4.10.

Table 4.11	BASIC CONSIDERATIONS OF INTERNAL SCHOOL MANAGEMENT ETHOS INCLUDED IN THE SIX SECTORS OF THE QUESTIONNAIRE

A The perceptions teachers have of teacher appraisal

Management Consideration	Relevant Items
Relevance to learning	10
"Vision" -effectiveness	11
Credibility	8

B The expectations teachers have concerning the outcomes of teacher appraisal

Management Consideration	Relevant Items
Heads - management role	10,11
Teachers - management role	12,13

C The experience and knowledge teachers have of goal setting

Management Consideration	Relevant Items
Roles in goal setting	2,7,10,11,12

D The requirements of teachers concerning appraisers

Management Consideration	Relevant Items
Innovation and risk taking	13,14
Discernment of responsibility	15,16

E The views teachers have about classroom observation

Management Consideration	Relevant Items
Management beliefs	3,8,18

F The experience of teachers of classroom observation

Management Consideration	Relevant Items
Management support	13,14,15,16

A rationalisation addressing a key management consideration affecting teacher appraisal was formed as the study of the responses to the questionnaire progressed. This rationalisation concerned the consequences if teacher appraisal has to be an integral part of the management structure and subject to the climate of management of a school. The rationalisation suggests that because this structure and climate are inevitably going to foster or limit the effective operation of teacher appraisal as a human resource development instrument, a teacher appraisal system is vulnerable to a conflict over values between the people responsible for the system and the people responsible for management. The rationalisation continues to the effect that teacher appraisal is likely to be rendered largely

ineffective, unless shared values are deliberately created for both the system people and the management people. The analysis in the following chapters seeks to offer useful insights into this aspect of the management of teacher appraisal.

Investigation of the hypotheses mentioned in the preceding paragraphs gave rise to many further questions. A number of the questions arising can be deduced from the content of Table 4.10. Others have been specifically mentioned already, but it is useful to state some additional ones of major importance here, to give an amplified preliminary indication of the areas of interest covered in the empirical study.

A strong incentive leading to the empirical study was the belief of the researcher that there are major questions to answer concerning the range and depth of the familiarity the teachers had with appraisal concepts, and whether, and to what extent, there were different degrees of familiarity identifiable, and what variables appeared to influence the differences. These questions were considered to matter as part of the necessary preliminary mapping of the current position of the teachers with regard to the proposed introduction of appraisal. Until this mapping was complete a full-scale analysis of the responses could not begin.

Another group of questions cluster around the further major one of what can be found out from this empirical study about the clarity and coherence of the picture of appraisal which was drawn by teachers when they lacked first-hand experience? Is it possible to form a reliable opinion about the significance of this picture in present circumstances, in terms of an appraisal system likely to contribute towards improving the level of functioning of teachers in classrooms, as measured by improvements in teaching and learning? In other words, was the level of professional self-awareness such that this picture offers of itself a distinctive framework for teacher appraisal? Can this framework support a system which does not need to rely on mechanisms and values derived from non-educational organisations? For example, in relation to

essential components of the appraisal cycle (see above Table 4.1 p. 161), notably the components of goal setting and classroom observation, are there shared positions, which all teachers possess, to build upon, and which offer an inherently distinctive but sufficient basis for a robust school-focused freestanding teacher appraisal system?

There is always a staff development initiative required when an innovation of magnitude is under consideration for application in schools. Having regard to the fact, as established in chapter 1, that teacher appraisal is best seen as an innovation of magnitude, what do the findings of the empirical study suggest in answer to the overarching question about where the emphasis in training needs might most usefully be placed generally, and more particularly in terms of the refinement and individualization of such needs, at school and individual teacher levels?

In each sector of the questionnaire, certain items were expected to yield particular information relevant to questions to do with the management context, besides specific sector information. This information provided starting points for follow-through enquiries directed at a sample of schools in Northamptonshire and aimed further to check or strengthen the validity of the thrust of the thesis that new norms of management will be required in most schools if improvement in teaching and learning is to be a realistic expectation as the outcome of teacher appraisal.

A review of the literature did not bring to light any previous study, relevant to teacher appraisal, of the thoughts, feelings, and experiences of the generally inexperienced teachers in this country, compared and contrasted with those of generally experienced teachers working in school districts in Canada and USA where teacher appraisal is well established. It was necessary to originate the ideas to guide this research without being able to build on much earlier work. This was so, even though the importance has been recognized in the American literature (Fenstermacher 1978, Darling-Hammond 1983) of giving "full weight to teachers' beliefs and intentions"

(Darling-Hammond 1983 p. 314), if teacher appraisal is to help change in a teacher's practice to happen.

In order to evaluate the findings of the Northamptonshire empirical study more extensively, and to make some further test of their validity for applications in other LEAs, when the researcher found opportunities arose to use the questionnaire, or parts of it, to investigate the position of teachers outside the county, these were taken. A number of smaller scale investigations were thus undertaken, in Kent, Buckinghamshire, and Leicestershire. This reference is made simply because it is worth noting that these investigations yielded data suggesting corroboration of the findings derived from the research in Northamptonshire, in the particular sectors of concern involved.

Chapter 5   Teacher Expectations of Appraisal and
            Experience of Goal Setting

5.1 INTRODUCTORY

5.1.1 The Importance of Teacher Expectations

The principal interest in the first part of this chapter lies
with the perceptions and expectations which the teachers in
the sample had relating to appraisal.   A description is
presented of the important features of their vision of teacher
appraisal and its outcomes.   Also in this part of the chapter,
linked to this vision there is consideration given to the
requirements the teachers envisaged concerning appraisers.
These several aspects of the subject are encapsulated here as
"the teachers' expectations".

In terms of the empirical study, there were three reasons for
having this interest in the teachers' expectations.   The first
was wanting to test the twofold hypothesis that the teachers
and government had significantly different viewpoints, and
that the teachers had a coherent conception of an appraisal
system that took teaching and learning as its focus, in
contrast to the government's focus on "the management of the
teacher force" (HMSO Cmnd 9469 1985 p.8).   The second reason
was wanting to test the further hypothesis that while overall
it may be fair to assume that teachers collectively have a
distinctive   viewpoint,   there   are   also   more   detailed
perspectives to discern and these are significant for the
policy makers and management people and need their attention
when they are setting up appraisal systems in schools.   The
third reason was that if the two hypotheses just mentioned
were supported by the data gathered in the empirical study,
then investigating the construction of an appraisal system in
line with the   teachers' perspectives, or at least strongly
influenced by their collective viewpoint, would be valuable.
It seemed then that there was the possibility that following
the teachers' viewpoint could lead, even if paradoxically,
towards gaining a better instrument of teacher appraisal and,
in turn,   a more effective accomplishment of the government's
purpose of school improvement than would be so if government
persisted solely in its own ways.

5.1.2 Conflicts of Interest and Reconciliation

Why do teachers and government disagree or appear to disagree seriously over teacher appraisal? To some extent, it is sensible to take almost for granted that teachers and government will have different viewpoints. After all, it can be suggested as self-evident that government works at a macro-level, cannot disregard its obligation to initiate educational change, wants to find ways of controlling quality without interfering too much with teaching and school organization, and aims to achieve its ends within a controllable budget. Government seeks to avoid alienating the public and so must generalize, often ambiguously, as a matter of strategy.

Probably as a consequence of the political context, in the public sector it is often difficult for employees, including senior ones, to know very precisely what government expects of them. So far as teacher appraisal is concerned, ironically, this is a situation diametrically opposed to what is the desirable position, if it is borne in mind that in a situation of major change in schools there is a contingency, which has much in common about it for both parties (government and teachers), to invest in staff development. The dilemma for government is difficult, since no doubt it appreciates that inevitably it has to be seen doing something, even when neither party (teachers and government) really, perhaps, knows its own mind. As explained in chapter 3, regarding teacher appraisal as a "human activity system" (Checkland 1981) calls attention to the importance of viewpoint in the creation or understanding of such a "system". In the matter of teacher appraisal, it might then be wondered why, prior to the government initiative, there was no serious research into the viewpoint of the teachers to be affected, judging from a literature search made at the time.

As noted in chapter 1, there were consultations with the national representatives of the teachers, although a number of these representatives withdrew at times as a device to hinder progress on the part of government towards, among other things, the public clarification of some aspects of teacher

appraisal. In any event, the perspectives of the teachers in the schools are not exactly the same as those of their representatives. The latter, as part of their raison d'etre, want to retain their capacity to intervene at any level, national, local or within a school; and they want to show that they are effectively protecting the interests of the teachers they are representing.

Necessarily, from a trade union position, the representatives of teachers look at these issues as bargaining concerns, even if not entirely. The representatives of teachers operate at a macro-level, and have consequential difficulties, like government. As some of the contextual issues such as these are brought up in the final chapter, attention is given here only to the immediate interest which is the viewpoint of the teachers, rather than the viewpoints of other stakeholders, whose views are explored just to the extent required for comparison. This is partly because it is necessary to delimit the scope of the thesis to what is manageable. A larger reason is wanting to test the additional hypothesis that knowing more about the teachers' own viewpoint illuminates both the causes of difference between government and teachers and the scope for reconciliation of these differences. Also it is argued that of the several existing viewpoints on teacher appraisal, that of the teachers is the most important because in the end they govern the working of teacher appraisal.

The expectations the teachers hold of appraisal require to be understood as much as possible, especially for the insights they give into the benefits expected. These benefits are matters that are at the heart of government policy on education, and causes of controversy, even within DES. While government may claim that the benefits which will come from teacher appraisal will noticeably improve the maintained schools, Her Majesty's Inspectorate, its principal source of advice on the operation of these schools, suggest that this outcome ought not to be taken for granted (HMI 1989).

When it contemplates teacher appraisal, government is obliged

to think globally, about benefits perceived in the aggregate, while HMI are looking at what can be expected more particularly, from each teacher's point of view, and for schools when assessed individually. HMI have based their opinions on their findings during inspections of pilot appraisal activity in the six pilot authorities, and of appraisal in an unspecified number of schools in other places. They "found that when it is sensitively planned and practised, appraisal has much value" (HMI 1989 para. 2). The implication is that HMI have concluded that appraisal has little value when such sensitivity is absent, although this is left unstated. They do state that "it is important that appraisal is not done for its own sake". (HMI 1989 para. 102). This is a telling comment, suggesting that any form of observation of the job performance of a teacher leading to non-judgemental feedback lacks value, as far as HMI are concerned.

It appears then that HMI dispute the value of supporting teachers engaged simply in "self-scrutiny and self-change" (Baxter 1987) which possibly HMI may be confusing with self-evaluation. Despite this view of theirs, HMI stress that "all LEAs will need to develop strategies for the introduction and operation of appraisal that include arrangements for consultation with teachers ..." (HMI 1989 para. 97). Teachers may wish to associate school procedures affecting appraisal with norms of peer collaboration in classroom action research. What then? In summary, the advice of HMI is that the effectiveness of the system will be impaired, and thus the benefits it can bring will be diluted or dissipated, unless "the definition of appraisal and the purposes of a national system [are] made clear" (HMI 1989 para 94). Yet HMI are minded, it seems, to see appraisal operating as a system of control over teachers and teaching, and for this reason lament the absence of "nationally agreed competencies" as an outgome from the pilot study (HMI 1989 para. 94). Further and more detailed references to HMI findings are made below in this chapter. Government can be assumed to agree with HMI in this matter, as chapter 1 indicated. It is suggested that the view of appraisal held by HMI has serious shortcomings.

5.1.3 Summary of the Statistical Methodology

This chapter relies mainly on an analysis of the data derived from the four sectors A, B, C, and D of the questionnaire (see Appendix 4.1). This statistical analysis of the teachers' responses to the items in these sectors proceeded by steps. The first step was to calculate the frequencies of the responses differentiated in accordance with the five point scale used. As a second step, Pearson correlation coefficients were calculated with a view to exploring statistically the relationships between the responses and each of the five key factors affecting the working environments of teachers. (These factors are summarised in Table 4.5 on p. 171.) Next, continuing to use SPSS methodology (Nie et al 1975), a procedure of principal-component factor analysis was applied to the data yielded from each sector. The statistical tables relevant here (and below, see p. 248) are given in Appendix 5.6. By sectors, the step was also taken to crosstabulate the five key factors with the frequencies of the responses in accordance with their distribution across the five points of the scale and sorted for each item.

The methodology outlined above applied to the study of the data concerning the experience teachers had of goal setting which is considered in the second part of this chapter. When there is reference below to an item in the questionnaire, the sector letter is given followed by the item number.

5.2 KEY FACTORS INFLUENCING THE EXPECTATIONS OF THE TEACHERS

5.2.1 Introductory

The listwise procedure of principal-component factor analysis above-mentioned produced interesting material pertinent to this study of the expectations of teachers with regard to teacher appraisal. This section examines this material, dealing with it in a sequence which follows the order in the questionnaire of the sectors under review.

What is remarked includes both factors which bring out dimensions of the collective view of the teachers and also factors which are critical because they are significantly associated with differences in the levels of the posts held by

the respondents. The number and apparent power of these independent factors of hypothetical influence over the teachers' responses vary from sector to sector.

5.2.2 The Principal Components of the Teachers' Perceptions of Teacher Appraisal

Five factors of influence are identifiable affecting teachers' perceptions of teacher appraisal. Two bear particularly upon what probably teachers deem most desirable in the relationship which the appraisee and the appraiser need to create between each other, suggesting what may be the key considerations. The first has to do with the part that the judgement of the appraisee plays in determining the results of an appraisal (A3) and it appears to embody a number of related considerations which are loaded on this factor. These latter considerations include the value which is attributed to having a shared vision of effective teaching strategies in a school (A11); the importance of the appraiser's judgement compared with that of the appraisee in determining the results of the appraisal (A3/4); the use of classroom records (A13); the place of goal setting (A12); whether there is prior training (A8); and the extent of the system's dependence on classroom observation (A9). This first factor accounts for 20% of the variance in the dependent variable (items A1 to A13). Graph 5.1 illustrates the differences in teacher perceptions and the detail of the data is given in Appendix 5.1. Amplification of the points made follows below.

A warning seems contained in this first factor. Underlying the considerations bound up with this factor there are substantial differences of perception evident amongst the teachers who may be beset therefore with divisions in their attitudes and commitment. The managers of teacher appraisal systems need to be alert to this possibility as, if it is not averted, the further suggestion following logically is that a loss develops in the capacity of the teachers to benefit as effectively as possible from teacher appraisal.

The second factor concerns whether teachers reckon being an appraiser is a highly personal undertaking and the judgement

they make on whether and to what extent the process is
dominated by the appraiser as a consequence. The third factor
concerns the purpose of teacher appraisal and whether this is
considered to be to remove weak teachers from schools. The
related considerations bear upon the status given to
professional growth as the purpose of teacher appraisal and to
the acceptance of classroom observation as essential. The
fourth factor relates to the propriety of the use of data on
pupil learning in teacher appraisal. Both the fourth factor
and the fifth appear to control or account for the variance in
the dependent variable in this sector rather less distinctly
or simply than the previously mentioned factors and because of
this other related considerations are not believed to merit
detailed examination here. Taken together these five factors
account for nearly 60% of the variance under attention.

Graph 5.1
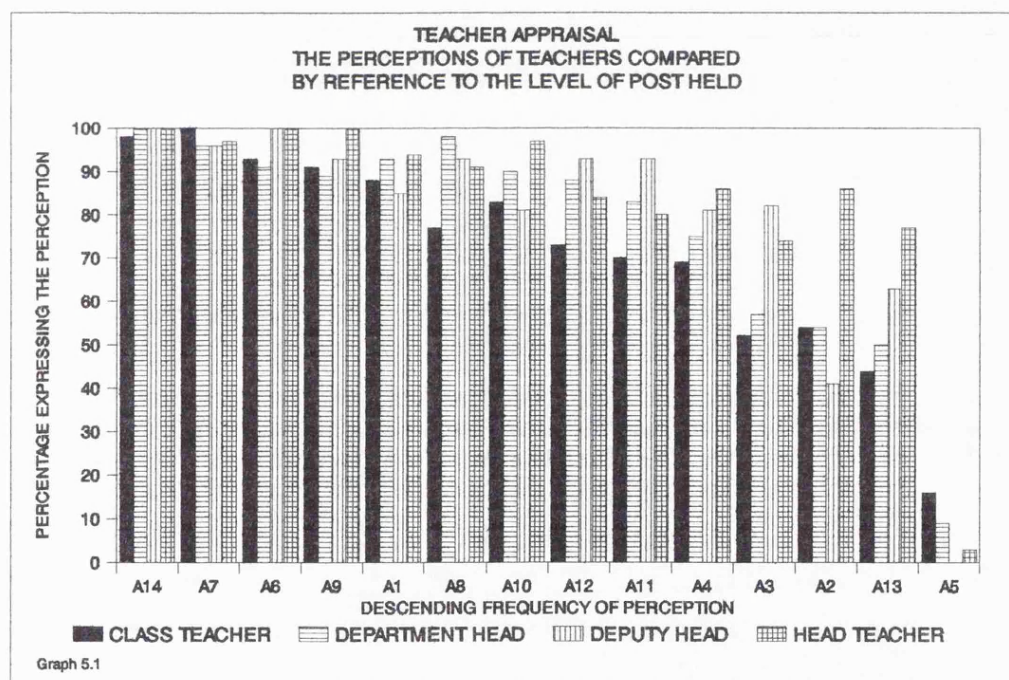
It seems reasonable to interpret the five factors as bringing
out the teachers' strong perception that the roles of the
appraiser and appraisee are the critical components of a
system of teacher appraisal. More illumination of this topic
emerges from sources found in factors important in the other
sectors.

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5.2.3   The Principal Components of the Teachers' Expectations
of Teacher Appraisal

Here what seems striking is the interplay of the visions respectively of the real world known to teachers and the world of their hopes.   Underlying the collective views, there are significant differences associated with differences in the levels of the posts the respondents held.   Seen in this light, the first and most strongly influential factor bears on the tangible gains which teachers expect teacher appraisal to bring.   Graph 5.2 illustrates the differences in the teachers' expectations. The detail of the data is given in Appendix 5.2.

TEACHER APPRAISAL:
THE EXPECTATIONS OF TEACHERS COMPARED
BY REFERENCE TO THE LEVEL OF POST HELD

PERCENTAGE IN AGREEMENT

DESCENDING AGREEMENT OVERALL IN FIELDS

■■■ CLASS TEACHER   ▤ DEPARTMENT HEAD   ▥ DEPUTY HEAD   ▦ HEAD TEACHER

GRAPH 5.2
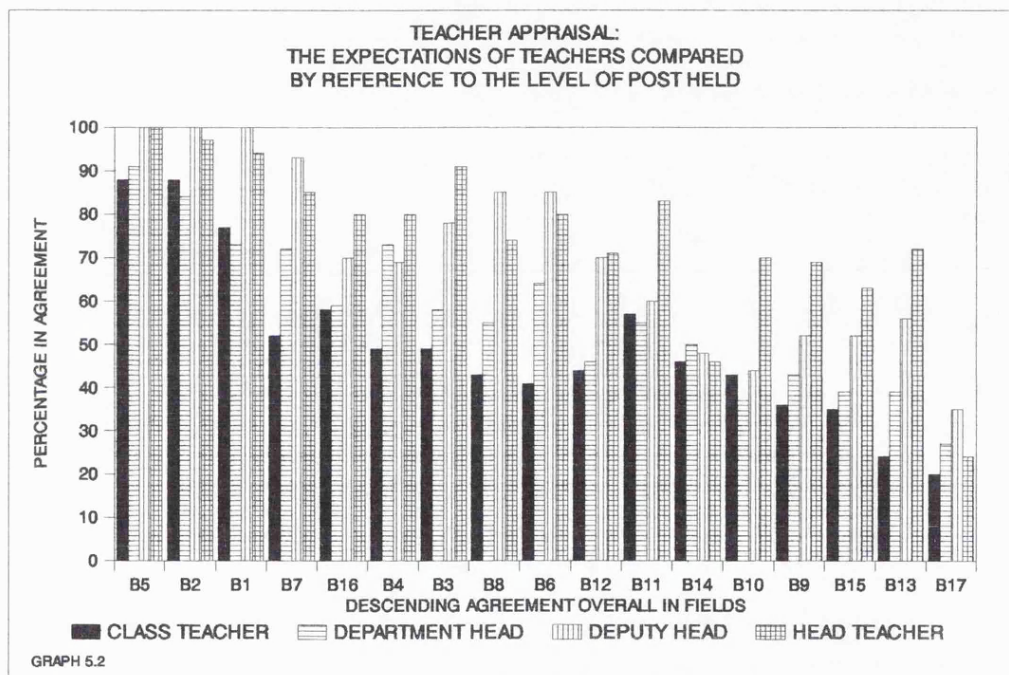
The first factor is whether teachers incline or not to expect improvement in teaching as a result of an appraisal (B7). This factor is associated with expectations about job satisfaction (B3) and improvement in the attainment of pupils (B8). Clearly the factor is an important one.   The proportion of the variance in the dependent variable (items B1 to B17) in this sector controlled by this factor is 37%.

The second factor originates in the extent to which teachers expect appraisal to threaten their autonomy.   This potential of appraisal to threaten teachers appears as a matter of whether it is going to constrain teachers because of a strong association with accountability, extra work and anxiety.

Within its actual parameters in a particular case, this expectation appears as possessed by a minority of teachers (between 20% and 30%) for whom it may be a strong constraint on their capacity to gain benefit.

The third factor concerns the extent to which a teacher agrees on the expectation that heads are going to be caused to spend more time in classrooms. Linked to this is the further expectation concerning whether heads gain in the knowledge they have about their schools through the operation of appraisal. The loadings of other variables on this factor were light and do not merit mention.

The fourth and only remaining factor to consider concerns the expectation of achievements being more widely appreciated because of appraisal. Other expectation variables loading on this factor are the promotion of professional development and the identification of training needs. Underlying the collectivity of the expectations here are significant differences (P = 0.05) related to differences in the levels of the posts held by the respondents.

5.2.4 The Principal Components of the Teachers' Experience of Goal Setting

There are just two factors only to consider in this sector. The first is organizational in its nature and concerns whether and to what extent experience of goal setting as a team exercise is possessed by teachers (C10). Other variables which load on this factor are the teachers' experiences of goal setting respectively: with senior colleagues (C2); affecting a teacher's own classroom responsibilities (C7); for the teacher's own classes (C9); and with implications for a school (C1). The second and weaker factor is utilitarian in nature and concerns directly the goal setting experience of teachers with their own classes (C9). The first factor accounts for 55% of the variance in the responses to the twelve items in this sector, compared with 9% due to the second factor.

Graph 5.3 illustrates the goal setting experience of the

teachers in relation to the level of post held. This experience was limited and uneven. The detail of the data is given in Appendix 5.3. Data associating experience with the phase of the teachers' schools is presented in Appendix 5.5.

TEACHERS AND GOAL SETTING
EXPERIENCE IN DIFFERENT FIELDS COMPARED
BY REFERENCE TO THE LEVEL OF POST HELD

GRAPH 5.3
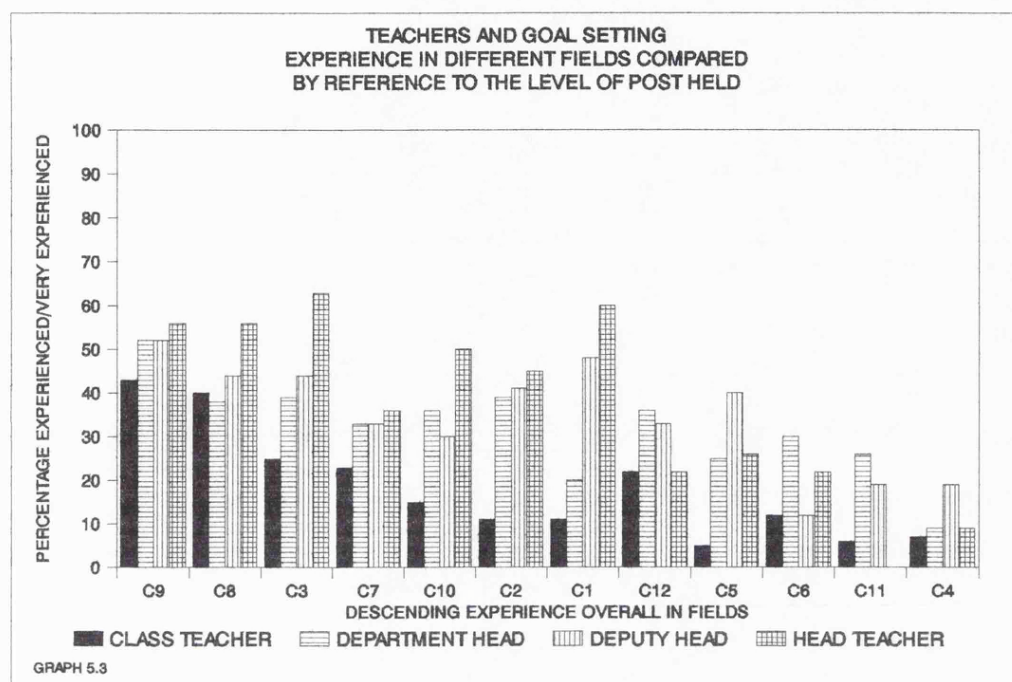
5.2.5 The Principal Components of the Teacher Requirements of Appraisers

The variance in the responses to the items in this sector depends mainly (64%) on five factors. The strongest factor concerns the scale of importance attributed to the requirement that an appraiser offers clarity about standards relevant to an appraisee (D7). The other variables loading mainly on this factor are respectively: the appraiser's capability to agree standards with the appraisee (D8); acceptance of the need for experimentation (D13); and recognition that innovation implies risk taking (D14). This factor accounts for 35% of the variance . What appears to come through here is a collective requirement defining what is looked for in the way of the technical competence of the appraiser.

The next factor expresses a distinctiveness of approach to trustworthiness which is measured again as a concern mainly to do with the technical competence looked for in an appraiser rather than one bearing on other attributes. Questions to do with credibility in this technical sense arise since the other

variables loading on this factor are: the importance attached to the requirement for the appraiser being informed about research on effective teaching (D 12); being versed in theories of learning (D11); and having a non-adversarial working relationship with the appraisee (D5).

The third factor is a requirement that the appraiser be familiar with the appraisee's classroom and/or with the appraisee's teaching commitments (D1). This factor embraces further requirements for familiarity with a wide range of teaching situations (D2) and extensive knowledge of the curriculum of the school (D3) on the part of the appraiser. There are differences in the scale of importance assigned to these items by the teachers and the differences are associated with the levels of the posts the teachers held. This factor is not simple as it shares loadings with the first factor in similar proportions in relation to all three items identified at the beginning of this paragraph.

Prevailing into the fourth factor is the theme of the technical competence required of appraisers. This factor concerns the appraiser's capability to differentiate the reasons for any successes/failures as the responsibility of the appraisee or of others. Also loading on this factor are respectively in order of weighting: the appraiser's credibility as a source of feedback (D10); familiarity with the appraisee's classroom or/and curriculum responsibilities (D1); and a capacity to demonstrate or model needed improvements or alternative approaches (D9). With this factor what appears drawn to attention is the multi-disciplinary knowledge required of appraisers and in this respect the fifth factor is similar in character to the fourth.

The fifth factor requires the appraiser to be informed about research on effective teaching (D 12). Loading on this factor almost equally with this variable is the requirement for the appraiser to be versed in theories of learning (D11). The requirement for the appraiser to be capable of differentiating the reasons for any successes or failures as the responsibility of the appraiser or others (D15) is loaded on

both this factor and the first with similar weight.

Graph 5.4 illustrates the varying importance the teachers' gave to their requirements concerning appraisers, showing differentiation associated with the levels of the posts they held. Appendix 5.4 gives the detail of the data.

APPRAISERS: THE REQUIREMENTS OF TEACHERS COMPARED BY REFERENCE TO THE LEVEL OF THE POST HELD

GRAPH 5.4
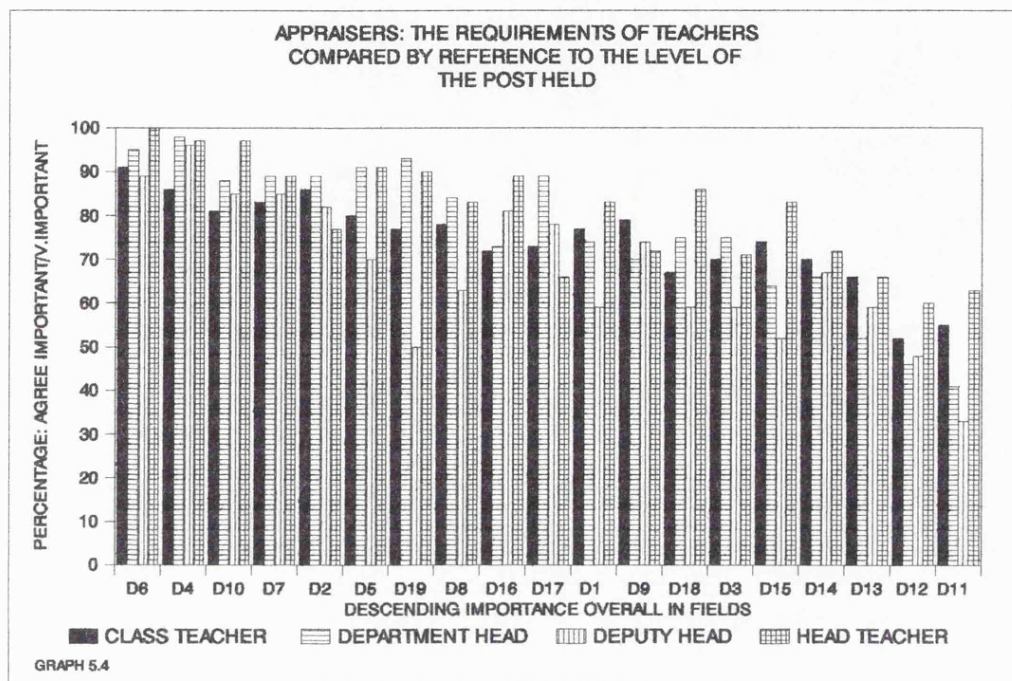
5.2.6 Building on the Principal Components of the Teachers' Expectations

Having regard to the teachers' expectations (as defined in their extended sense in the first paragraph of this chapter), and building on their principal components as constructed above in this section, there is usefulness in developing the analysis of these responses of the teachers in a further form. This is the form of a SWOT analysis which is made in the next section.

5.3 ANALYSIS USING THE "SWOT" TECHNIQUE
5.3.1 The Reasons for taking up SWOT

For the purpose of the presentation of the findings gained from analysing the data under review, in both this section and the chapter, a theoretical approach is preferred which can be replicated easily in an LEA. The approach in this section and in the previous one, therefore, is to interpret the findings as if they provide for building a framework for a desired

teacher appraisal system which is about to be implemented. In other words, the responses are evaluated as if they are the outcome of a consultation with teachers much as may be undertaken in the light of the HMI recommendation (HMI 1989 and see above p. 191).

The task considered here is therefore seen as a market audit (McDonald 1984) and from the "audit" data yielded from the questionnaire is gathered information analysed in terms of the strengths, weaknesses, opportunities, and threats which distinguish the hypothetical appraisal system. This is the SWOT analysis. This analysis makes sense, too, when looked at as if it is a review of an human activity system in which the teachers are the "clients" or "victims" (Checkland 1981), as well as being actors in the appraisal system. The findings derived from the principal-component analysis described in the previous section are taken further into account below.

The approach outlined in the two previous paragraphs in addition to that adopted in the previous subsection supersedes what was in mind when the questionnaire was constructed. Then it was solely intended to assess data in relation to the basic considerations identified in Tables 4.10 and 4.11 (above pp. 183-184). As was the case in the principal-component analysis, so also with using the SWOT technique a stronger analytical framework is produced. Within the stronger framework, furthermore, the basic considerations are readily found a place, so they can still be given attention. Consequently, the belief is that an understanding of the teachers' perspectives regarding teacher appraisal is also better achieved in this case through SWOT rather than through an application of the methodology which was initially formulated.

5.3.2 Orientation

Preparatory to commencing SWOT, there was a stage of orientation when an assumption had to be made about the purpose of this appraisal system theoretically under consideration. There had to be "corporate objectives" (McDonald 1984). These objectives are interpreted here as

meaning that the system has to be so made that it recognizes the distinctiveness of the characteristics of the jobs of teachers. In this light, the starting point took the system's nature and purpose as subsumed within the precepts of "systematic process" and of "professional development" as described in the ACAS report (ACAS 1986) and acted upon in the follow-up pilot projects which are studied in chapter 1. In consequence, the initial criteria relied upon in making the SWOT analysis are taken from this ACAS report and influenced by the later report from NSG (1989). What then was first in mind was a teacher appraisal system designed to promote professional development activity likely to lead to professional growth. The characteristics of the criteria are discussed in chapter 3 where it is made clear that the ACAS precepts are open to different interpretations. In the event, there is a distinctiveness about the teachers' interpretation which is developed in this section of this chapter. The teachers' interpretation of teacher appraisal as a whole, and not just the ACAS precepts, is thus described, and then compared with the proposals of NSG, and of HMI acting as the spokespersons of government.

The value of the SWOT analysis is assumed essentially to depend on its relevance to the functions respectively of the appraisee, the appraiser, and management at the levels of the school and LEA or "appraising body" (S.I.1991/1511). In other words, the intention is to ensure that the roles of the principal actors in this human activity system are embraced by the outcomes of SWOT. At the conclusion of this chapter, fresh assumptions are presented, and when the proposals of the two central agencies mentioned at the end of the previous paragraph are considered, the approach is designed so that it takes into account strategic questions of implementation affecting the roles of the principal actors. The information sources are mainly found in the data which is presented in Appendices 5.1, 5.2, 5.3, 5.4, and 5.5. The subject headings of the sectors concerned are the following ones:

A   The perceptions teachers have of teacher appraisal
B   The expectations teachers have concerning the outcomes of teacher appraisal

C   The experience and knowledge teachers have of goal setting

D   The requirements of teachers concerning appraisers

In the appendices, the frequencies of the teachers' responses are classified in terms of the level of post held, and in accord with the five point scale, following the categories of values explained in chapter 4.

5.4 THE SWOT COMPONENTS

5.4.1 Overview

The methodology adopted in making the SWOT analysis relies upon an assumed understanding of the particular interpretation of teacher appraisal expressed by the teachers through their responses to questionnaire items. Given this understanding, the building up of the four components of SWOT is made possible. Then, in line with the resulting configuration of the components, it is further possible to discern the patterns in the teachers' beliefs about teacher appraisal. For example, as almost all the responses from the teachers (99.2%) affirmed that teacher appraisal should include opportunity for appraisee and appraiser to engage in a two way exchange of views, the responses concerned are interpreted as affirming that if a system provided for this quality of interaction, or sharing dialogue, between the appraisee and appraiser, it would amount to a strength in the eyes of the teachers.

Where the responses are significantly differentiated according to the level of the post held by the respondent, this situation is most frequently understood as comprising a threat which is to say, for example, there is a potentiality for conflict amongst participants, or there is a likelihood of unsatisfactory relationships. What is threatening is the danger of a reduction in the effectiveness of the system. In these cases, the construct in the questionnaire which is focused upon need not be a crucial one affecting the management of the system (see Table 4.11 above p. 184) and the threat may only be latent rather than inevitable. The significant differentiation of the responses is not invariably taken to betoken the promise of conflict, but may sometimes alternatively be understood to constitute a weakness. This is

justified if the construct in question embodies a consideration of importance in relation to professional development activity or other element in teacher appraisal ranked highly by ACAS or NSG. For example, on the matter of gains from appraisal depending on training most classroom teachers strongly agreed (77%), but significantly less frequently (P = 0.01) than other teachers. Over 90% of prospective appraisers agreed strongly on this matter, creating a situation suggesting that a system which does not rely on trained participants will be perceived as flawed by almost all teachers. The differences of perception expressed by a sizeable minority of teachers, while noteworthy and statistically significant, are taken in this case not to be threatening. Instead, what is understood is that this is where a potential weakness may lie if participants in teacher appraisal lack adequate training. This basic consideration (see above p. 179 Table 4.9 section D) is one especially applying to those appraisers who depend upon training to gain or maintain "credibility", an attribute which is noted in previous chapters as important to an appraiser's key role in securing effective teacher appraisal and, in this, as dependent on the expertise possessed. Therefore, this potential weakness may have crucial impact.

An opportunity is seen where a major change in current practice is implied, but is optional in some sense or degree, although it concerns a key part of the appraisal process, for example, classroom observation. Most teachers (91.8%) regarded classroom observation as an essential part of teacher appraisal, although, as is recorded in chapter 6, their experience was limited, differentiated in favour of senior people, and shared overall by only a minority. Thus, assuming it to be a valuable experience, there is an opportunity seen with regard to classroom observation to increase its incidence. The strong latent interest offers an opportunity not simply to develop classroom observation for its own sake as a technique, but also to take advantage of the scope it affords for increasing self-awareness, mobilising expertise and reducing teacher isolation. All these latter possibilities are understood here as having the potential to

improve teaching and learning.

Resulting from SWOT, the revealed patterns of beliefs and the interpretations derived therefrom produce one of the two main dimensions of the teachers' vision of a teacher appraisal system. This is the dimension which determines the shape of the organizational structure of their system. The second dimension concerns the criteria for adjudging a system's effectiveness and it is introduced as a matter of its context in relation to each component. The following subsections provide detailed analyses of the responses which the teachers made to the items included in the four sectors of the questionnaire referred to in the previous section. These analyses classify the responses in terms of each of the four SWOT components separately.

5.4.2 Strengths

First, the component of strength is considered. By "strength" is meant here that the teacher appraisal system has a robust capacity to achieve its educational goals, effectively, efficiently and economically, by not wasting the time of the particiants or the finance of the organization concerned: school, LEA, or government. Part of this component of strength may, of course, in practice come from a "management contract" associated with consultative decision taking, such as various authorities have described (Everard and Morris 1985 p 46ff, Lee and Lawrence 1985). This is however not the part which is the immediate concern.

The part of the component of strength examined here consists of elements of the system's operations and of the attributes of participants. The focus is on where the gains are likely to be made. Thus, what has been highlighted by the teachers is that part of the strength of an appraisal system which comes from the commitment to it of the participants, who find it responds to their practical needs in their jobs. The potential sources of such commitment were quite precisely indicated by the teachers in the patterns of their responses which showed clearly what mattered most to them. There is a concern here then with the teachers' own values which underpin

the strength of their alternative system of teacher appraisal.

There was a consistent stress in these response both on a particular work style, namely, collegiality which, as is noted in chapter 3, is gaining contextual relevance in the light of contemporary events, and on pupil outcomes, that is to say, on where the results of the teacher's job are expected or the matter of impact. The latter is a matter which arises strongly in chapter 2 in connection with the well-established systems of teacher appraisal which are discussed there.

Judging from their responses to the questionnaire items which are under consideration here, most teachers were not seeing appraisal as a system which reinforced their conventional isolation from one another, rather the contrary. This is an important finding since the persistence of such isolation is referred to by many writers (Rosenholtz and Kyle 1984, Stillman and Maychell 1984, Derricott 1985, McMahon 1987). This phenomenon of teacher isolation perhaps arises from the conventional procedures and processes which tend to surround teachers, rather than from their inherent disposition to rate isolation or privacy as necessary to them as professionals. Indeed, judging from the data gathered during this research, for most teachers the component of strength in a teacher appraisal system is made up of activities which directly imply the breaking down of barriers which create teacher isolation.

Most teachers, often nearly all, envisaged teacher appraisal as a means of resourcing themselves, but not just as individuals, rather as professionals working together. This aspect of teacher appraisal as a commitment involving team activity was not addressed by the policy makers in government and the central agencies. Gaining ideas relevant to their own situation is probably what teachers anticipate to have most value as the outcome of teacher appraisal. Almost all teachers (93%) expected appraisal to help them with their thinking about the effectiveness of their own teaching (item B5). Nearly as many (91%) expected their own training needs to be identified better as a result of appraisal (item B2). Most probably, priority in this thinking related to goals

chosen by or for teachers for their own classes or for individual pupils whom they themselves taught. The fields of goal setting where teachers were most experienced related to these latter concerns (see Appendix 5.3 items C9 and C8). Linked to these positions was the requirement the teachers most frequently (94%) had of appraisers. This was the capability of sharing ideas with the appraisee about improvement in teaching and learning in the appraisee's classes (see Appendix 5.6 item D6). This requirement was in line with the high frequency (85%) of agreement amongst the teachers that matters considered in appraisal should be agreed as relevant to the learning of pupils (see Appendix 5.4 item D6). For the great majority of the teachers, as the findings described above (and below) show, the strength of a system of teacher appraisal was perceived as commensurate with the precision of its educational rather than its management or organizational focus. The sharpness of this focus preferred by the teachers can be taken as the sign of an important part of an appraisal system's strength from their point of view.

As was logical in the appraisal system envisioned by the teachers, another part of the component of strength was openness to constructive suggestions. Almost all the teachers (98%) recognized such openness as necessary in teacher appraisal to make it powerful as an instrument for helping them to become more effective (see Appendix 5.1 item A7). This position of the teachers again indicates that they were seeing appraisal as part of a collective enterprise bringing colleagues together to solve problems, or develop innovations, which, having regard to the factors influencing teacher requirements of appraisers (see above p. 197), it can reasonably be presumed, were intended to progress activity leading to higher attainment by pupils.

Amongst teachers, this outcome might be recognizable as an improved consistency in their collective view of their teaching and learning styles. If so, the dependence of improvement in teaching and learning on the exercise of discretion by teachers acting in isolation from one another would be lessened and pedagogical synergy gained. Thus this

approach to teacher appraisal has further importance because it takes teachers away from the behaviour which has been associated with the "implementation gap" found in other areas of school improvement and which has been troubling to many authorities as Becher has remarked (Becher 1989 p. 54).

The position thus described has implications for school leadership, as a stimulus to adopt participative management methods affecting the building of school policies concerning teaching and learning styles and their applications in given situations, in pursuit of educational aims or goals. At this point, judging by the data produced in this empirical study, attention can be usefully directed again at the concept of the "management contract" referred to at the beginning of this subsection (p. 204). Employing the teachers' perspective, doing so then seems likely to show in their eyes the relevance of this contract to the planning stages for implementing and institutionalising teacher appraisal.

Highly placed, next to its value as a help to their thinking on the effectiveness of their teaching, was the value the teachers expected appraisal to have in achieving the better identification of their training needs, compared with other means. This latter benefit which almost all the teachers (91%) expected from appraisal, of a better identification of their training needs, was closely associated with their very frequently expressed (83%) high expectations in the field of promotion of their professional development (see Appendix 5.2 item B1), as was logically to be anticipated. Heads and deputy heads jointly were however significantly (P = 0.01) more frequently (97%) sure in this expectation than all the other teachers (75%) which situation might be reflecting respective assessments of current in-service provision and a possible bias. For some years, in-service training had been geared towards the responsibility of management as the priority, rather than towards improvement in pedagogical practice or interpersonal relations in classrooms, for example, and a gearing directly helpful to classroom teachers was not as evident. This was so in Northamptonshire, but only as a reflection of a national trend, it is fair to say.

There is another strength in the model of appraisal which the teachers appear to define in this empirical study. The model involves a research led approach to school-focused in-service training in the last mentioned fields, bringing in knowledge and theory on such topics as classroom ethnography, transition and continuity concerns (Galton and Delamont 1986, Derricott 1986, Measor and Woods 1984 and others), and, no doubt, assessment and examination performance (Gray 1982). This finding is consistent with the outcomes of teacher appraisal in the areas of numerous school boards in USA and Canada, and can have the effect of making teachers much more comfortable about the applications of research in their own situations. Operating in this way, teacher appraisal potentially has great strength as a medium of continuing professional education, in the fostering of action learning, within and outside the classroom.

The teachers expected that to ensure the strength of the role of a teacher appraisal system in the in-service field, there would be recognition of the necessity for professional development to be well directed, implying various steps by management would be obligatory. These are given the fuller attention required in the final chapter. At this point, a summary approach is sufficient. It is relevant to mention the importance that heads (83%) attached to the capability of appraisers to differentiate the reasons for any successes or failures as the responsibility of the appraisee or that of another person. If an accountability model of teacher appraisal were adopted, such differentiation might need to be more sensitive than in the open, sharing, non-hierarchical culture suggested by the teachers. In any case, this capability for differentiation could matter particularly to teachers who were preoccupied, for whatever reason, with the limitations of their resources, whether their own personal human resources in the way of updated knowledge or acquired new skills to implement a new syllabus, or the non-personnel resources at their disposal, and feeling insecure accordingly. Within an environment where major tasks are being undertaken affecting all teachers, for instance, the legal commitment to build the national curriculum in every school, the appraiser

seems likely to be expected to have a particular strength in this field. Furthermore, in the ordinary course, as at different stages in a teacher's career, preoccupations appear to change (Duke 1987), acumen at differentiation of this kind possessed by an appraiser looks like a potential source of strength in a teacher appraisal system at any time, besides being a strength in the field of conflict management.

Table 5.1 provides a summary describing the main parts of the component of strength in the teacher appraisal system envisioned by the teachers.

Table 5.1	THE COMPONENT OF STRENGTH IN TEACHER APPRAISAL: THE VIEW OF THE TEACHERS	
Item	Teacher Perception	Agreeing
A14	Appraisal should include opportunity for appraisee and appraiser to engage in a two way exchange of views	99.2%
A7	Unless teachers are open to constructive suggestions appraisal will not make them more effective	97.8%
A10	Matters considered in appraisal should be agreed as relevant to the learning of pupils	84.5%
	Teacher Expectation	
B5	Will help me in my thinking about the effectiveness of my teaching	92.9%
B2	Will lead to better identification of my training needs	90.8%
B1	Will promote my professional development	82.5%
	Teacher Requirement of an Appraiser	
D6	Capable of sharing ideas with me about improvement in teaching and learning in my classroom	93.5%
D4	Trustworthy	92.3%
D10	Credibility as a source of feedback	86.7%
	Goal setting: most frequent experience	
C9	Goal setting for my classes	*
C8	Goal setting for individual pupils	*
C3	Goal setting for myself as part of structured self-evaluation	*
	* not applicable	

The remaining source of strength to mention concerns the assembly of attributes which appraisers and appraisees would

be expected to possess. It is instructive to compare the teachers' model of the appraiser with those of government, HMI, and NSG. Figures 5.1, 5.2 and 5.3 (see pp. 240-2) facilitate this comparison. The teacher's model of an appraisee is considered in chapter 7 (p. 339). At this point, notably, the appraisee's strength is seen especially to depend upon assumptions about sharing ideas, commitment to belief in the feasibility of professional growth, openness to suggestions concerning change, and valuing classroom observation.

5.4.3 Weaknesses

The potential weaknesses of an appraisal system, seen from the viewpoint of the teachers, were in some instances the other side of the coin of their perceptions about the key elements making for strength in an appraisal system, in that their expectations did not match up. In other words, when teachers were relatively pessimistic in outlook about whether appraisal at its full value, in their estimation, would be realized in practice, this is regarded as signifying possible sources of weakness in a system of teacher appraisal. Essentially, the weaknesses which the teachers identified were to do with lack of preparedness, either of themselves or management. For example, in order to ensure that they made worthwhile gains from appraisal, there were few teachers, under 15%, (Appendix 5.1 and Graph 5.1, item A8 above p. 194) who did not perceive as important the provision of training for all participants who were seen to have the need for it. Of the prospective appraisers, who are shown in chapter 1 to be defined in the policy documentation issued by the central agencies as the teachers who hold senior posts, over 90% very firmly rated training as an important condition of effectiveness. This assessment can reasonably be taken to imply, obversely, that weakness in a system of teacher appraisal was perceived on their part, if they were not given training. In this conclusion, they anticipated the opinion of HMI (HMI 1989 para. 99). The reason for regarding this perception as indicative of a potential weakness is that sufficient training for all participants remained in 1991 formally unacknowledged as a basic necessity in government policy for setting up the

mandatory system of teacher appraisal (DES Circular 12/91).
Of significance also was the finding that there were
majorities only of the heads and deputy heads amongst all the
teachers who matched their perceptions of appraisal as a
sharing activity with an expectation (heads 71%, deputy heads
70%) that it would in practice succeed in promoting closer
working together on the part of teachers (Appendix 5.1 item
A14 and Appendix 5.2 item B12). The position was similar
concerning whether appraisal might secure that the
achievements of persons appraised would be more widely
appreciated, as again there were majorities only of heads and
deputy heads in agreement with the proposition that it would
(Appendix 5.2 item B9).

There was what seems a surprisingly low frequency (52%) in the
expectations of the classroom teachers that their teaching
would improve as an outcome of teacher appraisal. Matching
this was a similar bare majority (51%) of the same teachers
who expected that their lesson planning would improve as a
result of appraisal. Yet 88% expected that teacher appraisal
would help them in their thinking about the effectiveness of
their teaching (Appendix 5.2 item B5). If inconsistency is a
weakness, then there appears to be a weakness here, as while
most classroom teachers (88%) were purporting to believe that
they would be so helped, yet nearly half (48%) evidently
believed this was possible without improvement in their
teaching (Appendix 5.2 item B7), but this outcome would seem
unlikely. It may be that the point revealed is a lack of
confidence in the government system as understood at the time.
Any system of teacher appraisal that resulted in this
confusion of expectations would be a weak one because
participants would be uncertain over their commitment. Graph
5.2 (above p. 195) illustrates the unevenness of the teachers'
expectations.

A large majority of all the teachers (79%) perceived that if
teachers in a school all share a "vision" of what constitutes
for them effective teaching strategies this will benefit the
appraisal process in the school. On the other hand, it can be
inferred from the responses previously considered that a

shared vision of teaching effectiveness ought not to be taken for granted. As suggested in chapter 1 (p. 52), effectiveness is often situational in character, and not simply the upshot of the acquisition of competencies because these latter depend on sophisticated discretion in their use for successful application. This is another aspect of the importance of having an appropriately professional model of the job of a teacher to rely upon in teacher appraisal, as argued in chapters 2 and 3.

There were two areas of weakness identified by the teachers which were linked to activities of importance in the appraisal cycle. One, which could be seen as the central concern and deriving from a lack of shared values, at the level of mangement, was the matter of providing adequate preparation for participants in the skills required. Most teachers (87%) perceived that to make worthwhile gains participants in appraisal need to be trained. A major training need was seen in relation to two key stages of the appraisal cycle, goal setting and classroom observation, the teachers typically being inexperienced in many fields within these sectors as the data compiled in Appendix 5.3 shows. Graph 5.3 (above p. 197) illustrates this position very clearly. The second area was found at the levels of the school and the individual appraisees and appraisers, as there was a lack of experience of working together, or collegially. The importance of such working has been demonstrated in chapters 2 and 3. Moreover, it was a strength of the teachers' conception of appraisal that they acknowledged this requirement as part of the work style it is necessary to adopt if an effective appraisal system is to be established (see Table 5.1 above p.199, for example, and the references in this table to questionnaire items A14, A7, and D6).

In relation to the requirements teachers had of appraisers, there were weaknesses to be seen in three important fields. Skills concerned with the clarification and agreeing of standards were required of appraisers by four out of five of the teachers (see Appendix 5.4 items D7 and D8). The educational literature indicates the existence of a lack of

expertise and indeed, hitherto, lack of expectation of these functions being exercised with regard to teaching and learning by senior staff in schools. Until recently, "standards" have not been a topic of serious or precise study at the level of expectations in the classrooms, especially for individual pupils. The approach has been global, relying on statistical surveys, for example, of the examination results of school leavers, or on reading and other tests of the attainments of pupils of primary school age, and on looking at the performance of schools as a whole. The position is well described in Moon et al (1990) The advent of the national curriculum (ERA 1988) and its "key stages", and "statements and levels of attainment" appear to have caused a change. The concern of the teachers towards the items in the questionnaire on clarifying and agreeing standards which would have relevance to the appraisee's situation might have anticipated the national curriculum approach. Until these skills relating to standards are in place and exercised, it can be argued that there is a probability of weakness in the operation of an appraisal system aimed to achieve professional growth in teachers. The subject of standards is a difficult one. It is met again in chapter 8.

The final areas of weakness requiring mention in this analysis concern the lack of importance attached to educational research and to theories of learning by large minorities of teachers at all levels of seniority. Overall, there was a bare majority of 51% in agreement with the importance of the former, only 50% for the latter (see Appendix 5.4 items D11 and D12). The position is one of weakness when considered in the light of experience in the developed appraisal systems in Canada and USA referred to in chapter 2.

On the next page, Table 5.2 provides a summary of the points which are suggested by the teachers' responses to the questionnaire in this section as marking weaknesses in a system of teacher appraisal.

Table 5.2	TEACHER APPRAISAL: POTENTIAL WEAKNESSES
Source	Teacher Perception
A8	Adequate training given to too few participants
A11	Too many participants do not have a shared "vision" of effective teaching strategies in their school
	Teacher Expectation of Outcomes
B12	Arrangements which do not promote closer working together of teachers
B6	Failure to improve lesson planning of too large a proportion of teachers
B7	Failure to improve teaching of a too large a proportion of teachers
	Experience of Goal Setting
C2	Lack of experience of goal setting with senior colleagues
C3	Inexperience of goal setting for oneself as part of structured self-evaluation
C10	Lack of experience of goal setting as a team exercise affecting the school as a whole or a large part of it
	Teacher Requirement of an Appraiser
D7	Capability of being clear about standards relevant to appraisee not possessed
D8	Capability of agreeing standards with appraisee not possessed
D3	Extensive knowledge of the curriculum of appraisee's school required but lacking
D18	Expertise in assessment of pupils' work required but not possessed
D1	Unfamiliarity with appraisee's classroom or/and with what appraisee teaches
D12	Uninformed about research on effective teaching
D11	Not versed in theories of learning

5.4.4 Opportunities

The opportunities which were brought to light in this analysis focused on the potential benefits of appraisal as an instrument of school improvement, or more specifically improvement in teaching and learning. This construction of the responses under consideration can be made on one or other of two grounds. First, where a relevant field emerges as one where teachers have limited experience, this is a ground which is taken to provide scope for a noticeable change to be

promoted relatively quickly once the initiative on teacher appraisal has been taken. Second, where lack of agreement emerges on the importance of a field which elsewhere, for example, in the pilot projects, is acknowledged to be an essential part of appraisal, this is a ground where it is considered there is an opportunity to establish a priority. In this latter case, the view which is formed takes the introduction of teacher appraisal as an opportunity to test theory and practical techniques which research suggests are appropriate for use in the management of change. This approach also presents the further opportunity to locate teacher appraisal in a wider school management context which in the light of the discussion in chapters 2 and 3 is considered advantageous.

Following the SWOT technique, opportunities are typically derived from models of exemplary experience or empirical research built from sources located externally to the institution where they come to be adopted. Stimulus to action may thus result from the impact of combinations of many grounds and circumstances. For example, classroom observation was perceived by a majority overall of 92% of the teachers as essential in teacher appraisal (Appendix 5.1 item A9) but they must have relied on sources of information originating mainly from outside their schools. In terms of experience, teachers were not used to classroom observation, only minorities of teachers generally being at all familiar with its various forms and facets, as is noted in more detail in chapter 6.

As noted above in chapter 1, participation in classroom observation was found beneficial by virtually all the teachers in the pilot projects, and the literature suggests this is a field of oppportunity for professional development activity, (Montgomery 1984, Hopkins 1985). The agreement of almost all the teachers about the essential place of classroom observation in teacher appraisal suggests therefore that there is here a potentially strong commitment to be engaged from the teachers. This is a field where teachers are likely to have a common starting point and there is an abundance of expertise to consult. As the expectation of improvement in pupil

attainment as a result of appraisal was shared by a relatively modest overall majority (58%) of the teachers and by a minority (46%) of classroom teachers (see Appendix 5.2 item B8), in the light of the literature, it is reasonable to suggest beginning classroom observation with a powerful focus, for example, on the interaction between teacher and pupil. To do so would present a further related opportunity to bring about a significant change in learning conditions. The quality of this interaction has been suggested to be of key importance as a influence on the pupils' motivation to learn (Galton and Willcocks 1982 p. 175).

There is an opportunity to increase the use of classroom records as indicators of professional growth. Probably the majority of classroom teachers did not expect them to be examined by the appraiser, although the holders of more senior posts did (Appendix 5.1 item A13). This situation no doubt reflects the localised nature of classroom records and a need for change such as the procedures being put in place with the national curriculum are tending also to generate. Capable of being linked with the situation observed concerning classroom records is the opportunity created through the perception of goal setting as a proper part of the cycle of appraisal by large majorities of the teachers in all categories (Appendix 5.1 item A12), despite significant disparity (P = <0.01) in the sizes of these majorities (range 73% to 93%). The opportunity arises because the evident lack of experience of goal setting amongst teachers (see Appendix 5.3) means this is an area for future development and a suitable choice of focus which can be stimulating and thereby accommodate just such an area as this where learning experiences are desirable.

While large majorities of the most senior postholders (heads 91%, deputy heads 78%) expected appraisal to lead them to greater job satisfaction, significantly (P = <0.01) many fewer of their juniors (heads of department 58%, classroom teachers 42%) were so sure (see Appendix 5.2 item B3). Here is an opportunity for managers of teacher appraisal systems. The implication is that these managers need to explore the ways of increasing the job satisfaction of teachers, bearing in mind

while doing so that in the business world creating job satisfaction, or rather job enrichment, is generally recognised as a standard function of management (Armstrong 1990). In education, experience suggests that taking job satisfaction as a matter for direct action amounts to contemplating innovation. Conventionally, it seems, teaching is regarded as a job inherently yielding satisfaction to its practioners for whom, in consequence, no overt action to promote such satisfaction is deemed necessary.

In the literature, goal setting is typically regarded as a highly motivating activity (Livingstone 1975, Deci 1975, Duke 1987, Armstrong 1990). So the opportunity is arguably present in a teacher appraisal system of the kind being analysed to associate job satisfaction with goals in the context of classroom observation and pupil attainment. A finding from the principal-component analysis is that these latter elements loaded on to a common factor (see above p. 193). Room can therefore be found to plan the frequencies of observation, and the roles of different members of staff, as peers and as superiors, as well as in the expected role of appraisee, as a subordinate, in a concerted way to secure direction and motivating power from goals. There were teachers in the sample with experience in all these roles in the context of classroom observation. The context at school level appeared then as supportive for endeavours of the kind discussed in this paragraph.

In several fields of management, opportunities were outlined by responses made by the teachers. For example, only minorities of the classroom teachers (24%) and heads of department (39%) had the expectation that their understanding of the management of a school would increase compared with majorities of deputies (56%) and, more particularly, the heads (72%) (Appendix 5.2 and, above p. 195, Graph 5.2 item B13), but clearly an intention of the policy makers is that this should be a gain for all teachers.

From the appraisee's viewpoint there is scope to increase understanding of the management of the school, through the use

of goal setting on a matrix basis. For example, one means would be goal setting to develop understanding of the concerns of the whole school, currently not a field where there is a great deal of experience (see Appendix 5.4 item D10) and an interesting matrix to use for this purpose is offered in Goulding et al (1984). This matrix also bears upon and has

Table 5.3	TEACHER APPRAISAL: KEY OPPORTUNITIES
Source	Teacher Perception
A6	Provision of help for teachers to grow professionally
A9	Institutionalization of classroom observation
A12	Extension of the technique of goal setting
A13	Increased sharing of classroom records
	Teacher Expectation
B3	Making arrangements to increase job satisfaction
B4	Improvement in classroom environment
B8	Increased scope for a unified approach to management through focusing on pupil attainment to make a case for change
B9	Greater scope introduced to show practical appreciation of teachers' achievements
B13	Greater scope to increase the understanding staff have of the management of the school
	Experience of Goal setting
C1	Introduction to teachers of goal setting with whole school implications
C12	Scope to develop goal setting in collaboration with a peer
C5	Scope to develop goal setting as an annual event
C6	Scope to develop goal setting to cover other periods of time
C11	Introduction of collaborative goal setting with a superior
	Teacher Requirements of an Appraiser
D2	Acquiring and maintaining familiarity with a wide range of teaching situations
D19	Training in classroom observation
D16	Acceptance of share in responsibility for follow-up to an appraisal
D14	Recognition that innovation implies risk taking
D13	Acceptance of the need for experimentation

the capacity to link in with the requirement for trustworthiness in appraisers which almost all teachers

affirmed (see above p. 204). Trustworthiness or, more particularly, reliability (see above p. 197) has relevance to issues arising from the importance attached to the credibility of the appraiser as a source of feedback. Noteworthily in this connection, apart from heads themselves only minorities of teachers in their several categories (deputies 44%, heads of department 37%, classroom teachers 43%) expected heads to spend more time in their classrooms (see Appendix 5.2 item B10). Having regard to potential weaknesses in a system of teacher appraisal arising from concerns over the qualifications of appraisers (see Table 5.2 above p. 214) this situation presents many opportunities. First, there is the pursuit of the important requirement of the appraiser to acquire familiarity with what the appraisee teaches and with a wide range of teaching situations. Equally as important for most, possibly more so for some teachers, was the concern of standards and clarifying and agreeing them. These are fields where experience is currently limited in education, but likely soon to increase as the national curriculum is put in place.

Table 5.3 (above p. 218) provides a summary of the key opportunities in a system of teacher appraisal developed on the lines of the teachers' model suggested in this chapter.

5.4.5 Threats

Perhaps the most serious threat to effective implementation of teacher appraisal seen as latent in the responses teachers made to the questionnaire was the perception they expressed of potential dominance by the appraiser over the system. This was expressed in two ways. One was that a large overall majority of the teachers (76%) perceived the results of appraisal as reflecting the judgement and expertise of the appraiser (Appendix 5.1 item A4). The other was that only about half of the least senior teachers (classroom teachers 52%, heads of department 57%) perceived these results as reflecting the judgement and expertise of the appraisee (Appendix 5.1 item A3). This situation suggests that the opportunity for a two way exchange of views between appraisee and appraiser, which almost all the teachers (99%) considered should be included in appraisal, may frequently turn out as

mainly a one way exchange. This interpretation of the data is supported by the much higher overall frequency of agreement (90%) that appraisal is a highly personal undertaking for the appraisee (Appendix 5.1 item A1) than was given for the similar perception (Appendix 5.1 item A2) in relation to the appraiser (58%) suggesting the those latter who are superordinates may be insufficiently sensitized to the appraisee's position in some schools.

The comparison of the responses concerning the influence and the role of both the appraisee and appraiser suggests also that the self-concept of the appraisee may be vulnerable to damage in possibly nearly half of all appraisals. The self-concept of the Head may be vulnerable when the Head is acting in the position of an appraiser. Unlike teachers generally, almost all Heads (85%) saw appraisers fulfilling a higly personal undertaking, and it is reasonable to presume that this was because they were envisaging themselves in the appraiser role, knowing that they might often be out of their depth in the fields of expertise concerned, but would have to make judgements all the same, on sensitive issues. These situations call for the exercise of various management skills, and especially those of effective listening, which has recently been investigated by Murphy (1990), and interviewing which also has been investigated in the context of appraisal by Hewton (1988). In relation to dominance during an interview, there is a considerable literature to which reference can usefully be made, as although concerning selection procedures, it shows pitfalls to avoid, and the threat to effective action which arises when an interviewer behaves with insufficient self-awareness during an interview.

The concept or model of an "interview" which is in the mind of a manager of a system of teacher appraisal is probably important. The point is made as the models of interviews, with which teachers can as a rule be assumed to be familiar are mostly those associated with selection, grievance or discipline, in all of which interviewers are to various degrees adversarial in their approach. The interviewers in these models generally aim to reach a decision within defined

limits, seeking evidence to establish a case or choice. There is no presumption of equality between the interviewer and interviewee (who in two of the models may even exercise a right to be accompanied by a friend implying the interviewee's vulnerability if alone). These are not models possessing compatibility with an interview situation characterised by the two way exchange of professional views as adumbrated by the teachers.

Hewton (1988) is not alone in presenting the appraisal interview as an interrogation, and one where the agenda is under the control of the appraiser (Hewton 1988 p. 53). He adopts the HMI model where the aim is for the appraiser to make judgements about the quality of the appraisee's job performance as a teacher. Hewton talks about collecting "evidence" (Hewton pp. 33 and 75). Using the term "evidence" in connection with teacher appraisal is an action likely to bring back to mind the initial style of presentation by ministers, for example:

> *So how is it all going to work? Recalling once again Keith's (Sir Keith Joseph's) speech at the Industrial Society, he pinpointed how he saw it being conducted with three closely related processes. First you agree what is expected of a teacher, then you collect the evidence on his or her performance; and finally you make judgements and act upon the evidence.*

(Rumbold 1986)

Judging from many conversations with teachers at all levels of seniority, it appeared as their conclusion as a rule that an inappropriate industrial model was in the ministerial mind for use in setting up teacher appraisal in schools. Unsurprisingly, therefore, such a model as seemed to be in Mrs Rumbold's mind, concerned with the collection of "evidence", provoked a formal, mostly hostile, reaction from representatives of teachers through the channels of their associations, and Rumbold's analysis was seen as confusing matters and threatening tenure. Of this situation, a spokesman on behalf of the National Association of Headteachers has stated:

> *In particular we were extremely concerned about any proposition which used appraisal for dismissal purposes.*

(Hart 1986)

His implication was that such a proposition would be

wholeheartedly opposed. Hart's viewpoint on this matter was shared by all the Teacher Associations. What no doubt is sought by the Teacher Associations is a system of appraisal in schools that is supportive of teachers.

The use of the word "evidence" imports an adversarial character into teacher appraisal. "Evidence" as a term used in this context needs to be defined, and strict procedures for handling this "evidence" are necessary, including provision for appeals. Experience in North America shows that the appraisal process in this context inevitably becomes very formal and probably inflexible (Stiggins 1986). Such a process lacks compatibility with an opportunity for the two way exchange of views perceived by 99% of the teachers in the sample to be part of appraisal, as discussed above.

Evidence may be expected to be biased, selective, only part of the story, since its collection normally is initiated in order to prove a case, rather than to establish truth, for the sake of reflection! How does an appraisee behave if the purpose of an appraisal event is to collect "evidence"? Wariness is likely to be instinctive, and this means inhibition and thus, inevitably, loss of that openness to constructive suggestions which is a part of the component of strength mentioned above (subsection 5.2.3). It is noteworthy here that the ACAS agreement provided for appeals (ACAS Section 6 (v)).

In the scenario, which is, so to speak, "evidence-led", the reasonable assumption is that agreement may be given by the appraiser and the appraisee (the "parties"!), but that it will given reluctantly and not wholeheartedly, or perhaps indifferently. This is a bureaucratic model and lack of commitment tends to lead to detachment from what is imposed, or mishandling by the parties, as industrial experience has shown (Molander 1986, p 23; author's own findings in discussion with industrial managers; Institute of Personnel Management passim). The industrial experience suggests that there is a double bind: if the "verdict" finds the presence of excellence there is a strong probability of the appraisee being torn between scepticism and satisfaction; if

shortcomings are found there is in the adversarial situation a strong risk of demotivation or infuriation of the appraisee.

"Data" is a better word to use than "evidence" for the material that is being collected during an appraisal. It implies raw material, unjudged and still to be worked with. It is for this reason that 'data' is the term preferred by all the teacher associations in Ontario, and is the term typically used in teacher appraisal systems throughout North America. There it has been found that a quest for objectivity, difficult although its attainment may be, is necessary. The reasonable belief in this country, also, is that the language and terminology used with teacher appraisal are bound to have a critical influence, in counting as a contributory factor to the success of management in any effort made towards gaining acceptance of given arrangements as possessing objectivity. The importance of language was, indeed, picked up by the evaluators of the six pilot projects (Interim Report 1988). The evaluators use the term "data". This term (and others adopted in teacher appraisal) are usefully put in glossaries (Newcastle 1988). Nevertheless, HMI were persisting with the use of "evidence" as a term in their 1989 survey of Developments in the Appraisal of Teachers (HMI 1989 p 14), and thus were offering an ambiguous message, seemingly oblivious to its impact as a threat to a successful implementation of teacher appraisal, nationwide.

A further potential threat, but one comparatively limited in scale, might be seen concerning certain aspects of the head's role, and the capacity of heads to work efficiently on the tasks being assigned to them by government. A majority of heads (69%) expected appraisal to cause them extra work (Appendix 5.2 item B15). This was in contrast to the expectations of classroom teachers and heads of department, and a little over third of the number, in each case, expected to be caused extra work (Appendix 5.2 item B15). A change of emphasis was expected by the heads in their work, about two thirds (63%) again expecting that appraisal would cause them to spend more time in classrooms. Thus there were workload implications that heads foresaw but which were not seen to

arise for most teachers. Judging from the very low frequency (23%) of the expectation amongst classroom teachers and a fairly low frequency (39%) amongst heads of department that their understanding of the management of a school would increase (Appendix 5.2 item B15) referred to in the previous subsection, significantly (P = <0.01) heads might not be able to look forward to the presence of a sense of sympathy with their predicament as a matter of course, amongst most of their colleagues. The threat then emerges as a concern both of team building and communication, fields of attention central to the management context and which have been perceived by the researcher as often areas of great weakness. In other words, the threat under consideration is one of exposure of weakness in the organisational context. The potential frailty of current school organizational structures for supporting teacher appraisal is also spotlighted in chapter 3 and is anticipated in chapter 2.

Other potential threats which emerge are associated with the requirements the teachers had of appraisers, and particularly relate to questions to do with the latter's credibility. With regard to this, there are two points that were prominent. Three quarters of the classroom teachers (77%) stressed the importance of training in classroom observation as a requirement for appraisers (Appendix 5.4 item D19). Heads (90%) and heads of department (93%) were very firm about this. As just as important as this training, a large majority of classroom teachers (79%) indicated the capacity of the appraiser to demonstrate or model needed improvements or alternative approaches (Appendix 5.4 item D9). If training is lacking, if the capacity to model improvements is insufficient, the threat to the effective working of the system is potentially it seems a major one. It may be seen in persistent conflicts of professional judgement, leading to authoritarianism, to decline in morale, and to loss of collegiality in staff relationships. The bleak position may be aggravated if the appraiser does not have a personally non-adversarial working relationship with the appraisee. Such a relationship was accounted important by 84% of the teachers overall. Flexibility was seen as an important requirement by

76% of the teachers, as if to underline the need always to keep the factor of process in mind, in these fields under discussion, because of their sensitivity as causes of conflict.

Concerning the major threats to the effective operation of a system of teacher appraisal, Table 5.4 provides a summary of the suggestions made in this section.

Table 5.4	TEACHER APPRAISAL: MAJOR THREATS TO EFFECTIVE OPERATION
Source	Teacher Perception
A4	Dominance of appraiser affecting results
A3	Lack of self-assurance of appraisee
A1/A2	Personalization or lack of objectivity
	Teacher Expectations
B15	Extra work not averted
B10	Heads do not spend much more time in the classroom
B11	Heads knowledge of their schools is not increased
B14	Anxiety is caused
B16	Sense of accountability is unduly increased
B17	The autonomy of teachers is threatened
	Experience of Goal setting
C4	Goal setting is not part of the regular appraisal process
	Teacher Requirements of an Appraiser
D5	There are adversarial relationships between appraisers and appraisees
D17	Flexibility is lacking
D9	Appraisers lack the capacity to model needed improvements or alternative approaches

5.5 THE PLACE OF GOAL SETTING IN TEACHER APPRAISAL

5.5.1 Introductory

Noteworthily, the Suffolk team commissioned by the Department of Education and Science to study teacher appraisal, while claiming to have taken "an informed look at the state of play in schools here and abroad and in industry and commerce" (Graham et al 1985), do not identify goal setting as a distinct stage in the appraisal cycle, rather subsuming it in "The Interview". The team does not express any doubt about the importance of "goals or targets" to an appraiser and an

appraisee. But, possibly in so seeing goal setting as an integral part of the appraisal process and thus to be uncontroversial, even a matter of course, they give little attention to the detail. In particular, in their report entitled: "Those Having Torches" (Graham 1985), in the sections referring to goals and goal setting, there is no discussion of the function of goals in appraisal as a means of directing attention to the progress the children are making at school.

It is a finding in the empirical study that goal setting at that time was not an action familiar to most teachers. The overall majority of teachers in the sample were inexperienced in goal setting. Nevertheless, associated with the level of the post a teacher held there were differences in their experiences, many significant, within a number of fields distinguishing the teachers one from another with regard to this sector of the investigation. Graph 5.3 (above p. 197) illustrates the position that the data reveals.

In seven of the twelve fields of goal setting selected in this investigation, experience has a strong linear association with seniority. This means heads and deputy heads generally were more experienced than other teachers. Experience, however, was distributed amongst all teachers, and even with the heads those who were experienced were in the majority in four only of the twelve fields. These fields which are listed in descending size of the majorities are given in Table 5.5.

Table 5.5 GOAL SETTING: FOUR FIELDS WHERE THERE WERE MAJORITIES OF EXPERIENCED HEADS		
Item	Field	% Experienced
C3	Goal setting for myself as part of structured self-evaluation	63%
C1	Goal setting and implications for a school	60%
C9	Goal setting for my classes	56%
C8	Goal setting for individual pupils	56%

When the teachers are differentiated into their four categories, the largest minorities amongst the experienced are most often made up of heads. The exceptions are in the five

fields listed in Table 5.6.

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Table 5.6   GOAL SETTING: FIVE FIELDS WHERE THE LARGEST
            MINORITIES IN THE FOUR CATEGORIES OF TEACHER
            EXCEPTIONALLY DID NOT COMPRISE HEADS

Item    Field                               % Experienced
 C5     Goal setting as an annual event     40% (DH)
 C12    Goal setting with a peer            36% (H of D)
 C6     Goal setting more or less           30% (H of D)
        frequently than annually
 C11    Goal setting under the direction    26% (H of D)
        of a superior
 C4     Goal setting as part of a           19% (DH)
        a regular appraisal process
   Key: DH = Deputy Head    H of D = Head of Department
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As Graph 5.3 (above p. 197) clearly illustrates, in the fields of goal setting for classes (C9), for individual pupils (C8), and affecting classroom responsibilities (C7), there is relatively little differentiation of experience amongst the teachers according to the level of the post they hold. The statistical details are shown in Appendix 5.3. In five fields, the experience is differentiated significantly when the variables are subjected to the chi-square test of independence. These latter fields are listed in descending scale of overall experience in Table 5.7.

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Table 5.7   GOAL SETTING EXPERIENCE: FIELDS WHERE
            DIFFERENTIATION WAS SIGNIFICANT AMONGST
            THE TEACHERS ACCORDING TO THE LEVEL OF
            THE POST HELD

Item   Field                               Chi-square
 C3    Goal setting for myself as part of     0.01
       structured self-evaluation
C10    Goal setting as a team exercise        0.03
       affecting the school as a whole or
       a large part of it
 C2    Goal setting with Head of Department    0.02
       Professional Tutor or other similarly
       senior colleague
 C1    Goal setting and implications for     <0.01
       a school
 C5    Goal setting as an annual event       <0.01
```

The proportion of experienced teachers was smallest (10%) in the field of goal setting as part of a regular appraisal

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process (C4).   In this field, there is no differentiation
virtually in the proportions of experienced teachers between
the categories.   As a rule, classroom teachers were less
experienced in fields of goal setting than heads, deputy heads
or heads of department. Do the findings from the empirical
study concerning the goal setting experience of the teachers
matter?

5.5.2 Problems and Challenges

Nias has suggested that:

> *"... the nature of education makes the identification and agreement
> of goals very difficult."*

(Nias 1980 p. 270)

It can be argued that this point of view expressed by Nias
links in with the notion of a "goal" signifying a tangible or
otherwise recognisable intention leading towards a clear
achievement which, when accomplished, is typically susceptible
to a measure of quantification.   In contrary vein, Gray has
suggested that:

> *"In education nothing is quantifiable against a 'correct' measure.
> Because education is a process and ultimately an individual
> experience, no decision or action is capable of an 'objective'
> evaluation; that is because there is no tangible product."*

(Gray 1984)

Against   Gray's   opinion,   arguably   "the   concept   of
'imperfection'   is   vital"   when   considering   performance
standards (and goals).   It helps individuals direct energy
towards the "measurable factors that have a high probability
of reflecting satisfactory performance" (Morrisey 1983).

With regard to another area of difficulty, as has been
mentioned in chapter 3, Hoyle has referred to the structural
looseness typifying schools as organisations, associating this
with what Weick (1976) has described as a loosely coupled
management position (Hoyle 1986).   This position, it can be
said, is one where the individual members of staff or
departments enjoy "a high degree of autonomy" and where
coordination happens, as it were, out of good will and
convention rather than through the exercise of formal or
detailed direction by those responsible for management who
typically do not employ goals to help coordination.

Goal setting in an environment such as Gray and Hoyle above have in mind looks difficult, but it may be the difficulty lies in their way of looking at the reality of the school. If teacher appraisal is regarded as part of a school improvement process, it is relevant to have regard to a four year international study of school improvement efforts. An outcome of the study is the suggestion that the essence, or ultimate aim of school improvement, is the:

"accomplishing of educational goals more effectively".

(Van Velzen <u>et al</u> 1985)

The responses of the teachers considered in this empirical study suggest that mostly they held the belief that goal setting and professional autonomy are compatible. Less than a quarter of the teachers (24%) expected that teacher appraisal was going to threaten their autonomy (see Appendix 5.2 item B17), while four fifths (84%) perceived goal setting as being a proper part of the appraisal process (Appendix 5.1 item A12). Most teachers' perspectives defined in this study seem well in line with the recommendation of the National Steering Group in making provision for "target setting" in teacher appraisal (NSG 1989 p. 9). If goals are given a central place in a system of teacher appraisal, there are two potential problems. The unfamiliarity of the teachers with goal setting indicates one potential problem, and the viewpoint expressed by Nias, Gray and Hoyle, cited above, the other.

Times are changinging and it does increasingly seem that there is wide agreement on the valuable function of goals in contributing to the achievement of effective performance, both for organizations and for individuals. Everard and Morris say:

"We believe that all organisations, including educational ones, should be actively managed against goals; in other words, not only should there be a clear sense of direction in which the organisation is being steered, but also markers whereby we can assess progress."

(Everard and Morris 1985)

Other authorities have made very similar statements (Bush 1986, Handy and Aitken 1986, Trethowan 1987).

An American authority has expressed the view that:

"Goal setting is the component of supervision and [appraisal] systems that provides the greatest opportunity for accommodating the

*individual differences among teachers. Supervisors can establish
different goal expectations for [primary] and secondary teachers or
for new or experienced teachers. They may use the research on
teacher development to create a differentiated set of expectations
for teachers. Since new teachers tend to worry most about student
control, goals for them might focus on classroom management. Goals
for experienced teachers, on the other hand, could be more tied to
student achievement.*

(Duke 1987)

It is interesting that Nias (1980) observed that practice
concerning goal setting in schools was closely associated with
leadership style and the interpretation given to the concept
of teacher autonomy. Not only, therefore, according to Nias
might there have to be reassessment of the professional work
styles commended to teachers, or adopted by them, if goal
setting is to be properly established within an appraisal
process, but on management development in schools also. The
findings in this research are in line with this Nias argument
(Nias 1980). In other words, the contextual considerations
which are influenced by the school management styles are
crucial influences on goal setting, affecting the scale of use
of the goal setting practice and the nature of the chosen
goals. This suggests one important reason why there is value
in examining the current experience of teachers with goal
setting.

Another reason for studying goal setting is that for the
primary teachers who were her subject, Nias concluded that

*it was clear that many would be willing to sacrifice a good deal of
their autonomy in goal setting in return for a greater sense of
cohesion and team work.*

(Nias 1980 p. 272)

As has been shown above, for the teachers in the sample,
teacher appraisal involves the sharing of experience and joint
planning. The inference of Nias of a quest for this "greater
sense of cohesion and teamwork" on the part of teachers is
another indication the importance of goal setting, both in
appraisal and for school management.

Use of goals for individual members of staff is widely found
in non-educational organizations as a normal practice designed
to give a "sense of cohesion and teamwork". Therefore it is
appropriate to make reference to ideas and practice in those
organizations where goal setting is a major part of their

systems of appraisal. At this point, it is helpful to consider further what a goal is both generally in the management context and as an instrument to develop the people in an organization. Armstrong defines a goal as "the result the organization or the individual wants or expects to achieve" (Armstrong 1990 p. 281). Armstrong also provides a useful summary of goal theory. He follows Locke (1979) and states that goals help motivation and performance which can be improved when certain conditions are met. These conditions are as summarized in Table 5.8

Table 5.8 GOALS FOR HIGHER MOTIVATION AND PERFORMANCE:
THE CONDITIONS - A BUSINESS MODEL

Individuals are set specific goals.

Goals are difficult but accepted.

Participation between managers and subordinates takes place as a means of getting agreement to the setting of higher goals.

The agreement of difficult goals is reinforced by guidance and advice.

There is feedback on performance to maintain motivation, particularly towards reaching even higher goals.

(Armstrong 1990)

The setting of goals implies a realization on the part of goal setters that change is desirable. Kolb (1979) has focused on self-directed behaviour change which is achievable through goal setting, and has stressed the value of goals as devices in adult education, to promote individual learning and growth. Lee and Lawrence (1985) have emphazised the value of goals as linkages between indivuals and groups in an organization. Deci has suggested that:

"people believe in the way which they expect will lead them to desired goods."

(Deci 1975 p. 119)

There is obviously a place of importance for goal setting in any system of appraisal. In that case, it is necessary, however, as these various references imply, that the process ensures that the goals are tailored to suit the capacities and needs of individuals, and thereby, display consistency with

the perceptions and expectations of these individuals concerning their jobs and the appraisal system.

5.6   GOAL SETTING FOR TEACHERS: THE TIME ELEMENT

Guidance can be gained on the individual tailoring of goals from studying the teachers' responses to the questionnaire, especially Sector C.   This guidance looks useful with regard to accomplishing desired change and thus with regard to the realization of teacher expectations.   Before tackling this topic some preliminary detail concerning the responses needs first to be considered.

To help the teachers in the sample, and intended simply as clarification of "goal", there was a footnote to the questionaire as follows::

> *"Goal here stands for an achievement aimed for during a given time scale.   Other words often used for this are 'target' and 'objective'.   The purpose is to meet a need for change that a review of the current state has shown to be desirable or necessary.   Goals may relate to a teacher's own growth, the lessons the teacher gives, or pupil progress, or other educational matters."*

(Footnote: Questionnaire p.4)

The time span of a goal was important to the experienced teachers in all phases.   For example, amongst the minority of primary teachers with experience, most were familiar with goals set for periods of time other than a year, implying that the school year was not necessarily the best period to choose for goals to cover.   This is probably relevant information when contemplating choices in goal setting practice appropriate for primary schools.   The most frequent period for goal setting mentioned by experienced primary teachers was termly (43.2%).   For secondary teachers, a time-span of a year was most frequently indicated, the proportion of the experienced teachers in this case (65%) being familiar with annual goal setting rather than other time-spans.   Amongst middle school teachers, choice of a term as the time-span for a goal was the most frequent.

This research, therefore, suggests that there is a distinction to make between those goals which are short-term in nature and

other goals which in contrast require a longer planning cycle, normally a year but sometimes longer, for their achievement. What arises therefrom is that the review periods for the different goals need to correspond to the duration periods for the attainment of the goals. Turner and Clift (1988) called attention to the need for a "defined period of time" as part of the description of a goal, but did not explore the issue beyond appearing to assume the period of a year as a minimum (Turner and Clift p. 88). This research suggests that "duration" for a goal can be placed alongside "direction", as remarked upon by Everard and Morris (1985), and "individualization", as proposed by Duke (1987), as one of the distinctive elements in the value of goal setting in appraisal systems. In the nature of teaching at different phase levels, recognition of varying time-spans in recording achievement becomes obligatory in implementing appraisal, unless the case for differentiation of phase requirements affecting goals is to be overlooked.

The importance of the issues came out in a follow-up discussion, when, for example, teachers in infant schools mentioned that progress achieved by pupils in a week may be significant enough to be a focus for goal setting, and that a term is a long period in their educational environment. If appraisal procedure disregards the generic factors characteristic of teaching in a particular phase, specifically here in relation to goal setting, perhaps in the nature of things, the likelihood is that the detail of events valuable in an appraisal discussion becomes lost with the passage of time. What follows in the next section needs to be read bearing the significance of the time scale in mind.

5.7 THE FOUR KEY AREAS FOR GOAL SETTING
5.7.1 Introductory
There are four key areas for goal setting that can be derived from the research findings described in this chapter. The argument to support the designations of these areas rests on an interpretation of priorities which the teachers identified amongst considerations affecting goal setting. The proposed areas are elaborated below in subsections 5.7.2, 3, 4, and 5.

5.7.2 Development of Self

This area embraces both professional and personal growth, and implies a need for provision of programmes of teacher development on a wide ranging basis. Not all action however has to be beyond the school. Much development associated with training for classroom observation can be based in the teacher's own school, borrowing ideas from Hopkins (1985) and Montgomery (1986). The focus of an individual teacher's quest for a higher qualification may be on a need agreed in consultation with the appraiser and senior management in the school, and logically conducted in the style of action learning (Revans 1982, 1983). In summary, this area covers all aspects of continuing professional education and is here envisaged as reflecting the in-school situation of the teacher, for example, the basic needs for updating of curriculum knowledge, or preparation for new responsibilities, whether managerial or other such as those arising from tutorial functions, or assessment of children's work and record keeping, or, say, topics generally related to change in learning conditions. There may be concerns of team work, personal time management, and own learning capacity to take into consideration. Periods of working in an "assistant to" position may be arranged to reflect and mark self-development goals. The issue however is development of self, not self-development; the implication in this goal area is that the teacher and the school are jointly planning the arrangements made as a demonstration of shared responsibility for follow-up for an appraisal.

5.7.3 The Classroom Environment

The main focus here is on action leading to greater job satisfaction, or the ensuring of job satisfaction. Included here are actions intended to improve the visual appearance of the classroom and department, sharing concerns connected with teaching styles, participating in making school-wide decisions affecting the classroom environment, for example: planning liaison between

parents and the teacher, or expressing school policies at classroom level including having a share in the development of the values associated in the school with the promotion of "the spiritual, moral, cultural, mental, and physical development of pupils ... and of society" (ERA chapter I, 1.- (2)(a)). The setting of goals in this area (as may be expected to happen in others) is likely to address matters where expectations are low. The purpose then is to increase commitment through the creation of greater awareness of the real world of the school, or to gain wider appreciation of a teacher's achievement. This area offers considerable scope for setting goals with varying periods of duration, having regard to the planning character of items in this area.

5.7.4 Pupil/Student Achievement

This area is associated with developing new procedures such as, for example, are required for the implementation of the national curriculum, or relate to decisions affecting the attainment targets and the levels of attainment set for pupils, assessing the impact of action in the class in the furtherance of cross-curricular aims. It may involve applications of theory and knowledge gained in study for a higher diploma or degree, for example, in relation to the use of ethnographic data to deepen understanding of the needs of individual pupils. Depending on the growth stage reached by the teacher (see above chapter 3), there may be a focus on the classroom management of innovation affecting teaching styles, or on the policy of change in these styles arising from innovation in a subject, such as those following upon applications of computing (Fraser et al 1988).

If North American experience is replicated in this country, the goals here are likely to correlate highly with or follow up closely on the conclusions reached by the appraisee and the appraiser from the outcomes of classroom observation. Central to the approach is the

intention of creating opportunity for effective self-evaluation focusing on teaching and learning as the prime concern. Bearing in mind that there is the likelihood of significant differentiation of classroom observation experience associated with seniority (see chapter 6), and that "the right to autonomy rests on the duty to evaluate" (Shipman 1979), this is an area for goal setting where the relevance of the clinical consultancy model (see Figure 5.1 below   p.240) of the appraiser becomes very clear.

5.7.5 Departmental Action

This area focuses on the mobilisation of the talents of the teachers when working together, which is to say: on synergy. There are choices of goals connected with the operation of schemes of peer observation, joint action research, departmental approaches to lesson planning, production of teaching materials, monitoring their use, collective efforts concerning student evaluation of their own work and the work of the department. There is scope here to experiment in the fields of succession planning, and link with school policies for the career development of teachers, possibly, depending on the model of the management of the school, for example, its nearness to the integrative/matrix or innovative/modular systems (see above pp. 126, 129 and 132) identified by De Caluwe et al (1988). There may be occasions for the taking up of joint goals designed to build up the department's strength. Such goals can commit all its members to programmes of activity requiring their simultaneous joint presence, as well as to personal and individual programmes directed towards a joint departmental interest and determined on a common time scale involving an emphasis on the interdependence of the relationships of the staff in the departmental system.

5.7.6 The Experience of Teachers concerning Goal Setting: Some Conclusions

It is notable that when formed within the four key areas

specified in the previous section the goals which can be seen as most likely to be set promise readily to secure linkage between the interest and concerns respectively of the teacher as an individual staff member and the school as a whole. This means that while the teachers who are the least senior particularly may lack experience of goal setting with implications for the whole school there are many options which open ways to enable this inexperience to be systematically overcome. On the basis described, action towards the setting of goals in the four key areas can be planned so that there is the equivalent of one chosen from each annually. In the light of the priorities of the individual teacher or the school, or both, if goals are chosen with a variety of time spans, there is the further possibility to increase the actual number of goals within an area, when the duration of less than a year applies. It also appears possible to create continuity from year to year, and in doing so to facilitate long-term planning at school and classroom level, if the use of goal setting follows the lines defined by the teachers' responses which are analysed in this chapter.

While the four key areas do not cover curriculum development directly, its inclusion is probably legitimate by means of introducing a bias in this direction in more than one area, since all the areas have the potential to allow such bias in the chosen goals. Probably what is prudent is to recognise that the perspectives of the teachers in this sample suggest a preference for some relatively discrete goals, and not closely clustered goals characterised by a common time scale.

As Duke has suggested (1987) the goal setting process in appraisal is the component "that provides the greatest opportunity for accommodating the individual differences among teachers" (see above p. 230-1). The findings of this empirical study echo this suggestion from Duke. Having regard to these findings, it seems what is indeed valuable about goals is not simply the means they afford to give recognition to the teachers' individual differences of experience and expectations but to go further and, in particular, to give recognition to those differences which are attributable to

differences most affect the priorities of individuals, and these priorities in their turn may be influenced by conditions associated with the phase of education concerned.

Following Checkland (1981), and respecting also government policy, a root definition for the appraisal system which so far is suggested by this study of the responses of the teachers to the questionnaire can now be formed, based on the material discussed in this chapter. This root definition is a first attempt at "a concise description of (this) human activity system which captures a particular view of it" (Checkland 1981 p. 167).

> "Teacher appraisal differentiates the current personal job priorities of teachers, links their own priorities on an individualized basis to school priorities, identifies professional development activities for the teachers accordingly, and with management support facilitates a higher personal level of functioning by means of enabling teachers more effectively to accomplish their educational goals which are jointly mediated by appraisee and appraiser, and agreed with management."

This approach inferred from the teachers perspectives can be encapsulated by the acronym: DILDS which stands for D - differentiate, I - individualize, L - link, D - develop, S - support. Checkland's theoretical soft systems structure, recalled by the anacronym: CATWOE, has been used to guide the thinking which has led to the definition of the components in the teachers' approach. The clients (C) are both the teachers and management. The actors (A) again include the teachers, this time in the roles of appraisee and appraiser, plus the management. The transformation (T) emerges in the system as so far defined, at two levels: at one level of consideration there is the transformation of the work style of the appraised teacher; and at a second level there is the transformation which brings changes in the internal conditions influencing the working environment of the appraised teacher, possibly relating to the whole school, or just part of it, or even only to the classes taught by the appraised teacher. The viewpoint or Weltanschauung (W) is distinctly that of the appraisee, but is not self-centred. There is a recognition of the obligation

which the appraised teacher has to interact and link into the environment, so the autonomy of the appraised teacher is subject to mediation systematically. Acceptance of this mediation by appraised teachers represents a change in their "Weltanschauung", expressed, for example, in the breaking down of their disposition to "teacher isolation" as referred to above (p. 205). The theoretical owners (O) of the system are the management who have to make a choice to adopt the teacher's approach, on the basis that the gains are greater than the losses from the management viewpoint, or to adopt another approach and put a system unlike the teachers' model in place. Ownership of a teacher appraisal system is not however clearcut (see below p. 267). The environment (E) consists in the variables identified by the managers of the system and comprising most crucially the concept of the context which is reviewed in chapter 3 and is considered in much more detail in this chapter. These contextual variables require the attention of the managers in any teacher appraisal system which may be adopted.

5.8 CONCLUSION

As is shown above, the procedures of principal-component analysis and SWOT elaborated the basic considerations which were anticipated in the content of the questionnaire, sectors A to D (see Table 4.10 above p. 183). The responsibilities of the managers of teacher appraisal systems are brought out in this chapter in considerable detail, and the options confronting appraisers when choosing a job model to emulate are clarified. Figures 5.1, 5.2 and 5.3 are designed as a means of highlighting the salient features belonging to these options and identified in this and the previous chapters.

Following the methodology adopted in the preparation of the job descriptions which are exemplified in the models presented in chapter 3, the examples shown in Figures 5.1, 5.2 and 5.3 are based in particular on Figure 3.3 (the North American case, see above p. 138) and Figure 3.4 (the FEU case, see above p. 139). What are shown therefore in these examples below are the principal categories of the activities associated with the given job model of the appraiser. Here

the key model is Figure 5.1 which represents the teachers'
assessment of the required categories of activities for an
appraiser. Central to this model is the concept of a resident

Figure 5.1   THE PROFILE OF AN APPRAISER 1:
             THE TEACHERS' MODEL

SHARING CONTROL   TRUSTING

NORMATIVE
INFLUENCE ON
THE SYSTEM

CRITICAL FRIEND   MENTOR:
TO AN ACTION   CONTINUING
LEARNER AND   PROFESSIONAL
GOAL SETTER   EDUCATION

RESIDENT
(CLINICAL)
CONSULTANT

EXEMPLAR OF   TRAINED
TEACHER AND   CLASSROOM
SCHOOL LEADER   OBSERVER AND
STANDARDS   DATA
                                         COLLECTOR

INNOVATIVE
CURRICULUM
MANAGER

CREDIBILITY   NEGOTIATION

Source: Empirical Study

consultant. This concept shares likenesses with both the
concept of the resident clinical teacher modelling theory and
demonstrating exemplary practice developed in Pittsburgh at
the Teachers Centres there and the concept of the liaison
teacher who follows up the work accomplished at these Centres
during mini-sabbaticals (Pittsburgh 1987). In our case, the
resident consultant is required to be school-based and, as
also a "critical friend", is a permanent member of the school
staff. Beyond this requirement come six further requirements
which are summarised in the smaller circles. As with the
North American and FEU cases, each of the further requirements
can be disaggregated, deriving the content in the main from
the material in this chapter. It is not necessary to the
present argument to do this. What is necessary is to show how

the teachers' model contrasts with both that forthcoming initially from government and that forthcoming from NSG. These latter models are represented in Figures 5.2 and 5.3. There are overlaps between these two, as both express a strong orientation, in the sense developed in chapter 3, towards managerial interests dichotomized from educational interests.

Figure 5.2   THE PROFILE OF AN APPRAISER 2:
            THE GOVERNMENT AND HMI MODEL

SUPERORDINATE CONTROL

RECORDING

STAFF DEPLOYMENT EXECUTIVE

JUDGE OF PERFORMANCE

INSET AND CAREER DEVELOPMENT EXECUTIVE

LINE MANAGER

CONTROLLER FOR QUALITY AND COMPLIANCE

TRAINED CLASSROOM OBSERVER AND COLLECTOR OF EVIDENCE

EXPERIENCED CURRICULUM MANAGER

AUTHORITY

NEGOTIATION

References: DES (1983, 1985)   HMI (1985, 1989)

The orientation of the models is captured in the boxes in the corners of the Figures.   There are four features of this orientation indicated in each model.   For example, control is shared in the teachers' model, and is dependent on "credibility".   In both other models, control is exercised by the superordinate whose position confers authority.   In these latter models, there is a bias towards recording "evidence" and negotiation.   This situation contrasts sharply with that belonging to the teachers' model which has an emphasis on

trusting relationships between participants, meaning "data" is gathered for purposes of illumination rather than for providing proof of a "judgement". Consultancy, possibly counselling, rather than negotiation therefore describes better the mode of the relationship between appraiser and appraisee. The implications of the contrasts between the models of the central agencies are considered further in chapter 8.

Figure 5.3   THE PROFILE OF AN APPRAISER 3:
             THE NATIONAL STEERING GROUP MODEL

INSTITUTIONAL CONTROL

RECORDING

DEPUTY PERSONNEL MANAGER

JOINT JUDGE OF PERFORMANCE

TARGET COORDINATOR AND TRAINING AND DEVELOPMENT SUPERVISOR

HEAD'S SURROGATE

CONTROLLER FOR COMPLIANCE

TRAINED CLASSROOM OBSERVER AND COLLECTOR OF EVIDENCE

EXPERIENCED CURRICULUM MANAGER

AUTHORITY

NEGOTIATION

Reference: NSG (1989)

As additional results of the principal-component analysis and SWOT, it is possible to sort into an order of priority the further basic considerations of appraisal which are identified in Table 4.10 (see above p. 183). Most particularly, the priorities are exemplified in the teachers' preferred model of the appraiser (see Figure 5.1). The sense of "credibility" related to the functions of an appraiser seems very usefully expressed in the responses to the questionnaire, sectors A to

D. SWOT provides clear guidance on both priorities and ground rules. It is also made clear that the teachers have a distinctive perspective of their own which is important when designing a teacher appraisal system. In this regard, consideration of this perspective in relation to classroom observation is next found helpful, and it forms the focus of attention in the next chapter.

In this chapter, there are perceived to be issues arising which need to be addressed in the following chapters of this thesis. The main one amongst them is that of reconciling the concepts of line management and accountability with concepts of professional development activity leading to professional growth. The latter is conceived to mean achieving greater effectiveness in teaching which in turn is assessed by reference to tangible or inferred gains in learning by pupils. If proposals which have attraction for management can be developed from the teachers perspectives, the issues may be mastered.

Chapter 6 Teachers' Views and Experiences of Classroom
Observation

6.1 INTRODUCTORY

6.1.1 The Importance of Classroom Observation in Teacher Appraisal

Exploration of the views and the experiences which the teachers in the sample had of classroom observation is justified as the subject of a chapter in this thesis on several grounds.   As one ground, there is what can be regarded as the consideration of common sense which the Suffolk team intimated:

> *"Most teaching and learning takes place in classrooms so, if the effectiveness of the teaching/learning process is to be appraised, classroom observation will offer the most practical procedure for collecting data about teacher performance."*

(Graham 1985 p. 5)

Graham probably had more in mind however than common sense, and his words indicate another ground for taking an interest in the subject of this chapter.   This extract from "Those Having Torches" indicates, as an example, that in the writing and editing of their seminal report the authors showed a reponsiveness towards the position of the sponsoring policy makers at the DES. These authors were mindful of the latter's concerns with applying concepts of accountability in the cycle of teacher appraisal.   In that report, inevitably therefore, there are frequent references to issues of "care", "fairness", avoidance of "inferential judgements", for example, in relation to classroom observation and its implications for teachers and teachers' career prospects. The authors of the report appear to have taken for granted that an overall and summative judgement of "teacher performance" would be derived from using the component of classroom observation in the teacher appraisal cycle.   As is shown in chapter 1, this assumption was made persistently by the central agencies by whom provision for classroom observation was made obligatory in the teacher appraisal cycle for everyone except heads. The ground of how such an assumption fitted in with the views and experiences of teachers was seen therefore as one to explore.

A realization of other good grounds for considering classroom

observation here can be reached by a different route, and with other assumptions in mind. Montgomery (1984) indicates this route in the words of a teacher with whom she worked, saying:

> *"Teaching can become an 'isolating' task, in which the teachers need direction, improvement and fresh approaches, but do not get them because they act out their daily lives in a 'vacuum'. Despite its difficulties and embarrassments sometimes, analysis of approach etc can restore and invigorate direction, can confirm direction and so on. I am surprised all teachers are not expected to undergo inservice training such as this."*

(Montgomery 1984 p. 89)

Towards the professional growth aspect of the experience of classroom observation, this teacher displays just that enthusiasm which is noted in chapter 2 as a characteristic of the reaction of the teachers met in Canada and USA. Whether, as implied by the teacher, and despite the probable absence of relevant experiences to back them up, teachers in general had views kindred to these was a speculation which suggested another ground justifying enquiry concerning classroom observation in this research.

Pertaining to the issue of relevant experience, it is noteworthy that it was about this time when the teacher was talking to Montgomery that Wragg commented:

> *"It is astonishing that many teachers never see another at work, nor are themselves seen by a professional colleague for ten, twenty years or even a whole professional career."*

(Wragg 1984 p. 199)

He contrasted this practice with that of medical professionals who, he said:

> *"by comparison are quick to share their skills or disseminate new techniques so that the profession collectively can use and improve them."*

(Wragg 1984 p. 199)

Taking the standpoint of Montgomery (1984) and Wragg (1984), sharing in classroom observation is important to the "reflective practioner" (Schon 1983) to whom presumably teacher appraisal is expected to offer encouragement. Here another ground is seen for the present interest, recalling issues to do with the professional characteristics of teachers and teaching which are raised in chapter 3 and which are found pertinent below.

Nevertheless, the references in chapter 1 to surveys of practice prior to the mid-eighties show that not everyone at

this time considered classroom observation a necessary part of the teacher appraisal cycle. Even after the ACAS recommendations and the setting up of the pilot projects, there were those such as Hewton who argued that:

"Appraisal can, in any case, be done without classroom observation."

(Hewton 1988 p. 77)

Hewton was questioning the importance of classroom observation specifically as a part of a cycle of teacher appraisal as envisaged by the central agencies. He believed that the part classsroom observation could have in what he was regarding as "teacher development" was likely to be compromised if its predominating linkage was with appraisal implemented on their lines, especially if also the training offered was not extensive, and the time for observation was short, as to him seemed likely. More recently, Brighouse and Tomlinson were disposed to write about "Successful Schools" and propose ways of achieving them without identifying classroom observation as a component, although indirectly referring to teacher appraisal through suggesting "collective self review" by teachers (Brighouse and Tomlinson 1991).

Thus, classroom observation has been valued from a variety of standpoints, at times both prior to the advent of the government initiative on teacher appraisal in this country and subsequently. It is reasonable therefore to argue that a definitive view is needed with respect to its part in teacher appraisal, and, further, that it is necessary to know the perspectives of the teachers on the subject, in order to make a reasonably informed judgement on which standpoint to adopt as the best. This aspect of this research, therefore, may contribute towards the creation of the needed definitive view of the place of classroom observation in the cycle of teacher appraisal.

6.1.2 The Case for Considering the Teachers' Perspectives on Classroom Observation

At the beginning of this research, it seemed probable that teachers typically associated experience of classroom observation with their initial training and probation. Moreover, if this surmise reflected the real situation, one

implication was that teachers were unlikely to have experienced classroom observation in situations where there was a peer relationship existing between the observer and the teacher observed. At the initial stage of their careers, and possibly subsequently if they had been visited by HMI, the teachers would have known the experience in situations only where the observer was in charge and, in effect, determining the criteria, the timing and the duration, rather than in situations where they, the teachers, made the decisions on these matters. They would not in the ordinary way have been encouraged to see classroom observation as part of their "way of life", in sharp contrast to the situations in, say the medical profession, as Wragg suggested (Wragg 1984), or in the North American case studies presented in chapter 2. Indeed, it was an observation later made by the evaluators of the pilot projects that some teachers "saw observation as a return to teaching practice" (CIE 1989 p. 21).

On the other hand, the teachers could reasonably be presumed to know what in their everyday practice they valued as helping them to be effective or become more effective, and what they believed might be a hindrance if changes were to be attempted. Therefore, when invited as participants in this research to focus on classroom observation, the teachers were presumed to be clear in their minds about what were their own ideas on this topic. Their clarity of mind on the topic was presumed even if in their careers the teachers were at the stage of maturity when classroom observation manifestly was going to be in many ways a phenomenom new or unfamiliar to them. In the rest of this chapter, the aim is to show that the presumption made was sound, and to demonstrate again that the perspectives of the teachers are crucially relevant to the design and building of a system of teacher appraisal and need to be understood well.

6.2 TEACHERS' VIEWS ABOUT CLASSROOM OBSERVATION

6.2.1 Introductory

In the questionnaire, the sector which was designed to elicit teachers' views on classroom observation comprised 18 items. Details of the items are given in Appendix 4.1 in Sector E.

Graph 6.1 illustrates the frequencies of the strong agreement responses which are sorted in accordance with the categories of the posts held by the respondents. Appendix 6.1 gives the data from which the graph is derived. Each item shown in the graph is considered in detail below.

TEACHERS' VIEWS ON CLASSROOM OBSERVATION
COMPARED BY REFERENCE TO THE LEVEL OF
THE POST HELD

GRAPH 6.1
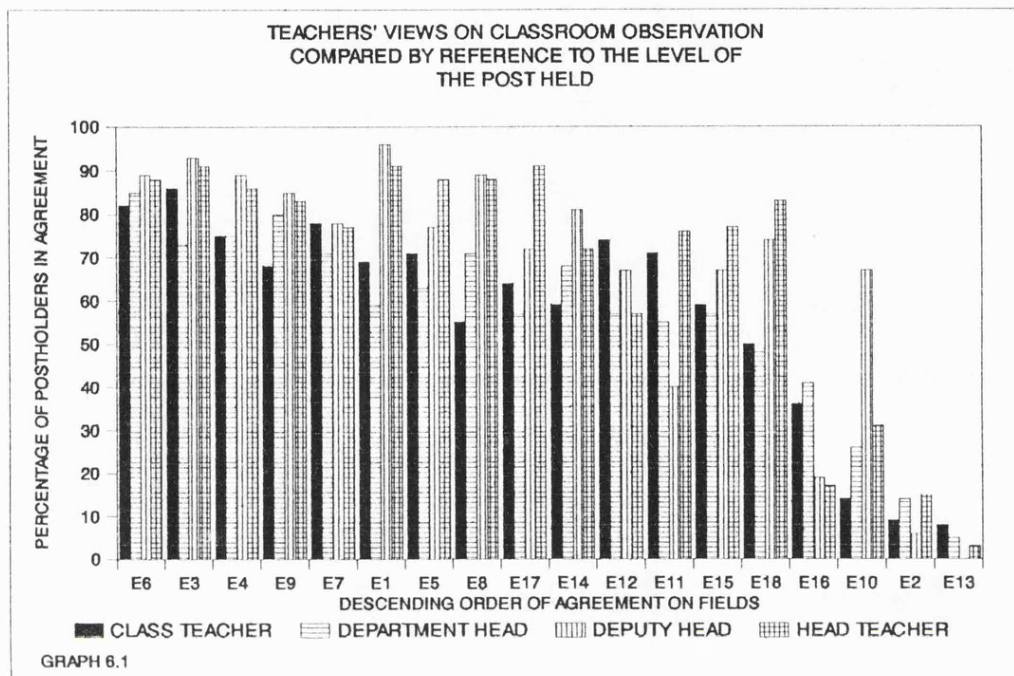
Just as in chapter 5 with the data on teacher expectations, so also with the data on the teachers' views of classroom observation it is valuable to employ a procedure of listwise principal-component analysis. Following this analysis, six factors emerged to account for 60% of the variance in the teachers' views on classroom observation. Amongst the six factors, two account for 32% of the variance and these two bear respectively upon the benefit expected from teacher appraisal and upon the reliability of the sources used to yield data in a system of teacher appraisal.

Being concerned with the assessment of the benefit of teacher appraisal, the first factor emerges as the most important determinant of whether there is agreement that systematic classroom observation can produce reliable information about the complexities of teaching (E8). Loading significantly on this factor also are the teachers' views on whether systematic classroom observation contributes to improved effectiveness in self evaluation (E17) and to improved pedagogical practice (E18); and on whether classroom observation by peers should be

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encouraged (E14). The one other variable loading significantly on this factor is belief about how the bearing of students is affected during classroom observation (E15).

The second factor is the most important determinant of the technical considerations which presumably the teachers relied upon in forming their views. These considerations clearly bear upon the management and development of a teacher appraisal system. This factor accounts for the teachers' views on the prerequisite for an appraiser to have familiarity with an appraisee's class and classroom before a classroom observation occurs (E3); and to gain agreement on the methods to be used in classroom observation in a pre-observation discussion with the teacher to be observed (E4). Two other variables also loaded significantly on this second factor. They were the strengths of the beliefs that untrained classroom observers cannot be objective (E12); and that students do not behave normally if an observer is in the classroom (E16).

Beyond the two referred to, there were no additional simple factors. The additional factors are probably reasonably well expressed as being about the rationale of classroom observation as an activity dependent for its efficacy on the preparation, training and know-how of participants. Specifically, these factors embody opinions about how great the needs may be for the development of new skills, including mastery of classroom observation instruments (E11), delivery of punctual feedback following classroom observations (E7), observation skills (E13), and the skills to sustain an observation lasting a whole lesson (E5).

Sector E of the questionnaire which is described in chapter 4 and key considerations in which are summarised in Tables 4.10 and 4.11 (see above pp. 180-181) provided the framework for the gathering of the data used for the above analysis. At this later stage of progress with the research, the original framework of enquiry was substantially extended through using the procedure of listwise principal-component analysis from which was developed extra insight into the teachers' views on

classroom observation.

The next following step of analysis again relies on data yielded from the use of Sector E of the questionnaire. This step is taken in order to identify how the key factors which are argued in chapter 4 to have the potential significantly to affect the perspectives of the teachers (see Table 4.5 above, p. 171) may have influenced their views regarding classroom observation. Cross-referencing between the two analyses occurs below and the SWOT technique used in the previous chapter is repeated.

As an introduction to the discussion of the outcome of this next step, it can be briefly stated that the teachers expressed shared views mostly on five fields of concern; but there were other and more numerous fields of concern on which their views were not completely shared. Mainly, where a sharing of views is less frequently observed the instances are associated with the category level differences of the posts held by the teachers. Either the size of the school or the phase is also an independent variable significantly influencing teachers' views, but less often. The two other important variables identified in chapter 4, namely, the period of time during which they had been teaching, and the number of changes of school they had made during their careers, do not appear as significant influences causing the teachers on those accounts to form distinctive views on classroom observation.

6.2.2 Classroom Observation: Fields where the Teachers were in Agreement

The agreement of the teachers with each other regarding their views on classroom observation was expressed sometimes in a positive way and sometimes negatively towards the selected field of concern. Positively, the teachers were in strong agreement most frequently on the fields listed in Table 6.1 (see below p. 251).

As defined here, the latter sense of strong agreement means conformity with one or more of three conditions, namely:

1   In terms of the responses of strong agreement, the teachers in each category ranked the item in a descending scale of the frequencies of these responses between 1 to 5 inclusive out of the total of the eighteen items.

2   In relation to an item, taking each category of teachers in turn, there was a majority of not less than 75% making a response of strong agreement on the item.

3   Taking the teachers collectively, omitting categorization, the proportion making a response of strong agreement on the item was not less than 75%.

Table 6.1 TEACHERS' VIEWS ON CLASSROOM OBSERVATION: FIVE FIELDS OF CONCERN ATTRACTING STRONG AGREEMENT AMONGST ALL TEACHERS	
Item	Detail
E6	A classroom observation for appraisal should occur more than once.
E3	It is important that an appraiser is familiar with a teacher's class and classroom before a classroom observation for appraisal occurs.
E4	The methods used in the classroom observations should be agreed in pre-observation discussion with the teacher being observed.
E9	In classroom observation the view should be through sometimes the wide angle lens and sometimes the microscope.
E7	After a classroom observation feedback to the teacher by the next school day should be the rule.

In Table 6.1, only item E3 satisfied all three conditions. Items E6 and E4 satisfied two conditions; items E9 and E7 satified one condition. No other items in sector E of the questionnaire satified any of the three stated conditions.

Compared between categories, the frequencies of agreement of the heads and deputy heads are invariably very close, but this was not so entirely the case between them and the classroom teachers and heads of department, as can be seen when referring to Graph 6.1.   However, this variance does not belie the lack of significance of the variable of seniority concerning the items listed in Table 6.1.   Relative to classroom observation, therefore, relying on the three conditions is intended to be a way of drawing attention to

strongly shared values possessed by the teachers as a whole. Moreover, judging from the experience gained in the pilot projects, the order of ranking of these items anticipated the order of the key issues later identified in these projects.

As a reference to a key issue, and taking item E6 in Table 6.1 as an example, it is noteworthy that NSG commented: "each pilot appraisal involved, on average, two or three spells of classroom observation" (NSG 1989 p.10). NSG recommended that observations should take place "on at least two occasions" for a total duration of 1.5 hours (NSG 1989 p. 10). In this research, relying on the responses to the questionnaire of those teachers who opted to enter freely written-in suggestions, the finding is a preference for a higher number of observations than the minimum figure proposed by NSG.

Although not all the teachers were specific beyond a statement of agreement that there should be more than one observation, of the two thirds who were specific only small minorities in each category wrote in two spells of observation. Three or more observations were proposed by majorities in each category. Table 6.2 summarizes the detail.

Table 6.2 SUGGESTED NUMBER OF CLASSROOM OBSERVATIONS: RESPONSES OF THE TEACHERS				
Level of Post	Numbers of Observations suggested: proportions in the categories given as percentages			
	Two	Three	Four to Six	Above Six
Scales 1 and 2	18	42	32	8
Heads of Department	7	47	39	7
Deputy Heads	25	55	20	0
Heads	15	52	29	4
All posts overall	16	47	31	6
N = 125				

If classroom observation comes to take place more frequently than the NSG proposal presumes, the reasonable inference from the teachers' responses is that there are important implications concerning its management to anticipate. The

first implication is that teachers are probably willing to create scope to enable the usefulness or reliability of classroom observation as a professional development activity to be demonstrated or tested in the individual circumstances of each school. Given its utility is successfully shown, then, no doubt, the further implication is that there will be an effort made by management at the schools where this happens to secure classroom observation as a norm in those schools, independent of teacher appraisal. At the same time, there emerges the probability which is a third implication that the ways of describing teaching and learning will be given much more attention, and that in consequence the will of teachers to employ distinctive professional language will be strengthened. This strengthening seems likely to happen along with the increased experience of the practical benefit of the greater refinement of knowledge such language usually brings.

Assuming parallels with what has happened in North America, as noted in chapter 2, these implications are strong and important. Moreover, they make good sense in terms of the main factor which emerged from the principal-component analysis (see above p. 248) as influencing the teachers' views. The relevant fields concern effectiveness in self evaluation (E17) and improvement of pedagogical practice (E18) and both are variables loading on that main factor (classroom observation as a reliable data source). In relation to both steps considered here in the analysis of their views, the teachers' primary interest is seen to be with those fields of concern which bear most directly on teaching and learning.

It is this primary interest of the teachers which highlights the importance of the agreement of a large proportion of them on arranging classroom observation more often than proposed by NSG. As another way of describing the outcome, these analyses of the teachers' views suggest that, from their viewpoint, what then appears is likely to be considered a strength in a teacher appraisal system because it means there is wide scope valuably to increase professional self-awareness amongst teachers. The strength which can be anticipated is the considerable one which results from an enlargement in a school

of the dimension of personal sharing of experience of professional interaction such as Wragg (1984) and Montgomery (1984) commend. The enlargement is derived directly from the participation in classroom observation of very much larger numbers of teachers than the probable current proportion of them so engaged (see section 6.3 below). For participants experiencing classroom observation only through teacher appraisal, following the teachers' views offers encouragement to the managers of the systems to emphazise its formative rather than its summative aspects. It is a strong support for these interpretations of the research data that the evaluators of the pilot projects expressed the conclusion that: "many teachers found observation useful in itself" evidently on the grounds of the formative benefits (CIE p. 23).

From consideration of the issues connected with the incidence and duration of classroom observation there is a logical step to the second item (E3) recorded in Table 6.1 and its consideration. This item brings out the teachers' view of what the commitment of classroom observation entails for an appraiser. Classroom teachers (86%) and heads (91%) agreed strongly with this item more frequently than with any other in this sector. The strong agreement overall of the teachers underlines the important consequences. One important consequence is that in order to be esteemed familiar with a teacher's class and classroom an appraiser is inescapably obliged to visit the teacher regularly and stay, most preferably according to most teachers (73%) for a whole lesson (E5), and not just turn up only at the time of an appraisal. This obligation is adduced as implicit in the minds of the teachers. Further underlining the importance of this item (E3) is the finding from the pilot projects that such familiarity made appraisal "relatively easy" and amounted to teachers being "used to talking to each other, and sharing ideas and seeing each other teach" (CIE p. 49).

Nevertheless, it seems fair and appropriate here to comment that it appears that those responsibilities probably viewed by the teachers as obligatory on the appraiser in order to earn credibility were given less attention in the pilot projects

than the expectations placed upon the appraisee, say, for self-evaluation, preparing for the appraisal, for target achievement and so on. Indeed, in the pilot projects, Bradley intimates that what was found particularly noteworthy by appraisers was that classroom observation gave them: "the chance to see a subject taught in depth ... and to observe pupils' reactions" (CIE p. 59). It was not also noted by the evaluators that these appraisers had then seen as part of their "line management" duty that they had a responsibility to observe in classrooms regularly on occasions other than at appraisal times. Exploring the management implications of having classroom observation become a norm in schools, and thus for it not to be exclusive to teacher appraisal, was an option omitted from the remit given to the LEAs and the schools in the pilot projects. If the finding of this research is reliable and the teachers' view is respected, useful teacher appraisal seems hardly possible in the absence of the norm of regular classroom observation, judging from the data so far mentioned. That interpretation is reinforced by the next point.

Moving to the next point of strong agreement amongst all teachers leads to taking two items into consideration together. Items E4 and E9 in Table 6.1 (see above p. 251) each present a focus which is directed at observation skills and making an appropriate selection at a given time. Of the skills in question, the criteria governing which may be selected can be seen to depend on the individual circumstances recognized by the appraisee and the appraiser as having relevance in prospective classroom observations. Deciding upon this relevance seems likely then to be a process affected by appraisee/appraiser relationships. If left to the teachers, the quality of the process of defining relevance is clearly going to be influenced by a two way exchange of views between the participants, the approach which attracted very nearly unanimous agreement (see Table 5.1 item A14, above p. 209). Again, if left as a matter of choice to teachers, it is reasonable to presume that attention is likely to be given to core tasks. In that event, the direction of the focus which is clearly required in the light of the teachers' views

on items E4 and E9 (see Table 6.1, above p. 251) is towards the achievement of formative outcomes for the appraisee.

Having further regard to the high frequency of strong agreement (76%) which the teachers registered collectively towards item E9 (see Table 6.1), it is noteworthy that in the course of the development of the appraisal schemes in the pilot projects, there was recognition of the importance of changing the focus in classroom observation during the appraisal cycle. In Somerset, for example, particular attention was paid to distinguishing stages in the classroom observation cycle for the application of the "general focus" and the "specific focus" (Somerset 1987). A conference organized in Cumbria in November 1987, at which participants from that pilot area considered the "Appraisal and Teaching Analysis Cycle", adopted the same terminology for a similar approach (Cumbria 1988). The approach was commended by the coordinators of the work in the pilot projects.

As the first part of the conclusion to this section, it can be noted that amongst the basic considerations identified in Table 4.10 sector E (see above p.183), mostly ones concerning ground rules prompted the least divergence in the teachers' views. Of the five items included in Table 6.1, four: E6, E3, E9, and E7 are defined in chapter 4 as concerning ground rules. Only the remaining item (E4) is different, being primarily a teacher centred consideration, (although it also has a bearing similar to a ground rule). The spread of the items attracting shared strong agreement can be regarded as showing the teachers' priorities which in the main relate to achieving effectiveness in the accomplishment of agreed goals.

The second part of this section's conclusion comprises a summary of suggestions which the teachers' views imply as signs of "Strength" in a SWOT analysis relating to classroom observation. These suggestions are intended to complement the SWOT outcomes presented in chapter 5. They are set out on the next page in Table 6.3.

Table 6.3	CLASSROOM OBSERVATION: THE COMPONENT OF STRENGTH – THE VIEWS OF THE TEACHERS

Originating Item	Detail
E6	Classroom observation occurs on at least three occasions and typically lasts a whole lesson.
E3	Appraisers are familiar with the classes and classrooms of the teachers whom they appraise, becoming so because classroom observation and "professional interaction" are school norms.
E4	The methods employed in classroom observation are mutually agreed beforehand between appraiser and appraisee with formative outcomes in mind.
E9	The focus of attention varies from the general to the specific according to individual circumstances.
E7	Feedback is prompt and punctual, normally not later than the following day, and is expressed in precise professional language.

6.2.3 Classroom Observation: Reflections on the Teachers' Shared Views

The high frequency of strong agreement overall amongst all categories of teachers on the fields of concern listed in Table 6.1 is important. In particular, it shows the prescience of the teachers who in a very real sense anticipated events in the pilot projects. This finding points again to the wisdom of studying carefully the perspectives of the teachers when considering teacher appraisal. As an activity which touches them very closely, teacher appraisal is therefore a subject about which they can be presumed to talk wisely, as this research shows. This interpretation of the data merits further elaboration.

As one of the ways in which the validity of the claim of prescience for the teachers can be demonstrated, it is useful to look first at the level of the general approach which was advocated in the pilot projects. At this level, the selected skills required of both appraiser and appraisee were those associated with a three phase "clinical supervision" cycle of preparation, observation and feedback (CIE 1989 p. 20).

As is shown in chapter 5, judging from this research into the expectations of the teachers, it is clear that they preferred appraisal as an instrument to promote their professional growth, using the term to equate with improvement in teaching on their part and in learning on their pupils' part. They were sceptical about the usefulness of appraisal as an instrument to enforce procedures of accountability. As is seen in the previous subsection, these matters are brought again to a head when attention is given to the teachers' views on classroom observation.

As noted in chapter 1, the central agencies were bothered about the risk that in the pilot areas there would not be sufficient compliance with the project remit and so arrangements for monitoring were made. The point however is that classroom observation probably should be seen to have a deadly relationship towards accountability as a purpose for teacher appraisal, a relationship not unlike that perhaps of the Trojan Horse towards Troy, meaning that the purpose of accountability is doomed, or at least will be subdued. Predictably, this can be expected to happen because classroom observation , particularly the 'clinical supervision' model, is much more suited to promote professional growth than to enforce accountability.

It had already been pointed out by Darling-Hammond et al (1983) in the North American context that:

> *"Clinical supervision is highly interactive and may promote professionalism and a sense of efficacy among teachers. However, it is also a time-consuming process, and the data gathered during the observations may be uninterpretable to those outside the supervisor-teacher relationship. Thus, clinical supervision approaches may prove to be of limited use for accountability purposes."*

(Darling-Hammond et al 1983 p. 311)

Experience in the pilot projects gave corroboration to the teachers' views and both are in line with what Darling-Hammond et al suggest in the above extract from their work.

If classrooom observation becomes a norm in schools, in line with the thinking of the teachers, the general focus stage is unlikely to figure as strongly in the appraisal cycle in the

future as almost invariably it tends to do in the beginning stages when newly introduced schemes are being put into place. It was the specific focus which predominated in the places visited in Ontario and USA where teacher appraisal was well-established.

The specific focus approach is necessary in the classroom action research paradigm. It is what provides the interest in collaborative work between peers, and in subordinate or superordinate appraisal systems designed to foster professional growth. For many years, types of specific focus have been found in research models for classroom observation (Simon and Boyer 1970; Galton 1978; Beeby 1979). Later, other types are described by several authors (Montgomery 1984; Hopkins 1985; Croll 1986).

From the teachers' responses it can be inferred that normally in the the process of teacher appraisal the position is probably going to be that use of the wide angle lens has two main purposes. One purpose is "familiarisation", on lines already indicated. The other purpose is associated with part of a supportive developmental programme for beginning teachers. At this macro-level, the latter have concerns which more experienced teachers may not share and determining the most urgent can be anticipated to require the use of a wide angle lens at first when working with beginning teachers.

The time consumption aspect of clinical supervision was dwelt upon anxiously in the pilot projects. Part of the difficulty arose probably because the norms of school management did not embrace regular classroom observation as an essential duty of heads, deputy heads and their senior management team colleagues. In chapter 5, the conflicts were considered which emerged between the model of teacher appraisal preferred by the teachers and those models proposed by others who were expressing the views of the central agencies. These conflicts are seen again in the choices presented over the approach to adopt towards classroom observation, for example, what should be its purpose and what methods should be employed?

At this point, it is useful to note that the teachers mostly (63%) strongly disagreed with the view that systematic observation of themselves working in their classrooms was welcome (item E2). This view was shared by the teachers without significant differentiation according to individual circumstances. A high proportion (26%) were undecided and individually the undecided teachers were distributed rather more numerously in the larger schools, middle and secondary rather than primary schools, and these teachers were of all ages and not differentiated significantly according to seniority.

The teachers mostly (84%) strongly disagreed with the view that training in classroom observation is not needed. This item attracted strong disagreement more frequently than any other sector E item. The teachers were concerned that appraisers had the technical skills required. Experience of appraisal training was not completely helpful in the pilot projects, the group use of videotapes was a major means of training, but these means and the other means utilized evidently lacked effectiveness "in facilitating skill development" (CIE 1989 p. 21). In this context, it is pertinent to note that North American practice was to have regard to lessons drawn from academic research. In this country too, scope exists to make use of very sophisticated skills which have been used by academics in classroom observation for many years. Galton's surveys, "British Mirrors" (Galton 1978) and "Classroom Research" (Galton 1982) made this clear.

It is of considerable interest that nearly a decade ago Galton made an observation which retains its relevance and topicality with regard to the issues of "care", "fairness", and "inferential judgement", mentioned at the beginning of this chapter (p. 244). This observation was that "triangulation" was crucial to the determination of the reliability of "observed events" in giving support to conclusions about how they might or might not support pupil learning. Additionally, the expectation then stated was that the frequency of observations would be much greater than the number of

occasions envisaged by NSG, or experienced in the pilot projects. On the point of triangulation, or obtaining a third view, as it were, to moderate the views of the appraiser and the appraisee, it has been only with the appraisal of headteachers that such an approach has been deemed necessary by the central agencies. The obvious triangulation method for teachers to apply would involve the pupils, or possibly at times the parents, but neither group as a point of reference would be acceptable if, as envisaged by the central agencies, the concern was to make judgements on the overall performance of the teachers. In effect, the stage of recognition by virtually all the teachers of their need for training in classroom observation does not lead easily to the means appropriate for this training, nor the issues to address. This need and ways of addressing it will figure again in the final chapter.

6.2.4 Classroom Observation: The Fields where the Teachers were in Disagreement

In section 6.2.2, the focus is on the questionnaire's yield of data indicating which were the fields of classroom observation where the teachers collectively were strongly in agreement. This measure of agreement on these fields is taken as indicative of their "shared values" and as showing where to look for the expected signs of strength in a teacher appraisal system which is likely to command the preference of teachers. In this section, attention is given to the fields of classroom observation where the teachers to a significant extent were in disagreement between themselves. This means the focus is on values which large proportions of the teachers did not share.

Where the divergence in the teachers' views on a field of concern with classroom observation points to positions which distinguish heads and deputy heads, on the one hand, from classroom teachers and heads of department, on the other, and the situation is here considered significant, it is referred to as a "polarity". The several instances of this phenomenon are considered in detail below and relevant data is given in Tables 6.4, 6.5 and 6.6. In these tables, the fields are listed in the descending orders of overall agreement which

the responses received from the teachers produce.

Covering all the fields, Graph 6.2 illustrates the distribution of the responses from classroom teachers and heads; Graph 6.3 does the same for department heads and deputy heads. The polarities shown in Table 6.4 can be identified in these graphs and comparisons made with the positions in the remaining fields help to call the attention of managers of teacher appraisal systems to their potential importance.

CLASSROOM OBSERVATION
COMPARISON OF THE VIEWS OF
CLASS TEACHERS AND HEAD TEACHERS

GRAPH 6.2

CLASSROOM OBSERVATION
COMPARISON OF THE VIEWS OF
DEPARTMENT HEADS AND DEPUTY HEADS

GRAPH 6.3
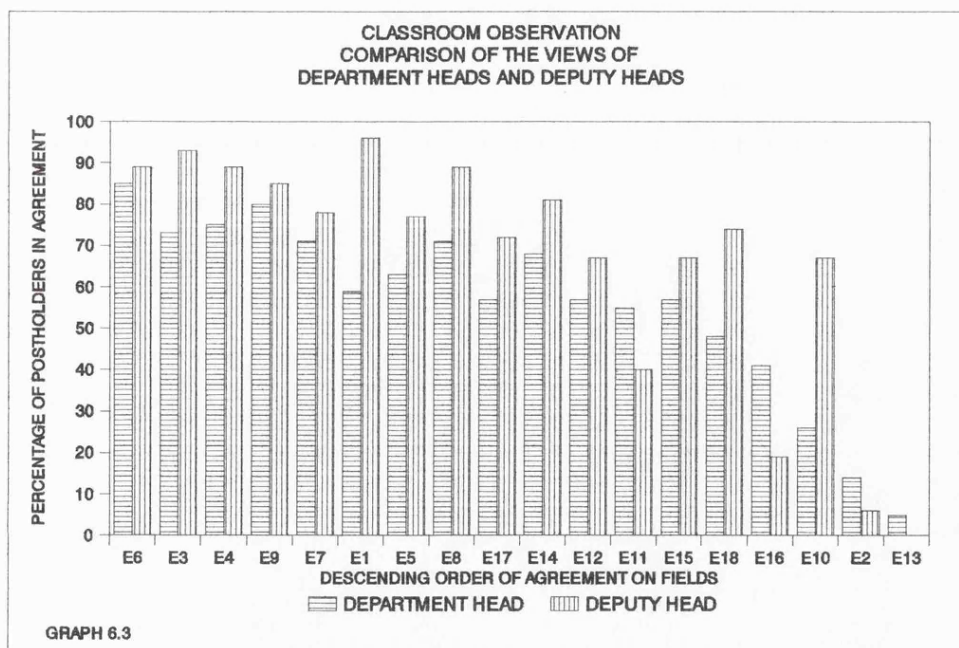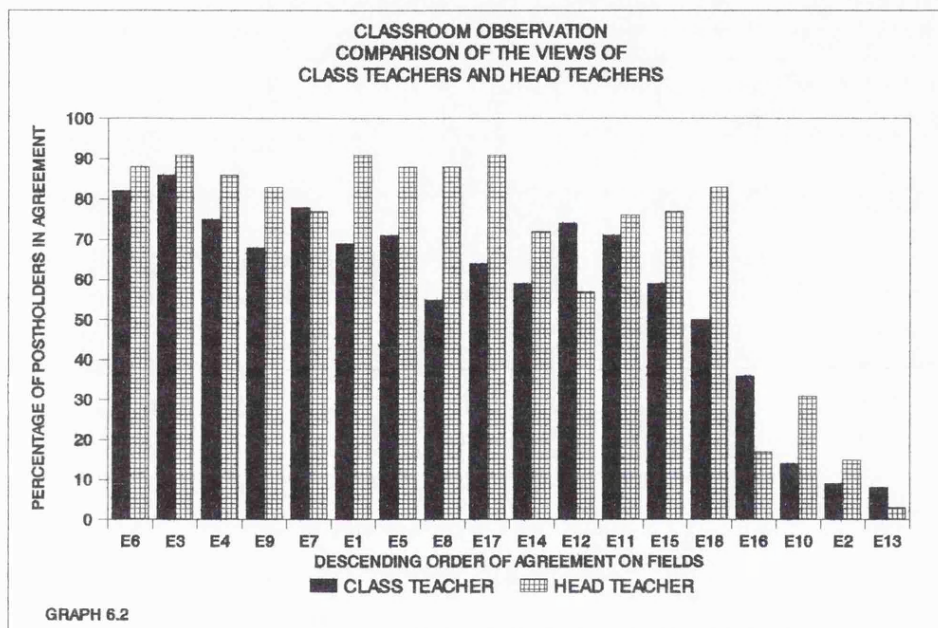
In the main, the divergences in teachers' views on classroom

observation are associated with differences of status. These
divergences are displayed in the responses to the eight items
E1, E8, E17, E12, E11, E18, E16, and E10 which are set out in
Table 6.4.

Table 6.4	TEACHERS' VIEWS ON CLASSROOM OBSERVATION: MAJOR FIELDS OF CONCERN ON WHICH THERE WAS DIVERGENCE ASSOCIATED WITH STATUS
Item	Detail
E1	My views on pedagogy are expressed in my actions in the classroom P = 0.01
E8	From systematic classroom observation reliable information about the complexities of teaching can be gained P = 0.02
E17	An outcome of systematic classroom observation is improved effectiveness in self-evaluation P = 0.05
E12	Untrained classroom observers cannot be objective P = 0.01
E11	I need familiarisation with classroom observation instruments and their use P = 0.01
E18	Systematic classroom observation contributes to the improvement of pedagogical practice in the school P = 0.01
E16	Students never behave normally if there is an observer in the classroom P = 0.01
E10	I am familiar with classroom observation instruments P = <0.01

There are also divergences associated with differences in
the size of the schools in which the teachers were teaching.
There are five items which reflect the latter type of
divergences. These are items E5, E14, E15, E2, and E13 set
out in Table 6.5. The divergences which are associated with
phase concern items E3, E10, E12, E14, and E16 and these are
set out in Table 6.6. As an indicator of the significance of
the divergence of the responses associated with the relevant
variable: level of post, size of school or phase, the P
calculation is given after the item in the tables. In line
with this approach to divergence in the teachers' views, more
detailed attention is next given to the data relating to the
influence associated with the level of the post held by
respondents and to the fields concerned which are shown in
Table 6.4. Supporting the argument about divergence, Table
6.5 contains a summary of numerical data which illustrates the

polarities.

Table 6.5	THE VIEWS OF THE TEACHERS ON CLASSROOM OBSERVATION: POLARITIES ASSOCIATED WITH THE LEVEL OF THE POST HELD			
Item	Proportion of Category in Agreement			
	Heads	Postholders Scales 1, 2	Deputy Heads	Heads of Department
E1	90.9	68.5	96.1	59.1
E8	88.3	55.3	88.9	70.5
E17	91.2	63.6	71.5	56.9
E12	57.1	74.0	66.6	56.9
E11	75.7	70.7	40.0	54.8
E18	82.8	50.0	74.0	47.7
E16	17.1	36.4	18.5	40.9
E10	31.4	13.7	66.7	26.2

In terms of the original structure of the questionnaire, there is a commonality about four items in Table 6.4. These items are E1, E17, E11 and E10 and all bear upon the basic consideration of "self" identified in chapter 4 (see above p. 183, Table 4.10 Sector E). Of the five items included in this basic consideration, the remaining item E4 stimulated responses showing strong agreement, but, unlike the others, it focuses directly on a sharing activity. The design of the other items gave scope for individual differences to find outlets. These differences emerged as significantly associated with the level of the post held by the respondent.

While not all the polarities can be investigated in great depth in this thesis, one such case of importance concerning "self" merits particular study as an example to bring out basic issues. The case taken as such an example is the distribution of the responses to E1. The importance of E1 is realized when reference is made to Bigge's observation that: "everyone who teaches or professes to teach has a theory of learning" (Bigge 1982 p.3). More recently, this point has been expressed more emphatically:

"Successful teachers cannot simply have an intuitive or personal understanding of a particular concept, principle or theory. Rather in order to foster understanding, they must themselves understand ways of representing the concepts for students. They must have

knowledge of the ways of transforming the content for purposes of teaching."

(Wilson, Schulman and Richert 1987 p. 110)

The teachers can be presumed to accept that the importance of their classroom actions is undeniable and, furthermore, according to Bigge:

"Much of the inefficiency in education that research has exposed stems from the way most school subjects are organized and presented."

(Bigge 1982 p.311)

As a basic consideration included in Table 4.10 (above p. 183), E1 was intended to stimulate a respondent to think pedagogically, perhaps to think about such classroom action as leads, or does not lead, to such inefficiency as Bigge (1982) highlights, or, preferably about what achieves the "creation of an atmosphere of mutual enquiry, problem centred study" (Bigge 1982 p. 335). If, therfore, there is significant differentiation in the views of teachers concerning whether a teacher's own views on pedagogy have expression in the actions which the teacher takes in the classroom, then arguably this finding is a concern for the managers of the teacher appraisal system, bearing in mind the implications of such differentiation as a contributory source of an "implementation gap" (Becher 1989).

If the focus in this field (E1) is agreed as being essentially upon the means the teacher creates to enable the pupil to gain learning experiences which have variety and appropriateness, both the means and the experiences are important matters to which HMI have frequently referred (eg HMI 1988, 1989a, 1989b). Desirably, as argued in chapter 3, shared values are expected to underpin a management structure in a school and its pedagogical infrastructure, and the resulting outcomes are those mentioned above which are the focus of E1. If, as is argued in chapter 3 also, a teacher's orientation is considered to depend on these structures and the aim is intentionally to develop this orientation through appraisal, then effective management of the educational and organisational systems is constrained in schools, and so, in consequence, is classroom observation, wherever the views of the teachers concerning pedagogy diverge significantly as, for example, is the case over E1.

Topically, moreover, sharing views on pedagogy is important, for example, in relation to the cross-curricular elements of the national curriculum; and teachers display their pedagogical views by the choice, say, of group teaching methods, or whole class didactic methods, or exercises in critical thinking, to progress these elements. In other words, the views of a teacher on pedagogy have much to do with what is observable in the classroom, a proposition much respected in the cases considered in chapter 2, in the North American context. Nevertheless, on this fundamental component of a school's value system, the teachers' views express differences of agreement which are related significantly to status.

Again referring to the original structure of the questionnaire, E8 and E18 raised the consideration of "general benefits" to be gained from teacher appraisal. Relating to these items, there was significant divergence between classroom teachers and heads of department, on the one hand, and deputy heads and heads, on the other hand. These contrasting positions are further examples of what is referred to as a "polarity" in this thesis.

E18 bears directly on school improvement and the feasibility of its achievement using the instrument of teacher appraisal. The polarity which E18 produced is more marked than that from item E8. The latter touches on the fundamental basis of the value of a teacher appraisal system as a source of reliable data on teaching, or "teacher performance" in the language of the central agencies, and so probably was no less important to the teachers. Both items E8 and E18 are associated with the first factor produced by the principal-component analysis (see above p. 248), and it is useful to make a link here between what the original structure of the questionnaire has produced and the outcomes of that analysis. Besides E8 and E18, also associated with that first factor are E17 positively and E16 negatively.

Each of these items (E8, E18, E17 and E16) is discerned by the teachers as having a strong bearing on whether the results of classroom observation are beneficial, and each produces

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divergence of views amongst the teachers, as can be seen from Tables 6.4 and 6.5 (above p. 263-264). Scepticism about the anticipated results is most frequently evident amongst classroom teachers, followed by heads of department. It seems probable that both were mindful that classroom observation might be conducted in haste, or superficially, and the classroom observation events might be unrepresentative, especially at times because of pupil reaction being expressed by untypical behaviour. The scepticism of about half the classroom teachers and heads of department and the contrasting optimism of most heads (83%) and deputy heads (74%) about classroom observation improving teaching and learning suggest divergences of view which have importance bearing in mind what HMI stated concerning the outcomes from the pilot projects.

HMI stated that they found "firm evidence [was] difficult to come by" to show the effect of appraisal on the work of pupils (HMI 1989 p. 28). Moreover, as it were echoing later the views of the teachers in this sample, teachers in the pilot projects were concerned about the time consumption of appraisal, implying that it would be unwise to have high expectations of the power of appraisal in practice to cause great change in teaching and learning, unless more time was allocated to the process, including classroom observation. The issue of the allocation of time for classroom observation is closely associated with the issue of pupil behaviour which is identified in E16 and, in turn, with the question of "ownership" in the sense(see above p 239) used by Checkland (1981).

The crucial implication of the concept behind E16 is that the ultimate ownership of teacher appraisal is with the pupils, because of their power to be unpredictable, unhelpful, even disruptive, and possibly misleading to an appraiser about the norms of their behaviour or capability. With classroom observation such "ownership" can be argued to matter particularly if two conditions apply: first, if the given purpose of teacher appraisal is to make judgements about overall teacher performance; second, if the amount of classroom observation is of the order of three periods or 1.5

hours, having regard to an annual teaching commitment of between 800 and 1000 periods for most teachers (other than heads and deputy heads). The point about the possible unreliability of classroom observation events evidently of concern much more frequently to the teachers other than heads and deputy heads has been made in another context, but a relevant one, by Galton:

"Since the total amount of observation is usually only a small fraction of the total teaching time it is important to be able to demonstrate that the sample of teacher and pupil behaviour is representative."

(Galton 1982 p. 73)

Unsurprisingly, therefore, large minorities of teachers considered the classroom situation not necessarily to be the same as usual when the appraiser is present, implying that its relative normality needs to be agreed at the time (if possible). The teachers regarded as important not only this aspect of the context in which teacher appraisal operates.

Of the five items in the original structure of the questionnaire bearing on the consideration of "context", only E12 and E16 stimulated divergence in the responses. This divergence was expressed in the form of an inverse polarity in that the frequencies of the responses of strong agreement have an inverse relationship with status. Taking E12 this time as the example, classroom teachers strongly agreed (74%) significantly more frequently than heads (57%) that untrained classroom observers cannot be objective (E12). For this item E12, the proportions of undecided teachers were also inversely polarised, for example, more deputy heads (26%) were undecided than heads of department (16%). Concerning the other example, E16, twice as many heads (75%) as classroom teachers (36%) strongly disagreed that students never behave normally if there is an observer in the classroom (E16). Futhermore, on E16 heads were significantly firmer in their responses than classroom teachers, the proportion of undecided heads (9%) being significantly smaller than the proportion of undecided classroom teachers (27%).

It may be that this situation of polarisation shows the prospective appraisee expressing concern about the objectivity of the appraiser. Principal-component analysis suggests an

inverse relationship within a common factor between views on the necessity for training in classroom observation (E13) and views about the normalcy of student behaviour (E16). Referring back to chapter 5, it may also be the case that there is a link here with the significant differentiation (P = <0.01) between the perceptions of heads (86%) and classroom teachers (54%) that appraisal is a highly personal undertaking for the appraiser. In other words, what is being reinforced and amplified in the data suggesting a polarisation of views on classroom observation is the importance of allowing for individualization in teacher appraisal at all stages in the cycle. Clearly during that cycle, it is also sensible not to take for granted that all the important values are shared by participants.

6.2.5 Influence of the Size of School or Phase on the Teachers' Views on Classroom Observation

Associated with school size and with phase, there are significant examples of differentiatiation in the teachers' views on classroom observation. This type of association is evident concerning ten of the total of eighteen selected fields. Referring to the considerations identified in Table 4.10 (above p.180), five of the fields: E2, E12, E13, E15, E16, relate to context; three: E3, E5, E14, to ground rules; and one each relate to the individual: E10, and to general benefits: E18. In other words, where in relation to school size or phase, the views of teachers on classroom observation are differentiated, typically being to do with context or ground rules, the fields covered are unlike those eight applying in relation to seniority. In cases depending on the latter relationship, significant differentiation applied to considerations affecting most often the individual or "self" (four fields), and not at all to ground rules.

The significant influences of status, school size and phase overlap on context (E12 and E16) and general benefits (E18), and in these instances mostly the primary teachers are being rather more positive in their views than colleagues in other phases. These points merit closer attention which is given below. Tables 6.6, 6.7 and 6.8 give the details relevant to

the analysis pursued in this subsection.

Table 6.6	TEACHERS' VIEWS ON CLASSROOM OBSERVATION: FIELDS OF CONCERN WHERE SIGNIFICANT DIVERGENCE IS ASSOCIATED WITH SCHOOL SIZE
Item	**Detail**
E5	A classroom observation for appraisal should last a whole lesson P = 0.01
E14	Classroom observation by peers should be encouraged P = 0.05
E15	If classroom observation is usual in a school students are unaffected by it P = 0.01
E18	Systematic classroom observation contributes to the improvement of pedagogical practice in the school P = 0.03
E16	Students never behave normally if there is an observer in the classroom P = 0.05
E2	My view is that teachers welcome systematic observation of themselves working in their classrooms P = <0.01
E13	Teachers do not need training in classroom observation P = <0.01

Table 6.7	TEACHERS' VIEWS ON CLASSROOM OBSERVATION: THE SCALE OF THE SIGNIFICANT DIVERGENCES ASSOCIATED WITH DIFFERENT SIZES OF SCHOOLS			
	Proportion (%) of Category in Agreement			
Item\Roll	Up to 200	201-300	301-600	601+
E5	100	64.0	56.2	76.5
E14	68.8	57.7	63.0	77.2
E15	80.0	57.7	40.8	74.3
E18	85.0	52.0	46.3	60.0
E16	24.2	30.7	44.5	24.3
E2	28.1	3.8	5.6	10.1
E13	12.5	0.0	3.7	4.3

As a generalization, it can be said that teachers in the smaller schools, thus particularly in the primary phase, tended to be clearer in their views than the teachers in the other phases on positive issues of classroom observation. For example, the primary teachers appeared to believe that they could take classroom observation in their stride.   In the smaller schools with rolls not greater than 200, which were all primary, a large majority of the teachers (80%) considered that pupils would be unaffected by classroom observation if it

were usual in the school (E15). In schools with rolls between 201 and 600 many fewer teachers shared these views (see Table 6.8 item E15). The proportion of undecided teachers (29%) was twice as high as in the smaller schools (12%). The non-linear relationship which shows teachers in smaller and larger schools with likenesses of views and contrasting in this respect with teachers in schools of middle size appears to reflect mainly a middle school factor in considerations bearing on phase. The distribution of the teachers' responses sorted according to the phase in which they taught is illustrated in Graph 6.4.

TEACHERS' VIEWS ON CLASSROOM OBSERVATION
COMPARED BY REFERENCE TO THE PHASE
OF THE TEACHERS' SCHOOLS

GRAPH 6.4
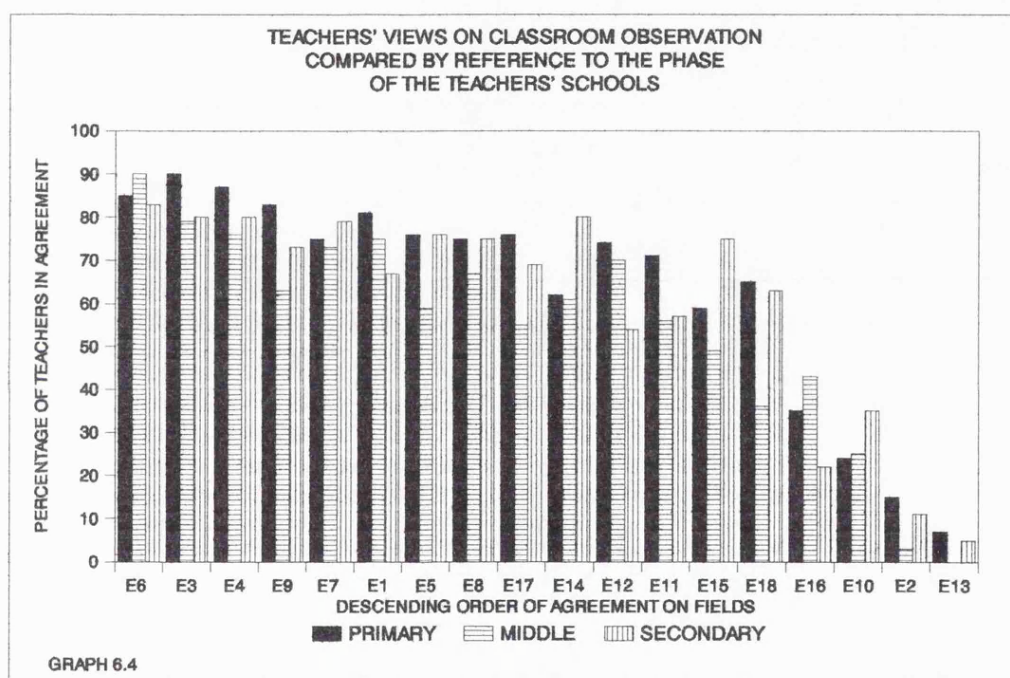
The middle school factor is considered in further detail below. A large majority (70%) of the same category of teacher believed classroom observation by peers should be encouraged (E14). Almost all of the teachers (94%) in primary schools of whatever size stressed the importance of the appraiser being familiar with a teacher's class and classroom before a classroom observation for appraisal occurred (E3). Whatever the size of their schools, it was the view also of most primary teachers (74%) that appraisers required training to enable them to be objective. Given that the implicit conditions indicated here obtained, it appeared that 85% of the teachers in the smaller primary schools believed that systematic classroom observation would contribute to the improvement of pedagogical practice in their schools. These

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primary teachers ably then expressed strong and consistent views which could be said to demonstrate a positive prospective approach to classroom observation. However, in the primary schools overall the proportion of teachers of the same mind was smaller (65%), and approximately the size of the proportion of secondary teachers who expressed this view.

As Tables 6.7 and 6.8 and Graph 6.4 indicate, the primary teachers generally indeed are closer in their views to teachers in the secondary phase than to the teachers in the middle schools. In a number of fields, these latter teachers are found to follow a line of their own and appear frequently not just to have views which are distinctive but which may be interpreted to be sceptical. For example, unlike the primary (59%) and secondary teachers (75%), the middle school teachers who consider pupils are unaffected by classroom observation if it is usual in a school (E15) are in a minority (49%). Again, but more markedly, contrasting with their counterparts in the other phases, the teachers in the middle schools who were positive in expressing the view that systematic classroom observation contributes to the improvement of pedagogical practice (E18) were in a minority (36%). Just looking at school size can be initially misleading as regards phase as the responses from teachers in the main middle school size range (301 to 600) taken as a whole, and so including primary teachers, show the minority as larger at 46%. Comparatively, the majorities of the teachers in the other ranges of school size are 85% (up to 200) and 52% (201 to 300) and 60% (600+).

Table 6.8	TEACHERS' VIEWS ON CLASSROOM OBSERVATION: SCALE OF SIGNIFICANT DIVERGENCES ASSOCIATED WITH DIFFERENT PHASES		
Item\Phase	Proportion (%) of Category in Agreement		
	Primary	Middle	Secondary
E3	90.4	78.8	80.0
E12	73.5	69.7	53.8
E16	34.8	42.5	21.6
E10	24.3	25.0	35.4

On a practical issue of importance also, middle school teachers are found to have views frequently different from

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their primary and secondary colleagues in that 40% expressed doubt over whether classroom observations should last for whole lesson periods. Such doubt was expressed alike by less than 25% of secondary and primary teachers. With the primary teachers in the smaller schools, all indeed considered that an observation for appraisal should last a whole lesson. Associated with these differences of views, the resource implications, for example, cover time for observers or flexibility in the deployment of observers, might acquire sensitivity and other importance at the operational level of classroom observation. This might happen sufficiently to make this a problematical issue of magnitude in certain schools, if the key people responsible for management differed in their views from the rest of the staff. On the other hand, if the concern in the minds of the middle school teachers was with the institutionalization of classroom observation then other interesting considerations require attention which is given them in the final section of this chapter.

It was however not just the middle school teachers who had their own line in some practical fields, but also the secondary teachers. While in the views the secondary teachers expressed, they were indeed mostly nearer to the primary than to the middle school teachers, in some instances a significant distinctiveness was evident. For example, the category of secondary teachers included the largest minority (35%) who claimed familiarity with observation instruments (E10) and the smallest majority (54%) who were strongly in agreement about the need for training in classroom observation (E12). In expressing these views, the secondary teachers were possibly influenced by their main classroom observation experience which was with probationers (and is referred to more fully to in the next section of this chapter). The secondary teachers had observed and been observed by probationers significantly more frequently than was evident for teachers in the other phases.

6.2.6 Conclusions

As has been seen in previous chapters, the typical model of

experience for classroom observation has appeared as that used to confirm completion of probation for newly begun teachers. Such experience does not suggest that this model is generally known to rely on rigorous observer training nor the use of sophisticated observation instruments, but rather on the probationer receiving guidance from a long serving teacher or a teacher of senior status. It is the latter arrangement which can be inferred from the teachers' views expressed in this research. The considerations of context of which this arrangement is an example are often mentioned in this section.

A quite clear message emerges which is that in situations where teacher appraisal is being introduced, the managers of the change need to look out for viewpoints distinctive of status, school size or phase. If they do, they are likely to be rewarded through a resultant enhancement of understanding of the needs of the participants. A part of the conclusion to this section comprises the second step of the SWOT analysis, this time introducing suggestions which the teachers' views imply as signs of weakness in the classroom observation component of the teacher appraisal cycle. These suggestions are summarised in Table 6.9.

Table 6.9	CLASSROOM OBSERVATION: THE COMPONENT OF WEAKNESS - THE VIEWS OF THE TEACHERS
Originating Item(s)	Detail
E2	Classroom observation fails to become welcome to participants in teacher appraisal
E15	Phase distinctions or the effects of school size are overlooked
E11/E13	Appraisers and appraisees are unfamiliar with classroom observation instruments and lack adequate training
E12/E16 E18	Inversely with status, participants doubt and diverge in opinion over the capacity of the system to bring support to themselves and benefits to pupils
E1	Pedagogical theory and practice are not systematically studied in the light of data yielded from classroom observation

The managers of change need to have regard to the experience of teachers besides their views. The teachers' experiences of classroom observation provide the subject of the next section.

6.3 TEACHERS' EXPERIENCE OF CLASSROOM OBSERVATION

6.3.1 **Introductory**

In the questionnaire, the sector which was designed to elicit
teachers' experience of classroom observation comprised
eighteen items. Details of the items are given in Appendix
4.1 Sector F. Graph 6.5 illustrates the variance of the
teachers responses. The basis for the graph is provided by
the responses scored "very experienced" (points 4 and 5 on the
five point scale). The graph shows these responses
distributed in the selected fields proportionately to the
levels of the posts held by the respondents. Appendix 6.6
gives the data from which the graph is derived. The sets of
responses illustrated in the graph are examined below in
detail.
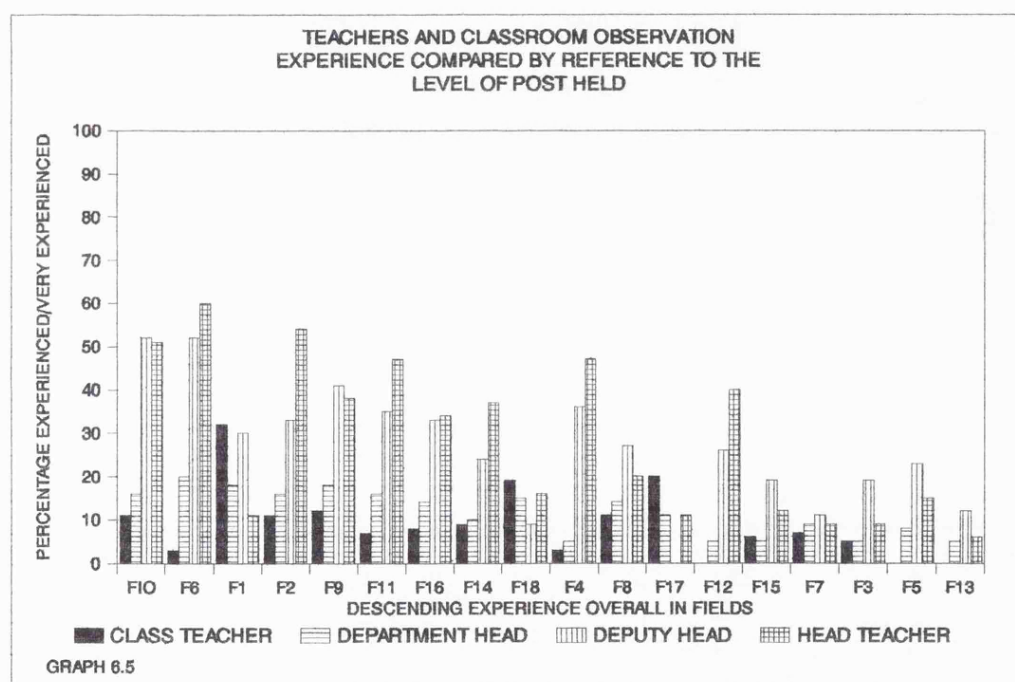
GRAPH 6.5

As Graph 6.5 shows, overall the majority of the teachers were
not very experienced in any of the selected fields of
classroom observation. This is the finding from the responses
whether the teachers are considered as teachers in the
classrooms where observation takes place, or as observers in
other teachers' classrooms. As shown in the graph, the data
gathered using the questionnaire brings out considerable
differences of scale in the teachers' experience. This graph
shows differences which are related to seniority and thus
demonstrates the relationship which is the predominant feature
of the teachers' experience of classroom observation taken as

a whole. In this section, the main task of analysis concentrates on this feature.

Applying a procedure of listwise principal-component analysis to the data leads to the identification of four factors which account for 66% of the variance of the teachers' experience. Of these four, one factor accounts for 43% of the variance and it is an encapsulation of what typifies the experience of classroom observation investigated in this research. Mainly that is superordinate observation (F6) for a whole lesson (F10). Also loading significantly on this factor are experience as a regular observer at least once a term (F4), observing supported by sufficient pre-planning expertise (F15), and being an observer within the observer's own department/school (F12).

The second factor accounts for 9% of the variance. It is the most important determinant of the nature of the opportunities for observation experience when these opportunities are considered from the viewpoint of the person being observed (F1). This factor accounts for the extent of the experience possessed of observing in a classroom as a peer (F7), and in a school other than the own school (F3). Judging from a measure of negative correlation (r = -0.367) within the statistics for this factor, the distribution of the experience of observing a probationer (F9) is explained as an activity not associated with teachers who typically are in the position of the observed person, rather than the observer, regardless of considerations of probation as such. This can explain why classroom teachers infrequently (12%) had the experience of observing probationers (F9).

As basic considerations applying to teacher appraisal, items F3, F7 and F9 were identified at the design stage of the questionnaire as probes into potentially important areas (see chapter 4 and Table 4.11 Sector F above p. 184). The emergence of this second factor in the principal-component analysis substantiates the case for seeing teachers observing in schools other than their own (F3), peer appraisal (F7), and the observation of probationers (F9), in this light as

exemplifications in a school of a distinctive management approach which is highlighted as it inclines or disinclines towards collegiality in staff relationships and the active fostering of professional growth through learning from action research.

Overlapping partially with others, the remaining two factors are not simple, but betweem them account for 14% of the variance. These factors are probably reasonably well expressed as being about the training and preparation of observers and, to some extent, the observed, and the provision made for that in school and elsewhere. Specifically, one factor embraces: observation facilitated through Inset (F13), acquiring sufficient pre-planning expertise (F15), and ensuring adequate follow-up (F16). The other embraces: experience as an observer in a school which is not the teacher's own (F3) and as an occasional observer less frequently than once a term (F5).

The above findings of the principal-component analysis and their interpretation so far suggest that the initial hypothesis is true that teachers are unlikely to have experienced classroom observation in situations where a peer relationship prevails between the observer and the observed. The comment is prompted that if a system of teacher appraisal modelled on the current experience is adopted, the findings of this analysis therefore further suggest as the considerations which are going to govern the way classroom observation is conducted that positions in hierarchies and superordinate controls are likely to predominate over the considerations brought to the fore in the analysis of the teachers' views undertaken in section 6.2 above. In order to probe deeper into the nature of classroom observation experience another step in the analysis of the data is necessary. This step follows the same lines which are adopted concerning teachers' views in section 6.2.

6.3.2 Teachers' Experience of Classroom Observation: the Principal Characteristics

With regard to the teachers' experience of classroom

observation, it is suggested in chapter 4 that there are four basic considerations which merit attention (see above p.183, Table 4.10 Sector F). The experiences of being observed, of observing in classrooms, and the context are addressed in this subsection. The incidence and duration of classroom observations which is the remaining consideration is dealt with in subsection 6.3.3. In these subsections, the analysis again relies on the output from using the methodology of crosstabulation described in chapter 5 (see above p. 192).

This further step of analysis develops from the previous step (see subsection 6.3.1 above) and reinforces the research finding that the experience teachers have whether as observers or in being observed can be differentiated strongly in relation to the level of the posts they hold. Sometimes, also, years of experience and changes of school probably had a practical bearing, but as a rule these factors in the teachers' careers seemed accompaniments of their progress to seniority, rather than independent variables affecting the events of classroom observation significantly. Attention is therefore concentrated on the apparent effect of seniority in the continuing analysis.

Graph 6.5 (above p. 275) shows that when the greater experience of heads compared with other teachers is examined that it is not distributed evenly across all fields. Large proportions of heads, most often over half, made no claims to being very experienced in the majority of the fields. Reference to this unevenness of experience calls attention to many interesting situations. For example, very distinctively amongst the four teacher categories, the classroom teachers most frequently were experienced or very experienced as observed persons in classrooms (F1), but only a minority of 32%. When they were being observed, a principal characteristic of the role of these classroom teachers was the position it generally reflected of the teachers as subordinates, rather than peer professionals. They were much less involved in classroom observation in the latter role than as a subordinate, observed person. Few of these teachers, less than 7%, recorded the experience of observing in

situations of peer observation (F7). Not a much higher proportion (11%) claimed they were very experienced in classroom observation in a team teaching situation (F8).

Hardly a classroom teacher (3%) claimed to be very experienced in observing as a superior (F6). Moreover, between 11% and 12% only of classroom teachers were very experienced in some form or other of observing, and the most frequent form recorded (12%) was observing probationers (F9), whom, doubtless, they did not see as their subordinates. The minorities of classroom teachers with a comparable experience of functioning as observers in the other fields are even smaller and range mostly well below 11%.

The experience of being the observer in a classroom (F2) was most frequently recorded by the heads (54%) followed by the deputy heads (33%) and they saw themselves in the observing role mainly as superiors (F6). Affirming they were very experienced in this role as superiors, the proportion of these experienced heads was 60% and of experienced deputy heads 52%. These proportions contrast with the low proportions of heads (9%) and deputy heads (11%) who were very experienced in observing as peers (F7). Another interesting contrast is that significantly more deputy heads (30%) than heads (11%) were experienced as teachers being observed (F1).

In the previous two paragraphs, what has been described concerning classroom teachers in particular is intended to be noted as a benchmark against which to position the experience of the teachers in the other categories. In most forms of classroom observation, these other teachers were comparatively more frequently very experienced. The differences in experience between the categories are markedly greater most often when the classroom teachers are compared with the heads and deputy heads rather than with the heads of department. Generally, with reference to the eighteen fields of classroom observation under review, when the responses of the teachers are compared according to their four categories, there is significant differentiation more often than not. The thirteen fields where this occurs are given in Table 6.10.

Table 6.10	TEACHERS AND EXPERIENCE OF CLASSROOM OBSERVATION: FIELDS WHERE DIFFERENTIATION WAS SIGNIFICANT ACCORDING TO LEVEL OF POST	
Item	Detail	n = 181
F10	Observing for the whole period of a lesson $P = <0.01$	
F6	Observing in a classroom as a superior $P = <0.01$	
F1	As a teacher being observed $P = 0.05$	
F2	As an observer within my own department/school $P = <0.01$	
F9	Observing a probationer $P = 0.02$	
F11	Observing for a period of less than a lesson $P = <0.01$	
F16	Observation supported by adequate follow-up $P = <0.01$	
F14	Observing where all colleagues have been supportive $P = <0.01$	
F4	As a regular observer at least once a term $P = <0.01$	
F12	Observing as part of a commitment ongoing from year to year $P = <0.01$	
F15	Observing supported by sufficient pre-planning expertise $P = <0.01$	
F3	As an observer in a school other than my own $P = 0.04$	
F5	As an occasional observer less frequently than once a term $P = 0.01$	

Concerning these thirteen fields of classroom observation, it is an important finding that the proportions of the experienced teachers in the different categories tend to show polarities, using this term in the sense already defined with regard to teachers' views (see above p. 261). The polarities again are pointing to positions which distinguish the heads and deputy heads from heads of department and classroom teachers (postholders on scales 1 and 2). A numerical expression of the polarities is given in Table 6.11, and graphically, in graphs 6.6 and 6.7 (see below pp. 281-3)

Several inferences can be drawn from the data given in Table 6.11 on the next page. For example, judging from the data relating to item F1, the majority of the prospective appraisers are unlikely to have had recent experience of being

observed. This means, for example, that probably only 1 in 10 of the heads are likely to be in a position to understand classroom observation at first hand from the point of view of the observed teacher.

Table 6.11	POLARITIES IN THE EXPERIENCE OF CLASSROOM OBSERVATION: INFLUENCE OF SENIORITY			
Item	Proportion of Experienced Teachers in Category			
Item	Heads	Postholders Scales 1, 2	Deputy Heads	Heads of Department
F10	51.4	10.5	51.8	15.9
F6	60.0	2.6	51.8	20.4
F1	11.4	31.6	29.6	18.1
F2	54.3	10.6	33.3	15.9
F9	38.2	11.8	40.1	18.2
F11	47.0	6.7	34.6	16.3
F16	34.3	7.9	33.3	13.9
F14	37.2	9.4	24.0	9.7
F4	47.1	2.7	36.0	4.7
F12	40.0	0.0	25.9	4.6
F15	11.7	5.5	18.5	4.6
F3	8.8	5.2	18.5	4.6
F5	15.3	0.0	22.7	7.5

Next, attention turns to the context in which classroom observation took place in the experience of the teachers in the sample. Not all aspects of this context are intended to be explored below, only three key aspects related to management. The three concern: support from colleagues (F14), pre-planning (F15) and follow-up (F16), all of which were identified by Duke and Stiggins (1986) as, so to speak, "make or break" matters in teacher appraisal, and thus likely to have impacts crucially influencing estimations of success in teachers' eyes.

As shown in the data for item F16 in Table 6.11, about equal minorities of both heads (34%) and deputies (33%) indicated that adequate follow-up supporting classroom observation was something with which they were very experienced. Bearing in

mind how many heads and deputy heads were used to observing in classrooms (F6), comparing the responses to items F6 and F16 suggests that each minority comprises between half and two thirds of the probable total of heads and of deputy heads who might have affirmed they were satisfied on this point. The comparable proportion of classroom teachers is much smaller, about a quarter, if, in this case, the comparison is made between the frequencies in the data for F1 and F16 relating to these teachers (see Table 6.11).

CLASSROOM OBSERVATION
COMPARISON OF EXPERIENCE BETWEEN
HEAD TEACHERS AND CLASS TEACHERS

GRAPH 6.6
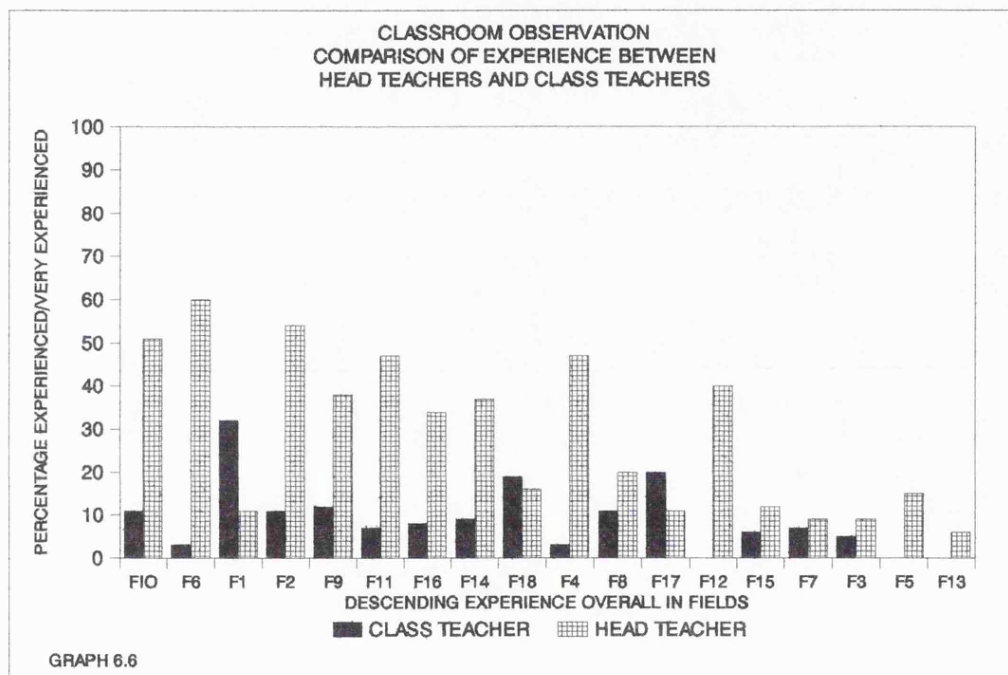
Heads (37%) acknowledged the supportiveness of colleagues more frequently than deputy heads (24%), but neither proportion displays parity with the proportions of these senior teachers who as superiors were very experienced as observers, as a comparison of the frequencies of the responses between F6 and F14 makes clear. It has to be inferred therefore that the supportiveness of teachers was not something which was taken for granted in situations of superordinate appraisal. In situations of peer appraisal (F7), it seems the supportiveness of colleagues was generally granted, for example, between classroom teachers. This latter opinion is based on the grounds of the match of the frequencies in the data relating to these teachers between items F2, F10, and F14. While the experience of department heads is less clear, they seem nearer to classroom teachers than to heads and deputy heads in this field (F14), as a similar study of the data shows, using

additionally Appendix 6.2.

CLASSROOM OBSERVATION
COMPARISON OF EXPERIENCE BETWEEN
DEPARTMENT HEADS AND DEPUTY HEADS
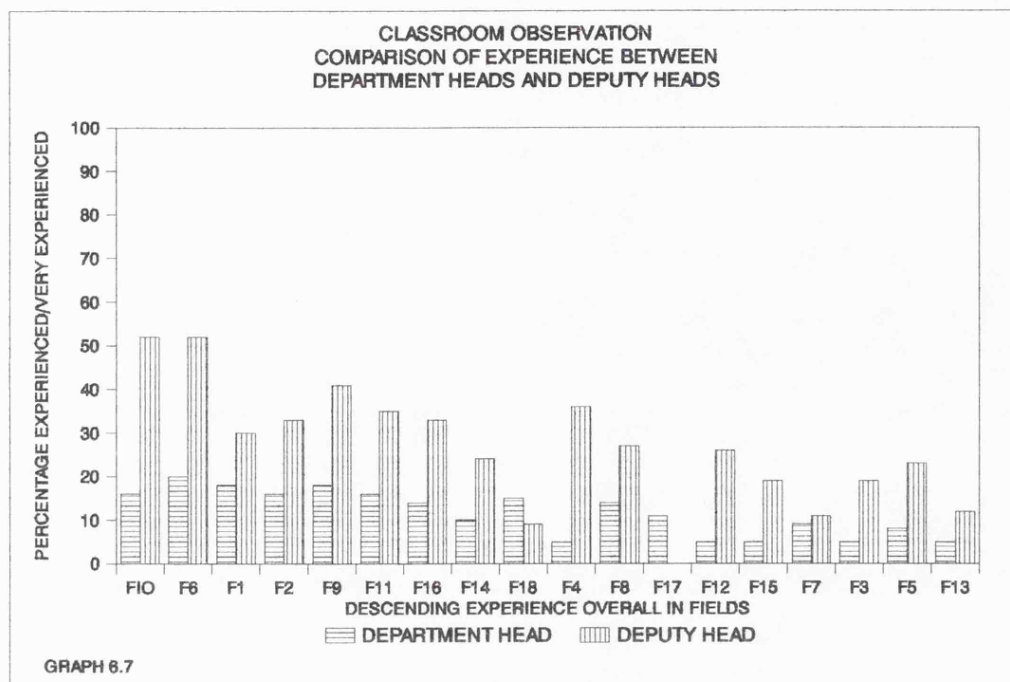
GRAPH 6.7

Few teachers in any category indicated they were very experienced in classroom observation which was based on sufficient pre-planning expertise (F15). In Graph 6.5 the data concerned is represented in column F15. The deputy heads who provided the highest proportion of very experienced teachers in any category were a small minority of their own number (19%). The proportion of deputy heads (24%) who claimed to be very experienced in observing with supportive colleagues (F14) was somewhat higher. Curiously, seeing there is disparity in the responses between F14 and F15 and that there are polarities here also, it is apparent therefore that the presence of supportive colleagues did not alone secure that sufficient pre-planning expertise was applied to classroom observation, implying that goodwill was not enough and that the pre-planning could not be done without the relevant skills.

It is a reasonable surmise to base on this aspect of the research that probably the acquisition of such skills was not easy in a context lacking a general call for them. As indicated above in this chapter, difficulty might have arisen because associated with classroom observation there were so many new skills to develop, for example, through achieving familiarisation with classroom observation instruments (E11),

improving self-evaluation techniques (E17), or seeking to improve pedagogical practice (E18). None could be disregarded and all these skill areas could have been of importance in this pre-planning in any school. The principal-component analysis applied to the teachers' views brought out the importance of skills acquisition by appraisers. In their collective view, potential weaknesses in the component of classroom observation in the teacher appraisal cycle are mainly to do with skills (see above Table 6.9 p. 274). Additionally creating a source of difficulty, as shown in the chapter 5, there was the area of goal setting where the large majority of teachers were without adequate experience. This finding concerning the absence of experience in the exercise of key skills, reinforces the argument suggesting the interpretation which the teachers appear to have given "credibility" as an attribute of an appraiser dependent on possession of defined skills (see above pp. 197-8, 203).

For the most part, the experience which the teachers had of classroom observation was gained in their own schools (F2). The data for item F2 shown in Table 6.11 (see above p. 281) illustrates this point. Comparing the data for item F2 with that for item F3 which shows the small minorities with experience of observing in schools other than their own underlines the point. What is seen then is that apart from the deputy heads who made up the largest minority and amongst whom in this minority, in response to questionnaire item F13, two thirds indicated that they had gained their extended experience through Inset, fewer than 1 in 10 of other teachers recorded participation in classroom observation elsewhere than in their own schools (F3). Within their own schools, few teachers were very experienced in shared activities involving classroom observation, for example, team teaching (F8) or peer observation (F7) (see Appendix 6.2).

In the previous paragraphs, there is an implication of insularity being characteristic of the events of classroom observation identified in this research. Before considering this implication further (in subsection 6.3.4 below), what is remaining for prior examination is the incidence and duration

of the experience of classroom observation.

6.3.3 The Frequency and Duration of Classroom Observation Events

The teachers who were experienced observers were invited to write in the frequency of their classroom observations, if these were happening other than termly. The most frequent incidence of classroom observation which was recorded nevertheless was termly (32%), followed in turn by monthly (18%), then weekly (11%), with other frequencies such as "ongoing", "irregular", and a variety of periodicity being also mentioned, but each instance only once or twice. Because the proportion of experienced teachers overall was 26%, their actual number was a low one; and even though the response rate was high (80%), the sample from which this detail was drawn was small (n = 38).

The data on the duration of classroom observation events was also constrained because of the lack of experience of most teachers. The findings now described have therefore to be assessed within the limitations of the sample from which they are drawn. Observing for a whole lesson was the mode which experienced heads (51%) and deputy heads (51%) participated in most frequently, and to an equal extent (see Table 6.11 item F10). Observation which was part of a commitment from year to year was more frequently undertaken by heads (40%) than other teachers, including deputies (see Table 6.11 item F12), and so was observing in classrooms for periods which were less than whole lessons (see Table 6.11 item F11 above p. 281).

The commitment to a termly frequency for classroom observation in preference to other intervals was expressed more firmly by teachers in primary schools (50%) than in middle and secondary schools. For the latter, no preferred arrangement was evident and decisions on timing appeared to be left to the discretion of the participants. Timing was however precisely expressed by secondary teachers who referred to intervals such as termly, half-termly, or fortnightly. In contrast, in middle schools the preference was for "ongoing" arrangements. Primary (65%) and secondary (63%) teachers much more

frequently agreed on the value of systematic classroom observation (E18) than middle school teachers (36%) and this distribution of affirmative responses might explain the difference in the responses over timing. It might account for the precise descriptions mostly given by the primary and secondary teachers, implying their approaches were probably more structured than those of their middle school counterparts.

6.3.4 Reflections on Teachers' Experience of Classroom Observation

An important comment at this point is that it seems the presumptive managers of teacher appraisal systems can safely anticipate very little prior experience of classroom observation as the possession of the majority of the classroom teachers. These managers need probably to assume that the component of classroom observation in the teacher appraisal cycle promises to be a wholly new experience for nine out of ten classroom teachers. It is then a reasonable inference that the desirable approach towards introducing classroom observation to classroom teachers is to see it as an innovatory type of intervention in their mature professional life, touching directly on their "core tasks", adopting the phrase from Hoyle (1986). Moreover, if a conclusion is drawn from a measurement of the scale of the potential impact of classroom observation upon these teachers, this is the implicit prediction of quantum changes in fundamental aspects of management in schools, a matter it is necessary to discuss in the conclusion to this chapter. One such change, for example, is likely to arise from the impact of classroom observation on teachers' understandings of concepts such as "collegiality", or the "credibility" of superordinates, leading to new expectations concerning peer professional relationships in schools.

An instance of such a new expectation is linked to the important issue which arises in subsection 6.3.2, namely the issue of whether classroom observation ought to be undertaken by appraisers without experience at a mature stage in their careers themselves of being systematically observed teaching

in the classroom. Even if a start has to be made somewhere, it appears necessary to consider whether observer training needs to include periods for the observer to be observed, as commonly arranged in North America (see chapter 2). Futhermore, if it is considered a matter of equity for all those who teach to be observed while teaching, a major change is necessary in practice affecting heads. On the point, NSG stated ambivalently:

> "We do not ... suggest that observation of teaching should be a required component of appraisal for teaching heads ... [we only] recommend that it is normally included ... ".

(NSG 1989 p. 15, para. 56)

This ambivalence contrasted baldly with the categorically imperative recommendation already noted from NSG that all other teachers should be observed teaching, without exception.

NSG did not accompany its recommendation with a detailed explanation, and thus made no suggestions about how current modes of experience in the fields of classroom observation may be adapted, keeping the situation unsettled and open much as it had been left earlier by ACAS (ACAS 1986 para 7. iii)). This means that managers of teacher appraisal systems have to consider the implications for the organizational and educational systems in their schools of many important issues connected with classroom observation which were not addressed by NSG. Teachers in all the categories defined in this research are inevitably affected by what these managers decide, once teacher appraisal is implemented under government regulations.

As a further illustration of one of the issues in mind, perhaps the most important, namely that associated with the trend towards collegiality amongst teachers in their approaches to management matters in schools, reference is useful to classroom observation when conducted in the circumstances of team teaching and peer observation. These are each fields where experience was lacking amongst the teachers in all categories. Yet, as demonstrated in chapter 5, almost all the teachers (99%) in the sample perceived appraisal to include the opportunity for appraisee and appraiser to engage in a two way exchange of views (A14).

Such exchanges are taken here as characterising staff relationships distinguished as "collegial". These exchanges are integral to team teaching and peer observation and are fostered in schools therefore where these fields of classroom observation are developed.

In those schools, what then is desirably discouraged is a perpetuation of classroom observation based exclusively on the one way dominance typical of a superior/subordinate relationship which, judging from this research, was such as appeared at the time in the minds of most prospective appraisers as the model for classroom observation. Evidently this was the relationship which they mainly identified as distinctive of the practice with which they were experienced. Lacking compatibility with the promising changes in viewpoint noted in chapter 3, this style reduces the options governing the ways to manage the teacher appraisal systems and, in consequence, schools. The issue is one which has been well expressed by Stego who argues that there is pressure on schools to secure:

> *an increased social interplay among school staff at all levels and between them and the community*
>
> *increased pedagogic efficiency*
>
> *increased democracy in the school's internal work*

(Stego 1987 p. 191)

Moreover, the promising changes noted in chapter 3 are argued there to need encouragement if teaching and learning in the schools are to be helped to progress by means of teacher appraisal. There appears then a double irony. Not only the policy position of the central agencies but also, if the sample of experience discussed here is taken as representative, much of the current approach to classroom observation are alike militating against the emergent practice of greater involvement of teachers in policy making in the management of teacher appraisal, no less than of schools. The irony comes in the inevitable conclusion that these actual and potential sources of influence on teacher appraisal being discussed may combine and gather strength together, and then may threaten to constrain severely rather than promote freely the capacity of the teachers to progress teaching and

learning. The promising trends reflected in the views of the teachers on classroom observation are therefore at risk of being arrested in the grip of a hierarchy with limited experience.

There is also a constraint on change evident in the second issue requiring attention here. This is the issue of the insularity which traditionally has tended to characterise both the operation of schools and more particularly the manner in which teachers go about their business in them. This issue is indeed not without connections with the previous issue considered, but some other concerns arise not previously seen in its light and which are related to other aspects of the experience which the teachers had of classroom observation.

At school level, insularity was evident in that the occurrence of classroom observation was infrequently elsewhere than in the home school (F3). At the level of the individual teacher, insularity, or isolation, was evident in the rarity of both peer observation (8%) and observation associated with team teaching (16%). When more particularly taking account of the level of a teacher's post and the related factor of years of experience in teaching, this isolation was compounded because the teachers who were at a mature stage in their careers were in effect largely supplanted in the events of classroom observation by probationers who seemed to have made up the majority of the teachers who were observed. As the probationers compared with the mature teachers probably had different and rather basic concerns, survival for instance, it is argued here that logically if ideas on professional growth appeared on the follow-up agenda after a classroom observation event, which was probably not often, two way exchanges of ideas were hardly expected.

Consideration of professional growth in the context of classroom observation has therefore to be considered an innovation, requiring distinctive management on its own account, as such. If it is an innovation, making this consideration realizable cannot be assumed to happen easily (Miles et al 1987). Therefore, given the above

interpretation is true of the context for the development of teacher appraisal, the consequence attends from the teachers' responses (B1) concerning their professional development that in the high expectations which they mostly had on this that the teachers were very vulnerable. Teacher isolation limits the experience teachers can gain, and it does not greatly foster professional development activity which depends on change of experience. Furthermore, as Fullan has argued in relation to change in the context of curriculum mangement:

> *"Change also involves new behaviours and practices, and ultimately new beliefs and understandings. It involves change in what people know and assume."*

(Fullan 1989 p. 147)

Fullan's remarks have relevance to this consideration of insularity.

Thus, there seems to be an important but problematic finding which emerges from these discerned characteristics of insularity which typically were attached to classroom observation in most schools involved in this research. This finding probably explains why classroom observation did not stimulate the teachers with the most experience of being observed to believe that valuable gains from classroom observation were about to be made once teacher appraisal was introduced.

Here perhaps is found an important part of an explanation of the responses to questionnaire items B7 and B8 which are the subject of query in chapter 5. These responses indicated that about half the classroom teachers probably had made low assessments of the gains in teaching and learning likely to come from teacher appraisal. Making a reasonable assumption, it was probable that the teachers expected that the gains in question from the cycle of teacher appraisal would be mediated and, so to speak, tested through its classroom observation component. If they were unimpressed with the latter, then not very frequently would they agree that there would be improvements either in their teaching (52%), or in the attainments of their pupils (42%) resulting from this cycle. What is still particularly problematical is reconciling this low expectation concerned with the impact of teacher appraisal

upon their core tasks with the frequent expression (77%) of strong agreement by the same category of teachers that it will promote their professional development (B1).

By way of providing a summary of points made in this section and in the light of the above reflections and the data on teachers' experience of classroom observation, the opportunities likely to be placed before the managers of teacher appraisal systems can be summarised on the lines set out in Table 6.13.

Table 6.13	CLASSROOM OBSERVATION: THE COMPONENT OF OPPORTUNITIES - AN INTERPRETATION OF THE EXPERIENCE OF THE TEACHERS
Originating Item(s)	Detail
F14	The supportiveness teachers exercise towards each other over matters of pedagogy is increased because of the normative influence of classroom observation
F8	Classroom observation is used as an instrument to promote team approaches to teaching and learning
F12	All teachers expect frequent classroom observation to serve as an effective means for "unifying" school managment
F7/F3	Classroom observation is made a catalyst stimulating the reduction of teacher isolation and school insularity
F13	The Inset provision made resulting from teacher appraisal facilitates extended experience of classroom observation

Apparent from this empirical study, most teachers' lack of experience of classroom observation and related activities carried then implications of many Inset needs for individuals. Relying on the data considered in this chapter, most teachers can be expected to have these wide ranging needs whether they are to act as appraisees or appraisers. Coupled with their distinctive views on classroom observation, the teachers' inexperience appears to indicate clearly that teacher appraisal promises a future beset with an immanence of radical change in the management of the schools. The salient characteristics of this future are considered in the next and final section of this chapter.

6.4 CONCLUDING THEME

By studying the data yielded from the responses of the teachers to the items in sectors E and F of the questionnaire relating to classroom observation, it is possible to establish their perspective on the subject. The findings suggest a theme which collects together several conclusions of the research to provide a definition of this perspective.

The theme which is suggested has to do with what seems best described as an impending change in culture in the schools. This change is likely to begin once teacher appraisal is implemented. The change itself concerns what Handy is considering when he refers to "culture" as "sets of values and norms and beliefs" which particularly affect the ways things are done, the levels of energy used, and aspects of individual freedom enjoyed by people in their jobs. Thus, in brief, the focus of this theme is on crucial influences affecting the context in which work is carried out in an organization (Handy 1976 p.176 ff). The organization in this case is a school.

It is useful however to go beyond the point defined by Handy in the reference above and to amplify the sense of culture intended to be understood here. Doing so means recognizing the importance of having regard to the sharing process which can be seen to characterise strongly or weakly the styles of people as they go about their work within an organization, and the personal learning and growth which results from the degree of this socialization they experience. This sharing process has been emphasized by Lee and Lawrence as being a distinctive exemplar of differences in the culture of organizations (Lee and Lawrence 1985). In the following paragraphs, "culture" is used in the amplified sense.

What justifies describing the concluding theme as an impending change in culture in the schools is the major implication of the data studied in this chapter. This implication is that even if introduced at first just as a component of teacher appraisal, the activity of classroom observation over time has the power to change the roles of all the teachers in a radical way. The suggestion here is that the potential of this power

to establish a new school culture arises because all teachers are involved. The role changes involve fundamental relationships between teachers and alteration in the priorities of management activity in the schools. Furthermore, because the teachers have distinctive views and experiences which have a bearing upon the form classroom observation should take, its incidence, and the way in which it should be managed, the probability is strong that, among other things, what will emerge will be a new style of sharing process between teachers, affecting their work styles in classrooms just as much as their relationships with each other are affected by the role changes.

If the teachers when they come to exercise their new roles are influenced in their attitudes and behaviour by their own distinctive perspective, as it is reasonable to suppose, this will affect what they will be best prepared to do. The argument then becomes that it is what the teachers will be best prepared to do which will influence them to participate energetically (or otherwise) in further developments. Moreover, as Fullan has cogently argued:

> *the success of change is dependent solely on what people do and are prepared to do.*

(Fullan 1989 p. 206)

There are three developments which are especially important because of the predictable effects on the management of the teachers' core tasks. The final step in the argument is to show that these effects are going to to cause a change in culture in the schools. For this reason the three developments are the principal components of the concluding theme.

Assuming that classroom observation once implemented has to be under the operational control of the teachers, the three suggested developments in prospect are:

6.4.1. the technical enhancement of the dialogue between teachers on the professional topics which they address at school, affecting the use of professional language and bringing greater precision to the professional

concepts they typically employ;

6.4.2. the raising of the level of the functioning of teachers as local managers of learning (on the lines of the diagnosis summarised in Table 3.10 on page 147);

6.4.3. the relationships teachers have with each other while they are working together become modified as all concerned acquire a greater awareness of the value of the judgement of each teacher when enabled as a peer professional to make an effective input into policy development or decision making affecting issues of resource management or other concerns within schools.

Relevant to this theme of a change in culture, it is necessary to note that as the study of the teachers' views develops in this chapter, the scenario for classroom observation becomes more and more clearly one which provides for regularity of practice, multiple occasions, and for the typical observation for appraisal to embrace the whole of a lesson period. Moreover, because most teachers (85%) strongly agreed that it is important that an appraiser is familiar with an appraisee's class and classroom (E3), it is reasonable to conjecture that they will seek the routinization of classroom observation which will then emerge as a new norm in schools. It does not seem sensible to conjecture otherwise. The teachers could hardly have seen acquisition of this familiarity with their position as being feasibly of the nature desired when gained by appraisers from the few classroom observations which appraisal on its own was then likely to involve on the basis of ACAS and NSG criteria. Only if regular classroom observation becomes a new norm in schools does it seem possible for these views of the teachers on familiarisation to be respected.

If the appraisers respected this line of persuasion, in order to retain their "familiarity", they for their part become obliged to accept the routinization of classroom observation as meaning a commitment which extends well beyond the cycle of teacher appraisal, and changes the nature of their supervisory

functions.   In consequence, they are obligated to keeping up to date.   They have to see their supervisory work in the classroom in part at least as research concerned with what has been described as "a stochastic series of an especially complicated kind" (Schwab 1964 p. 258).

Thus, in this context, the first development betokening a change in culture in the schools in prospect becomes apparent. If classroom observation as a norm in schools occurs frequently, in a variety of modes and periods of duration, the teachers will engage frequently also in dialogue with each other about their core tasks.   In that event, judging from both the data collected in this research and the references made to the cases in the literature held to exemplify the current operational isolation of the teacher in the pre-teacher appraisal situation, a future can be foreseen when that isolation is removed.   Then, in contrast with the former situation where, as Sayer (1985) has intimated (see above p. 32), the low level of energy that has traditionally been expended has been inadequate to promote and sustain professional dialogue and assure its progressive technical enhancement, the increased scale of classroom observation is likely to generate sufficient energy to assure that this dialogue is expressive of a new way of professional life for teachers in schools.

Assuming as valid the suggestions in the previous chapter as well as this one, the enhanced dialogue is going to focus steadily on teaching and learning in the classroom.   This dialogue may be anticipated in most practical ways as going to follow the expectations of almost all the teachers (93%), as shown in chapter 5, that they will be helped in their thinking about the effectiveness of their teaching (B5), and in a range of skills believed to be related to teacher effectiveness, such as, for example, closer working together (B12) and lesson planning (B6).   If the findings of the SWOT analysis in chapter 5 are accepted concerning these expectations of the teachers, the energy assigned to classroom observation constitutes a source of both strength and opportunity within the teacher appraisal cycle of events.

The dialogue on the above lines ensuing from classroom observation will be influenced by concepts of the teacher as a professional. These concepts are given attention in chapter 3, along with the suggestion that, as a result of the introduction of teacher appraisal, the teachers develop in their roles as "local managers" in the sense outlined in Table 3.10 (see above p. 147). This affect on the concept of the teachers as local managers is the second development in prospect and identified as part of the concluding theme.

If teachers are esteemed as local managers, an expectation defined in chapter 3 is that they are going to rely increasingly on a sharing and interactive approach towards each other. Furthermore, as item 5 in Table 3.10 proposes, each teacher is then expected to express initiatives by:
  "employing understanding of the structure, culture and
  direction of development of an organization (the school)".
  (From Table 3.10 Item 5 above p. 147)
In order to realize an expectation on these lines, there are elements in the existing context of the staff relationships affected by classroom observation which require changing, and working towards this may prove problematical at first. For example, if the responses were reliable at the time when the questionnaire was completed, there was evidently then much more often than not a lack of supportiveness shown in schools for classroom observation (see Table 6.11 item F14 above p. 281). What may be problematical is making good this lack to the extent that it binds up with the general conditions upon which is based the interpretation of the overall theme of impending change in the culture of the schools, forming a contributory part. Perhaps as this change gathers momentum the lack of supportiveness hitherto experienced will be overcome progressively, because of gains made, for example, through the enhancement of the professional dialogue shared in by teachers.

Returning to Table 3.10, identified there as being among the key characteristics of teachers as local managers are communicating and interpersonal skills. Besides the issue of supportiveness mentioned in the previous paragraph and bearing

in mind relevant points made in chapter 3, these skills probably will become increasingly important as the procedures and processes of classroom observation permeate the organizational system of the school and influence both that system and the school's educational system. In fact, when there is reference to further items in Table 3.10, regarding the teacher at work in the classroom as a local manager helps with coming to an understanding of how important an influence on the culture of schools classroom observation inevitably is bound to be, if it develops in line with the teachers' perspective, as is likely.

Furthermore, creation of familiarity with classes and classrooms, and generally with a wide range of teaching situations presumes classroom observation by "respected others", using the description of Shapero (1985), is welcome to teachers. The agreement of the teachers on the importance of this field of familiarity (E3) is expressed at the second highest level of frequency (85%) amongst the eighteen fields all told. Given that practice in classroom observation is in line with these views of the teachers, the probability is that it becomes welcome when, inevitably, it is integrated with other growth promoting practice. In that event, it seems likely that appraisers and observers alike will gain support from colleagues and follow a practice which comes to be expressive of the shared values which underpin both a school's teacher appraisal system and a school's management system.

For purposes of illustration, the findings of the study in this chapter of the views of the teachers on classroom observation can be regarded as an example of a good starting position. This position is represented in Graph 6.1 (see above p. 248) and the patterns are easily discernible illustrating both where agreement between categories of teacher is on ground common to all and where polarities suggest fields requiring to be worked upon to remove potential for conflict.

Here it useful to place the final component in the SWOT analysis conducted in this chapter. Taking into account

teachers' views, but focusing essentially on their experience, the teachers in the sample envisage certain threats to the realization of effective classroom observation. These threats are summarised in Table 6.13.

Table 6.13	CLASSROOM OBSERVATION: THE COMPONENT OF THREATS - AN INTERPRETATION OF THE EXPERIENCE OF THE TEACHERS
Originating Item(s)	Detail
F5	Classroom observation is too infrequent to become a basic resource for progressing teaching and learning
F3	The experience of classroom observation is confined to the teacher's own school and lacks fertilisation with ideas gained firsthand from elsewhere
F15	There is insufficient pre-planning especially in the estimation of the classroom teacher
F16	Follow-up is unevenly experienced and teachers are divided over its value
F6/F7	Superordinate appraisal predominates and other modes: peer appraisal, "critical friendship", or subordinate appraisal are too exceptional to exert influence on the process of classroom observation

The threats identified in Table 6.13 reflect some of the polarities which characterise the experience teachers had of classroom observation. The presence of these and other polarities studied in this chapter probably puts effective implementation of a system of teacher appraisal in jeopardy. A consequence of taking notice of this risk is a realization that the collegial staff relationships which are important as an underpinning to secure effective teacher appraisal depend on shared values the consideration of which in this context directs attention to the third development which forms a component of the concluding theme.

In chapter 3, it is seen that HMI (1977) and others, for example Rutter (1979), have argued that shared values foster effective relationships amongst staff. Assuming that the knowledge gained from this research truly reflects the teachers' views, it can be further argued that if the teachers in a school adopt shared values with regard to classroom observation then the measure of the effectiveness of the

relationships between appraiser and appraisee, observer and observed is likely to be the extent to which they are collegial. If the staff relationships which underpin classroom observation do become typically collegial, they will influence both the organizational and the educational systems of the school, comprehensively, and not just partially. Then there is a situation in a school where staff behaviour is collegial not just in a department, but in the school as a whole. The school-wide collegial influence seems likely to arise logically when classroom observation is normative in the way already described.

The presumed change just mentioned in the relationships amongst teachers in the schools presupposes that the central agencies accept a fundamental change of purpose for classroom observation. The new purpose embraces the promotion of the professional growth of the teacher. It does so, however, only in accordance with arrangements which are moderated so that the benefits for pupils or students as much as for the teacher from this growth are evaluated with equal rigour and provide the system's justification. If the central agencies accept the need for an alternative purpose on these lines they will be reacting much as the managers of appraisal have done in the non-educational sector to the perspectives of the appraisees there. In the non-educational sector it is noted by Long, writing in 1987, that:

> "Much of the current interest has centred on the developmental aspects of performance appraisal, with emphasis on counselling and motivation rather than evaluation and judgement."

(Long 1987 p. 4)

The central agencies have not given emphasis, as Long does, to the counselling and motivational aspects of appraisal Moreover, most teachers were found in this research to have recognized the value of these aspects, showing this in their model of an appraiser who was conceived as a "clinical consultant" as suggested in chapter 5. As between professionals, Long's emphasis means a peer relationship which, as seen in chapter 2, tends to exemplify relationships between professionals, and which with classroom observation is fitting, as has been implied or suggested by various

authorities to whom reference is made above, for example, Hopkins (1985), Montgomery (1984), Wragg (1984). The preferred model of the appraiser may be likened now more to a "critical friend" (McCormick and James 1983). It is reasonable to predict that practice in the activity of classroom observation will move the heads increasingly closer to the position of the majority of the teachers and that the polarities in their views and experience will progressively lessen.

For underpinning teacher appraisal, a traditional, hierarchical staff organization makes a poor fit with the scenario created from the perspective on classroom observation of those teachers who do most of the teaching in the schools. When the standpoints are the positions which the teachers occupied in each of their four categories, what is seen in the polarities of their views and experiences of classroom observation indicates an absence of shared values affecting important relationships between appraisees and appraisers. An absence of shared values of the kind under consideration here appears to be associated with a control or power-coercive model for the organizational system of the school where authority derives from the positions people hold not the way in which their judgements are otherwise valued and respected. ACAS was plainly aware of the potentially deleterious influence of a power-coercive model or a line management model as the instrument of control over classroom observation. ACAS suggested that the person designated by the head to be an appraiser might not necessarily be someone "who already has management responsibility for [the appraisee]" (ACAS 1986 para. 16), and sought ways to avoid "harassment" of appraisees (ACAS 1986 para. 17). This ACAS model leaves very little room for its adaptation to suit the views of the classroom teachers and the heads of department. The matter of possible adaptation was left unresolved by ACAS, but, in the light of the evidence presented here, appears capable of being resolved if it is placed in the hands of the teachers

While, indeed, in some fields, all teachers were found either to share common views or to lack in common the same

experiences, this situation affords the opportunity for building organizational structures anew in the schools so that their management can be constructed to support the preferred approach of most teachers to classroom observation. Conceptually and in practice - on the assumption that arguments such as these advancing this concluding theme are found persuasive - this approach probably needs to rely on mainly non-hierarchical staff relationships. Allowing for the necessarily larger scale of total operations, the approach at the level of the whole school requires to be unified much in the sense outlined in chapter 2. Within this approach, the relationships between staff are likely then to be directed in a way that unmistakably recognizes that it is on the management of learning where the focus of effort in a school has to be found, with classroom observation being used as one of the principal frameworks for supporting that management.

Clearly as an offshot of the theme of radical change in the school culture which is being suggested there are contingent challenges to the policy makers who can foster or resist the developments predicted here. Consideration of the options presented to them is given in the final chapter of this thesis.

At this point in the development of the thesis, having regard to the passage of time since the data was gathered using the questionnaire, a sample of opinion was obtained using interviews four years later in a number of schools whose teachers had helped previously with the research. This sample of opinion is studied in the next chapter.

Chapter 7   Case Studies of the Management of Appraisal

7.1 INTRODUCTORY
7.1.1   The Purpose of the Case Studies

There were two main purposes in mind leading to these case studies. Focusing on the basic considerations referred to in chapter 4 (see above pp. 183-4), one purpose was to review what had happened in schools generally since the questionnaire was used four years earlier. The other was to see whether the teachers' concerns identified in chapters 5 and 6 as a result of the analysis of the data yielded from the questionnaire still persisted or had been overcome.

With regard to the first main purpose, the central task was to look for signs of the presence or absence of a greater preparedness in the schools in 1991 to take on teacher appraisal compared with four years earlier. Such preparedness was expected to be manifest at a conceptual or practical level, or, possibly, at both levels, following acquisition of greater experience of some or all of the components of teacher appraisal, for example, goal setting, classroom observation, or self-evaluation.

With regard to the second main purpose, the task was a wider one, concerned with looking for signs of change in the management of schools and thus with seeking information on relationships between staff, expressing their beliefs about their interdependence, professional status and collegiality. In essence, the task was to look for signs of school management people seeking to manage the relationship between the organizational and educational systems of a school on the lines explored in chapter 3, and thus following the unified approach to school management which was identified in the case studies discussed in chapter 2.

In the light of material gained from these case studies, a particular aim was to introduce another dimension to the structure of the research. This was the dimension of the four year time span between embarking on the initial investigation into the teachers' perspectives on appraisal and

drawing the findings of the research to a conclusion. The meaning of this dimension was that environmental and certain other changes in teachers' circumstances arising from the development of government policy over this period could be taken into account as factors of further influence, or noted as factors making no difference to the teachers' perspectives. Depending on the material elicited in the case studies, the expectation at the commencement was that the conclusions of this thesis reached up to that point would be strengthened or modified as a result of being subject to validation by the outcomes from this follow-up, improving the utility of the final conclusions.

7.1.2 The Sources of the Case Studies Material

In the case studies under consideration in this chapter, the material used is derived mostly from three sources. These sources comprise tape-recorded conversations conducted in the summer of 1991 with twenty two teachers, documentation from their schools, and material collected during TARP (see above p. 164) four years earlier. The teachers were teaching in six different schools, one lower, one junior, one middle and three secondary. Three of the schools had participated in TARP; two had not participated at all, and in one there had been participation by the head only. The schools which had participated were the lower school (WL) and two secondary schools (CS and WS). Basic details concerning the schools are summarised in Table 7.1.

Table 7.1 BASIC DETAILS OF THE CASE STUDY SCHOOLS				
Code *	Location and Phase	Age Range	Roll	Number of Teachers
WL	Urban Lower	4 to 9	400	17
FMJ	Rural Junior CE	7 to 11	170	8
EBM	Urban Middle	9 to 13	420	20
CS	Rural Secondary	11 to 18	900	61
MS	Semi-urban Secondary	11 to 18	1100	73
WS	Semi-urban Secondary	11 to 18	1000	66

* In the text where there is reference to a school the code indicated is used. If the reference includes commentary by a teacher, the initials of the teacher are placed before the school code.

Affecting the teachers' perspectives on teacher appraisal, distinctions between the schools arising from prior experience with TARP probably became modified to some extent during the period 1987 to 1991 through staff transfers. Yet it was considered sensible to assume initially that the influence of TARP continued to have an effect in the schools which had participated. This assumption meant the mixed choice mentioned was necessary in order to see whether there were grounds showing subsequent events had been influenced very much, somewhat, or not at all by the TARP experience, and whether there were schools of special interest in consequence, depending on the scale of the influence. Since the level of the post held by the teachers was a more important factor than the phase of education in which they taught, the preponderant presence of three secondary schools in these case studies was not considered a disadvantage.

The schools in the case studies had in common the fact of relevance here that teachers in them had completed the questionnaire at the earlier stage of the research. Each school also was well regarded in its catchment area, not execeptionally troubled by local demographic trends, and able to recruit and keep staff without undue difficulty. In other words the schools were chosen as typical in terms of their background, phase and size, the intention being not to include a school which was beset by exceptional conditions. Within these conditions governing the selection, an invitation was extended to the heads of the schools to participate in a case study. The choice of the individual teachers who participated was arranged on a voluntary basis by the schools, subject otherwise only to timetable constraints affecting when they were available. Supplementary details about the schools and concerning the teachers are given in Appendix 7.1.

7.1.3 Methodology and Approach
The basis of the conversations with the teachers was derived from a series of questions which had the same, or virtually the same wording for all. The heads were asked an additional question about arrangements made at their schools for staff to sample practice in non-educational organizations. The basis

for the construction of the questions is indicated in subsection 7.1.1 above, and the intention to moderate, if necessary, the findings derived from the questionnaire in the light of updated information on the same fields of interest and concern was explained during the conversations. The questions are reproduced in Appendix 7.2. Each conversation was individual, privately conducted and confidential. The word "conversation(s)" as used in this chapter refers to these formal conversations which were recorded on tape.

The teachers were teaching in schools which varied in size and location, as indicated in Table 7.1 (above p. 303), but none taught in very small schools with rolls below 75, as, in the light of the earlier findings derived from the questionnaire and discussed in chapters 5 and 6, there seemed no need to give separate attention to these small schools. Besides the choice of locations to include urban and rural schools, there was a geographical spread across the county. The latter aspect of the selection of the schools in these cases was based on common sense with a view to gaining some degree of independence of outlook beyond the effects of any local clustering arrangements which were current. In Northamptonshire, such clustering was typically associated, for example, with the location of teachers' centres, and with local area adminstrative arrangements, which, by having the effect of bringing teachers together in particular groupings, could possibly be argued to influence perspectives, encouraging patterns of uniformity. The schools were associated with four different clusters in this sense. These schools in terms of their geographical location across Northamptonshire therefore complied with the original pattern as described in chapter 4 (see above p. 175).

As it was found that the major persistent factor of differentiation in the perspectives of the teachers in the original sample was the level of post held, the conversations were conducted with teachers categorised into four levels as previously, namely, heads, deputy heads, heads of department or coordinators, and teachers not exercising the responsibilities mentioned. The theme of the conversations

was change between 1987 and 1991 in the relevant experience of the teachers as individuals and in relevant educational and organizational development at the level of the school. Adherence to the format of questions was not rigid during the conversations and sometimes fresh considerations were introduced by the teachers, arrangements for local management of schools (LMS), for example. Generally, the conversations each lasted half an hour, as planned.

The information yielded from the conversations was explored and eventually sorted so as to bring out new or re-emergent patterns in the thinking or experience of the teachers. This process was undertaken because it was assumed beforehand that if there were such patterns these would be indicative of matters of significance in the minds of the teachers, demonstrating again their distinctive perspectives concerning teacher appraisal. It was also anticipated that if such patterns were revealed then earlier arguments about the importance of these perspectives would be capable of reinforcement. By "pattern" is meant themes and concerns which were repeated frequently enough by the teachers to make their perspectives distinctively discernible, as shown below.

7.1.4 A General Outline of the Situation revealed in the Case Studies

It was anticipated that progress over the previous four years with teacher appraisal amongst the chosen schools would be varied. This was the case.

Only two of the schools had put in place systems of teacher appraisal that comprised the full cycle of events described in chapter 1 and summarised in Figure 1.1 (above p. 43). These schools had participated in TARP. The systems in these two schools were considered to have been enhanced by the heads and their colleagues during the period intervening since their participation in TARP. The schools were the lower school (WL) and one secondary school (CS). The secondary school appeared to have gone further than the lower school in the enhancement of its system, for example, with its documentation. Appendix 7.3 gives a summary of its system

prepared by the school.

The secondary school CS clearly valued its teacher appraisal system and considered the style of presentation important. As Appendix 7.3 shows, there was strong evidence of a participative approach in the construction and there was clearly a "system" in place. This system brought together teacher appraisal and considerations of the curriculum and school organization. The arrangements were unusually well unified and the documentation was concise and helpful in highlighting the intentions of policy makers at the school level. There were however signs of the influence of NSG in the provisions for the destruction of observation records and which served to constrain the flow of information.

The lower school WL had relied on a team of interested teachers to formulate its policy for teacher appraisal. The team had been helped by the TARP coordinator. There were two principal aims: "to improve the quality of the children's education" and "to aid staff development". Stress was placed on the interdependence of these aims. Job descriptions were written by staff. The flow of information was constrained by rules of confidentiality and it was evident that however benign the aim to ensure "that any method of appraisal used can be done in an atmosphere of trust, respect, mutual support and caring", there was an implicit assumption that judgements were going to be made about the performance of the teachers (see also below p. 317, comment by JM WL). In this school, there was group discussion of the individual teacher's "self analysis".

Compared with the full cycle of events as shown in Figure 1.1 (above p. 43), two of the secondary schools had established only partial systems of teacher appraisal. Within their limits, these partial systems also had developed in sophistication. However, classroom observation had not become part of the system in one of these two cases.

In that case (WS), the focus of the system of teacher appraisal was on targets which teachers accepted on an annual

basis. The targets which were set covered several levels of activity, ranging from use of targets with pupils to applications affecting the management of the whole school. Appendix 7.4 gives examples of the latter targets. All targets were instrumental in advancing the school's general approach to evaluation which was an activity which appeared to be highly esteemed by the staff and belonged to the way of life of the school. A style of teacher appraisal which was not integrated with this way of life would be unwelcome to the teachers in this school as they all made clear in the conversations.

In the other case, the secondary school (MS) had a professional discussion between the appraiser and the appraisee as the focus of its system of teacher appraisal. In this system, classroom observation played a minor part described as "informal and low key" by a participant (JH MS), meaning the duration was short and there was no "agenda" for it. Members of the senior management team shared the responsibility for leading the professional discussions which were annually undertaken with each member of staff. These discussions were designed to enable both the school as an organization and the staff members as individuals to operate, as it were, supportively to each other in ways which were more finely tuned than otherwise would have been the case. Judging from the information gained during the formal conversations in this school, not all teachers there were sure about the effectiveness of the professional discussion, at any rate when they considered it as an instrument to improve teaching and learning, because, as they said, the necessary classroom observation element was missing.

At the time of the conversations, in the two schools which had not participated at all in TARP there were positions seen which were contrasting. The salient differences which were found were such that the following brief summaries of the respective positions are sufficient to bring out clearly the contrast.

In the middle school (EBM), classroom observation had been

developed by the head and the deputy head as part of their approach to supervision. A way of life influenced by classroom observation was emerging at this middle school. The school had a professional tutor who had begun follow-through discussions with all teachers and kept an annual record of the professional development activity engaged upon by each colleague. He had a card index system which had an entry line for the recording of findings about the impact on pupils of that activity. He considered he had embodied a useful means of coordination of the outcomes of classroom observation along with indicators of its effectiveness in a variety of different teaching conditions. Further reference is made to this initiative below.

In the junior school (FMJ), there had been a spurt of classroom observation conducted by peers two years earlier, on the appointment of a new head who had himself been a member of the TARP team. When the government deferred the implementation of mandatory teacher appraisal, the impetus was evidently lost. In this school, further development was in abeyance.

In none of the schools where there was an appraisal system in place was the intention behind it to enable a teacher to make a case for a direct claim for pay benefits or promotion. There was no sign that such an intention would have been supported by teachers in the junior school which was currently without a system. In a nutshell and simply expressed, the perspective shared by all was the perspective indicated in the words of one secondary head (JH WS), namely:

> *"Teacher appraisal is going to succeed if it makes teachers feel better in their job and more effective in the classroom and also if pupils are better taught and they are better able to learn - otherwise its not going to count for much in my book."*

(JH WS)

Even when bearing in mind that this sample of case studies was a small one, the teachers for their part came across as seeming to give cogently representative expression to issues of key importance in the process of the continuing development of teacher appraisal systems. What they had to say amounts therefore to a substantial body of informed opinion on the subject.

As a simple means of bringing together the salient points considered in this section, Table 7.2 provides a summary of the general outline of progress with teacher appraisal in the case study schools during the period under review. The terms used in column 4 are those used with the Dutch models of school organizational and educational systems which are discussed in chapter 3.

Table 7.2	PROGRESS IN THE CASE STUDY SCHOOLS WITH THE DEVELOPMENT OF TEACHER APPRAISAL SYSTEMS: A SUMMARY				
Position in 1987					Position in 1991
1 Code	2 Stage of Develop ment	3 Level of Partici- pation	3 Purpose	4 Management Position	5 Comparative Change by 1991
WL	System in place	All Staff	Advisory using Perform- ance Criteria	Collegial/ Innovative	Consolidation of this System
FMJ	No system	-	-	Line and Staff/ mixed ability	Preparatory stage begun for all staff. No system yet
EBM	No system	-	-	Collegial/ Integrative	System now in place. Purpose better learning
CS	System being built	Voluntary partici-	Better learning	Matrix/ Integrative	System has got better. All to participate
MS	No system	-	-	Collegial/ Integrative	Partial system For purpose of professional discussion for all teachers
WS	Partial	All staff	Target reaching	Matrix/ Integrative	Consolidation of this system

To facilitate exploration in more detail, in the next section the findings from the case studies are presented in terms of the five keys to effective teacher appraisal adumbrated by Duke and Stiggins (1986) and referred to in chapter 4 (see Table 4.3 above p. 166). This form of presentation is followed also because it is helpful to the advancement of the

main thrust of this thesis arguing the feasibility of establishing management arrangements supportive of an effective teacher appraisal system distinctive for teachers and deriving essentially from their perspectives.

7.2 THE FIVE KEYS TO EFFECTIVE TEACHER APPRAISAL REVISITED

7.2.1 The Teacher

Concerning this key, what came through strongly in the conversations was not simply that the teachers had self-images of themselves as professionals. In addition, they had the desire to be seen during an appraisal as distinctively individuals, professionally and personally. The importance to the teachers of having their individuality recognised in the teacher appraisal process was demonstrated persistently in most of the conversations. The teachers argued cogently in defence of this position which was portrayed as having many aspects.

> *"Teaching is a very personal thing and people have different ideas. We don't all come from the same mould. I think this is the thing that worries teachers about teacher appraisal. People want to be able to teach as individuals and the way that one teacher teaches perhaps will not be approved by another."*

(KR WS)

KR, a secondary teacher, amplified her view by instancing the effect upon her own approach of her particular subject discipline:

> *"In Humanities, for example, I think most teachers are more laid back than say most teachers in Maths, I think by virtue of the subject ... [and "laid back" means inter alia] we use different language. In sociology, we have to be up to date in our attitude. I listen to what the children say, the words that they use, and we try to get a bit trendy perhaps. We can stop a lesson at any time and chat about an issue that crops up. I think that applies to most of the Humanities. In Maths, I think that they have to be very much more disciplined as teachers because it's a subject that a lot of students don't like, a lot of students find concentration difficult, and so the whole approach and the whole attitude is very different."*

(KR WS)

In having regard to such factors of individuality as these which were derived especially from the discipline of what was being taught, KR believed that it was a good idea for teachers to observe each other, not confining this to teachers in the same disciplines, to notice differences in the approach, and in teaching style. She was herself attracted to observation by a "critical friend" and to mutual observation on this basis. The attitude which was expressed here came across as

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complementary to the notion of the individuality of the teacher as above determined by attributes conceived in the presage dimension (see chapter 3 p. 136). Recognition of the importance in teacher appraisal of differentiating subject disciplines was noticed in the North American case studies, for example, in Toronto (see above p. 67).

Generally, during the conversations objectivity characterised the view of the appraisee's position taken by the teachers. In adopting this viewpoint, the teachers also saw clearly that they had a personal obligation to keep updating their skills and knowledge. They were bearing in mind that academic disciplines were subject to frequent, but unavoidable, change.

Furthermore, there was acute awareness expressed by all the teachers of the interpersonal skills which they needed. These skills were deemed by them as important as the academic disciplines and required exercising with patience and insight, in the altering environment which was bringing change to the curriculum. Combining an academic discipline with interpersonal skills to achieve the desired interaction with the pupils in a class was recognized as something all teachers have to do, but this core task was seen to mean further individualization of the teacher's position in a school. For example, a probationer observed:

> "I'm constantly matching ability and work ... there are about four
> different levels of ability within my class. I'm constantly having
> to have an individualized programme. I think sometimes that might
> be missed, if someone was just looking at you performing. There's
> all sorts of hidden work that you have to do [respecting] the home
> life problems - for some children, you know, just for them being at
> school is great ... You have to show discretion in how you tell them
> off ... I know this is going on in that house but I'm not going to
> mention this ... The amount of time it takes to sort out things for
> different children ..."

(HJ EBM)

Assuredly, there is this kind of individuality about the teacher's position in any school, in respect of a particular class, in terms of commitments towards the school's curriculum, personal growth, supervisory duties and so on. Besides the individuality which the teacher has in this sense, there are other elements in the picture of the teacher seen by the appraiser. For example, the scene described by HJ is one where what is happening is also affected by the state of

cooperation between her and other teachers. This element is a concern for the appraiser. Yet, that is by far not the end to the matter's complexity.

Neither individuality, nor cooperativeness as attributes of a teacher matter solely with reference to internal school organization. In the conversations, there was another consideration brought to light adding complexity to these elements mentioned in the previous paragraph. This consideration is one which arises from the external environment and was expressed by a Deputy Head, cogently:

> *"I feel that what the teacher does now grows and grows. The days of just teaching your subject and going home and marking are long gone, aren't they? You are doing so much more than that. ... We have moved more and more towards a sort of community/social role as well as a teaching role, and I don't think we always have the skills that we need to perform that. ... Our people skills need developing."*
>
> (EG MS)

EG was prompted to these remarks when talking particularly with reference to liaison with business interests. But, in such circumstances, he also observed, with justice indubitably, that:

> *"the point is that with teachers you are not dealing with fools".*
>
> (EG MS)

Through referring to an outsider view, he elaborated what he meant:

> *"I'll get people from industry who will say: "Oh, you should be telling [the teachers] what to do more." You can't tell teachers what to do. The days of telling teachers what to do [are long past]. They're too intelligent to follow a blind lead. They all want a say, and I think that is the point about [teacher] appraisal."*
>
> (EG MS)

Unsurprisingly, the teachers showed impatience with the preoccupation with issues of accountability rather than support on the part of the central agencies, as described in chapter 1.

It was seen by teachers as facile at the level of policy making to dwell on their alleged weaknesses. In the words of a secondary teacher, given the environment in which they were required to work - if for no other reason - it was necessary to state openly that:

> *"Nobody can do it all perfectly, can they?"*
>
> (SP WS)

An elaborate procedure to establish that truth was deemed unnecessary. The point which was reiterated by teachers working in all phases, and which applied at other levels of policy making, was the need to see appraisal as an instrument to open opportunity for each teacher to grow professionally in an individual way. In furtherance of this argument, in commenting that for teacher appraisal to be effective the culture of the school had to be supportive, the Deputy Head of the Middle School instanced as distinctive of that culture the existence of:

> "... professional respect [meaning] that nobody, nobody, has achieved a situation where they can say: 'well, I'm alright'."

(CB EBM)

The concern that the difficulty inherent in the impact of the contemporary environment on schools and which teachers were addressing daily should be understood was expressed by teachers seemingly regardless of the length of their experience. A young teacher in her fourth year said:

> "I always consider quite deeply where I'm going right and where I'm going wrong and like to do something about it, so far as I can."

(CS CS)

Apposite to the philosophy of this young teacher (CS) was the independently expressed view of her head:

> "If you are talking about teacher reflection and development you can't put a stopwatch on it. You've got to be more sensitive to it growing over a year and knowing how people grow."

(DM CS)

DM's view goes along well with the other perspectives of the teachers indicated in these conversations. This head noted that schools are subject to annual regeneration through the impact of each new intake, to say nothing of the growing maturity of the existing pupils as they go through school. Moreover, that growing maturity was found progressively to challenge the teacher with new and barely predictable tasks, for example, in the fields of equal opportunities, special needs, information technology. DM was suggesting that teachers are reflective practioners (Schon 1983) by force of circumstances apart from being so in pursuit of improved effectiveness. Nevertheless, the teachers were mindful that there were limits to growth in their capacity to be versatile, notably if they lacked external support in their endeavours to

manage the changing learning environment in which they had to work and to which they made frequent reference.

Given teacher appraisal, the priority for teachers then was reaffirmed as a requirement for a supportive system. This system would be designed to enable them to grow at any rate in the capacity to succeed in situations of unprecedented difficulty. Such a system would have credibility for teachers commensurate with the extent that it respected the individuality of the teacher and of the situations in which the teacher taught. Other dimensions of credibility were defined and these are dealt with in the section following later on feedback.

At this point, a conclusion to note is one identified by a secondary head. He had introduced into the conversation his view of the importance of distinguishing systematization from innovation as conceptual approaches affecting appraisal (see also chapter 1 and Table 1.8 above p. 40). He expressed the view that:

> *"Having a formal appraisal system puts a definite, a mutually agreed onus on appraisee and appraiser."*

(LD MS)

There are implications in this concept of "a mutually agreed onus" which not only reinforce the strength of the proposition put forward by EG from another school (MS) that "all teachers want a say", but which foreshadow the way in which teachers saw the role of the appraiser. This person is now due for consideration in the role of the second of the suggested five keys to effective teacher appraisal.

7.2.2 The Appraiser

It became evident during the conversations that there were interesting differences in the views which the teachers had taken of the appraiser's role and its scope. Depending on how the role was defined, these differences were seen to bear particularly on aspects of its practicality. The principal difference was between the majority of the prospective appraisees and the policy makers. Additionally, what emerged

was a likelihood that the perspective of the person most likely to be an appraiser (a head) could contrast with that of a person who was least likely to be one (a classroom teacher), in a system devised by the central agencies. Both sets of differences recall the data collected by means of the questionnaire used four years earlier, and their implications echo suggestions on the same subject of the appraiser's role presented in chapters 5 and 6 (see particularly Figures 5.1, 5.2 and 5.3 above pp. 240-2).

In the conversations, there were two factors which came over as probably being critical in the process which led to these differences becoming manifest. One was the influence of beliefs about who possesses relevant expertise qualifying a person to be an appraiser; the other was the concern teachers have over what criteria were likely to be used by appraisers. The latter concern of the teachers was seemingly commensurate with the extent they perceived that judgements were going to be made about their performance in line with the evident expectation of the government.

Concerning expertise, a classroom teacher in the lower school observed that:

> "Lots of teachers ... have particular expertise ... probably know more about what is going on than a head. Sometimes you can get more from being observed by a peer than you can from a head."

(CT WL)

CT had had experience of classroom observation while TARP was operating, and she indicated that she thought her opinion was shared by other teachers in other schools. Assuming her opinion is a shared one, it is useful here to explore a little what is an obvious conclusion to be drawn from this element in the conversation with her. The conclusion is that the sensible thing to do in a system of teacher appraisal is to ensure full use of the range of expertise which belongs to the staff in a school, and to take care not to be dependent on an assumption that all the expertise that is relevant is covered by the line manager's own skills. In other words, what qualifies a person to be an appraiser is what might be described as situational fitness, not status derived from activity of another kind.

As it happened, on this point just mentioned, further clarification was gained from another angle of view which was taken by a deputy head who commented that:

"The management that you do [as a line manager] is different in nature from the management you do as a teacher in a classroom."

(CB EBM)

CT amplified what she herself had in mind concerning the expertise she mentioned. She gave examples which, significantly in the light of CB's comment, included "management of the classroom". Another example was control over the "movement of children" and for this one, and the previous example, she claimed greater expertise was usually found with peers, rather than heads. In her school, on the assumption that teacher appraisal became mandatory, another teacher (MS) desired to have the formal system, if obligatory, overlapped by other arrangements such as proposed by CT enabling peer appraisers to have a place. It was considered in effect by both teachers that teacher appraisal ought not to be exclusively embodied in a free-standing system governed by appraisers who not only were so designated because they were line managers, but monopolised all observing and advising roles. Indeed, reflecting on just that kind of situation, as a probationer proposed:

"Sometimes a younger member of staff can help other staff as well ... with ideas."

(HJ EBM)

The line managers for their part were aware that as appraisers they were faced with a difficult situation. This was noticed with regard especially to the choice of criteria they should use when appraising, recognizing it as a matter of critical concern to the appraisee. One solution was indicated by the lower school head. When acting as the appraiser, she saw herself meeting with each teacher about to be appraised and setting the criteria "between us" (JM WL). This form of collaboration however she also saw as the best way ahead towards achieving "a judgement of performance" (JM WL) which she had concluded was going to be required by the government's regulations, and, she said, expected by the teachers.

The head of the junior school took a view which was similar to that of the lower school head. It was expressed in his

comment that "the basic criteria need to be discussed openly" (GM FMJ). He was in no doubt that:

"It is very difficult to define the criteria by which you can make judgements in a teaching situation."

(GM FMJ)

Perhaps unsurprisingly, the deputy head in the same junior school made similar comments. She however exemplified the difficulty in the situation as one of seeing "where the judgements are going to come from" (ER FMJ), because for her no one teaching situation was like another, and few would be the subject of attention during the cycle of teacher appraisal. This difficulty with deciding on the representativeness of given lessons is clearly a central concern at school level (see also above p. 271 and below p. 326).

The concern over the reliability of data gathered from a few classroom observations was not expressed solely by primary teachers, but also by teachers belonging to other phases. In the voluntary appraisal systems which were found operating it was usual that the criteria relating to such data had been collegially determined.

In the extracts from the conversations, it can be seen that what is being expressed so far in this section bears on the issue of the credibility of the system of appraisal which the teachers believed the government intended to apply to them. Here the specific concern is the feasibility of the appraiser's task. Going to the heart of this concern, and expressing a sharp response was the view of KR:

"I think appraisal strikes me as being someone telling me whether I am good or bad. [...] If appraisal is about judgement of performance, I'll make jolly sure I get a good mark ... It's rather like an examination."

(KR WS)

But KR noted that the time allowed to an appraiser in the proposed government regulations "does not seem long enough for a valid appraisal" (KR WS), especially if the appraisee is observed teaching just one class, or just pupils in one age group. Another example of a reference to the danger of artificiality coming into an appraisal designed as be judgemental was given in a comment by a lower school teacher

that classroom observation could become "a show" (CT WL)

Besides their explicit recognition of this fact that the policy makers had what appeared to be an excessively high expectation linked to a remarkable economy of effort on the part of the appraiser, and perhaps partly as a consequence, the teachers implied in the conversations that they saw the appraiser's personal credibility as a potential source of concern. This concern touches again on various aspects of the expertise looked for in an appraiser, and on the criteria the appraiser employs, and then on competence which was seen as a matter of the application of criteria. The position was ably described by a secondary school deputy head who possessed extensive experience:

"I suppose some of the most difficult questions which have to be addressed in teacher appraisal are value questions about what is good teaching. I am not saying that so much is not measurable; I am not saying that it is not possible to make judgements about ... quality of teaching. But I think that it is very difficult ... to come up with a watertight series of criteria or a checklist ... which would actually apply to every lesson you might go into as an appraiser. A lot is down to the experience of the appraiser ... .

There are so many variables. Even when the intended lessons have been discussed as part of a pattern with the appraisee prior to the observations then the circumstances on that day with that particular group of pupils may mean that the lesson plan needs to be altered in some way. ...

[The practice of appraisal] assumes a high level of professional competence on the part of the appraiser. It assumes a breadth of outlook, particularly if the appraiser is not going to appraise in more than one subject area, for example. It assumes an ability to judge appropriateness, which is ... down to local circumstances, to local instance."

(TA CS)

Knowing about the appraisal cycle, and classroom observation especially, from experience, as was the case with TA, was seemingly further associated with the keen concern which was repeatedly expressed over whether appraisers would be trained enough to be ready to attempt the tasks in prospect equipped with sufficient assurance. On this point and speaking as a person possessed with the strength of even greater knowledge and experience of teacher appraisal than TA, a secondary head (and former coordinator of TARP) gave his opinion that over the previous four years the senior staff of schools had not been enabled very significantly to advance their technical skills which were relevant to appraisal. He stressed his view that any further stage of development should therefore involve

an acknowledgement that:

> "teachers do not want to go into any activity to do with their profession unless they feel confident they can do the job well, and that in every case will depend on training. It is quite immoral to put teachers into a situation where they are going through a professional conversation with people which comes after an observation without them knowing what they are doing, and I don't think that should take place."

(JH WS)

For appraisers, the undesired situation described by JH was potentially threatening to their professional standing in the role. That standing was reckoned at risk in any event, as the quotations above make plain, whether or not the gap in the preparation of the prospective appraisers was left unfilled and what was anticipated by JH actually happened.

In this light, the issue of whether a choice of appraiser should be allowed to an appraisee assumes ramifications much wider than those concerned with "harassment" as envisaged by NSG in paragraph 17 of its report (NSG 1989 p.6). Such ramifications were noted by a faculty head who was experienced with a well developed system of teacher appraisal which had been built up on the basis of voluntary participation. He acknowledged that there could be personality clashes to avoid in the selection of appraiser/appraisee pairing, but went on to note that for some teachers the concern with not wanting a particular person to appraise them could be that:

> "It's just that they know them too intimately [making the event] cosy and not objective ... they see them on a day to day basis, and they really want somebody who can step back ... and see them in a wider role in the school."

(NM CS)

In other words, for appraisers:

> "It is very important that we get interpersonal skills good enough to be able to say to staff: 'look, I'd like to help you with this', and for them not to feel threatened."

(EG MS)

There was also the possibility to avert that there might not be much gain to the appraisee:

> "Unless the persons doing the appraisals can put in a lot of ideas and so on themselves."

(AB MS)

AB was speaking as a member of a design faculty and had been stressing the importance of creativity, originality and fun in helping children to learn in that faculty. She thus echoed the qualifications which teachers were putting on any

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procedure of selection of appraisers relying on reference to status, already mentioned. Such a selection procedure appeared inherently contradictory to her, if the object was the enhancement of the functioning of teachers in the classroom. Logically, for her the choice of the appraiser should be dependent on the person being clearly acknowledged to possess relevant experience, knowledge, attitude, flair. Gaining such acknowledgement would be prerequisite to achieving a mutual agreement that the appraiser had a probable capacity to take the appraisee forward. This way forward was seen by AB as having indeed to be agreeable to the line manager, but that consequence did not mean that the appraisal had to be implemented by that person, unless the person in question was properly qualified. Freedom in a school to have a flexible procedure on this matter was noted at other times in the conversations as being desirable. Its importance was reckoned to be dependent on the style of the relationships between members of staff and this, it was further noted, might be something therefore counting more in some schools than others (HJ EBM). In only one school, the smallest of the six, was the matter not mentioned at all.

According to JH (WS) as cited above, even if chosen in the way suggested by AB and other teachers, such persons would still need training to ensure the full employment of their latent capacity to be effective appraisers. Evidence of this probability was given by GM. Unusually, he had encouraged teachers in his school to engage in peer appraisal. He said:

> *"Staff found it very difficult to home in on those things that they could see were happening in a classroom that could have any bearing on the development of the member of staff being observed and so to think of the focus for the observation, or more than one, that would usefully contribute to a conversation about the personal development of the teacher."*

(GM FMJ)

These teachers had not had prior experience of observing each other, and they were learning, so to speak, on the job. Not all teachers would be in this position. For example, teachers who had had experience as advisory teachers, those who had been critical friends, and support teachers would be exceptions. The first two categories are already mentioned in this chapter. With regard to the latter, a representative

suggested that while they were not in classrooms as observers but as support teachers:

"... obviously we are observers. We can pass on things that have worked from teacher to teacher."

(SP WS)

The sense of "worked" is a matter for consideration in the section below on data gathering, but the short definition offered was: "whether children achieved targets set for them". This point, which might indeed be regarded as of the essence of teacher appraisal, as it was by SP, leads appropriately to the consideration of the next key.

7.2.3 Data Gathering

Even if the appraisee and appraiser enjoy the best of relationships with each other and nothing is lacking by way of preparation before they begin the cycle of events, the decisions they take, and other persons involved take, affecting the outcomes of the appraisal still depend on the data which is used. For this reason, the activity of data gathering has been chosen as one of the five keys to effective teacher appraisal.

In the conversations with the teachers, the strongly affirmed view which came across from them was that the most important data which had to be gathered was data which signified progress by pupils. It was this data that offered guidance on what "worked", using SP's term, and thus guidance on how teachers could be helped to become more effective. It was such data that was seen to count as a basic reference point for determining whether the effort of teacher appraisal was worthwhile, at any rate when exercised voluntarily.

As part of the cycle of events in the voluntary systems of teacher appraisal referred to by the teachers, the gathering of data illustrating the progress of pupils was suggested freely by them in all phases as a necessary activity. The range of the data was wide, reflecting the variety in the approaches teachers were taking in teaching pupils of different ages or with different needs.

Exemplification of the range of this data and the process of its gathering was given at each school and in the course of many conversations. One instance was that offered by the head of the lower school. She said:

> "An awful lot of [the data] particularly with young children will be how the children are in the classroom which is fairly intangible. I mean, for example, in our appraisal document we have things like:
>
> What sort of environment does the teacher provide?
>
> What sort of relationship has the teacher got with the children?
>
> and that can actually be seen and almost be measured. It can certainly be felt.
>
> I think it is very difficult to collect data when children aren't actually producing work in quite the same way that older children would be. But, all the same, there are still things that children produce: things that children say, the way children react, that can actually be measured."

(JM WL)

Appendix 7.5 provides further details of the instrument of data gathering referred to by JM.

The relationships of pupils and teachers were given emphasis as a basic field of data gathering in appraisal by teachers in the other phases. This emphasis was clear in the concise words of a head of department from one of the secondary schools:

> "The fundamental thing to start with has got to be the quality of the relationship between the teacher and the student."

(JH MS)

Reflecting the importance of the relationships and the breadth of their influence is a reference made by JM to other practice at the lower school of gathering data concerned with pupils' progress. Older pupils there, for example, were accustomed to making self-assessments of their own progress, by choosing between pictures of smiling or unsmiling faces which were relatively varied by five steps of difference, to signify the degree of satisfaction, or dissatisfaction, they had with their day. Appendix 7.6 gives an example of a format for this approach. The value of the data on pupils' progress gathered by this process was seen to depend on trusting and honest relationships between pupil and teacher, hence the interest of the appraisee and appraiser.

When the teacher gave consideration on an individual and

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collective basis to the pupils' self-assessments there was further gathering of data which was comparative as a result of the teacher's assessments having been set alongside those made by the pupil. This aspect of data gathering thus showed the teachers self-regulating a form of moderation which was considered to contribute helpfully to the teacher's own self-evaluation and to enrich that stage in the appraisal cycle.

In the lower school, moreover, the parents were given a part to play in the gathering of data used in monitoring the progress of the school's pupils by teachers who along with their appraisers thus had further information to employ in the appraisal cycle. The head considered that it was important to see the school's data gathering for teacher appraisal as a coherent part of a wider process which she called "a very open way of behaving" (JM WL). In this school, a teacher (MS WL) suggested with aplomb that pupil assessment and teacher appraisal were linked by the likeness of character in their respective means of data gathering, and by the openness to which the head referred.

While in the conversations, the indication from the teachers was that teacher appraisal in the other schools, with one exception, was not as highly developed as in the lower school, it was made clear that developments with data gathering as such were proceeding on similarly broad lines in all. For example, in the secondary school (WS) where the component which had been exceptionally developed in the cycle of teacher appraisal was that concerned with the annual setting of targets for each teacher, pupils were direct contributors in data gathering to show what had been accomplished. The head said:

> "What's happening now in school is that there are whole series of indicators that teachers and pupils are talking more about the learning process together than rather just how well children are relating or reacting to certain content ... One to one conversations on a regular basis about how children feel they are getting on in certain areas [are held] by teachers systematically. ... It is important that they can get feedback from and relate to those clients whom they are serving ..."

(JH WS)

In this secondary school (WS), noteworthily, it was claimed

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that what was happening with data gathering was not atypical in this phase. In further reference to these new approaches to data gathering, this head went on to predict that "as part of the follow-up and outcomes to it" (JH WS) teacher appraisal would bring improvement to the activity he was describing. This meant additionally that as what was happening was developing in a school where there was pupil evaluation of curriculum change, not leaving out changes in pedagogy, the scale of potential improvement which was being encouraged through data gathering activity connected with appraisal there was becoming very large indeed. The presence of such pupil evaluation was evident in references in the annual faculty reports, for example:

> "Pupil evaluation of the course reflected many of the perceptions held by staff. Pupils were almost universally content with the way they were grouped. They liked the the variety of the modular structure and the fact that they met several teachers, which they felt was a process which helped them to learn."

(Humanities Faculty Evaluation Report, July 1990, WS)

For this school (WS) and the others following similar practice, the issues which made the gathering of this data important were summarised in the direct question which a head of department in another secondary school put as: "what is the teacher in the classroom for?" (JH MS). For this teacher the question was one touching, therefore, upon the meaning of professional growth as "doing a better job in the classroom" (JH MS), with the sense assuring that pupil centredness, so to say, was its measure in contradistinction to teacher centredness. The difference was seen to matter especially if "teacher centredness" meant the teacher was inclined to behave pompously as if to pronounce:

> "I'm a teacher. I'm something special: this is me on my pedestal ... [and to the pupil] ... you're over there!"

(JH MS).

Judging from the conversations, choice of the fields for data gathering in appraisal meant, then:

> "homing in on what it is that actually helps children to learn ... all to do with opening up and allowing people to talk about the issues that actually matter in the end."

(GM FMJ)

The head of the junior school went on to introduce another

function of data gathering. He said that:

*"If you think of appraisal for the school, I think it will help it
to run very much better. It could well provide better management
structures."*

(GM FMJ)

As the staff at this school had not participated actively in
the complete cycle of events in teacher appraisal during the
period 1987 to 1991, this head recognized that he was making
predictions in the light of his experience of the initial
spurt of partial involvement which he had caused on his
arrival at the school two years earlier, as mentioned above
(p. 309). Nevertheless, this head's comments were supported
by what was said in the conversations with teachers in the
schools where a complete cycle of appraisal was in current
operation. It was clear that the possibilities raised were
recognized as full of promise.

For example, a deputy head was able to reflect his current
experience of appraisal management in a telling comment on the
issue. He said:

*"It is interesting too that the recent management task force
recommendations are very much about a management system in a school
and ... about the way management should be developed and staff
development and so on should be carried forward in an institution
..., and although there's mention of learning being the outcome of
this, there's no detailed scrutiny of the relationship between
management and learning ... there's no detailed analysis of it."*

(TA CS)

For TA, it was the data gathering component of teacher
appraisal which enabled him and his colleagues to develop
their understanding of "the relationship between management
and learning" to which he refers in the above extract from the
conversation with him. The question of the reliability of
the data gathering process was important then not only to the
teacher appraised, but also at this school level of reflection
on the practice of teaching and learning. The anecdotal
nature of the data gathered during an appraisal had therefore
not to be overlooked. As a senior teacher sharing with TA
responsibility for management of the school's appraisal system
described it, classroom observation data should be seen as:

"just a snapshot of what goes on in the classroom."

(NM CS)

The senior teacher expressed further his concern as a person
who shared responsibility for the management of teacher

appraisal. NM said:

"I think that one of the big things that concerns me is how you use that classroom observation [data from] just one or two occasions to try to paint a whole picture of what the person's teaching styles are like ... and look for clues on a map for what the person may be doing on a day to day basis ... ."

(NM CS)

As shown in the above representative extracts from conversations relating to practice in each school, data gathering as discussed by the teachers in these case studies was recognized therefore very well as a complex activity, causing participants to address the essence of teacher appraisal as they conceived it. This essence constituted the means of gaining enlightenment on how well pupils were learning and on the causes which probably came within their discretion as managers to control. So it transpired that when data gathering came under consideration, the conversations brought out the perspectives of the teachers in their bearing upon the pupils as their clients in much clearer light than had been evident from the analysis of the material yielded from the questionnaire. The preferred purpose which the teachers desired for teacher appraisal accordingly became clearer, and obviously influenced their views on feedback the next key for consideration.

7.2.4 Feedback

In these case studies, the teachers saw the value to them of the feedback from teacher appraisal as being dependent on the purpose with which the appraiser and appraisee were expected to comply. In other words, when looked at from what was in this instance the common perspective of the teachers, it was seen to be the situation with teacher appraisal that different purposes would yield feedback of different dimensions of value, ranging from high to very low value. This outcome was expected to happen however effective or efficient other events in the teacher appraisal cycle might be.

In line with the view given of the positions which are discussed in chapter 1, there were teachers who clearly saw that feedback was affected by the approach made to teacher

appraisal. They recognized the approach as a matter of choice between the systematization of what was already considered in place, and, as the alternative, the development of an innovation. Making this choice was an action seen by the teachers to indicate the purpose intended of teacher appraisal, and thus the expectations about feedback.

As one illustration of the perspective of these teachers, there was a secondary head's comment that if appraisal embraces activities undertaken in the normal way of management, taking basic examples such as complimenting and "stroking" people, or being critical about the achievement of people, then possibly for government mostly what is intended in teacher appraisal is to give such activities a better structure (LD MS). Then, the point is that feedback requires few extra resources compared with present provision, and classroom observation need be undemanding in time. The simple upshot, in these circumstances, being the feedback desired by a deputy head:

> *"hopefully ... it will confirm that I am doing the job that I should be doing."*
>
> (ER FMJ)

Then all is well with a low cost, gratifying, publishable feedback, even if the achievement is hardly an advance beyond what was obviously known beforehand.

However, as the words of an educational support teacher in LD's school made clear, there could be the complications of ethical considerations if the feedback were different, and say:

> *"if it is a criticism of teacher technique or relationships or teaching styles in a particular situation, then I think a teacher has a right to expect confidentiality, but ... she has a responsibility to do something about it, [and] I think she has a right to expect support from the school to do that".*
>
> (SP WS)

LD (independently) supported SP. He said:

> *"Something has to happen as a result of a formal appraisal system. You can't have a formal appraisal system, say: well, OK, this is where we think you are at this time. ... If you leave it at that, the whole thing's failed and it's just not worth a candle. You need to say: this is how we are going to get to the next place ... ."*
>
> (LD MS)

LD went on to suggest that the appraisee would be likely to

ask where the gain was for him, raising the issue of rewards and punishments as examples of feedback. He described the approach of government as minimalist in that it appeared to rely on an assumption that the human resources and other resources in schools were sufficient, but not used well. Teacher appraisal was intended by government to generate confirmatory or corrective feedback, he believed, rather than developmental feedback. Schools and teachers were being left in their traditional positions: where schools looked after their own continuing organizational development, and teachers their own continuing professional education, and, in LD's view, it was an expectation of the government's policy that feedback from its preferred system of appraisal was unlikely to introduce a pressure to change these positions.

Nevertheless, there were teachers considering new ventures within these traditional constraints. Gently, JM asserted:

> "I think actually we have been a little bit lax - all of us perhaps
> - in thinking about what can be provided for development within our
> own institutions. ... We've got to think: what expertise have we
> got within our own institutions. What chance have we for
> development and change. I mean there is a very simple thing,
> certainly in a lower school. We have children for five years. Well
> every teacher has got the opportunity to teach six different age
> groups - including the four year olds - and we don't sometimes think
> of that as actual development, but it is, and where teachers in this
> school have changed [they have developed]. For example, we've got
> one in reception at the moment who always thought she only had
> wanted to teach eight year olds and is now very successful with
> reception children. ... We have got to look very closely at
> ourselves within our institutions and the one next door and the one
> down the road because we must interchange between schools ... ."

(JM WL)

The appraiser's responsibility mentioned above (p. 320) to introduce good ideas to an appraisee is a feedback example which has connections with those suggestions for new ventures offered by JM. It was a responsibility seen to be contagious in its effectiveness, as in the following instance in a secondary school design department, where teachers could say of these people with ideas:

> "We try to get them to go to different areas, but it means that
> we're all having to be very much aware of the design process and how
> we all interpret the design process, separate from our own subject."

(AB MS)

Feedback influenced by this model of professional interaction identified by JM and AB was much in keeping with suggestions from other teachers who made them in all phases. For instance, taking her service as a model, the educational

support teacher proposed as the aim for feedback from appraisal that:

"It should bring about for all teachers in most situations what we are doing with some teachers in some situations."

(SP MS)

In these ways, all teachers were seen to value feedback from appraisal as a form of improvement in the quality of the information flowing to them in school to help them to become as effective as possible as teachers. The activity of feedback was concerned with differences between desired and actual results in the teaching learning process.

There was recognition that there was need to improve the structures which existed in schools to support the flow of the information in question. Feedback from appraisal was expected by the professional tutor in the middle school (PC EBM) in these circumstances to lead to change in arrangements at staff meetings, concerning non-contact time for teachers, inservice programmes, and knowledge of staff preferences. His head mentioned schemes of work, the staff handbook, besides teacher/pupil interaction and specific input into lessons. Referring to the information flow, the professional tutor exemplified how the feedback might work:

"As a school (say) we're lacking expertise in "x" eg five teachers are seen to lack experience in science; science specialists lack experience in humanities teaching. You might find patterns. Therefore you could use more efficiently your school centred inservice plan, and non-contact time, to develop that expertise. So, instead of going out, use the school's own capacity. Keep a record ... validate against impact on pupils."

(PC EMB)

Predominantly, the teachers were concerned to receive feedback enabling them to improve their performance in their present jobs. In other words, they respected the first and foremost of the two principal goals of any employee development effort referred to in chapter 3 and (see above p.152) as proposed by Morrisey (1983). Feedback to serve other purposes for appraisal was considered to have little value by comparison. In consequence there was also implicit insistence in what the teachers had to say about feedback, requiring that it be directed at achieving "the continued upgrading of (their) capabilities", echoing Morrisey again (Morrisey 1983 p. 91)

Such activity as described in this section raises issues to do with context affecting both the policy and the practice of teacher appraisal. These issues are considered in the next section the subject of which is the fifth and final key.

7.2.5 The Context

The case studies confirmed that certain considerations of context were important to the teachers, influencing developments critically. Such considerations constitute the fifth key. Those which appear to merit attention here are summarised in Table 7.3. The issues raised in these items are examined in turn below.

The teachers had a vision of the government as indecisive and vacillating. This meant that the teachers lacked certainty about when teacher appraisal was to be introduced and the form it was to take. A major cause was seen as what was typically described as frequent "movement of the goal posts" (GM FMJ). The teachers were made wary by this vacillation.

Table 7.3	THE CONSIDERATIONS OF CONTEXT: A SUMMARY OF THE MAIN ISSUES
1	The teachers' vision of the government's approach to teacher appraisal
2	The stance of the teacher associations towards the the development of bespoke systems of teacher appraisal at school level
3	Legislative changes affecting the administration of the schools
4	Certain aspects of the internal environment of the the schools

In particular, the impact on the teachers of their sense of uncertainty about things affected their beliefs about being ready for a teacher appraisal system initiated by government. As the lower school head said:

"We did consider ourselves very ready for it, and then this latest thing cropped up and now we are not absolutely sure."

(JM WL)

What JM meant by the "latest thing" was a perceived linkage again of teacher appraisal with pay, conditions of service and promotion. Such linkage was unwelcome because giving bonuses to some teachers was seen to mean disadvantage for all, by

causing class sizes to increase and reducing the number of job opportunities as the means of financing. More graphically, pay related ratings were seen as:

> "punishing the rest of the teaching establishment for the sake of encouraging one or more other members of staff."

(MP WL)

Such ratings were seen blatantly to contradict the proposition that:

> "We've got to respect the fact that 99.99% of teachers are interested in being better professionals and being recognized for that."

(JH WS)

But, this was indeed whistling in the dark, if the following words of GM signified the assumption of government about teachers:

> "We are not to be trusted."

(GM FMJ)

Awareness of not being trusted and the perception of darkness shrouding government intentions led to the apprehension widely expressed by the teachers. Such apprehension was clearly observed by the young middle school teacher:

> "People need to know the facts, so there isn't any mystery, so they know they're not going to lose money or they're not going to be slighted, or anything. So they know what's what really ... without any jargon."

(HJ EBM)

During the period between 1987 and 1991, the teachers knew their own approach continued to lack congruence with that of the government, notwithstanding the pilot projects and even increased experience of their own with appraisal.

The situation of uncertainty was seen to have unpromising workload implications about which the lower school deputy head commented:

> "The worst scenario you could have is that all of this ends up being done in teachers' own time ... all the discussion part between teachers out of the classroom ends up being done in their own time."

(MP WL)

On this and other aspects of the resource implications of the government's approach, the teachers were almost despairing, if unsurprised that they had concluded that teacher appraisal was unlkely to be resourced properly. Of the government, SP said:

> "They always want to do it on the cheap ... it doesn't matter

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whatever initiative is put into the schools, [they] don't resource it properly.

(SP WS)

As the cause, this was attributed by SP and others to the great absence of understanding in the minds of the members of government about how schools operate. This cause was seen to have a further consequence, namely, the reluctance of government to invest in the professional development of the teachers to equip them to participate in teacher appraisal in a proper way, because that way should be determined by answers to questions about potential take-up by teachers of professional development activity which would be very high (CB EBM).

Other teachers besides CB seemed to have no doubt that it was fair that the government's approach should be called "minimalist", the description used by one of them (LD). Extremely so, even, according to GM who was referring to another example, the resourcing of classroom observation. Once there was realization of the high cost involved, the length of time eventually proposed for classroom observation was seen as "relegating it to a point where it is almost ineffective" (GM FMJ). For its related component, the proposed level of resources was seen also to mean:

"choosing targets that wouldn't rely upon knowledge of classroom activity to demonstrate whether they are being reached."

(GM FMJ).

A government approach seen in the manner described above had negative consequences in the schools, even when things in them relating to teacher appraisal were perceived to have changed for the better between 1987 and 1991. In the secondary schools, where such change was believed to have occurred, nevertheless a head of faculty in one illustrated this point:

"I think in this school, people will approach appraisal very positively, but any lurking sense of cynicism will increase if people are not aware of clearly defined outcomes and a clearly defined programme of action that they need to follow."

(DH WS)

Besides the government approach, however, the teachers were subject to the influence of guidance from their national representatives. The latter were not strongly supportive of

initiatives in teacher appraisal at school level, going only so far as to support local applications of a trial version of a national system, namely applications developed within the agreed pilot projects. The hard line of the larger unions for much of the period between 1987 and 1991 was that until there was an agreed national system of teacher appraisal there should be no freelance development, so as to avert the risk of precedents prejudicial to the general interests of teachers. Paradoxically, these case studies demonstrated rather that creative achievement with beneficial outcomes for teachers and, furthermore, for pupils, could come from school level initiatives.

The union stance was thus to take teacher appraisal up entirely on the basis for it defined by the government. In this, curiously, they were fortified by NSG which had eschewed the issues concerning school level variants of a national system. The system advanced by NSG reflected the viewpoint of government, as shown in chapter 1, rather than that of the teachers whom their representatives were effectively constraining a large proportion not to express.

The stance the unions took meant they did not recognize, at any rate publicly, that teacher appraisal had such great scope as was found in these case studies. Noteworthily, in contrast with the approach of the teacher federations in Ontario, and the latter's counterparts in school districts in USA, described in chapter 2, the unions here did not encourage distinctive school level development as an enrichment and strengthening of the case to support a professional growth model as both desirable and feasible for a teacher appraisal system. This the unions did despite the fact that this model was what the teachers were saying they wanted. In the case studies, it was not evident that the teacher unions had exerted any influence on the positive side of the changes which occurred.

On the other hand, there were considerations of a different order of context which contributed positively to the developments which occurred with teacher appraisal. Again

there was a paradox: the cause was government action. These developments arose from the impact of legislative changes in the period from 1987 to 1991.

The example of the impact of legislative change most realized by the teachers as affecting them in terms of teacher appraisal resulted from the development of the national curriculum. Teachers recognized that as a consequence they were being brought increasingly into consultation with each other over issues affecting their work styles in the classroom. Major examples are given above such as the particular concern KR had with differentiation and the approaches towards assessment frequently mentioned, involving pupils. Notably, the younger teachers had been impressed in the recent years under review with a "heightened sense of people working together" (CS CS) and, concerning classroom visits, the words of HJ expressed a new mood shared, it strongly appeared, by older teachers:

"I like people coming in. I find it helps."

(HJ EBM)

EG said at MS that the senior management team wished to encourage "peer group appraisal".

Another legislative change also seen to offer scope to help teachers to gain benefits from teacher appraisal was the development of LMS. Its scope was exemplified in the words of JM and PC (see above pp. 329-30), relating to the use of inservice funds. Associated with LMS was the school development plan to which, for example, reference had to be made as one measure of the appropriateness of targets set for teachers or the focus of professional discussions. This was evident in the documentation relating to targets at WS.

The third change to mention here concerns the increased powers of governing bodies of schools. Although what this was going to mean still remained to be unfolded as the voluntary systems of teacher appraisal referred to in this chapter did not involve these bodies in their management, the heads of the primary schools expected the governing bodies of their schools to have a strong influence. In their attitudes which they

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might adopt towards teacher appraisal as a developmental activity or as an expression of their accountability for standards in their schools, it was believed that these governing bodies possessed the power to influence considerations such as could make or break appraisal for teachers. (Examples of such issues are given below in subsection 7.3.1.)

Ultimately, the considerations of context indicated to the teachers that as a permanent help to them in the development of their bespoke systems, they had then only their own goodwill towards each other and their own management skills to rely upon. Perforce, the teachers recognized that the gains from teacher appraisal were related to the nature of their own effort. This point can be illustrated further by referring first to the place of classroom observation in the cycle of teacher appraisal.

Classroom observation was generally the component of the cycle of teacher appraisal where experience was patchy which was much as it had been found using the questionnaire four years earlier. Frequently, however, it was claimed that there had been an opening up of classrooms for visits from colleagues, as mentioned above. With regard to this latter trend, the norms of some special schools were seen to be relevant for mainstream schools.

Recalling her experiences in at least one special school, the educational support teacher expressed the option of a comprehensive prospect open ahead concerning classroom observation:

> "In the special school setting ... the head and the deputy, or anybody really, who were not teaching at that time would go in and out. It was a supportive thing. It was to help if kids were being difficult. It was also to see what was going on. It was to be informed. It was an interest in ... . So nobody felt threatened about it. But obviously the appraisal was going on ... because we had a process of supervision - if you want to call it that - on a regular basis, once a month, and the head or the deputy would obviously have taken a note of things that were happening and would talk to us about this. Immediately, if it was something that went wrong ... but ... it was a whole fluid situation. If you could get that sort of fluid situation in a mainstream school which started off with the appraisal system, you could afford to have the formality of the appraisal system there as well."

(SP WS)

Having a "fluid situation" probably enabled what JM called the "depth" in teaching situations to be explored. In schools which had developed an appraisal system like hers in the lower school, she claimed for the teachers involved that:

> *"They have definitely explored the depth because they have had to, because they are the ones actually dealing with the people. Whereas anyone who isn't dealing at the chalk face ... hasn't got into that depth. ... We actually look at things which are going to affect human values and what children think and feel and believe".*

(JM WL)

Classroom observation especially of all the various events in the appraisal cycle was seen then as bringing to attention much of what was perceived by the teachers as the distinctiveness of teaching as a professional activity. On the subject, the head (DM) of the secondary school where there was the other highly developed voluntary system of appraisal, had reached conclusions which were closely similar to those of JM just cited above. In referring to the distinctiveness of what in his school he was concerned with as head, first he mentioned:

> *"the diversity of the context in which teachers work: buildings, pupils, subject areas, classrooms, out of classrooms, the values they bring which make a huge difference to how you deal with people."*

(DM CS)

Above all there is an immediacy about teaching and learning, DM said, making all the difference compared with the models of work situations that the government appeared to be relying upon in its uncertain way in designing an appraisal system for teachers.

On a mundane plane, DM also acknowledged, as other teachers had done, as is shown above, the question of cost, recognizing that what he dubbed the "mechanistic system", which the government proposed would be cheaper than his model. Yet, he added, the best organizations in the non-educational sector had long abandoned the model preferred by the government, so why not go for the best?

In this last comment, DM can be seen to have drawn attention to what for him and his colleagues was the essential element in the context. The teachers considered that they were going to have to manage with second best.

7.3 EMERGENT ISSUES AND CONCLUSIONS

7.3.1 Make or Break Considerations

All twenty two teachers individually were asked what was for each the make or break consideration in a national system of teacher appraisal. As indicators of desirable ways of managing the prospective system their answers are important, particularly so if the sample is representative of their larger constituency.

On the side of making teacher appraisal welcome there were four considerations which were uppermost as critical for the teachers. These were ensuring the credibility of the appraiser, demonstrating effective follow-up, operating in conditions of openness, and making sure that appraisal is integrated with all that a school is doing. As support for including each consideration is clearly given in the discussion in the preceding sections, the summary here is sufficient. At this point in the development of this thesis, the observation is worth making that these four considerations constitute "four keys" to effective teacher appraisal for comparison with the five of Duke and Stiggins (1986) discussed earlier. As with them, the fifth was clearly the individual teacher, in the eyes of the teachers in these case studies.

Also as seen with the teachers' eyes, there has emerged from the data discussed in this chapter and chapters 5 and 6 a profile of an appraisee. This profile compliments the teachers' profile of an appraiser which is illustrated in Figure 5.1 (above p. 240). The profile outlined in Figure 7.1 (on the next page) represents a view of appraisee behaviour that is considered by the teachers as likely to make for effective teacher appraisal. The profile is considered in more detail in chapter 8.

On the side of breaking teacher appraisal into an unwelcome burden the teachers presented rather more considerations, seven in all. These were the linking of appraisal directly with judgements affecting pay entitlement, gathering of data judged to signify where performance comes above or below average, concentration on weakness, no choice over who is the

appraiser, absence of trust in appraisee/appraiser relationships, appraisal in its interpersonal aspects characterised by lack of sensitivity, and when a statement of policy is perceived simply as rhetoric. Broadly, the break conditions were concerns of context, mostly derived from external sources.

Figure 7.1 THE PROFILE OF AN APPRAISEE:
THE TEACHERS' MODEL

CONSULTATION   SUPPORTING

MOTIVATED BY
PUPIL CENTRED
CONCERNS

CLASSROOM
ACTION
RESEARCHER

SHARES OWN
EXPERTISE
FREELY

REFLECTIVE
PROFESSIONAL

RECEPTIVE TO
THE GOOD IDEAS
OF OTHERS

STRONG INTEREST
IN PROFESSIONAL
GROWTH

VALUES
CLASSROOM
OBSERVATION

PRACTICALITY   NETWORKS

Source: Empirical Study

7.3.2 Other Conclusions

There are two other conclusions of a very positive kind concerning developments in the management of teacher appraisal between 1987 and 1991. The first is that teacher participation in the developments since TARP finished had been sustained in the schools which were involved with the project. This participation had had the progressive result that there had been growth in the sophistication of the voluntary teacher appraisal systems which had been continued with between 1987 and 1991. Participation in teacher appraisal appeared to generate for the involved teachers enhancement of its value to them, an outcome paralleling experience in the pilot projects.

The second of these positive conclusions is that where teachers had gained familiarity with systems which they had had a share of responsibility for developing, the teachers appeared to acquire a sang-froid which had verbal expression in the words of MS:

"The experience itself is not half as frightening as the thought of it."

(MS WL).

Staff relationships were manifestly regarded as a crucial element in the the management of the systems of teacher appraisal which were found to have been successfully implemented, especially when there was inclusion of classroom observation. The locations of these schools, WL and EBM, are indicated interestingly in terms of the Dutch models of school educational and organizational systems in Table 7.2 (see above p. 310).

A further conclusion is that a systematic and sustained management effort with teacher appraisal is necessary in order to put a system in place and maintain it there. The secondary school CS, and the middle school EBM, contrasted sharply with the junior school FMJ in this respect. Key elements in the contrast can be seen highlighted in the Table 7.2 (see above p. 310). Staff at EMB shared collegial relationships with each other compared with staff at FMJ where "line management" and a role culture were powerful influences in school management. At FMJ, in the conversations stress was laid on role definition (GM), and relationships and personal values (ER).

Finally, what comes out of the case studies is a clearer explanation of the reasons why the government and the teachers have conflicting perspectives concerning teacher appraisal and its management. What these studies in essence suggest is that the teachers want teacher appraisal managed so that it serves as a system to help them redesign and improve in quality both their own professional life and the school life of their pupils, allowing for this to happen jointly and interactively as much as possible. Contrary to that idea, what the teachers see the government to want is a superfical system managed just for the sake of the record, so to speak: so that predicted

standards or competencies in teaching behaviour can be recorded as accomplished, or not.

Without exaggerating unduly, at worst it appeared to the teachers that the system preferred by NSG and the government promised to be a "show", and particularly bureacratic if heads and other superordinate appraisers assumed that they had a vested interest in just confirming the presence of high proportions of accomplished teachers on their staffs. Heads might experience a need or temptation to do so in order to demonstrate their own effectiveness as managers, to their governors, in conditions of open enrolment. This, it can be said, would be "systematization" with a vengeance: meaning without change in the status quo which may be celebrated more elaborately as a result of teacher appraisal modelled on government lines. This is then an example of what has been called "innovation without change" (Ruddock 1991).

The differences discussed are seemingly deeply rooted in different concepts of management culture. Possibly, the differences are more fundamental, as DM asserted. He considered that the government was expressing an approach which was typically traditional:

> *"I think there's something in our culture which doesn't value and doesn't understand learning and reflection in a democracy."*

(DM CS)

The interest in DM's comment is not whether what he said is either fair or accurate, but in its spirit and what it signifies for the problem solver seeking a way to overcome the conflict it betokens. In the final chapter, the attempt is made to reconcile the differences between the government and the teachers over teacher appraisal and its management.

Chapter 8   Conclusions and Recommendations

8.1 INTRODUCTORY
8.1.1 Rationale
In this final chapter, following the visit to the grass roots, so to speak, to make an exploration of teachers' perspectives, what is attempted is a presentation which draws closer together a number of the detailed conclusions found in the previous chapters, with a view to showing the strength of the relationships between these conclusions more clearly. In mind are the original goals to produce ideas which are likely to to be helpful in practical ways to appraisees, appraisers and the teacher appraisal systems managers. Such ideas are put forward. Also put forward are proposals intended to reconcile the perspectives and priorities of the teachers with those of government. Suggestions are made about what the LEA and Governors can do.

Repeatedly when drawing together the conclusions of this thesis, it was necessary to refer to the statutory regulations introduced in July 1991. First, therefore, there follows a short section containing an analytical account of these regulations in order to show how the government's approach to teacher appraisal persisted from its outset along the same track. This account provides the background without which the details would be less pronounced in the rest of the picture as it is finally drawn.

8.1.2 Retrospect: Constancy of the Government Approach from 1985 to 1991
Between 1985 and 1991, government developed its proposals and began the implementation of the public policy on teacher appraisal. While there seemed at the time to be much happening, yet there was virtually no change in the direction of this public policy throughout this period, nor were there grounds at the end of the period for expecting change in the future.

Remarkably, despite ACAS, the completion of the pilot projects, and the reports of the evaluators and of NSG, what

finds formal expression in the statutory instrument "The Education (School Teacher Appraisal) Regulations 1991" (S.I. 1991/1511) and in the explanatory DES Circular 12/91 is approximately what Sir David Hancock had adumbrated in 1985 (Hancock 1985). The few examples of change require only brief coverage now. The regulations replace an annual appraisal with a two year cycle, and the Circular allows for an appraiser to concentrate "on specific aspects of the appraisee's job" (Annex A para. 3), as an alternative to taking a wide angle focus on the whole content. There is amplification of two aspects of the original government approach in that the aspiration to "improve the management of schools" becomes one of the statutory aims of teacher appraisal (Regulation 4.-(3)(f)), and the linkage expected between a school's targets and the targets of individual teachers is indicated more precisely (Circular 12/91 para. 11), regard being given to the appearance since 1987 of statutory job descriptions and school development plans. Regulation 4 is reproduced in Table 8.1 on the next page.

Hancock's original propositions which are reproduced above (p. 23) match closely the aims set out in Regulation 4 for the statutory system of appraisal. As a whole, the regulations no doubt are intended to clarify government intentions, but the ambiguity which Hancock began is carried on, even in the explanatory circular. There is ambiguity, for example, in the only partial separation of disciplinary procedure from appraisal procedure (Circular 12/91 paras. 68, 69). On the other hand, some linking of appraisal with salary adjustment is positively commended as "legitimate and desirable", and the taking "into account" of "information from appraisal" is advocated to achieve this (Circular 12/91 para. 70).

It seems reasonable, therefore, to conclude that the statutory regulations lack the capacity significantly to alter the vision that teachers have of the government approach to teacher appraisal. Seen from their viewpoint, these regulations look threatening because, for example, although depending on episodic events, appraisal is evidently still intended to affect the careers, salaries and promotion

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prospects of teachers. Government belief in the greater reliability of the appraisal process compared with current practice is firmly displayed with regard to these personnel management issues. Regarding professional needs, such as skills upgrading or environmental considerations, the regulations are awkwardly silent.

Table 8.1   STATUTORY INSTRUMENT 1991 No.1511
             REGULATION 4   AIMS OF APPRAISAL

(1) Appraising bodies shall secure that appraisal assists-
(a) school teachers in their professional development and career planning; and
(b) those responsible for taking decisions about the management of school teachers.

(2) In carrying out their duty ... appraising bodies shall aim to improve the quality of education for pupils, through assisting school teachers to realize their potential and to carry out their duties more effectively.

(3) Appraisal procedures shall in particular aim to-
(a) recognise the achievements of school teachers and help them to identify ways of improving their skills and performance;
(b) help school teachers, governing bodies and local education authorities (as the case may be) to determine whether a change of duties would help the professional development of school teachers and improve their career prospects;
(c) identify the potential of teachers for career development, with the aim of helping them, where possible, through appropriate in-service training;
(d) help school teachers having difficulties with their performance, through appropriate guidance, counselling and training;
(e) inform those responsible for providing references for school teachers in relation to appointments;
(f) improve the management of schools.

(4) Appraisal procedures shall not form part of any disciplinary or dismissal procedures, but appraisal statements may be used for the purposes specified in Regulation 14 [concerning this and pay and promotion]

The government appreciates the apparent threat which is seen by teachers and has accepted that complaints and appeal procedures are necessary, providing these extensively, for example, against the summative decision of an appraiser, or concerning targets set for an appraisee, or against the choice of an appraiser. The procedures are elaborate (S.I. 1991/1511 Regulation 11), seemingly in particular recognition of the potentially adversarial relationships between appraiser and appraisee built into the regulations. By contrast, concerning professional needs, the possibility of policy makers being seen as indifferent seems not to have been seriously

contemplated by government.

8.1.3 An Initial Reflection: The Nature of a Lost Opportunity

Neither the Statutory Instrument (S.I. 1991/1511) nor Circular 12/91 confront important questions which are raised in chapter 3 concerning how teacher appraisal is expected to affect, for example, the professional styles and development of teachers. Despite six pages of regulations and fourteen pages of explanation there is no mention of an intent to encourage a situation where "the teacher is actively engaged in critically reflecting on his or her teaching by utilizing classroom-based research methods" (Reid, Hopkins and Holly 1989 p. 122). This lack of mention is important if such engagement expresses "a fundamental role for a teacher who takes professional development seriously" (Reid, Hopkins and Holly 1989 p. 122). Calderhead is another who emphasizes the "crucial role of thought and reflection in professional development" (Calderhead 1987 p. 18). So while the intent is restated that professional development shall be assisted by teacher appraisal (Regulation 4-(1)(a)), the sense of this statement has to be surmised. Moreover, the statutory arrangements do not include an affirmation that "in matters affecting teaching and learning, teachers almost automatically drop into the typical professional-collegial mode" (Beare 1989 p. 88). In this initial reflection, these authorities are cited as their words are apposite in that the basic considerations which arise from this research seem at the opposite end in the scale of importance to those ranked high by government.

As a way of showing the considerations which are given high or low importance in the statutory system, Table 8.2 has been compiled. The assumed measure of the importance of a consideration identified in Table 8.2 is either how often there are references to it in Circular 12/91, or what is apparent as its intended significance as an influence on the arrangements. In the light of Weick's ideas about loose and tight coupling of elements in educational organizations (Weick 1976), it can be seen that the elements in the regulations construed by government as affecting a teacher's performance and needing to be tightly conjoined therewith are, notably,

the career positions of teachers, task driven job descriptions which disregard any need to emphazise required skills, and rewards and sanctions. Teaching and learning stay loosely coupled with the management process and the organizational structure of a school, betraying the conventional or traditional character of government thinking, and, following Weick again, reveal the inherent weakness of the statutory system of teacher appraisal if it is expected to bring gains to pupils.

Table 8.2	THE STATUTORY SYSTEM OF TEACHER APPRAISAL: CONSIDERATIONS OF HIGH AND LOW IMPORTANCE
Considerations of High Importance	Paragraph References in S.I. 1991/1511
Multiple Purposes for the system of Teacher Appraisal	11, 17, 18, 19, 20, 31, 32, 40, 42, 54, 55, 56, 57, 61, 68, 69, 70.
Lay Oversight	4, 5, 6, 23, 26, 53, 59, 62, 63, 64, 65.
Superordinate Status of Appraiser	19, 21, 28, 30, 39, 42, 49, 68.
Protection of Records	53, 54, 55, 56, 57, 58, 65.
Considerations of Low Importance	Paragraph References
Frequent Classroom Observation	35, 36, 37, 38, 39.
Follow-up	58, 59.
Self-appraisal	34.
Appraiser's prior Familiarity with Appraisee's "post"	33.
Research	No Reference

In the statutory regulations, an approach to teacher appraisal is expressed by a government which appears to be out of touch with current trends in teacher behaviour and thinking, and with those in school management, or to be acting perversely towards those trends. That is a conclusion which is drawn from this research and corroborated in the relevant literature referred to in this thesis (Coulson 1980, Hopkins 1985, Reynolds and Saunders 1987, Beare 1989, and others).

The system of teacher appraisal which the regulations provide appears aimed to secure an authoritarian form of control over

the teachers, fairly explicitly and seemingly deliberately, denying them that degree of self-regulation typically associated with professional status in other cases (Shapero 1985). Oddly, this approach seems contradictory to the government's own other intents, for example, in the statutory reform of the school curriculum and the local management of schools (ERA 1988) which give stimulus to collaborative and collegial working styles amongst teachers, and presuppose trustworthy and competent professional behaviour. That approach adds strength to the trends towards decentralisation just mentioned. Interestingly, similar such trends are noted in chapter 2 in relation to the development of teacher appraisal in North America (see above p. 104, Table 2.5)

This government approach to teacher appraisal may be seen as an aberration, or an expression of wishful thinking. Contrary to its statutory powers, it seems that government aspires to supplement its statutory control of teacher training with continuing post-qualification oversight of teachers in their classrooms. Resolution of this political quandary is acheived by delegating control over the local arrangements made for teacher appraisal to "appraising bodies". These lay bodies comprise the elected local councillors in LEAs and school governors in grant-maintained schools (S.I. 1991/1511 Regulations 2 and 3).

There is a major difficulty for the appraising bodies in that the educational goals for teacher appraisal are unspecified in the regulations, and the goals indicating the preferred direction for the "professional development" of teachers are vague, for example, Regulation 4-(3)(a), or banal, for example, Regulation 4-(3)(b), reproduced in Table 8.1 (above p. 344). The infrastructure for teacher appraisal contrasts sharply in terms of status, resources and professional sophistication with that provided by government to support the curriculum reform, and is lacking in direction and much underconceptualised by comparison. In practice, therefore, ultimately everything is going to depend on the professionality of the teachers, since, as Baroness Hooper acknowledged in the House of Lords in 1988:

"... it is the teachers who have the responsibility for promoting high standards of excellence in learning and personal development [in pupils]"

(Baroness Hooper   House of Lords   18 April 1988)

The teachers are by tradition left to their own devices for almost all their time while interacting with pupils when teaching, and the regulations provide for no change in this situation.   What is coupled tightly together by government in its model of teacher appraisal has little bearing on the responsibility Baroness Hooper defines.   However:

"The question of what is available for coupling and decoupling within an organization is an eminently practical question for anyone wishing to have some leverage on the system."

(Weick 1976   p. 172)

Thus it is demonstrable that government, on the one hand, concerning the curriculum reckons the teachers are capable of gaining if they work less in isolation, while, on the other, it expects them to participate in a system of teacher appraisal which overtly offers little "leverage" on teaching and learning which is the priority consideration for the teachers, judging from this research in particular.

In consequence, the teachers themselves are being left to create the infrastructure of teacher appraisal.   Whatever, therefore, the weakness or the apparent inconsistencies and contradictions contained in the statutory regulations, there is indeed resurrection of the government's initial stance on the management of teacher appraisal.   This is evident from the original valuation of its own then principal spokesman:

"The government position is that teacher appraisal should largely be conducted at the level of the individual school by the teachers themselves".

(Joseph 1985 p. 36)

That position which Joseph asserted and the regulations reaffirm is one which shows why the teachers' perspectives are important and reveals the potential value of the findings about them drawn from this research.   This value is partly that the teachers' perspectives are bound powerfully to influence what actually happens with teacher appraisal in schools relative to government expectation.   Moreover, the perspectives of the teachers considered here bring out concerns and interests which have striking similarity with

those described in chapter 2 as avowed by the Canadian and American teachers who were experienced as participants in teacher appraisal and for whom clear goals were given. The value then of the teachers' perspectives is also partly that they show where to begin building a strong teacher appraisal system and how to manage it subsequently. Here lies the opportunity which it seems has so far been largely lost. The logic of the teachers' position seems not to have been grasped by government even on its own valuation (Joseph 1985, Hooper 1988).

8.2 THE MANAGEMENT OF TEACHER APPRAISAL:
THE KEY CONSIDERATIONS EMERGING FROM THIS RESEARCH
8.2.1 Summary of the Key Considerations

The findings of this research suggest there are four key considerations which require attention in the management of teacher appraisal. As explained in chapter 4, the questionnaire included probes seeking for such considerations. (Tables 4.10 and 4.11 (above p. 183-4) list these probes.) The four key considerations for management emerging from the research are summarised in Table 8.3.

Table 8.3 THE MANAGEMENT OF TEACHER APPRAISAL: FOUR KEY CONSIDERATIONS EMERGING FROM THE RESEARCH
1 The Teacher's Professional Growth: Stages of Concern
2 The Follow-Up to an Appraisal: The Differentiation of Personal Action Plans
3 The Autonomy and the Distinctiveness of a School: Action Learning and the Priority
4 The Teacher as a Professional: The Influence of a School's Orientation

These four considerations have an obvious correspondence with the "Five Keys" referred to in chapter 4 (see above Table 4.3 p. 166) and with the "make or break" issues defined by the teachers in the case study schools and presented in chapter 7 (see above pp. 338-9). Each consideration possesses two aspects which can be construed as tightly coupled elements, meaning a strong interdependent relationship exists between them, and that neither aspect is fully appreciated when seen alone without the other in view or in mind.

In order to secure an appreciation in detail of what is contained within each key management consideration references need to be made to the material in the earlier chapters. The references are given below, but the detail is not reproduced. The purpose now is to offer further reflections on earlier mentioned findings which up to this point have been considered mostly, although not exclusively, in their individual contexts in the chapters where they are introduced. In the following sections, the new purpose is pursued.

8.2.2 The Teacher's Professional Growth: Stages of Concern

This research suggests that the capacity of a system of teacher appraisal effectively to help identify the professional needs of teachers depends upon the theoretical underpinning structure. Consequently, if this structure is strong and well developed, there is an improved prospect of an effective management system for teacher appraisal. Again judging from this research, the main dimension of an underpinning structure of the kind required spans the stages of a teacher's professional growth which typically is best calibrated by reference to the seniority of the appraisee whose own growth position can then be defined along this dimension with reasonable accuracy.

Neither the statutory regulations nor the explanatory circular make suggestions in any detail about how to differentiate the professional growth of teachers according to seniority, nor about distinguishing between professional development and professional growth, despite the value of doing so shown in chapters 2 and 3. There is a requirement therefore to find ways of exploring and resolving the issues which arise as a result, and to create the relevant dimension of the theoretical underpinning structure which is necessary for the effective management of teacher appraisal in this regard. This requirement is addressed below.

In chapter 2, the concept of professional growth applying to teachers is identified as having a powerful bearing on teacher appraisal, influencing the decisions taken about the structure of the system used, configuring the relationships of the

participants, and strongly underpinning the purpose. In the North American cases the concept of professional growth relied on to give a participant in teacher appraisal, whether as a manager of the system or as an appraiser or appraisee, a sense of direction is very different from the concept chosen here by government as the source of influence for the comparable purpose. What is claimed from the highest level here to have in effect a similar bearing on the development of teacher appraisal is the concept of probation. This bearing of probation was put forward powerfully, judging by the persons who backed it (Joseph 1985, Hancock 1985). The matter is important as probably explaining why government has neglected to show concern with the differentiation of stages in the professional growth of teachers, unlike the teachers themselves.

Seeing probation as providing a model to which reference was appropriate in justification for teacher appraisal, Hancock said:

> *"Novice teachers, it is usually accepted, must be appraised. But once a teacher has crossed the threshold into established professional status, it seems to be suggested in some quarters that quite separate criteria should apply."*

(Hancock 1985 p. 19)

The sense of reliance on common criteria indicated in Hancock's statement above, HMI have echoed in their reference to the utility they projected for a "baseline" of "nationally agreed competencies" (HMI 1989 para. 94). This approach is alien to that preferred by the teachers who wish for their own individuality to be recognized, calling for multiple rather than common or undifferentiated competencies or criteria to apply in teacher appraisal (see, for example, subsection 7.2.1 above pp. 311-5). Moreover, if teacher appraisal happens simply to involve teachers in being tested and being passed, or not passed, over the "threshold" at regular intervals, biennially, in this instance, as provided in the statutory system, it can have little connection with a concept of the teacher's professional growth proceeding through several stages. Therefore, in that case, professional energy is put at risk of being wasted much as many classroom teachers appear to anticipate, for example, in that only a bare majority (52%)

expected appraisal to improve their teaching (see Appendix 5.2 item B7). Moreover, as shown in chapter 5, principal-component analysis identifies the extent that any benefit was anticipated from appraisal as the issue which is the major factor accounting for variance in the teachers' expectations (see above p. 195).

Adopting the teachers' perspective means accepting that the benefit gained through achieving professional growth is a key consideration in the management of teacher appraisal. Moreover, as parts of this consideration, there are discernible main concerns to take into account, each reflecting a significant growth stage. Logically, if there are several stages in professional growth, this means participants recognizing in the process of teacher appraisal that effectiveness, or the value of the benefit, is influenced by the goodness of the match jointly made by the appraiser and the appraisee between a theoretical stage of professional growth and an appraisee's position in his or her actual individual growth cycle. Usefully, the theoretical stages in the growth cycle are illuminated and defined by the research findings in a way which has both interest and importance for managers of teacher appraisal systems.

Table 8.4	THE TEACHER'S PROFESSIONAL GROWTH CYCLE: FIVE STAGES OF CONCERN SUGGESTED AS OF RELEVANCE FOR PURPOSES OF TEACHER APPRAISAL
Concern	Outline description
1 Survival:	classroom management to ensure order and control
2 Expertise:	knowledge of own subject(s), and the place of the subject(s) in curriculum of the school, and mastery in presentation
3 Empathy:	understanding students well; responding to their needs on an individual basis in a class context
4 Mission:	capacity to progress the school's mission and its management objectives
5 Support:	being influential as a peer in supporting other teachers
(Developed from Fuller (1975))	

With respect to the larger sample of teachers, judging from

their responses to the questionnaire and, later, in the conversations with the smaller sample, what alike is the clear conclusion, even if tentative, is that for purposes of teacher appraisal it is useful to distinguish five major stages of concern in the experience teachers have of professional growth, instead of the three only identified in chapter 2. A summary of the growth cycle which is to be described is given in Table 8.4 on the previous page. The suggested additional stages are items 4 and 5 in Table 8.4. This extended growth cycle for teachers is identified below by the acronym: SEEMS.

In Table 8.4 there are the three stages which have been identified by Fuller (1975) and which are followed here. These are shown as items 1, 2 and 3 in the table. Additionally, there are the two further stages, items 4 and 5, which appear connected with recent organizational development in schools. One new stage, item 4 in Table 8.4, is a concern about involvement with the management of whole school issues, or the school's mission. This and the other stage came out clearly in the conversations that were the source of the findings described in chapter 7. The second new stage, item 5 in Table 8.4, is a concern teachers have to offer peer support to colleagues as "critical friends", as often as not in order that they may help each other to develop new skills to meet new expectations such as are brought especially by the national curriculum.

The concept outlined here of the professional growth of teachers is different from the conventional one in several ways. In order to bring out how it is different, the concepts expressed by the central agencies need consideration. First to consider, there is the concept which is reflected in the regulations (S.I. 1991/1511). The regulations do not refer to or show recognition of a separate concept of professional growth distinguished from professional development, and the latter is attributed the sense only of going across a threshold (borrowing the term from Hancock (1985) see above p. 347) in a single movement, suggesting only one stage of growth matters in moving towards maturity. Second, and still consistent with the regulations, there is an implicit concept

which expresses professional growth as progress in attaining success in the display of the standard skills or qualities which HMI promote (DES 1985, HMI 1989 and see checklist contained in Appendix 8.1). In this case, growth is much bound up with the teacher's personality and the gaining of pupils' respect (HMI 1985).

Contrasting with the central agencies, the concept of professional growth which is identified in the perspectives of the teachers has affinity with the concept which informs the promoters of assessment centres and governs the recruitment and promotion processes such centres adopt affecting teachers (Wilson 1989). Elaboration of a differentiated structure such as is associated with assessment centres here and in North America (Dekalb 1987) is not found in the literature of teacher appraisal in this country. For example, the growth model offered by David Styan in his account of teacher appraisal does not differentiate stages of growth (Styan 1987). Similarly, Bollington, Hopkins and West (1990) rely on the initiative of participants to undertake whatever differentiation is required in an individual appraisal. They do not offer a structure for such differentiation.

Some further elaboration is therefore merited here of the additional stages of concern suggested in Table 8.4. The stage of concern which is associated with the new experience teachers now have of systematic participation in the planned advancement of the school's mission appears to originate from the introduction of the requirement for each school to have a development plan (ERA 1988). Senior teachers, especially heads of faculties, deputy head teachers and head teachers are very much affected since they have to exercise new leadership roles. This situation was evident at the secondary school, WS, for example, being illustrated by the targets which teachers aimed to reach at that school. Instances of their targets are given in Appendix 7.4. All teachers however are involved, not just the senior ones, either because of the shared process of setting individual targets, as at the secondary school, WS, or in any event because their inescapable commitment to progress the school development plan

means a breaking down of their isolation as individual teachers working independently in their own classrooms. The new stage of professional growth considered in this paragraph can be associated with the role of the teacher acting as a "local manager" of learning which is suggested in chapter 3 (above p. 147) as one useful way of envisaging the current development in the role of the teacher.

Suggested also as a new stage of concern in the professional growth experience of teachers is the way now in which teachers appear increasingly to be providing each other with support as peers, whatever their nominal differences of status. What is seen happening is connected with the way the curriculum has come to be managed and how the progress of pupils is assessed through teachers using collaborative means in schools as a consequence of the advent of the national curriculum since 1988. The training materials provided by the National Curriculum Council assume teachers are working in teams in preparing schemes of work and frequently teaching in teams. New collaborative approaches also may stem from the influence of teachers who have attended courses of continuing professional education at universities and other institutions of higher education where developments in collegial relationships are commended for adoption. The suggestion offered here is that such changes in the context of the teaching environment, implying new work styles departing from those traditionally followed by teachers, have introduced a new, post experience stage in the professional growth of a teacher. If so, this is a new stage which also cannot be overlooked in teacher appraisal.

Both the suggested additional stages of concern can be connected with points about collegiality and the need for teachers to participate in policy making on whole school issues made by Coulson (1980), Stego (1987) and Beare (1989). These are points which are introduced in chapter 3.

Bearing on the management of professional growth in association with teacher appraisal, there is another matter arising from this research to do with the trend of change in

the teaching environment. An implication of this trend appears to be reflected in the teachers' concern that an appraiser acts as a "resident (clinical) consultant". As introduced in chapter 5 (above p. 240), this role for the appraiser is taken to mean in this present context that what have been described as the components of the professional knowledge base of teaching (Wilson et al 1987 p. 113) are likely to be increasingly valued when they are recognized in observable use. These components offer an inner framework to fill out the structure concerning the management of learning suggested by Davies (1971) referred to in chapter 1 (above pp. 52-3). Most probably, these components can be strengthened in the possession of the individual teacher, and how they work better understood in a school, if teacher appraisal fosters professional growth conceptualised and elaborated on lines suggested in Table 8.4. These components relate closely to the concerns encapsulated in SEEMS, allowing, that is, for the amount of emphasis on a component to vary in accord with a teacher's current stage of concern with professional growth. Relationships can be developed within a matrix of these stages of concern and these components. For example, between the concern referred to as "Expertise" in Table 8.4 and the several components concerned with curriculum knowledge (see Appendix 8.2).

It is not necessary as part of this thesis to elaborate the suggested stages of concern in the professional growth of the teacher beyond the data and references already given in this and previous chapters. The point which is put forward as important here is that if the focus during an appraisal is on "specific aspects" of a teacher's job, as suggested in Circular 12/91, the research findings provide a case for these aspects to be related to the major concerns which come to the forefront in stages or at different times during a teacher's career. In line with the suggestion in the previous paragraph, it is probably further advantageous to associate these specific aspects with theoretical pedagogical concepts. Following the latter course seems a promising way of overcoming in a system of teacher appraisal a potential weakness which the teachers saw in the area of pedagogy (see

chapter 6 and Table 6.9   item E1, above p. 274).

In the management of teacher appraisal, the utility of a theoretical growth cycle such as that outlined here can be appreciated better when also related to the range in goal choice for teachers suggested in chapter 5.   The point is illustrated in Figure 8.1 where the potential relationships between the suggested stages of concern in professional growth and the suggested areas of interest in goal setting   can be readily observed.

Figure 8.1 PROFESSIONAL GROWTH: AN EXAMPLE OF A GOAL SETTING MATRIX				
Stages of Concern	Areas of Interest			
	Development of Self	Classroom Environment	Pupil/ Student Progress	Departmental Action
Survival				
Expertise				
Empathy				
Mission				
Support				

As an example, to illustrate the use of the matrix shown in Figure 8.1, growth goals can be considered to do with the interest described as "Development of Self".   Such goals may be set differently at any of the five stages of concern according to the requirements of individual appraisees. Relating to "Expertise", say, goal setting relevant to "Development of Self" may be equally stringently undertaken by a newly starting teacher or an established deputy head. If, for example, for either the focus is on human relations which is important to both (see Figures 3.3 and 3.6 above pp. 138 and 141), room for individualization and potentially strong impact is not hard to find.   The suggestion offered here is that using a matrix such as that outlined in Figure 8.1 and also the conceptual framework of which it is part, not only draws attention to the importance of individualization in goal setting, but is in accordance with a coherent structure into which all can "buy in", borrowing JK's term (above p. 86).

This research also suggests using such a matrix shows how to identify personal factors of which account is desirably taken in order to meet teachers' probable expectations, within a "unified approach" (see chapters 2 and 3).

Additionally, it appears to be the case that the various facets of professional growth which can be highlighted using a matrix approach have a bearing on the development of each teacher as a local manager on lines summarised in Table 3.10 (above p. 147), and on the development of some teachers additionally as associate managers of the system of teacher appraisal in a school, for example, as goal setting coordinators. Use of a matrix on the lines configured in Figure 8.1 is suggested as an important contributory means for developing a common language amongst participants in teacher appraisal, helping communication, and with monitoring and evaluating the process. The matrix can be readily seen to have a usefulness which is versatile.

If, in line with the teachers' perspectives, the use of the matrix is validated against the gains perceived for pupils, it promises a direct bearing upon improvements in teaching and learning. This process of goal setting being analytically outlined here can therefore by intent be tightly coupled with benefits for pupils, offering "leverage" in Weick's sense (see above p. 343). The issue of these latter benefits constituted a strong part of the major factor accounting for 37% of the variance in the teachers' responses to Sector B of the questionnaire focusing on their particular expectations (see above p. 195). At all events, the intended coupling is proposed as "glue" for holding teacher appraisal on the right track and attached closely to teaching and learning. The matrix shown in Figure 8.1 is designed to encourage an appraisee always to have a goal which comes within the area of interest relating to "Pupil/Student progress".

The argument from this point leads to reference to the job descriptions offered in chapter 3 from which further classification of the fields of choice for goal setting can be derived. For example, Figure 3.3 (above p. 138) offers seven

fields one of which, namely, human relations skills, can illustrate further how a systematic approach to goal setting can be developed. Continuing within the area of interest described as "Development of Self", and turning to human relations skills which comprise a key component of the teacher's job, it may be self-evident that upgrading these skills can be required at any stage in the growth cycle. As an illustration of the point, the human relations skill of conflict management comes to mind as a possibility for goal setting. While a staple element of Inset in North America and Canada, these skills are hardly addressed in this country's provision. The advent of teacher appraisal can be reasonably anticipated as likely to compel such provision to be made. Another similar situation can be associated with planning skills which may be the key concern for a teacher of some seniority in relation to the implementation, say, of a school's development plan, or in relation to the preparation of a business plan, and so on. The components of the job description defined as proposed in chapter 3 can become another side added to Figure 8.1 to create a box possessing this new side as an additional dimension to the matrix for goal setting.

Interpreting professional growth in this way clearly creates a sense of direction. By using this technique, the goals of individuals can be manifestly related to those of the school, or LEA. By circulating digests of the goal statements, schools and LEAs can promote a useful flow of information which can illuminate their corporate image and progress their collective "mission" or, in other words, statutory purpose.

By way of conclusion to this section, it can be said that this research suggests that probably the questions that matter for teachers about teacher appraisal are not primarily the ones of fairness which are dwelt upon in the statutory arrangement. Rather they are questions concerning the fitness or relevance of the focus of an appraisal to a teacher's own professional interests defined on lines developed above, to the stage reached by the appraisee in the process of professional growth, and bearing on time management. If the value of an

appraisal is likely to be assessed in the context of his or her professional growth cycle by the participant teacher, the managers of the appraisal systems and appraisers need to have a conceptual framework of professional growth firmly established in their minds. This subsection offers suggestions on building such a framework.

8.2.3 Follow-Up to an Appraisal: The Differentiation of Personal Action Plans

Making things a good fit requires the use of criteria. This section is concerned with differentiating amongst criteria to secure that an action plan as the principal instrument of follow-up to an appraisal is relevant and fits well with individual circumstances.

The teachers who participated in this research clearly regarded certain of their own circumstances as combining to form a collective factor, or combination of variables, which distinguished each teacher's individual "professional identity". Affecting the teachers in this way, there seem to be six variables which have greater importance than any others. These are summarised in Table 8.5.

Table 8.5   THE INDIVIDUAL CIRCUMSTANCES OF A TEACHER: SIX VARIABLES RELEVANT TO TEACHER APPRAISAL
1   Level of post held
2   Phase of education covered by the teacher's school
3   Stage of concern in professional growth cycle
4   Distinctiveness of the teacher's classes
5   Subject discipline, qualifications and expertise
6   Environment of the school

These individual circumstances in question provide a context into which the framework developed in the previous section can be placed when development activity (see Table 3.9 above p. 146) is required to create an action plan for an appraisee. There is an affinity in what comes out in this respect from this research and the Concerns Based Adoption Model (CBAM) developed by Hord and Hall (1982) to progress school improvement and which takes as its starting point the

development of understanding of the individual teacher's concerns seen within a whole school structure.

As part of the conclusion reached in chapter 5, there is a sequence of events outlined as necessary when considering the follow-up to make to a teacher appraisal and to recall which is coined the acronym: DILDS. This sequence is proposed for use in relation to an individual appraisal to ensure that there are no omissions in what are probably regarded by teachers as the main steps to take to make all the effort worthwhile. The structure of DILDS is explained in chapter 5. Here the implications of this model of an action plan are examined in further detail.

The first step embodied in DILDS is the differentiation (D) of the appraisee's position on an individual basis. This step of differentiation includes identification of the relevant stage of concern in the teacher's growth cycle, using the latter expression in the sense adopted in the previous subsection (8.2.2). This step is taken also to cover ground described by NSG as "the precise stage of the [teacher's] development and the constraints within which he or she operates" (NSG para. 61). The teachers in their responses to the questionnaire and in the case studies indicated that there are many aspects to these constraints, and that distinguishing them in an appraisal is a crucial consideration, as is ensuring that the attribution of the causes is a result of mutual enquiry and reliance on a jointly agreed basis of accountability. The complexities of this step are introduced in chapter 2 and amplified passim by implication in chapters 5, 6 and 7.

Connected with this step of differentiation, there is a need therefore seen by the teachers to individualize the plan of action which follows from the appraisal. This is the second component of DILDS. What is envisaged in this individualization (I) means recognition of both the experience of the appraisee in the fields selected for goal setting and the mutual responsibilities of the appraisee and appraiser affecting the working environment they each share. The teachers presume there exists a relationship of respect based

on knowledge that they can share relevant expertise, implying that the appraiser occupies something other than a superordinate relationship with the appraisee and owes his/her credibility to reasons separate from considerations of status.

As a major factor influencing their perspectives, the importance to the teachers of the appraiser's credibility, including the bearing it has on the definition of standards in teaching and learning, was brought out through applying a procedure of principal-component analysis to the variance of the responses to Sector D of the questionnaire relating to teachers' requirements of appraisers (see above p. 197). The source of authority in the determination of an action plan arising from an appraisal is thus not seen by the teachers as automatically derived from the senior status of one partner in the process, but coming from an interpersonal dynamic which creates illumination to progress teaching and learning. What is highlighted can be expected to be different from teacher to teacher.

In other words, viewed from the teachers' perspective, the capacity to individualize the appraisee's needs is unlikely to generate when the appraiser and the appraisee are bonded by a hierarchical relationship and depend upon the use of standard checklists. The value of the action plan is the utility it gains from the appraisee and the appraiser each being well-informed about the appraisee's individual circumstances and behaving consultatively towards each other. As Drucker observed over a decade earlier concerning the relationship issue in the non-educational sector and the management of action plans:

> *"Managers in the traditional sense will have to able to move into situations where they are not superior, indeed, into situations where they are the "juniors" to non-managers on a team ... . "*

(Drucker 1973)

The function of the "manager" of teacher appraisal in this context is to enable the data to speak for itself, as the Toronto Principal observed (see above p. 67).

The third component of DILDS is the linkage (L) which this research suggests almost all teachers probably desire to see

emphasized in teacher appraisal between the work of the school as a whole and the work they carry on as individuals in the classroom. Therefore, this linkage is expected to be fostered in the goals which appraiser and appraisee jointly formulate. Examples of possibilities are indicated in chapter 5 and above in this chapter (subsection 8.2.2 and Table 8.4).

Relevant to linkage (L) is the element of strength revealed from the SWOT analysis presented in chapter 5 where it is shown as the regard most teachers probably have of appraisal as a means of resourcing themselves not just as individuals, but as professionals working in a team, or in teams (see above p. 205). In this thesis, it is part of the argument that the strength of the linkage under consideration and of this latter teamwork is gained from being underpinned by collegial relationships. Such relationships both support and depend upon the orientation a school's organizational and educational systems conjoin in the sense discussed in chapter 3. The importance of this orientation in terms of linkage (L) can be exemplified by reference to possible actions that can be taken to monitor an equal opportunities policy in a school such as observing differentiation in the attention or turns given to boys and girls in classrooms, a topic which has been surveyed recently by Hammersley (1990). Here through teacher appraisal the linkage may help to progress the school's mission in this area of equal opportunities, introduce to teachers considerations which have a research base, and enable teachers individually to gain ideas relevant to their own classroom situations, but in the context of whole school needs.

The next step in DILDS is development activity (D) affecting the appraisee primarily, but offering gains for the appraiser, and generally for those responsible for educational management. In chapter 3, it is suggested that to make this development activity effective as follow-up to teacher appraisal it is necessary that ten basic requirements are respected. These requirements, which are listed in Table 3.9 (above p. 146), express a strong message from this research urging the unifying of development activity with the management systems in both the school and the LEA, especially

in fields of information flow. On information flow, Garrett (1987) has observed that diffusion of professional knowledge in an organization often is managed only to a very limited extent. In this thesis, it is argued that the new scope that teacher appraisal brings to assist the diffusion of professional knowledge ought to be one of the principal reasons for justifying its introduction.

Traditionally, teacher isolation has inhibited diffusion of professional knowledge in schools. The threat to diffusion in the future lies with the concerns of confidentiality which arise with a teacher appraisal system when the purpose is primarily connected with personnel management issues such as promotion, salary advancement, or other career opportunities. As indicated in chapter 7, by views expressed by the teachers in the case study schools, it is likely that the greater part of development activity is going to be school-based. As recorded in chapter 2, experience in USA and Ontario indicates that unifying development activity arising from teacher appraisal with other functions of school management requires that integrated information and other systems are in place. These are necessary not only to achieve effective management of release time and non-contact time for teachers, but also, for example, to conserve energy with data gathering on the the performance of pupils, as in Pittsburgh (see above p. 65). Concerning specifically development activity, the need is especially to ensure that what is done regarding information flow has relevance in follow-up to teacher appraisal. Logically, the flow needs to be open freely to all teachers in a school if the teachers' perspective which is shown in this research is adopted.

Unifying management functions which assist the diffusion of professional knowledge also means that LEA policies giving direction to organizational and educational development in schools visibly respect the same desired outcomes as the policies the schools themselves adopt. If development activity is to progress in the light of shared professional knowledge bearing on the state of the schools and teachers needs in an LEA, it is necessary to maintain an open flow of

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information between the education department of the LEA and the schools, for example, on mission and goal achievement, as was again found exemplified in the North American cases in what was described as a "helpful system", as recalled in chapter 2 (above p. 63). Judging from this research, the two way exchange commended by almost all teachers between appraisee and appraiser is desirably replicated both in the interaction affecting information flow between school and LEA, neither agency predominating, and in the mutually shared intention of both to give support to each other. The scenario shown here reveals another aspect of the innovation which teacher appraisal may bring if the interpretation of the teachers' perspectives given in this thesis is correct.

The last component of DILDS is the provision of support (S) for the appraisee, following up an appraisal. Enabling the appraisee to internalise new knowledge or a new skill, or a change of attitude or expectation, implies that the appraiser has a function which extends beyond the appraisal cycle as such. This is a consideration in chapter 1 where the need is identified to go beyond the confines of the appraisal cycle as defined by NSG (see Figure 1.1 above p. 43). Thinking about support for appraisees helps with reaching an understanding of the importance to teachers of their model of the appraiser as a "resident (clinical) consultant" (see Figure 5.1 above p. 240). Clinical is used here to emphasize the person-specific aspect of the relationship which is not however to be likened to one between persons unfamiliar to each other (Molander 1986 pp. 51-56), but to one of "critical friendship". In these cases, each party in the relationship has a prior good understanding of the appraisee's "individual circumstances", the main components of which are given in Table 8.5 above (p. 360) which expresses an outcome from this research.

For the teachers an important function of an appraiser modelled on these lines of clinical consultancy is to respond to the appraisee's own "definition of his problem", using Hoyle's phrase (Hoyle 1980 p. 53), and to do so non-episodically, especially as regards classroom observation. Such support is expected in the appraisee's school and, taking

heed of Canadian experience, means the supervision of the appraisee becomes differentiated in a variety of ways including, as priorities, a fostering of peer support, provision for self-directed development, and the exercise of clinical supervision by departmental heads or coordinators, for example. In chapter 2, an account is given of the way in which the activities associated with appraisal can be integrated with those of supervision to form a comprehensive support system for teachers (see above p. 80) much as seems strongly to be desired by the teachers who participated in this research. In chapter 3, the appraiser's actions are summarised in Table 3.11 (p. 154).

Thus, there can be derived from the teachers' perspectives a strong framework for follow-up which is expressed through DILDS. As demonstrated above, this framework can support a comprehensive range of personal action plans to associate with teacher appraisal. In this formulation for follow-up, the teachers show concern to deepen their awareness of the causes of distinctiveness in schools which is the topic for attention in the next section.

8.2.4 The Autonomy and the Distinctiveness of the School: Action Learning and Priority

Kolb has suggested that:

"Like individuals, organizations learn and develop distinctive learning styles."

(Kolb 1979 p.37)

Following Kolb, a school constitutes a learning system which, through its rules and the users' intentions, influences the staff as well as the pupils. Continuing to follow Kolb, and bearing in mind that a system of teacher appraisal is bound to operate according to the beliefs its managers hold concerning adult learning, more particularly continuing professional education, it is probable that within each school distinctive learning styles are going to develop aimed by these managers to support appraisees and appraisers. Moreover, "the only resource capable of learning in an organization are the people that comprise it" (Garrett 1987 p. 42). The learning in

question is appropriately described as "action learning" (Revans 1982).

Relying on this research, the expectations and experiences which the teachers shared in common and those which they did not share can be seen as a ground structure providing the basis for this action learning in line with the diagnosis Kolb (1979), Revans (1982), Garrett (1987) and others make about the nature of learning on the job. Taking this argument on to a further stage, use of Learning Style Inventories (Kolb 1979, Honey and Mumford 1987) and Self Perception Inventories (Belbin 1987) refines the potential quality of the action learning at individual appraisee level, giving emphasis to an individual distinctiveness and the characteristics of a school's teachers taken as a whole. Use of these inventories is widespread in the non-educational sector, yet, experience suggests, not very widespread in the educational sector where arguably therefore there is room for change. Logically to distinguish the presence amongst appraisees of, say, the pragmatists, theorists, activators, and implementers (Honey and Mumford 1987), helps to establish the degree of congruence between the learning methods favoured by teachers as individuals and the approach adopted by the school in teacher appraisal, assuming it is intended to stimulate professional development activity (SI 1991/1511 Reg. 4.-(1)(a)).

It is relevant to note at this point that:

The central idea of action learning - that for any organization to survive its rate of learning must be equal to, or greater than, the rate of change in its environment - has stood the test of time easily.

(Garrett 1987 p. 38)

In relation to teacher appraisal, following an action learning track is argued here as the only reliable way open for the managers of the systems, if they intend to help teachers to become more effective in adapting to environmental change or, in other words, to improve the learning experience of their pupils.

On the assumption that it is right to conclude that the majority of teachers whose perspectives are considered in this

thesis were themselves right in understanding that there was distinctiveness about each of their schools influencing the staff's personal learning opportunities, and affecting them professionally and their effectiveness as teachers, all participants in teacher appraisal need to be sensitized to this distinctiveness. It has a clear bearing on the teachers' own individual roles as local managers of pupil learning (see Table 3.10 above p. 147) or when functioning as NCC suggests (for example, see Appendix 8.3) and distinguishes an important part of the context in which their own continuing professional education occurs.

In chapter 7, there is a scrutiny given to various aspects of this distinctiveness which shows up powerfully in the four components represented in Figure 1.10 (see above p. 53) suggested by Davies (1971) to illustrate what has to be managed in a contemporary interactive learning process. Recapitulating, the components are namely: the task or "educational system", the efforts of the students as individuals, the efforts of the teachers as individuals, and the organizational arrangements or "organizational system". What were easily recognizable in the case studies described in chapter 7 in what was said by the teachers without prompting were attributes of these components in terms of their own schools. These teachers echoed Kolb's conclusions about the development in their own schools of "distinctive learning styles" which were clearly reckoned to influence their capacity to be effective as teachers. For example, paired activity of classroom observation focussing on pupils with special needs as at a case study school (WS) may be distinctive of a minority of schools and can potentially offer benefits to pupils and to teachers obviously only where it is in place. Teacher appraisal in itself cannot assure innovation, nor the presence of effective practice, but, as logic suggests, may constrain teachers if a school's distinctiveness lacks change-supportive norms.

The evaluators of the pilot projects refer to this distinctiveness as a potential cause of difficulty:

"At times we have noted a tension between some LEAs' wishes for a

*common approach and the desire of schools to adopt schemes to suit
their own circumstances."*

(CIE 1989 p. 45)

There is a possible difficulty here. Consistent with the main
outcomes of recent school effectiveness studies (Reynolds
1990), this research suggests that the autonomy of the school
has to be respected because the most effective system of
teacher appraisal will be one which accommodates the
distinctiveness of the school most completely. For the
purpose of teacher appraisal, for distinguishing teachers as
individuals, half the items shown in Table 8.5 (above p. 360)
are school related (items 1, 4 and 6).

For the evaluators of the pilot projects, there was a key
issue here concerned with the extent of the adaptation
necessary to a national scheme of teacher appraisal to
accommodate what they referred to as "essential features", to
fit in with the distinctiveness of a school, or "a school
situation and style of management" (CIE 1989 p. 45), but the
ideas were not amplified. So, having regard to the
acknowledged importance of the internal organizational context
since the seminal analysis of Darling-Hammond et al (1983),
there are useful conclusions to draw from this research to
indicate what probably matters in school distinctiveness
affecting teacher appraisal. Table 8.6 provides a summary.

Table 8.6   TEACHER APPRAISAL AND THE DISTINCTIVENESS OF A SCHOOL - WHAT MATTERS
1   Participants study and value the outcome for their own pupils basing their personal professional orientation on this outcome
2   Observation in classrooms is not associated solely with teacher appraisal but is a norm welcomed on general professional grounds for the sake of the feedback it affords on the school's effectiveness
3   Professional growth activity embodying research knowledge is part of the way of life of the school
4   Descriptions of jobs focus on values, skills and knowledge which progress the school's mission
5   Unified management integrates teacher appraisal with the school's organizational and educational systems
6   Collegiality characterises stakeholder relationships which foster understanding of the different roles the many members of the school community can play most effectively to share with teachers in the accomplishment of the school's educational goals

Taking the first letter of the first word in each item in Table 8.6 produces the acronym POPDUC to aid recollection of the ideas summarised there.

This research suggests that the school's "style of management" is not just one consideration among many in the matter of adaptation of a national scheme, but a crucial part of the context which is one of the keys to effectiveness in teacher appraisal, much as Duke and Stiggins (1986) suggest is the case in North America. In the sense discussed in chapter 3, this "style" or approach determines the professional orientation of the teachers, for example, their attitude towards and involvement in the collegial activity (item 6 in Table 8.6) without which professional collaboration and thereby effectiveness in teacher appraisal can hardly be secured. In the end, the quality of this required collegiality is a function of the autonomy of the school, a creation deriving from its own distinctiveness expressed, for example, in the goals which teachers seek to reach in an appraisal process, with regard to which item 1 in Table 8.6 is obviously important in the creation of the aim behind these goals. This aim can be assumed to follow the school's mission which is well described by Hoyle as "the distinctive, or presumed-to-be-distinctive, cluster of goals" along with "associated beliefs, attitudes and activities" (Hoyle 1986 p. 35) which distinguish one school from another.

It is useful to refer again here to the work of Kolb who, in a work of collaboration with Boyatzis, offers the prediction that:

"individuals who see evaluation of their progress as being self-controlled and self-reinforced will be more successful than those who see evaluation as being controlled by others."

(Kolb and Boyatzis 1980 p. 355)

Whatever teacher appraisal system is in place, if Kolb and Boyatzis are correct, and assuming that the teachers are largely to conduct teacher appraisal themselves, autonomy for a school is justified in order to protect the capacity of appraisees to experience this vision which Kolb commends.

What Kolb says is much of a piece with what Stenhouse advocated, defining a major line of development affecting the professional vision of teachers (Stenhouse 1975). Moreover, it can be confidently asserted that this is the vision which teachers do indeed wish to experience in a teacher appraisal, judging from data collected using the questionnaire and from the conversations with teachers in the case studies. If this is so, then allowing teacher appraisal to be conducted at the level of the school by the teachers themselves, as proposed by Joseph in the reference made at the beginning of this chapter (Joseph 1985 p. 36 and see above p. 348), probably means sooner or later that the teachers' vision discovered in this empirical study will prevail, rather than that of government. Then, no doubt the distinctiveness of each school's system will be developed, inexorably. The LEA then will need to foster school autonomy as its priority to ensure teacher appraisal is as effective as possible as a means of developing professional learning or supporting CPE.

The principal reason for the inexorable development of the school's distinctiveness is that implementing teacher appraisal in line with the perspectives of teachers means an emphasis is placed upon teaching and learning. This emphasis is likely to have powerful repercussions on management in schools, affecting the movement of the latter towards closer identification with the reality of teachers, away from preoccupations with considerations of hierarchy and the exercise of authority based on position. Such preoccupations are unlikely in a school which is a "learning organization" where authority is associated with the persons who have the skills and mastery of concepts of relevance to the professional life of teachers and the school life of pupils. However, the difficulty with the school which is not innovative needs remedying and teacher appraisal as conceived by the teachers has the capacity to address that need effectively.

For schools whether innovative or not, the procedures of principal-component analysis followed in chapters 5 and 6 identified clusters of fields of experience and expectations

which suggest where starting points may be located for developing a school as a learning organization. For example, with regard to classroom observation the start may be made on exploring how to gain reliable information which can help to inform pedagogy and improve self-evaluation especially through the practice of peer observation (see above p. 245). In using starting points such as these, the schools will be focusing on their own distinctiveness.

8.2.5 The Teacher as a Professional: The Influence of a School's Orientation

As claimed in chapter 3, the nature of professional work is distinguished especially by one-off activity, creative applications of knowledge or skill, and lack of impediment to achievement deriving from routine obligations. With teachers, it is the case as distinguished in their perspectives that activities in the class provide the core of the teacher's work which at any time is always possessed of high unpredictability if only because of the high unpredictability of children's behaviour. There is, therefore, this inherent probability of change and departure from the expected or planned to take into account in teacher appraisal, besides other change arising from an external influence, notably, for example, such as that caused by the advent of the national curriculum. In terms of the influence of changes of these kinds affecting teacher appraisal, Shapero has relevant comments to offer:

> *"In the case of professional work, change is inherent, and it is difficult to develop a checklist that will be appropriate for a length of time that makes it worth the expense of the development."*

(Shapero 1985 p. 117)

As shown above (see p. 351), HMI value an approach based on a checklist which may partly explain why there have been no theoretical frameworks forthcoming from government to use to develop its model of teacher appraisal, or even to support the prototype. Apposite is an observation by Wilcox:

> *"Several commentators (Nisbett 1979, Walker 1982, Pearce 1986, Kogan 1986) have made the point that inspectors tend to be sceptical of the use of specialised research or evaluative techniques, preferring subjective and non-technical methods - the credibility of which is based on the inspectors' ascribed status."*

(Wilcox 1990 p. 121)

The situation Wilcox identifies contrasts not only with that

in USA and Canada, where state governments and the LEAs have for long expected to have theoretical frameworks supporting teacher appraisal in place as a norm, but with the situation envisaged in the teachers' perspectives. With reference to the use of research as a norm associated with teacher appraisal, however, teachers here require encouragement since only about half of the respondents to the relevant questionnaire items (D11 and D12) considered the matter very important, as is noted in chapter 5 (above p. 213).

Inspection in the British style does not have a place in the North American case studies described in chapter 2. The main reason is that when considered in terms of a teacher's daily professional transactions the technique is deemed lacking the sophistication necessary to secure attention to unique distinctions in individual circumstances, and simply has no credibility in schools and school board offices. Moreover, the techniques both of inspection and grading are there considered to rely on episodic and, consequently, insufficient interaction between those appraising (or inspecting or grading) and those being appraised (or being inspected or being graded). Therefore the function of inspection and the grading of what is inspected which is followed here by HMI is also considered incompatible with a management system designed to give encouragement and high self-esteem to teachers as professionals.

Privatization of inspection is unlikely to bring a different situation, since the assumption remains that outsiders know better than the insiders what is happening in a school, even when they just are relying on episodic visitation. The Education (School) Bill 1991 expressed the purpose of inspection as "the provision of information about the performance of schools" rather than formulation of staff development programmes relying on information about teaching and learning and designed to promote school effectiveness. By itself, the provision of such information as the Bill defines does not make any difference to the management of schools, nor is there any good reason to suppose that privatized inspection which is based on the HMI aproach is any more likely to

improve schools than the current arrangements which presumably government considers have failed.

Bizarrely, it has to be presumed moreover, that HMI have been influential in shaping the statutory regulations for teacher appraisal. References in chapter 1 to HMI opinion show that the presumption is reasonable, indeed it is hardly open to doubt. Of what HMI may be assumed to have in mind there are indications in their writing on the subject (HMI 1985, 1989). As an example, appendix 8.1 can be referred to again as it provides a summary of the characteristics of effective teachers identified by HMI who offer a checklist, rather than a theoretical framework. There is no enlightenment here on things of concern to teachers who have travelled beyond Hancock's threshold (Hancock 1985 p. 19 and see above p. 347), so the territory beyond has to be mapped as a result of the efforts of others.

Furthermore, the episodic practice of inspection contrasts with how the teachers seek to appraise the "performance" of their pupils in multiple ways, through continuous assessment, using a variety of means to take individual regard of the pupils' growth in the mastery of skills and socially, for example, as well as by means of tests and examinations. The teachers respond with scepticism when invited by government to manage the appraisal of their own performance seemingly less professionally. As one teacher in a case study school said:

In other words, what we are prepared to do for children, we shouldn't deny to our colleagues."

(CB EBM)

This teacher's point indicates that just as the progress of pupils desirably requires to be understood from a variety of standpoints, school orientation has many aspects which affect teachers, and their professional progress or growth. Borrowing Wragg's term, the "sensitizing" (Wragg 1984 p. 201) of an appraiser to a teacher's professional life in a school is as necessary in teacher appraisal as the sensitizing of teachers to the classroom life of individual children is in classsroom management. Thereby the role assigned to a teacher is conceptualised.

In chapter 3, it is suggested that conceptualising the teacher as a "local manager" (see Table 3.10 above p. 147) progresses understanding of what is relevant for managers of the systems to take into account, if teacher appraisal is to help teachers to greater effectiveness in their distinctively individual professional work. For example, Calderhead (1987) identifies ambiguity and complexity as frequently characterising the situations teachers face. As another way of putting the point, reference can be made to Armstrong's comment:

> *"Managers are told what they have to achieve but are often left in the dark about how to achieve it."*

(Armstrong 1990 p. 20)

A graphic extension of this context acutely recognizable as applying to the teacher is an analogy with a passenger vehicle driver having to choose the route and the destination (Hayman and Sussman 1896). This paradigm can be taken further by looking at the directions given to teachers in the preliminary section of ERA (1988):

> *"The curriculum for a maintained school satisfies the requirements ... if it is a balanced and broadly based curriculum which--*
> *(a) promotes the spiritual, moral, cultural, mental and physical development of pupils at the school and of society; ..."*

(Education Reform Act 1988 Part 1 Chapter 1 Section 1-(2))

The complex considerations arising from this section of ERA are numerous. Many may be inferred from a research study concerning Active Tutorial Work (ATW) (Hutchinson and Harwood 1991). This research focuses on "discussion" as a component of ATW and surveys the variety of possible approaches teachers may opt to take, and the authors comment upon the resulting impacts on children. The point being made through this example and the other references above is that in a curriculum area the approaches which are preferred by teachers, and moreover supported in a school's "educational system" (see above pp. 126-8), are clearly significant in teacher appraisals. The point obviously applies not only in relation to areas of cross-curricularity which are stressed as important in the current legislation (ERA 1988). It seems contrary to good sense, as well as to the findings of this research, to suppose that "quite separate criteria", using Hancock's words (see above p. 351), do not apply with experienced teachers compared with "novice teachers". The

former, typically, rather than the latter are team leaders to
whom clearly different criteria apply.

Of clear relevance to a school's orientation is educational
research which while offering many insights into what is
likely to bring success in educational enterprises has yet to
identify the Holy Grail. Nevertheless, as it seems reasonable
to conclude from sources with relevance to team leadership and
cited in the previous chapters, there is reliable guidance
which has suggested for some time that if teachers instead of
working alone develop cooperative approaches, and express
values which are collectively held, the impact they have in
their teaching on the learning of their pupils comparatively
increases. Wallace (1989 pp. 185-6) cites extensive sources,
including HMI material, in support of this conclusion. Fullan
(1985) argues on similar lines. The view in question is
supported in a research compendium published by the US
Department of Education (1986 p. 51). This research and
trends mentioned above suggest that a school's orientation is
best when it encourages school leaders to create frequent
opportunities for teachers to collaborate in classrooms. If
so, the provision of this encouragement in a school is another
important consideration in teacher appraisal and for those who
manage the system.

Such considerations in a school's orientation may provide the
vantage point for beginning an attempt to reconcile the
perspectives of the teachers and government over teacher
appraisal, since there is a joint concern with how
understanding is gained about "the decisions teachers make and
the plans they formulate" affecting the classroom environment
(Carter and Doyle 1987 p. 159). It was at an early stage that
government expressed the conviction that:

> *"The fundamental purpose of everything ... is to help improve what
> goes on in the classroom ... Raising standards of teaching and
> learning ... has to be achieved ... in the countless daily
> transactions between pupil and teacher."*

(Joseph 1985 pp. 2 and 5)

In a school, therefore, it is a serious analysis that is
required of the teaching which the pupils experience. So to

give direction to teacher appraisal, a school requires a orientation designed by school leaders to help it become a "learning organization" (see subsection 8.2.3) in order that teachers in all categories can for their part deepen this understanding. Relying on the teachers' perspectives suggests that in teacher appraisal the typical "teaching analysis" (using a term adopted in the Salford pilot project, see above p. 35) is best pitched well along the post-competence level. If instead the level of analysis relies on an assumption that the concern is with marginal competence, the resulting approach probably substantially detracts from the serious analysis required and sought by most teachers into the professional knowledge base of teaching.

It is part of the argument of this thesis that the concept educational managers hold of a teacher as a professional and the impact of the orientation of a school on the teachers' professional styles have a special relationship which strongly influences whether or not, or to what extent, teacher appraisal is useful. It also is part of the argument that there is a requirement for a model of a school which can demonstrate this relationship. In chapter 3, reference is made to certain models of development and change designed by a group of Dutch academics and management consultants to improve understanding of how schools are or may be managed. The point to be reiterated here is that schools (meaning in this context all stakeholders) do have the capacity to determine the orientation of their organizational and educational systems in place and can create the conditions which foster a scheme of teacher appraisal largely of their own choosing. The point holds good provided the school leaders are sufficiently well-informed as to the consequences of their management intentions as they affect teachers' professional styles and thus their school's orientation.

The introduction of teacher appraisal is an acknowledgement that "the context in which teachers work and how the teaching task is defined are of particular importance in attempts to change or modify teachers' practice" (Calderhead 1987 p. 17). Put in another way, expecting effectiveness with teacher

appraisal means, as has been said on other grounds, heads and teachers need to act and be treated as partners with the policy makers when innovation affecting them is proposed (Alexander 1991). Making an inference from the case studies described in chapter 2, the teachers are going to find when it is in place, teacher appraisal is the best instrument a school has to assist it to progress in the direction of the school's chosen orientation.

As was recognized in Pittsburgh (see above p. 94) this is another pointer towards a new direction of activity for LEAs bearing on their Inset policies. How, for example, teachers "translate subject matter knowledge into classroom activities or assess the difficulties and understandings of their children", and, more profoundly, perhaps, "how we gain access to human thinking and the status of the data we collect" are exceedingly complex considerations (Calderhead 1987 p. 15). These considerations fall wholly outside the compass of the statutory regulations on teacher appraisal. Yet, as it is likely that teacher appraisal is subject to the constraints of school policy affecting classroom methods and strategies, and also because LEA influence in some areas can be constraining (Alexander 1991), it is desirable that these contextual matters are not overlooked. Furthermore, management decisions in primary schools in Leeds during the "Primary Needs Independent Evaluation Project" were found to bear strongly on how well whole school curriculum policies were created, coordinated and executed.

There are similar consequences which can be foreseen applying to teacher appraisal resulting from management decisions made at LEA and school level. There are good reasons for exploring options for taking an alternative approach to teacher appraisal.

8.3 AN ALTERNATIVE APPROACH TO TEACHER APPRAISAL
8.3.1 The Reasons for an Alternative Approach
When the statutory scheme is considered in the light of the key findings of this research, the case for an alternative approach to teacher appraisal emerges strongly. Much that is

in the statutory scheme conflicts with the perspectives of the teachers, bringing out major differences over priorities. These differences are summarised below in Table 8.7.

Table 8.7 GOVERNMENT AND TEACHERS: PRIORITIES REGARDING TEACHER APPRAISAL	
Priorities of Government	Priorities of Teachers
1 Political solution	Professional solution
2 Standard criteria	Criteria differentiated by individual need
3 Reassurance teachers are working on right side of competence threshold	Help to advance through professional growth stages
4 Superordinate control	Back-up to reinforce self-regulation
5 Line management and accountability	Autonomy of individual teacher and good ideas
6 Externally directed inspection systems	Widening understanding of classroom realities
7 Ensuring effectiveness episodic appraisal appraisals	Total quality management at all levels
8 Low budget costs	Good use of their time
9 Uniformity of sampling procedures	System's validity as part a teacher's way of life
10 Public acceptability	Proof that there is value in the impact on pupils

Because they have been consolidated into the current statutory regulations, the intention in providing Table 8.7 is to show that the differences are too important to overlook. At LEA level, these differences require reconcilation by the appraising bodies. If they are overlooked, the risk is that the syndrome which was recorded in the review of our school system by OECD (1976) prevails and then innovatory and traditional systems persist side by side around the country, resulting most probably in little net change, and little improvement in teaching and learning. Thus there is a situation here latent with promise of an impending "implementation gap" (Becher 1989), along with waste of professional energy so long as the statutory scheme is applied unmodified. The alternative approach is designed to avert this indefensible situation.

Of course, it is a matter of common sense that the priorities of government cannot be exactly the same as those of the teachers. Therefore, the sensible thing is to start on the common ground and attempt from there to reconcile the differences in the respective priorities. A key question then is what looks the most likely way to secure through the implementation of teacher appraisal the accomplishment of the goal of school improvement shared by government and teachers? Logic suggests that this way is revealed if the system is strongly influenced by the teachers' perspectives, indeed, is preferably derived recognizably from these perspectives. Helpfully, government showed early acceptance of the basic assumption that teachers in practice are "largely responsible for the conduct of teacher appraisal" (Joseph 1985 p. 36 and see above 348), but, at the time, teachers offered no proposals for the construction of a scheme of their own, so public policy was developed by government as it were by default. There is nevertheless an option to develop initially a dual arrangement which provides an alternative approach alongside the government scheme. One scheme can indeed be discarded when the other has clearly demonstrated superiority to the satisfaction of appraising bodies.

In the following subsections, the structure of the alternative approach is described against the background of the government scheme, to show how a dual arrangement may be set in place.

8.3.2 Two Key Management Considerations in an Alternative Approach

As is intimated by Table 8.7, particularly by items 1 and 10 in the column showing their priorities, what the teachers are seeking is a system of appraisal which is sufficiently distinctive for their profession. Exception cannot be taken of that stance. As a first sign of the desired distinctiveness, the system has to have the capacity to bring about the redesign and progressive development both of teachers' work styles, including their teaching, and of the classroom environment, when either is deemed desirable in praticular cases or because the seeking of improvement is normal to a professional. The second, more important sign of

distinctiveness applying to the system results when it is shown through evaluation that the pupils in the appraisee's classes are making better progress after the event of teacher appraisal than beforehand, and that enough of the difference is attributable reasonably to this event to justify the putting in of the time and effort. Exception cannot be taken of that stance either.

For the present, most teachers are unimpressed by aims such as, for example, to "secure that appraisal assists - those responsible for taking decisions about the management of school teachers" (S.I. 1991/1511 4.-(1)). These are aims which are reflected particularly by items 4 and 5 in the column summarizing the priorities of government in Table 8.7 (see above p. 379). Such aims are not necessarily connected with change in teaching and learning. In other words, the first key management consideration is that it is the impact on the pupils rather than on teachers which counts for the latter and where most of them are likely to look to find the value of teacher appraisal.

It is reasonable to believe that the process of enabling this value to be realized is largely dependent upon the choice of orientation taken for the internal management of a school. Clearly, the school governors have an important influence on the choice. The desired orientation suggested in this thesis is that which best accomplishes the priorities of teachers set out in Table 8.7, and, in consequence, is aimed to develop teacher appraisal as an innovation (see Table 1.8 above p. 40). Fostered as an innovation on the lines proposed in chapter 1 (pp. 38-42), and described further in section 8.2 of this chapter, teacher appraisal when supported by a compatible orientation in the internal management of the school promises to bring new professional opportunities to each teacher. In particular these are opportunities to share individual expertise with another and to gain thereby the counsel of a "respected other" (Shapero 1985) about effective teaching and learning with particular classes. Creating the desirable orientation is the second key management consideration.

Acceptance of these two considerations as foremost influences in the construction of an effective teacher appraisal system does not constitute a threat to government aspirations, rather the contrary.

8.3.3 The Management of Teacher Appraisal: Six Important Concerns

Continuing with the considerations of distinctiveness and orientation from the previous subsection, and following the conclusions drawn in chapter 3, for the purposes of teacher appraisal the two most important areas of choice which face school leaders who are responsible for the implementation of the system bear upon:

i)   the working relationships which management decisions promote between teachers

ii) the intended benefit to pupils of management decisions

Developed from the conclusions of this thesis drawn so far, there are four main concerns in the management of teacher appraisal involved with the first consideration, and two main concerns involved with the second consideration. By way of summing them up, the six concerns are identified in Table 8.8.

Table 8.8   THE MANAGEMENT OF TEACHER APPRAISAL: SIX MAIN CONCERNS
FOUR MAIN CONCERNS INFLUENCING RELATIONSHIPS BETWEEN TEACHERS PARTICIPATING IN TEACHER APPRAISAL
1 The Image held of the Appraiser by the Appraisee 2 The Image held of the Appraisee by the Appraiser 3 The Management of Goal Setting 4 The Time given to Classroom Observation
TWO MAIN CONCERNS AFFECTING THE IMPACT OF TEACHER APPRAISAL ON PUPILS
5 The School's Own Distinctive Image which School Leaders develop from the Characteristics of its Pupil Population 6 The School's Vision of the Classroom as where to look for the Gains made from Teacher Appraisal

This research suggests that the way in which the concerns listed in Table 8.8 are typically handled by school leaders constitutes the most powerful control there is over teacher

appraisal, because the outcomes are the regulators which determine the effectiveness of the system. Judging from the research data, the behaviour of school leaders towards these concerns expresses the probable meaning to attribute to the early pronouncement from government about teacher appraisal being "largely conducted at the level of the individual school by the teachers themselves" (Joseph 1985 p. 36 and see above p. 348). The conclusions put forward in this section therefore belong to the essence of the argument in this thesis.

The concerns which are identified in Table 8.8, show a marked, if not puzzling, contrast with what is found in the "Aims of Appraisal" (see Table 8.1 p. 340). The requirement (Regulation 4.-(3)) directs appraising bodies to look for the impact of teacher appraisal on management concerns distinctly of an organizational rather than an educational nature. The traditional dichotomy in school management (see above p. 111) is then maintained. For example, there is the direction to follow of "assisting school teachers to realize their potential" (Regulation 4.-(2)) which, although imprecise, appears to refer to "management potential", and thus suitability for promotion (Circular 12/91 para. 18). The sense of "potential" is not related anywhere to professional growth, the nearest connection being references to "professional duties" and differences between the "job description" of one teacher compared with another (Circular 12/91). In the sense defined and developed in chapter 3, the concept of professional growth as a concern of management lacks a presence in the statutory arrangement. The cause it seems is reflected in the weak image of a teacher (appraisee) expressed in the regulations, contrasting with the strong image of the appraiser. The alternative approach offered here aims to redress the balance between the two for their mutual advantage.

The statutory scheme of teacher appraisal presents an image of an appraiser mainly as a superordinate who can powerfully influence an apraisee's promotion prospects and Inset opportunities related to career progression. The image of the

appraisee which is presented suggests mainly a person with a limited capacity to work unsupervised, rather than an autonomous professional. There are two reasons prompting this interpretation. One is the absence of detailed guidance on data collection in the statutory regulations. Clearly, the value of the dialogue between the appraiser and appraisee reflects the nature of the data upon which the participants rely. If this data is not reckoned important because of the way it has been gathered, or for whatever reason, the assumption is reasonable that the dialogue is likely to lose value commensurate with its reliance on preconceptions unrelated to empirical evidence. The lack of guidance on data gathering, particularly how to ensure its relevance to teaching and learning, and the little time allowed for classroom observation seem serious shortcomings. Much room is left in the statutory scheme for inconsistency in practice to occur between schools and between LEAs. The other reason is the undervaluing of classroom observation. Both classroom observation and data gathering as components of the government system being in need of strengthening offer scope to make changes which the alternative approach is intended to accommodate.

This research strongly suggests that teachers are likely to place a high value on a scheme of teacher appraisal which assigns greater importance to classroom observation than the scheme put forward by government. For classroom observation to be valuable to teachers, it probably has to be routinized in the way described in chapter 6 where a priority of the teachers is seen as widening understanding of classroom realities (see Table 8.7 item 6 above p. 379). As the way forward, the alternative approach provides for innovative altering of the job and person specifications of the superordinates in schools on the lines of the teachers' model for an appraiser (see above p. 240) and the model job descriptions offered in chapter 3 (see subsection 3.5.2 pp. 138-141). This alteration commits superordinates to regular classroom observation which changes too the appraiser's image.

Bound up in importance with classroom observation are the

qualifications expected of appraisers to meet the teachers'
requirements. These are described above in the reference to
the support component (S) of DILDS, in section 8.2.3, and in
Tables 3.9 (p. 146) and 3.11 (p. 154). Notably, there is the
requirement that the appraisers have sufficient experience of
a kind deemed especially relevant by the teachers. This is
the experience which makes them familiar with the situation in
which the appraisee teaches, knowing the appraisee's classes,
and knowing about many other teaching situations also.
Implicit here is provision of time for liaison by appraisers
in one school with other appraisers in similar schools and
exchange observation, as well as time for classroom
observation by appraisers as a routine in the home school.
Such new routines spell further change in the image of an
appraisee, compared with the image created in the statutory
arrangement which is one of a teacher typically acting in a
subordinate role rather than as the client of an appraiser who
acts in the role of a resident (clinical) consultant (see
Figure 5.1 above p. 240). The upshot promises that school
leaders become better informed about the real experiences of
the pupils in their schools, and given improved communications
and information sources, the likelihood is better management
of schools not only good management of teacher appraisal,
resulting from the alternative approach.

Appraisees in the alternative approach to teacher appraisal
are not just passive and only observed, because every teacher
has the image of an active observer. Teachers sustain a
barrier-free entry to their own and others' classrooms which
cease to be the places of special privacy which, as argued
from the literature discussed in chapter 3, the tradition in
schools has hitherto made them more often than not.
Appraisees are active participants too in the distinctive two
way exchanges of perceptions and ideas which belong to the
teachers' system which is embraced in this alternative
approach. Through reflection on what is feasible and on the
work they are to do in the future with their classes, probably
these exchanges have the potential to generate for teachers at
all levels of seniority a powerful interest in pedagogy,
helping perhaps to fill a gap noticed by Simon (1981) and

which still seems to be present (Alexander 1991).

A new scenario thus appears. Acting from their perspective, the teachers seek a close bonding of the images they hold of appraiser and appraisee with the frequency, duration and purpose of classroom observation. In the management of teacher appraisal, they also want affinity maintained between goal setting and the use made by participants of feedback on impact on pupil learning. Chosen teaching and learning styles are decided by teachers who have deliberated collaboratively on the needs of the pupils they teach. These styles are not chosen as responses to external pressure such as Alexander (1991) has observed. The fit made between these styles and the needs of the pupils depends upon the exercise of the several professional functions and the use of the areas of knowledge and skills which are identified in the model job descriptions illustrated in chapter 3. How the techniques of goal setting can be employed to progress these functions, develop knowledge and skill is discussed in chapter 5. Advancement of the school's mission and its interpretation of its legislative duties under ERA (1988) are facilitated if as a component of teacher appraisal goal setting is employed in this way.

The structure of the alternative approach owes its strength to the time and effort proposed to be devoted to the six main concerns which are discussed above and summarised in Table 8.8 (p. 382). This structure determines the parameters of appraisal activity, delimiting the fields for attention to those directly connected with teaching and learning. The resulting salient characteristics of the alternative approach are next more fully described.

8.3.4 A Description of An Alternative Approach:
The Salient Characteristics

Adoption of an alternative approach based on the teachers' perspectives means from the outset not having a system of teacher appraisal which is multi-purpose or possessed of the many aims which belong to the statutory scheme and which are summarized in Table 8.1 (see above p. 340). It means the

"political solution" identified in Table 8.7 (see above p. 379) beginning with item 1 in the column headed: Priorities of Government mostly gives way in favour of a "professional solution" as also outlined in Table 8.7, beginning at item 1 in the column headed: Priorities of Teachers.   The purpose becomes twofold.

Part of the argument of this thesis is that this substitution of the professional solution for the political one is going to happen sooner or later because of the practical power the teachers have to influence appraisal events and which they will exercise in accordance with their own perspectives, not in accordance with the perspectives of government. Paradoxically, the outcome is virtually certain to bring about school improvement more swiftly than the "political solution" might do, since the latter depends on an outmoded dichotomy in school management (see chapter 3 pp. 111-7).   The political solution equally does not take on trends in management in non-educational organizations towards the creation of lateral structures, less hierarchy, expectations of team leadership, and influence through timely support and enabling activity rather than management fiat (see chapter 1 pp. 13-22). Teacher appraisal is envisaged as an instrument of action learning (see subsection 8.2.3 above pp. 366-372) and as a component of CPE when managed in line with the alternative approach proposed here.

The alternative approach provides an opening for a large step by appraising bodies towards the reconciliation of priorities of government and teachers.   For example, reducing the number of purposes the teacher appraisal system is expected to serve means appraising bodies can "make less do better" (Hechinger 1979).   Moreover, the personnel functions associated with the government system can then be managed better also according to their own specific requirements which are outlined in chapter 3 and thus more effectively as in non-educational organizations (see section 1.2 above pp. 13-22).   The twofold purpose of the alternative approach to teacher appraisal can be summarized as:

   i) to enhance the progress pupils make at school,

improving the quality and increasing the quantity of their learning,

and,

ii) to help teachers become more effective in bringing about i)

The salient characteristics of the alternative approach are summarised in a diagrammatic form in Figure 8.2.

TEACHER APPRAISAL: A DIAGRAMMATIC MODEL
Figure 8.2   BASED ON THE TEACHERS' PERSPECTIVES

CREATIVE OBSERVATION	CONTEXT	GROWTH ACTIVITY
	LEGISLATIVE ENVIRONMENT (EDUCATIONAL GOALS AND PROVISIONS) 1	
APPRAISER A CHANGE AGENT 2	SCHOOL CHARACTERISTICS (APPROACH TO AUTONOMY, DISTINCTIVENESS AND MISSION) 3	APPRAISEE A CHANGE AGENT 4
APPRAISER'S ATTRIBUTES 5	HUMAN RELATIONS (POLICY AND PRACTICE AFFECTING STAFF AND PUPILS) 6	APPRAISEE'S ATTRIBUTES 7
APPRAISER'S MAIN ACTION SEQUENCE 8	CAPACITIES OF SCHOOL SYSTEMS (EDUCATIONAL AND ORGANIZATIONAL FOR INNOVATION) 9	APPRAISEE'S MAIN ACTION SEQUENCE 10
APPRAISER ACTS AS A CONSULTANT 11	TEACHING AND LEARNING (A FOCUS ON IMPACT ON PUPILS IN CLASSES) 12	APPRAISEE A REFLECTIVE PRACTITIONER 13
	RECONSTRUCTION (INTERPRETATION, EVALUATION, NEW PERSPECTIVES) 14	APPRAISEE ADOPTS GOALS 15
	DEVELOPMENT ACTIVITY (REDESIGN AND IMPROVEMENT IN QUALITY OF EXPERIENCE IN SCHOOL) 16	APPRAISEE MAKES ACTION PLAN 17
	PROGRESS OF PUPILS (MUTUALLY AGREED POINTS OF REFERENCE VALIDATED USING RESEARCH AND INTERNAL AND EXTERNAL CONSULTANCIES) 18	

———➤   suggests where the critical component is found as a matter of intent or direction in an interactive process which culminates in a mutually desired outcome

←——➤ implies that here the outcome is created through the components interacting more or less equally influentially, depending on the chosen management style

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What is in each box in the diagram is derived from an analysis given in a previous chapter or above in this one. For example, in chapter 5 the attributes of the role of an appraiser most favoured by the teachers are analysed, and summarized in Figure 5.1 (see above p. 240). The presence of a box or other mention in Figure 8.2 is based on such prior attention in this thesis, and for each numbered topic three illustrative page references are given in Table 8.9. Figure 8.2 thus represents a summary in diagrammatic form of the main conclusions of this thesis concerning the components of an alternative approach to teacher appraisal based on the teachers' perspectives.

Table 8.9	TEACHER APPRAISAL: A DIAGRAMMATIC MODEL BASED ON THE TEACHERS' PERSPECTIVES – Key Page References for Figure 8.2 (p. 388)		
Item	Page References	Item	Page References
1	23, 156, 346	10	155, 234, 296
2	104, 156, 337	11	105, 240, 298
3	123, 147, 369	12	104, 150, 252
4	218, 235, 311	13	144, 339, 379
5	209, 214, 320	14	143, 147, 384
6	70, 112, 117	15	106, 237, 357
7	138, 360, 385	16	145, 146, 152
8	154, 317, 319	17	352, 361, 393
9	112, 125, 349	18	66, 97, 382

Whether or not appraising bodies and school governors accept a reccommendation that they help to conserve energy in schools, by promoting as far as they can the alternative approach and by accepting the simple twofold purpose for teacher appraisal, successful implementation arguably depends on several other forced choices. For example, appraising bodies are going to need to try to secure that teachers are provided with technical support, especially in the growing areas of testing, assessment and statistical analysis. The latter are increasingly bearing not only on academic attainment but also on attitudes and values which constrain or encourage pupils in their work at school. Attitude surveys are in mind here such as produced by Fraser (1989), or used at WL. Teacher appraisal is likely to stimulate demand for external support in these areas in order to illuminate teaching strategies.

What is implied above means innovation in the support role of LEAs and the free flow of information across its area, and possibly beyond. Enhancement of knowledge in this way cannot be achieved if the information gathered during the appraisal cycle is intended for non-educational purposes such as those coming under the personnel umbrella and issues of confidentiality constrain dissemination. The object is to create cumulative learning accessible to all staff and which is school specific while nevertheless environmentally related.

The LEA can also support the design and development of teaching materials for which the alternative approach is likely to generate a new need , assuming the experiences in the case studies from USA and Canada offer reliable guidance. Arising from this new need, the requirement is evident for technical support or service from educational psychologists, IT specialists, graphic designers and experts on reprographics, for example, coordinated perhaps at LEA Teachers' Centre level. Publishers have limited output and teachers need their own alternative sources of technical support, supplies of asssessment instruments, and teaching materials tailored for their local needs, especially bearing in mind that schools annually regenerate as new pupils arrive and others leave. The LEA can augment and enrich the resources schools are building up of their own accord.

All the activities referred to in the two previous paragraphs are just examples of what is necessary to enable teachers to map in sufficient detail where their pupils are when they begin with them, and then to monitor and promote progress in as sophisticated a manner as possible therafter. The national curriculum is leading schools to take this direction in an increasingly purposive way which is relevant to teacher appraisal and points again towards a changed role for the LEA. Here therefore are areas of choice for the appraising bodies who can, so to speak, make or break teacher appraisal by attending carefully to, say, follow-up or other aspects of the context in which teacher appraisal is conducted. They can choose to do so resourcefully by having regard to the teachers' perspectives and a "professional solution", or they

can behave in conventional fashion and rely on a "political solution", in line with the directions either way encapsulated in Table 8.7. (see above p. 379). In effect, this choice is what is meant by the reference to the option to develop a dual arrangement (see above p. 377-80), at least for the time being until the value of following the teachers' perspectives in the creation of a system of teacher appraisal is recognized by the central agencies and government.

Other ways too in which appraising bodies can provide a "helpful system" are pointed to by the teachers. Assuming the latter's perspective, an acceptable system of teacher appraisal relies for the construction of job descriptions on a methodology which ensures that the jobs teachers do are fully expressed in the descriptions adopted. This means there is useful guidance on standards and "quality of education", and that the constraints affecting the job are mutually recognized. This methodology obliges users to ensure when there is change in the job that what is newly required is within the current capacity of the job-holder and the resources available, or can be brought within them as a result of development of the job-holder and provision of the support necessary. Teacher appraisal is perceived then as a clinical way of enabling the appraiser to take steps to ensure the appraisee has what is needed to accomplish the job held.

Teachers see that there are limits to what can be achieved. These limits are determined certainly by the time allowed for teacher appraisal, and by the related factor of the reliability of the gathered data purporting to show what has come within the scope of the appraisal. It is necessary therefore to determine what can be done using the resources available, and in the light of considerations of cost benefit analysis, opportunity cost and so on. Teachers perceive a danger of superficiality, resulting from an attempt to do too much as seemingly proposed in Regulation 4 (SI 1991/1511). In the schools, the effort no doubt will be made not to run such a risk. The appraising bodies and school governors can choose to limit the risk on similar lines to those likely to be followed by the teachers.

8.3.5 Resourcing an Alternative Approach

There are two main ways of looking at the resource issue in teacher appraisal. One way is based on the assumption contained in the statutory scheme that teacher appraisal can be operated within conventional approaches to the management of schools. The second way is to see this resource issue as part of a school improvement effort, using the term in the sense adopted in ISIP (Van Velzen 1985 p. 48). This second way means likening the function of teacher appraisal to that of a catalyst. Both ways are considered below, initially the way that follows a conventional route.

The most valuable of the resources in any appraisal system is probably goodwill which, with regard to teacher appraisal, is exceptionally important, whichever indeed of the two ways mentioned is taken to find the resources. This suggestion concerning goodwill relies on the belief that there is little likelihood that the typical standards of material support for CPE in the non-educational sector (see chapter 1) will be replicated in the educational sector, following implementation of teacher appraisal, at any rate initially. Probably, then, goodwill is going to determine what quality there is in the resourcing of teacher appraisal, especially follow-up. Users of an alternative approach cannot overlook this situation.

Follow-up is envisaged by the teachers as a key consideration in the management of teacher appraisal. As intimated in the previous paragraph, teacher appraisal is probably going to be characterised by the low cost permitted for its operation, putting a premium on good use of time. Taking a view again from the non-educational sector, Morrisey (1983) discusses possibilities there, and is of help here, suggesting practical development activities which for schools can be identified by the process outlined in Table 3.9 (see above p.146). Following this view, ideas come to mind for schools and some possibilities are outlined in Table 8.10 on the next page.

There are many activities familiar to teachers listed in Table 8.10 and any which may be new are feasible given goodwill, and backup from the school and LEA. For example, the goodwill and

backup are required to foster staff relationships which generate readiness to offer peer support, build each other's self-confidence, mutual esteem and sharing attitudes, and develop the values of humility, trust and integrity. In Table 8.10, item 12, the "way of life" depends upon regular self-evaluation at the levels of individuals and schools.

Table 8.10	PRACTICAL SCHOOL-BASED PROFESSIONAL DEVELOPMENT ACTIVITY: LOW COST EXAMPLES
1	Critical friendship progressed through classroom observation
2	Paired activity eg using computers, preparing new teaching materials and sharing their evaluation
3	Pupil appraisal, using a variety of inventory methods
4	Pupil focused problem-solving conferences/ staff meetings
5	Classroom action research
6	Definition of priorities through use of SWOT analysis
7	Making use of Self Perception and Learning Style Inventories
8	Job rotation
9	Short-term teacher exchanges between neighbouring schools focusing on continuity or alternative choices responding to common demands and constraints
10	Action learning assignments
11	Making use of learning logs
12	Adoption of evaluation as a "way of life"

The teachers see teacher appraisal much as if it had been conceived within a tradition stretching back at least to Dewey (1916), ideally as a continuing concern with the interpretation and reconstruction of school experience, a concern taken forward by Stenhouse, Elliot, Ruddock, Hopkins and others in the teacher action research movement. This strand in the analysis of ways to find resources leads back to the prime resource of all, the teacher, and to the relationship of pedagogy with school improvement. The activities identified in Table 8.10 recognise this strand and the pedigree.

Moving now from the conventional way of looking at the resource issue towards something radical, as the step forward,

means first making an assessment of teacher appraisal as a school improvement effort. The enlightening ISIP definition of school improvement requires further attention:

"A systematic, sustained effort aimed at change in learning conditions and other related internal conditions in one or more schools, with the ultimate aim of accomplishing educational goals more effectively."

(Van Velzen 1985 p. 48)

In this definition, the focus of the change effort is on "learning conditions and other related internal conditions" jointly in a school. If teacher appraisal is treated primarily as a personnel concern, the particular emphasis is on one of the "related internal conditions" unbalancing the improvement effort, but even if the concern is primarily with pedagogy and the location of effort is with "learning conditions" there is still lack of balance so long as the other conditions are disregarded.

As a basic component of the alternative approach, all participants choose to rely on a support structure for teacher appraisal which derives from a model of the school which provides a unified management context. Without such a model, teacher appraisal is likely to lack direction and, consequently, may tend to become a celebration of the status quo which is not what the alternative approach is about. What the alternative approach is created to avert is a situation where all participants depend upon their own subjective assessments of where they are and have to rely on their opinions in the absence of an orientation, or statement of their individual positions in relation to the school's mission.

Insular thinking and isolationism in new forms are not impossible to contemplate with teacher appraisal, if it is implemented without the adjustment to the management of schools which is advocated in this thesis. Orientation free management of teacher appraisal is what is proposed frequently in the literature, or seems to be, for example, Pratt and Stenning (1989), Montgomery and Hadfield (1989), or Bollington, Hopkins and West (1990). In these examples, the management of teacher appraisal is discussed discretely and

the vision "of what appraisal should look like" (Bollington et al 1990 p. 89) and the meanings given to "planning", "organizing", "monitoring", and "motivating" all are confined to matters arising within the teacher appraisal cycle.

Context, especially orientation, tends to be overlooked in the literature. Turner and Clift note the importance of context in raising as a question whether "individual teachers feel they are being supported or frustrated in their work by school policies" (Turner and Clift 1988 p. 82). They perceive that: "It is difficult to see how one can divorce the evaluation of the work of a teacher from the general policies of the school", but do not explore this relationship in the way, for example, attempted in chapter 3.

The alternative approach takes the ideas in a model such as that of Davies (see above p. 53) on a stage, and shows heed for the Dutch model of development and change in schools, analysed in chapter 3, or an equivalent. While the subject is too extensive to explore completely here, Figure 8.3 on the next page is presented as a comprehensive indicator of the analytical process to follow when engaging in the alternative approach. This figure does not precisely identify the governing body's location, but its statutory powers place it within the box subtitled: "THE SCHOOL", as part of the internal change capacity. As a component of the organizational system of a school the governing body is comprehended in the Dutch theory (see above p. 129 Table 3.8 item 3, and Appendix 3.2) and thus as part of the proposed theoretical framework outlined here. As the teachers in the case study schools recognized (see above pp. 335-6), Governors influence the orientation of school management and, say, whether the way of behaving is "very open" (see above JM WL p. 324). They can effectively choose to support this alternative approach, directly or indirectly.

As an extra exemplification of what is proposed, it is useful to look again at the box enclosing THE SCHOOL in Figure 8.3. There, the leading concerns and processes which require to be managed to secure the successful implementation of policy in a

school are readily observable, in a theoretical sense. Teacher appraisal can helpfully be located in this theoretical framework in the box enclosing: "Pedagogical-didactical capacity", as doing so presents a conception of its function which is firmly bonded to teaching and learning conditions and "educational goals" which are boxed in Figure 8.3. External influences in the environment (Davies 1971), or context (Duke and Stiggins 1986), for example, ERA (1988), can also be traced clearly in terms of the management process, requiring linking activity with the "educational goals". A theoretical structure offered as a further help with this linking activity is the matrix outlined in Figure 8.1 (see above p. 357).

Figure 8.3   TEACHER APPRAISAL AND SCHOOL IMPROVEMENT
             A MODEL TO SHOW A MANAGEMENT PROCESS

FRAME VARIABLES

Larger social context   The change involved   The local context

EXTERNAL GROUPS

Educational goals   Pedagogical-didactical capacity   Change in learning conditions

Educational Authorities

Educational goals

Support system   Interventions   Readiness   Outcomes

Strategies   Interventions

Other Stakeholders   Organisational capacity   Change in internal conditions

Strategies

Internal change capacity

The nature of school improvement.   THE SCHOOL

Source: Van Velzen et al (1985) Making School Improvement
          Work   ACCO   p. 56

As the national curriculum progressively develops and becomes user friendly, there is a prospect of a transfer of energy from curriculum building in schools to improvement in pedagogy which is an area where teacher appraisal can become a "helpful

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system". The system of external support which schools are dependent upon when change is proposed requires to be fully conceptualised so that there is less likelihood of disguising the implications, as is now possible.

It is beyond the scope of this thesis to explore fully all the management implications of this second way forward towards resolution of the issue of the resourcing of teacher appraisal. The second way forward does mean that the activities itemised in Table 8.10 take on a different look, becoming, it is suggested, basic needs in professional self-regulation, (or part of "Strategies" in terms of Figure 8.3), rather than options. Deciding whether a school has the organizational capacity to cope is an outcome of an exercise in school-based review linked, theoretically, to a model of development and change on, say, the lines as briefly expressed in the Kite diagram shown in Figure 3.10 (above p. 132). A model of the latter kind is necessary to secure that a school's orientation as variously referred to in this thesis is adequately mapped. This theoretical mapping facilitates a SWOT analysis of a school's "Readiness" within its "Internal change capacity" (see Figure 8.3) to take on teacher appraisal as an effective catalyst for change into a new "way of life". What is suggested, therefore, is that a theoretical framework to underpin its management is desirable for teacher appraisal as a resource which has no less importance than physical provisions, including those for follow-up (see above p. 390). The argument being made is that this framework is especially required to connect together a school's internal and external concerns which bear upon teacher appraisal.

8.4 CONCLUSION

In this final chapter, as proposed at its beginning, the effort is directed towards producing ideas helpful to participants in teacher appraisal. Some ideas have the character of toolkits, for instance, those ideas expressed in the acronyms SEEMS, DILDS, and POPDUC, others have more of the character of optimistic forecasting. It is the case ultimately that teachers will have to want teacher appraisal for it really to succeed as a school improvement effort. The

managers of teacher appraisal systems can seek "a better picture of how teachers comprehend the events that unfold in classroom environments" and "how teachers' knowledge is accumulated as they go about solving problems posed by classroom environments" (Carter and Doyle 1987 p. 159). Contrariwise, these managers can use teacher appraisal as a locum to make good what is wrongly absent in a school management structure, for example, provision for career development, or adequate supervision.

To a degree, it can be said that the message of this thesis is to stand teacher appraisal as at present conceived on its head so that the teacher is the consultant and the appraiser is the client. In this event, the appraiser is no less a learner than the appraisee and seeks knowledge on how the capacities of the school's educational and organizational systems can be improved so as to help the teachers become more effective. In the words of Alexander, written in another context:

> *"The central challenge is to encourage a more open and collaborative climate of professional discourse, in which teachers are treated as partners in the educational enterprise, rather than as subservient".*

(Alexander 1991 p. 5)

All partners in the educational enterprise are obliged to acknowledge however that what may cause pupils to gain the most they can from schools is imperfectly understood. For the foreseeable future, the necessity is to continue exploring ways which research or experience suggests are likely to lead towards better understanding. Therefore, it is striking that the approach to teacher appraisal which this research shows the teachers to prefer introduces the possibility of fostering such explorations in every school. That outcome justifies concluding this thesis with the proposal that appraising bodies take as their prime function the fostering of these explorations through teacher appraisal. As the action learning instrument which it then becomes, teacher appraisal gains the flexibility for its effective adaptation to the distinctiveness of each school and the individual circumstances of each teacher. In principle, then, teacher appraisal is enabled to become the instrument of school improvement which the teachers and government jointly desire.

APPENDICES

The appendices referred to in the text of the thesis are listed below in the sequence followed in the subsequent pages. The page numbers which are on the right indicate where the initial reference to each appendix occurs.

Generally, an appendix is in a form which has been chosen as sufficiently self-explanatory, but in other cases short introductions are provided to support the original material.

<u>LIST OF APPENDICES</u>

APPENDIX 1.1

APPRAISAL IN NON-EDUCATIONAL ORGANIZATIONS

PRIMARY SOURCES OF DATA USED IN SECTION 1.2 OF CHAPTER 1

Data relating to staff appraisal systems was gathered from the following non-educational organizations by means of site visits and consultations with senior managers:

Audit Commission   Bristol

Avon Cosmetics   Northampton

Barclaycard   Northampton

Ford Motor Company   Dagenham and Daventry

The principal non-educational organizations whose arrangements for staff appraisal were studied relying solely on their documentation and informal personal contact as the sources of data were the following:

Boots Chemists

Equity and Law

Hay MSL Management Consultants

Northamptonshire Police

Source: Hay MSL Job Evaluation Guide as provided for

Northamptonshire County Council in 1980

PUBLIC AUTHORITIES
February 1980

HAY GUIDE CHART FOR EVALUATING

KNOW-HOW

DEFINITION: Know-How is the total of every kind of skill required for average acceptable job performance. It is the fund of knowledge (however acquired) which is necessary for meeting:

• The requirement for Technical Know-How in practical procedures, specialised techniques, professional and scientific disciplines.

•• The requirement for breadth of Know-How in integrating and harmonising the diverse elements involved in managerial situations. This Know-How may be exercised consultatively as well as executively. It involves combining to some degree the elements of planning, organising, directing, evaluating, controlling and innovating.

••• The requirement for Human Relations Know-How.

MEASURING KNOW-HOW: Technical Know-How has both depth and range. Thus, a job may require some knowledge about a lot of things, or a lot of knowledge about a few things. The total Know-How is the sum of: depth and range of Technical Know-How, plus the breadth of Know-How in planning, organising and controlling, plus Human Relations Skills. This concept makes practical the comparison and weighing of the total Know-How content of different jobs in terms of: "HOW MUCH KNOWLEDGE ABOUT HOW MANY THINGS".

** BREADTH OF PLANNING, ORGANISING, CONTROLLING

Column group descriptions:

N. NON-SUPERVISORY: Performance of a task (or tasks) which are highly specific as to objective and content, and which do not involve the supervision of other jobs.

I. RELATED: Performance or supervision of work which is specific as to objective and content, with appropriate awareness of related activities.

II. MANAGERIAL: Internal integration of operations which are relatively homogeneous in nature and objective, and which involve external co-ordination with associated functions.

III. DIVERSE: Operational or conceptual integration or co-ordination of major functions which are diverse in nature and objective.

IV. BROAD

TECHNICAL KNOW-HOW	N. NON-SUPERVISORY			I. RELATED			II. MANAGERIAL			III. DIVERSE			IV. BROAD		
*** HUMAN RELATIONS SKILLS ▶	1	2	3	1	2	3	1	2	3	1	2	3	1	2	3
A-1	38	43	50	50	57	66	66	76	87	87	100	115	115	132	152
A-2	43	50	57	57	66	76	76	87	100	100	115	132	132	152	175
A-3	50	57	66	66	76	87	87	100	115	115	132	152	152	175	200
B-1	50	57	66	66	76	87	87	100	115	115	132	152	152	175	200
B-2	57	66	76	76	87	100	100	115	132	132	152	175	175	200	230
B-3	66	76	87	87	100	115	115	132	152	152	175	200	200	230	264
C-1	66	76	87	87	100	115	115	132	152	152	175	200	200	230	264
C-2	76	87	100	100	115	132	132	152	175	175	200	230	230	264	304
C-3	87	100	115	115	132	152	152	175	200	200	230	264	264	304	350
D-1	87	100	115	115	132	152	152	175	200	200	230	264	264	304	350
D-2	100	115	132	132	152	175	175	200	230	230	264	304	304	350	400
D-3	115	132	152	152	175	200	200	230	264	264	304	350	350	400	460
E-1	115	132	152	152	175	200	200	230	264	264	304	350	350	400	460
E-2	132	152	175	175	200	230	230	264	304	304	350	400	400	460	528
E-3	152	175	200	200	230	264	264	304	350	350	400	460	460	528	608
F-1	152	175	200	200	230	264	264	304	350	350	400	460	460	528	608
F-2	175	200	230	230	264	304	304	350	400	400	460	528	528	608	700
F-3	200	230	264	264	304	350	350	400	460	460	528	608	608	700	800
G-1	200	230	264	264	304	350	350	400	460	460	528	608	608	700	800
G-2	230	264	304	304	350	400	400	460	528	528	608	700	700	800	920
G-3	264	304	350	350	400	460	460	528	608	608	700	800	800	920	1056
H-1	264	304	350	350	400	460	460	528	608	608	700	800	800	920	1056
H-2	304	350	400	400	460	528	528	608	700	700	800	920	920	1056	1216
H-3	350	400	460	460	528	608	608	700	800	800	920	1056	1056	1216	1400

Technical Know-How row descriptions:

A. PRIMARY: Jobs requiring secondary education only, plus work induction.

B. ELEMENTARY VOCATIONAL: Jobs requiring familiarisation in uninvolved, standardised work routines and/or use of simple equipment and machines.

C. VOCATIONAL: Jobs requiring procedural or systematic proficiency, which may involve facility in the use of specialised equipment.

D. ADVANCED VOCATIONAL: Jobs requiring some specialised (generally non-theoretical) skill gained by on the job experience or through part professional qualification.

E. BASIC PROFESSIONAL/SCIENTIFIC; OR SPECIALISED: Jobs requiring sufficiency in a technical or specialised field involving an understanding of theoretical principles normally gained through a professional or scientific qualification or through a detailed grasp of involved practices and procedures.

F. SEASONED PROFESSIONAL/SCIENTIFIC; OR SPECIALISED: Jobs requiring proficiency in a technical or highly specialised field, gained through a depth of experience built on theories and principles, (or a broad and deep understanding of complex practices and precedents).

G. SCIENTIFIC OR PROFESSIONAL MASTERY: Jobs requiring determinative mastery of principles, practices and theories gained through wide experience and/or an authoritative command of operations and functions.

H. UNIQUE AUTHORITY: Jobs requiring unique command of principles, theories and practices in scientific disciplines.

*TECHNICAL KNOW-HOW
PRACTICAL PROCEDURES
SPECIALISED TECHNIQUES
SCIENTIFIC DISCIPLINES
DEPTH AND RANGE OF KNOW HOW

*** HUMAN RELATIONS SKILLS

1. BASIC: No more than ordinary courtesy and effectiveness in dealing with others is required.

2. IMPORTANT: Understanding, influencing and/or serving people are important but not overriding considerations.

3. CRITICAL: Alternative or combined skills in influencing developing and motivating people are critical in the achievement of job objectives.

HAY

STRATA OF WORK LEVELS

LEVEL OF WORK	TIME SPAN OF DECISION MAKING	Decision making	ORGANISATION TYPE	DESCRIPTION OF WORK (DISCRETION AND PRESCRIBED LIMITS OF THE JOB)
V	10 years	comprehensive	BUSINESS UNIT (Corporate Div)	Manage a business unit within corporate policies and contribute to creation of corporate strategies.
IV	5 years	comprehensive	GENERAL MANAGEMENT	Co-ordinate given activities of operating units and consider and develop alternative operating processes to maximise efficiency.
III	2 years	Operational	OPERATING UNIT	Adjust, modify and fine-tune an operating system in order to cope with changing trends and make the most of the particular operating system.
II	1 year	Operational	SECTION	First line management of a group of operatives who are producing the output. Responds to situations in current work cycle and decides output required.
I	3 months	Operational		Responsible for achieving required outputs

PART X — Conditions of employment of school teachers

Exercise of general professional duties

33. A teacher who is not a head teacher shall carry out the professional duties of a school teacher as circumstances may require —

    (1) if he is employed as a teacher in a school, under the reasonable direction of the head teacher of that school;

    (2) if he is employed by an authority on terms under which he is not assigned to any one school, under the reasonable direction of that authority and of the head teacher of any school in which he may for the time being be required to work as a teacher.

Exercise of particular duties

34. (1) A teacher employed as a teacher (other than a head teacher) in a school shall perform, in accordance with any directions which may reasonably be given to him by the head teacher from time to time, such particular duties as may reasonably be assigned to him.

    (2) A teacher employed by an authority on terms such as those described in paragraph 33(2) above shall perform, in accordance with any direction which may reasonably be given to him from time to time by the authority or by the head teacher of any school in which he may for the time being be required to work as a teacher, such particular duties as may reasonably be assigned to him.

Professional duties

35. The following duties shall be deemed to be included in the professional duties which a school teacher may be required to perform —

Teaching   (1) (a) planning and preparing courses and lessons;

          (b) teaching, according to their educational needs, the pupils assigned to him, including the setting and marking of work to be carried out by the pupil in school and elsewhere;

          (c) assessing, recording and reporting on the development, progress and attainment of pupils;

Other activities   (2) (a) promoting the general progress and well-being of individual pupils and of any class or group of pupils assigned to him;

          (b) providing guidance and advice to pupils on educational and social matters and on their further education and future careers, including information about sources of more expert advice on specific questions; making relevant records and reports;

(c) making records of and reports on the personal and social needs of pupils;

(d) communicating and consulting with the parents of pupils;

(e) communicating and co-operating with persons or bodies outside the school;

(f) participating in meetings arranged for any of the purposes described above;

Assessments and reports (3) providing or contributing to oral and written assessments, reports and references relating to individual pupils and groups of pupils;

Appraisal (4) participating in any arrangements within an agreed national framework for the appraisal of his performance and that of other teachers;

Review: further training and development (5) (a) reviewing from time to time his methods of teaching and programmes of work;

(b) participating in arrangements for his further training and professional development as a teacher;

Educational methods (6) advising and co-operating with the head teacher and other teachers (or any one or more of them) on the preparation and development of courses of study, teaching materials, teaching programmes, methods of teaching and assessment and pastoral arrangements;

Discipline, health and safety (7) maintaining good order and discipline among the pupils and safeguarding their health and safety both when they are authorised to be on the school premises and when they are engaged in authorised school activities elsewhere;

Staff meetings (8) participating in meetings at the school which relate to the curriculum for the school or the administration or organisation of the school, including pastoral arrangements;

Cover (9) supervising and so far as practicable teaching any pupils whose teacher is not available to teach them:

provided that no teacher shall be required to provide such cover —

(a) after the teacher who is absent or otherwise not available has been so for three or more consecutive working days; or

(b) where the fact that the teacher would be absent or otherwise not available for a period exceeding three consecutive working days was known to the maintaining authority for two or more working days before the absence commenced;

unless —

(i) he is a teacher employed wholly or mainly for the purpose of providing such cover ("a supply teacher"); or

(ii) it is not reasonably practicable for the maintaining authority to provide a supply teacher to provide cover; or

(iii) he is a full-time teacher at the school but has been assigned by the head teacher in the time-table to teach or carry out other specified duties (except cover) for less than 75 per cent of those hours in the week during which pupils are taught at the school;

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Public examinations

(10) participating in arrangements for preparing pupils for public examinations and in assessing pupils for the purposes of such examinations; recording and reporting such assessments; and participating in arrangements for pupils' presentation for and supervision during such examinations;

Management

(11) (a) contributing to the selection for appointment and professional development of other teachers and non-teaching staff, including the induction and assessment of new and probationary teachers;

(b) co-ordinating or managing the work of other teachers;

(c) taking such part as may be required of him in the review, development and management of activities relating to the curriculum, organisation and pastoral functions of the school;

Administration

(12) (a) participating in administrative and organisational tasks related to such duties as are described above, including the management or supervision of persons providing support for the teachers in the school and the ordering and allocation of equipment and materials;

(b) attending assemblies, registering the attendance of pupils and supervising pupils, whether these duties are to be performed before, during or after school sessions.

Working time

36. (1) After 1st August 1987 —

(a) a teacher employed full-time, other than in the circumstances described in sub-paragraph (c), shall be available for work for 195 days in any year, of which 190 days shall be days on which he may be required to teach pupils in addition to carrying out other duties; and those 195 days shall be specified by his employer or, if the employer so directs, by the head teacher;

(b) such a teacher shall be available to perform such duties at such times and such places as may be specified by the head teacher (or, where the teacher is not assigned to any one school, by his employer or the head teacher of any school in which he may for the time being be required to work as a teacher) for 1265 hours in any year, those hours to be allocated reasonably throughout those days in the year on which he is required to be available for work;

(c) sub-paragraphs (a) and (b) do not apply to such a teacher employed wholly or mainly to teach or perform other duties in relation to pupils in a residential establishment;

(d) time spent in travelling to or from the place of work shall not count against the 1265 hours referred to in sub-paragraph (b);

(e) unless employed under a separate contract as a midday supervisor, such a teacher shall not be required to undertake midday supervision, and shall be allowed a break of reasonable length either between school sessions or between the hours of 12 noon and 2.00pm;

(f) such a teacher shall, in addition to the requirements set out in sub-paragraphs (a) and (b) above, work such additional hours as may be needed to enable him to discharge effectively his professional

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duties, including, in particular the marking of pupils' work, the writing of reports on pupils and the preparation of lessons, teaching material and teaching programmes. The amount of time required for this purpose beyond the 1265 hours referred to in sub-paragraph (b) and the times outside the 1265 specified hours at which duties shall be performed shall not be defined by the employer but shall depend upon the work needed to discharge the teacher's duties.

(2) in this paragraph, "year" means a period of 12 months commencing on 1st September unless the school's academic year begins in August in which case it means a period of 12 months commencing on 1st August.

CAREER MANAGEMENT FRAMEWORK

ACTIVITY	TECHNIQUES
ORGANISATION PLANNING	STRATEGY REVIEW ORGANISATION REVIEW BEHAVIOUR REVIEW
MANPOWER PLANNING	COMPUTER MODELLING COMPENSATION POLICIES
SUCCESSION PLANNING	SUCCESSION PLANNING REVIEWS PERFORMANCE MANAGEMENT PROCESS (P.M.P.) SKILLS INVENTORIES BEHAVIOUR REVIEWS ASSESSMENT CENTRES
DEVELOPMENT & TRAINING PLANS	FORMAL COURSES OUTDOOR DEVELOPMENT SELF DEVELOPMENT TEAMBUILDING SABBATICALS ETC.

TEACHER APPRAISAL PROFILE
(MAIN PROFESSIONAL GRADE)

NOTES FOR THE GUIDANCE OF TEACHERS
AND APPRAISERS

1. The purpose of the appraisal profile is to initiate a dialogue between the teacher and the appraiser which can, when distilled and summarised, indicate areas for help/improvement in the teacher's performance during the succeeding year. The first aim of the appraisal is developmental, i.e. the process should enable the teacher to become more effective in the classroom and the school. It can, in addition, indicate ways in which the teacher can prepare for possible future promotion.

The main areas to be appraised are to do with the pedagogic and pastoral responsibilities shared by all teachers; with management and leadership development; and with the career progression of the individual teacher as seen by both the teacher and by the appraiser.

The result should be to present an agreed, professional picture of the teacher at the time of appraisal; to provide information concerning his/her developmental needs (e.g. Inset, secondment, reading, etc.); to record the career aspirations of the teacher and to compile an agreed agenda for action during the succeeding 12 months.

It may well be that some sections of the appraisal profile will be only marginally applicable to teachers in the early stages of their career. In such cases, the dialogue with the appraiser will allow the necessary emphases to emerge.

2. A current appraisal file will be established for each teacher and may contain any supportive material the teacher wishes to include.

3. This file is open to the teacher and to those directly responsible for the appraisal.

4. The procedure for use of this appraisal profile is:

(a) the appraiser and the appraisee should each, and separately, consider the sections in the Prompt List after collecting appropriate information (observation of teaching, etc.);

(b) a version of Profile Discussion Sheets A to E as far as possible agreed between appraiser and appraisee should be completed by the appraiser, drawing attention to any remaining points of disagreement;

(c) the appraiser should then complete the Summary Sheet which should be countersigned by the teacher who has been appraised.

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SELF-APPRAISAL/INTERVIEW PREPARATION FORM

As part of the annual cycle of teacher performance appraisal you will be able to have a discussion with your head teacher/appraiser about your work during this academic year and your work plan for the coming year. The purpose of this process is to identify needs for the professional growth of all teachers and to promote teacher effectiveness by endeavouring to meet these needs wherever possible.

You may find it helpful to prepare yourself by answering these questions in advance of the interview although you are not required to make the completed form available to your appraiser if you prefer not to do so.

1. Write down what you think are the main tasks and responsibilities of your current post.

2. During the past academic year, what parts of your job have given you greatest satisfaction?

How could these be used to best advantage?

3. What parts of your job have given you least satisfaction?

Is there something that could be done to overcome this?

4. Were there any problems or difficulties which prevented you from achieving something you intended or hoped to do?

Are they still a cause for concern?

If so, could they be eliminated?

5. To help improve your performance in your job, what changes in the school organisation would be beneficial?

6. What additional things might be done by your head teacher?

Your head of department?

You?

Anyone else?

7. What do you think should be your main target(s)/goals for next year?

8. How would you like to see your career developing?

PROMPT LIST

. It must be stressed that this list is neither prescriptive nor exhaustive and may need modification in the light of experience gained during the Pilot Study.

A. **The Teacher in the Classroom**

Preparation:	The activity was part of a properly planned programme.
	The aim of the activity was clear.
	A suitable approach was chosen from the options available.
	Adequate and suitable resources were available.
	The learning environment had been considered.
Teaching Skills:	The material was well presented.
	The pupils were actively involved.
	The teacher adapted the approach when necessary.
	— was aware of individual needs within the group.
	— displayed mastery of the subject matter.
Follow-up:	Homework is regularly set (if appropriate).
	Pupils' work is marked and recorded regularly.
	Pupils receive appropriate feedback about their work.
	Parents are informed of pupils' work and progress in accordance with school policy.
	The teacher evaluates the success of his/her teaching.

B. **The Teacher in the School and the Community**

Care for Individual Pupil:	The teacher is involved in the pastoral curriculum.
	— actively furthers the discipline and aims of the school.
	— seeks, in appropriate cases, to liaise with outside agencies i.e. E.W.O., psychologist etc.

— is involved in structured liaison with parents.

— takes part in extra-curricular activities relevant to the professional development of the teacher.

Co-operation,
Teamwork and
Curriculum:

The teacher has contributed during the last year to, for example, some or all of the following: syllabus preparation/evaluation, working parties; support for probationers; resource preparation; in-service training; liaison with feeder/receiving schools.

Teacher Appraisal Profile

Discussion Sheet A

You are asked to consider, and comment upon, each section, where you will find a number of Main Headings. The Notes for Guidance and Prompt List will help you with your thinking. The Prompt List does not offer an exclusive or exhaustive list of ideas.

SUMMARY OF DISCUSSION

A. THE TEACHER IN THE CLASSROOM

(i) Preparation

(ii) Teaching skills

(iii) Follow-up

Teacher Appraisal Profile

Discussion Sheet B

SUMMARY OF DISCUSSION

B.   THE TEACHER IN THE SCHOOL
     AND THE COMMUNITY

     (i)   Pastoral Care

     (ii) Co-operation & teamwork

     (iii) Curriculum involvement

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Teacher Appraisal Profile

Discussion Sheet C

SUMMARY OF DISCUSSION

C. THE TEACHER AS MANAGER

(i) Management Skills

(ii) Leadership

(iii) Self-determined professional
development

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Teacher Appraisal Profile

Discussion Sheet D

SUMMARY OF DISCUSSION

D.   THE TEACHER IN THE FUTURE

(i)   Further training needed

(ii)   Further experience needed:

(iii) Potential for additional responsibility

(iv) Career aspirations

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SHEET E

TARGET SETTING

NAME: ....

APPRAISER: ....

YEAR ....

Please record below mutually agreed targets

TARGETS	ACTION PLAN:	Resources needed	Timeline (By when?)	Strategies (How?)	Criteria for assessing attainment

MONITORED

Note of Progress (including modifications)

Date................. Appraiser's Initials ....

Date................. Appraiser's Initials ....

Date................. Appraiser's Initials ....

Teacher Appraisal Profile

Discussion Sheet E (Contd.)

Targets attained since last appraisal:

Any other, relevant observations:

Teacher Appraisal Profile

SUMMARY SHEET

Signature _____ Position _____ Date _____

Confirmation that Appraiser's Summary Sheet
has been seen.

Signature of Teacher _____

Date _____

CONSORTIUM OF TEACHER APPRAISAL PILOT SCHEMES:
NATIONAL COORDINATION/FACILITATION

1.   Introduction

The purpose of this paper is to outline in rather more detail
than in the project outline, the NDC's approach to the
coordination/facilitation task. It draws on information that was
included in the NDC's original proposal to the Department of
Education and Science.

The basic purpose of the pilot schemes is for the consortium of
6 LEAs:

"to develop, in consultation with the teachers in their areas,
arrangements for the systematic appraisal of teachers' performance
and the application of the results to their career development
and LEA management of the teaching force. (DES brief para 1)

Additional important features of the brief are:

o   the programmes should be based upon the ACAS Report;

o   implications for schools of varying type and size should be
    taken into account;

o   heads are to be included as well as teachers;

o   arrangements for LEA action are to be developed;

o   resource implications for schools and LEAs are to be studied;

o   the outcomes should be replicable throughout the country;

o   the NSG is responsible for directing and monitoring the
    project.

Within this framework, two considerations are worth highlighting.
First, a range of approaches should be trialled in the six
authorities. Second there should be sufficient exchange and
coordination to ensure that a coherent national scheme results.
Accordingly, it will be a major function of the National
Coordinators to strike a balance between encouraging the
exploration of a range of approaches and drawing together a
reasonably coherent and systematic set of national guidelines.

2. Appraisal and Management Development

   Management development is a sub-set of staff development and
   aims to improve the effectiveness of school managers (heads,
   deputies, heads of department, heads of house/year and other
   such post-holders) both individually and collectively, i.e. as
   management teams. Management development (like staff
   development) programmes should balance the professional
   development needs of the individual with the institutional
   development needs of the school and the LEA.

   Appraisal is therefore a fundamentally important process for
   identifying individual needs within the wider framework of the
   development requirements of the school and LEA. As such it is a
   highly desirable feature of staff and management development
   programmes which is of equal relevance to heads, teachers, LEA
   officers and advisers.

3. Appraisal as an Innovation

   The NDC recognises that appraisal is a major innovation for all
   concerned - teachers, heads, advisers, officers, trainers, unions,
   HMI and DES and so approaches it in the light of what we now know
   about the management of change. Research and experience indicate
   that the successful implementation of an innovation depends on
   striking the right balance between four factors:

   o   the characteristics of the innovation itself;

   o   the characteristics of the change agents responsible for
       implementing it at national, LEA and school levels;

   o   the types of implementation strategy employed at national,
       LEA and school levels;

   o   and, most important of all, the culture of the 'target
       system' and especially the attitudes of the 'target groups' at
       national, LEA and school levels.

   At first sight the ACAS Report raises two sets of issues related to
   appraisal - **policy and technical** - which are apparently distinct but
   which, in reality, are inextricably intertwined. For example, an
   apparently technical question, 'Who should have access to the
   appraisal report?', in fact goes to the root of the issues
   surrounding the policy question: 'What is the right balance between
   the two purposes of appraisal - professional development and LEA
   management of the teaching force?' Thus, although major policy
   issues will finally have to be decided outside the immediate context
   of the pilot schemes, the teachers, heads, advisers and officers
   involved in the schemes will, in practice, have to deal with them in
   order to answer the technical questions raised during the
   implementation process.

   Issues surrounding the **classroom observation** component of the
   innovation are especially crucial. Classroom teaching is at once
   the most central and the most private aspect of teachers' work.

There is no tradition of systematic observation of classroom
teaching (apart from in student teaching practice) and it provokes
considerable suspicion from teachers, as the Teacher Induction Pilot
Schemes demonstrated. This is partly because there are no generally
agreed criteria for judging effectiveness. Indeed there are at
least two widely different starting points: one which begins by
observing pupil behaviour and assumes that there are a range of
acceptable teaching styles for achieving effective learning; and
another which begins with a checklist of teacher behaviours assumed
to be associated with a single model of effective teaching.
Moreover, this central feature of the teacher's work is precisely
the one on which we can expect little help from experience of
appraisal schemes in industry, commerce and the public services,
naturally enough since jobs in those sectors contain no exact
equivalent to classroom teaching. Yet no one seriously questions
the need for the inclusion of classroom observation as an important
component in the appraisal process for teachers.

If appraisal is to be a generalisable innovation, i.e. one
which is replicable in other LEAs and schools, then the
resource and logistical issues will have to be resolved. The
conclusions from Suffolk about the number of hours required for
a complete appraisal process will have to be tested out,
especially to take account of the hours required for classroom
observations. These conclusions will then have to be related
to the working hours in whatever new contract is finally
implemented. The resource and logistical implications of
heads' appraisal raise new and different issues about the roles
of advisers and officers in appraising all heads in an LEA.
Useable answers to these questions will require an appreciation
of the differing circumstances of primary and secondary schools
and of the numerous and complex demands upon the work and time
of teachers, heads, officers and advisers. In short, the draft
national guidelines must make realistic, practical demands on
resources if they are to be implemented throughout the
country.

In addition, consideration will have to be given to the following
issues:

o   what should be the balance between the various purposes of
     appraisal?

o   who should appraise whom?

o   how frequently should a full appraisal be conducted?

o   what should be the procedures and methods for conducting an
     appraisal?

          - preparation
          - initial review
          - classroom observation
          - the appraisal interview
          - appeals
          - records

o   what will be appraised? Will both parties recognise
    mutual/reciprocal responsibility for action?

o   what training for appraisers and appraisees will be required?

o   what will be the role of school governers and elected
    members?

Glossary

The following is a list of defined terms which are particular to the approach to appraisal adopted by Newcastle upon Tyne L.E.A. You may find it useful as a reference.

ACCOUNTABILITY: a general term to describe the call on the part of one body or service to justify either its existence or its current expenditure.

APPRAISAL: 'Any procedure which helps the collecting, checking, sharing, giving and using of information from and about people at work for the purposes of adding to their performance at work'.
(Randell, Packard & Slater, p.12)

APPRAISEE: the person being valued and recognised.

APPRAISER: the person who is responsible for supporting the appraisee in the process of professional development.

CLIMATE: a level of support and empathy towards an activity.

CONSULTATION: to seek and consider opinion regarding an activity.

CONTEXT: the circumstances surrounding an event.

DESCRIPTION: a detailed written or verbal account.

DESIGN: a detailed plan of an appraisal scheme.

DRAFT: a preliminary written proposal preceding full consultation and implementation.

EFFECTIVE: being successful in producing the desired effect.

FEEDBACK: the giving of information, thoughts and feelings following an activity.

FORMATIVE: an ongoing supportive self awareness process to assist individual professional development activities.

IMPLEMENTATION: to put into operation.

IMPROVEMENT: the enhancement of skills.

INDUCTION: an introductory period designed to raise awareness.

MONITORING: overseeing a scheme to ensure that the processes and outcomes are as intended and to ensure comparability between different organisations.

NEGOTIATION: discussion with a view to a mutual conclusion.

Newcastle (1987) School Teacher Appraisal Formative Framework,

LEA.

PHILOSOPHY: the underlying abstract thinking of a process.

PRINCIPLES: the essential parts and ideas of a process.

PROFESSIONAL DEVELOPMENT: concentrates on how an individual's performance can be improved in the future. It involves meeting those INSET needs identified in the appraisal process.

REVIEW: indicates a retrospective activity implying the collection and examination of evidence and information.

SKILL: an ability to carry out a procedure competently.

SYSTEM: an orderly method of presenting a process.

SYSTEMATIC: a regular and rational method of procedure.

WORKSHOP: a method of learning and developing particular skills through practical group work.

Code of Practice for the collection of information

GUIDANCE AND CODE OF PRACTICE ON THE COLLECTION OF INFORMATION FOR TEACHER AND HEAD TEACHER APPRAISAL

1. This guidance and Code of Practice covers the collection of information for teacher and head teacher appraisal other than through classroom observation.

General principles

2. Information collection for the purpose of the appraisal of a teacher or head teacher should be designed to assist discussion in an appraisal interview having the purposes set out in paragraphs 40–43 and 57.

3. Where it has been agreed that the appraisal should concentrate on specific aspects of the appraisee's job, information collection should likewise concentrate on those aspects.

4. Appraisers should act with sensitivity to all concerned and should not exhibit any bias in collecting information.

5. Those giving information should not be put under any pressure save that of relevance and accuracy.

6. General comments should be supported by specific examples.

7. Interviews for the purpose of information collection should be held on a one to one basis.

8. Any information received anonymously should not be used.

9. Information which does not relate to the professional performance of a teacher or head teacher should not be sought or accepted.

10. Appraisees should not adopt an obstructive attitude to reasonable proposals for the collection of appropriate information.

11. Neither appraisers nor appraisees should act in any way that is likely to threaten the trust and confidence on both sides upon which successful appraisal depends.

Background information

Teacher appraisal

12. The teacher's appraiser must be familiar with relevant national and LEA policies and requirements.

13. The appraiser will also need to acquire a range of background information appropriate to the appraisee's wider professional responsibilities, e.g. the school's statements of aims and objectives, pastoral arrangements, equal opportunities policies, or departmental policies.

14. The appraiser should obtain copies of the teacher's job description and of the previous appraisal statement.

Head teacher appraisal

15. The head teacher's appraisers must be familiar with current national and LEA policies and requirements with regard to curriculum, special needs, equal opportunities, staffing and cover, disciplinary and grievance procedures and other such matters relating to school management.

16. They will also need a wide range of background information about the school and its context including:

> curricular policies
> general organisation and deployment of staff
> composition and organisation of the governing body
> links with home, outside bodies and other schools
> the pattern of meetings with staff and with parents
> school activities and routines including assessment and recording systems, examination results, calendar of events
> staff appraisal and development arrangements and arrangements for induction and probation
> financial and management systems

This information will need to be assembled by appraisee heads, who may provide any supplementary information they wish.

17. The appraisers should obtain copies of the head teacher's job description and of the previous appraisal statement.

Other guidance to the appraiser

18. The appraiser should agree with the appraisee at the initial meeting what information it would be appropriate to collect for the purpose of the appraisal, from what sources and by what methods.

19. When interviewing people providing information as part of an appraisal, the appraiser should explain the purpose of the interview and the way in which information will be treated.

20. Those giving information should be encouraged to make fair and considered comments which they are prepared to acknowledge and to substantiate if required.

21. Any written submissions should remain confidential to the author, the appraiser and the appraisee.

22. Those offering significantly critical comments should be asked to discuss them directly with the appraisee before they are used as appraisal information. (The substance of grievance or disciplinary proceedings should never be used in the appraisal process.)

23. Except where personal opinion is specifically sought (for example where an appraiser is attempting to gauge staff reactions to a particular innovation), care should be taken to ensure that information is sought and presented in an objective way.

ACCESS

Awareness Raising
Consultation
Management Decision

Whole School Review

School aims and
Objectives.

Teachers Job
Descriptions.

Career Development
Job Modification
Performance
Enhancement
Continuing Professional
Support

Teacher's Self
Appraisal

Appraiser gathers
Information

INSET

Classroom
Observation

Support and
Development

Professional
Development
Review
Targets
Agreed Statement.

Monitoring   Moderation   Evaluation
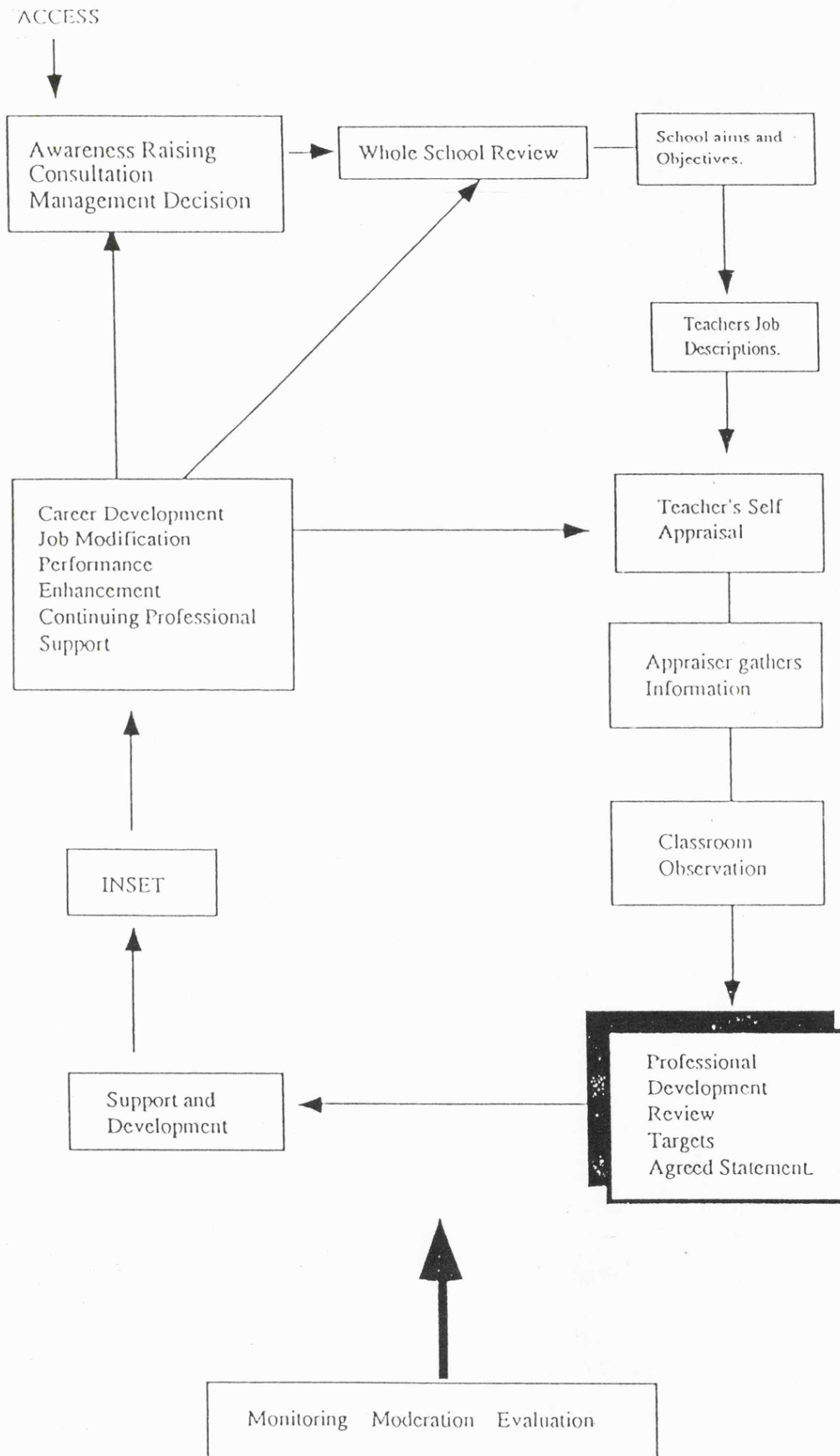
Appendix 2.1 THE EVALUATION CYCLE The Board of Education for the City of London

Source "Guidelines for the Evaluation of Teaching Staff" (Revised 1984)

2. PRE-OBSERVATION DISCUSSION

Teacher and Evaluator establish
objectives, timing and areas
for evaluation.

THE EVALUATION CYCLE

5. FOLLOW-UP

Formative process
continues through
succeeding visits.

1. The Principal establishes and
shares the evaluation plan for
the school. Specifically with
the teacher, the Principal may
follow this cycle.

3. OBSERVATION OF TEACHER

Evaluator observes
teacher performance and
records data.

4. POST-OBSERVATION DISCUSSION

Teacher and Evaluator discuss the observation,
share perceptions and develop strategies
for formative action. The teacher's signature
signifies receipt of the Summative Evaluation.
Teacher may append comments to a Summative
Evaluation and discuss Summative Evaluation with
the Area Superintendent.

Appendix 2.1   TEACHER PERFORMANCE EVALUATION CYCLE

Source: "Evaluation for Growth: A Focus on Skills   Trainer's Manual"

          LEMLEY, R (1986) Ontario Public School Teachers' Federation

THE T.P.E. CYCLE

1. PRE-OBSERVATION CONFERENCE

2. OBSERVATION(S)

3. POST-OBSERVATION CONFERENCE

4. EVALUATION REPORT

5. JOB TARGET SUB-CYCLE
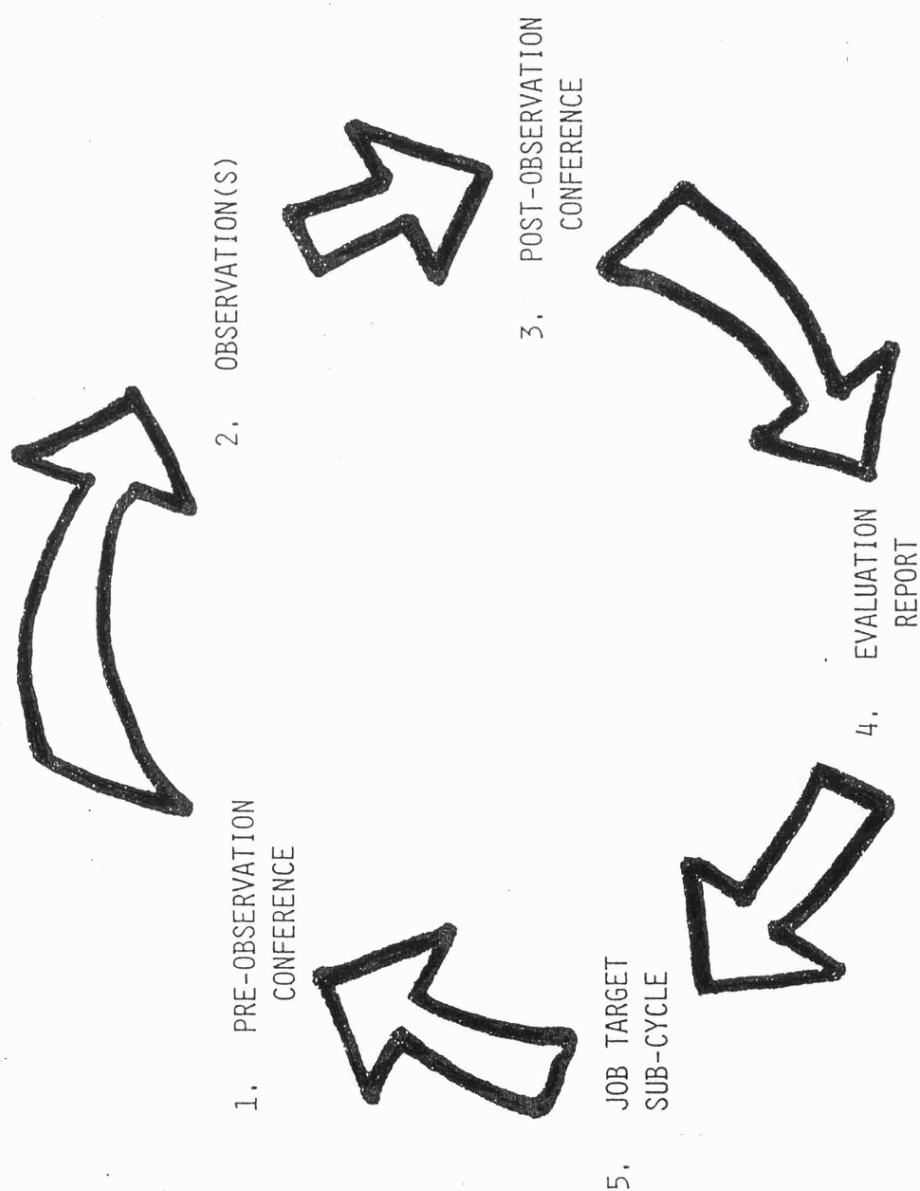
APPENDIX 2.2

CANADA and USA Field Study
List of Places visited and Persons interviewed in depth

CANADA
School Districts in Ontario
<u>Halton</u>
G B   Principal Lester B Pearson High School
D F   Superintendent
P H   Principal Eastview Elementary School
B W   Superintendent Employee Services

<u>Hamilton</u>
A K   Director of Education
K R   Superintendent
T L   Principal Vocational High School
B M   Representative of Ontario Secondary School Teachers'
      Federation (OSSTF) (a Instructional Chair ie Head of
      Department)
B Th Principal Queen Mary Elementary School
D R   Area Superintendent of Schools
L T   Representative of Elementary Women Teachers' Federation
      (EWTF) (a Classroom Teacher)
L T   Teacher Vocational High School

<u>Leeds and Grenville</u>
M B   Superintendent of Educational Services
M C   Principal Kempville Elementary School
J K   Principal Thousand Islands High School
W T   Director of Education
A B   Principal South Grenville District High School

<u>London</u>
B A   Superintendent
B C   Superintendent
J L   Director of Education
R M   Principal H B Beal Senior Composite School
B M   Principal Princess Elizabeth Senior Elementary School

Peel

J B   Teacher Kingswood Drive Elementary School
M B   Principal Kingswood Drive Elementary School
D B   Head of Department Central Peel High School
M C   Assistant Principal Central Peel High School
L C   Pobationer Central Peel High School
B G   Teacher Kingswood Drive Elementary School
B Q   Superintendent

Toronto

H B   Superintendent
B B   Superintendent
A H   Head of Department Danforth Technical School)
        also Representative of OSSTF
J R   Consultant Curriculum Division
J W   Principal Danforth Technical School

Other Places

Ontario Association of Educational Administrative Officials
J B   Executive Director (OAEAO)

Ontario Ministry of Education   Toronto
K J   Senior Official
F D   Senior Official

Ontario Public School Teachers' Federation (OPSTF) Toronto
N C   Senior Official OPSTF
G M   Past President of Ontario Teachers' Federation (OTF)

Ontario Institute for Studies in Education (OISE)
E H   Academic Staff
M H   Academic Staff
S L   Academic Staff
K L   Academic Staff

Educational Leadership Assessment Centre   University of Western Ontario
P K   Visiting Superintendent from Calgary

USA

School Districts

<u>Beaverton</u>

N D   Teacher Aloha High School

B M   Director of Certificated Personnel

S T-V   Vice-Principal Aloha High School

M T   Teacher Aloha High School

<u>Centennial</u>

M H   Director of Personnel

K   Head of Department

R M   Vice-Principal Centennial High School

<u>Evergreen</u>

R C   Principal Elementary School

K S   Assistant Superintendent

<u>Pittsburgh</u>

B A   Liaison Teacher Shenley High School Teachers' Centre
      (SHSTC)

A F   Visiting Teacher SHSTC

A G   Teacher Peabody High School

P Le M   Director Division of Testing and Evaluation

G N   Teacher on Special Assignment

L N   Director of Personnel

R W   Superintendent

J Z   Instructional Chair

<u>West Linn</u>

D C   Superintendent

<u>Other Places</u>

Northwest Regional Educational Laboratory

B B   Director, Goal Based Education Program

R S   Director, Centre for Performance Assessment

M R   Senior Associate Evaluation and Assessment

K D   Educational Intern Goal Based Education Program

Lewis and Clark College

D D   Professor of Education

Appendix 2.3 Performance Standards   Hämilton

Source   Record Form "Teacher Growth and Development Evaluation" (1986)

CRITERIA FOR TEACHER DEVELOPMENT AND EVALUATION

The principal and staff are expected to develop their criteria for teacher Development and Evaluation in harmony with the needs, expectations, goals and objectives of their particular school and subject discipline. The following are suggested for consideration in the development of criteria for individual schools.

Personal Attributes

The Teacher
— shows sincerity, enthusiasm and industry
— is neat in appearance, poised and confident
— demonstrates resourcefulness, decisiveness and a sense of humour
— is capable of motivating students
— reveals empathy and sympathy for students
— has a good command of the language of instruction
— uses a clear, well-modulated voice
— demonstrates an understanding attitude

Teaching Skills and Strategies

The Teacher
— articulates clearly defined aims and objectives
— has a thorough knowledge of subject philosophy and content
— reveals a logical lesson presentation
— employs meaningful, thought provoking questions and sound questioning techniques
— provides for individual differences
— uses a variety of methods of instruction and application
— uses resource material and teaching aids wisely
— attends to students' homework and seatwork
— involves all students in the learning process   ·
— achieves clarity in lesson presentation
— diagnoses and treats pupil difficulties   ·
— evaluates student progress regularly and systematically using a variety of techniques
— constantly stresses high standards of performance and striving for excellence
— develops student skills in Investigative Techniques
— encourages initiative, self-reliance, and self-esteem in students
— uses community resources when appropriate
— facilitates students' learning

Classroom Management

The Teacher
— generates a healthy, positive atmosphere characterized by interest, industry and self-control
— plans and organizes well by the use of a daily plan and by using both short and long range planning
— maintains a stimulating classroom environment
— makes effective use of physical environment (e.g. desks, chalkboards, bulletin boards)
— practices economy of class time
— assigns homework, where relevant, in a meaningful way
— maintains safe conditions and promotes proper safety practices

Interpersonal Relationships

The Teacher
— shows respect for other persons and their ideas
— is consistently fair and impartial
— promotes a positive climate with students and colleagues
— attends to the development of desirable values, attitudes and social skills
— is ever considerate of each student's self-image
— communicates with parents in an interested, considerate manner
— respects confidentiality

Professional Growth

The Teacher
— shows evidence of professional growth through study and other means
— participates in in-service training programmes and in teacher organizations
— makes use of professional publications
— is receptive to suggestions for improvement and is willing to change
— demonstrates the practice of realistic professional self-evaluation

General School and System Contributions

The Teacher
— readily accepts responsibility
— shows concern for the general welfare of the school
— shows interest, participation and leadership in extra-curricular activities
— promotes school activities and morale
— willingly participates in system-wide curriculum development, evaluation reviews and other studies

Appendix 2.3 Performance Standards

Source   "Evaluation Handbook" West Linn School District (1987)
                     PERFORMANCE STANDARDS

PROFESSIONAL: Professional standards reflect the qualities demonstrated
                by competent teachers to promote excellent teaching.

A. MOTIVATION: Competent teachers demonstrate a love of teaching and learning
    by:

    1. Showing enthusiasm for their subject matter
    2. Showing excitement when their students learn
    3. Maintaining high student motivation

B. COMMITMENT: Competent teachers demonstrate professional commitment by:

    1. Sharing responsibility for the quality of the total educational program
    2. Contributing to and accepting group decisions
    3. Devoting the time required to provide excellent teaching
    4. Being innovative and open to suggestions

C. STAFF DEVELOPMENT: Competent teachers promote their professional develop-
    ment by:

    1. Maintaining high expectations for themselves
    2. Assuming primary responsibility for developing their own teaching
        excellence
    3. Seeking personal and professional growth through setting instructional
        improvement goals
    4. Sharing quality teaching experiences and ideas with peers

D. LEADERSHIP: Competent teachers provide leadership by:

    1. Being effective role models for peers, students, and the community
    2. Contributing knowledge, expertise, and time to building and District
        projects
    3. Supporting and encouraging quality performance in other professionals

E. RESPONSIBILITY: Competent teachers help accomplish District and State
    goals by:

    1. Carrying out reasonable requests given by proper authority
    2. Adhering to and enforcing school law, state board regulations, School
        Board policy and established administrative procedures
    3. Proving a school atmosphere conducive to responsible, independent
        thinking of students
    4. Using professional judgment as to when, where, and with whom to
        discuss school business at all times observing the laws of confiden-
        tiality
    5. Meeting responsibility in areas concerned with punctuality, assigned
        duties, and maintenance of District property, equipment and materials
    6. Attempting to improve building and District policies, procedures,
        and programs through established appropriate channels

II. CURRICULUM AND INSTRUCTION: Curriculum refers to the content taught to students, and instruction refers to how the curriculum is taught to students.

A. DIAGNOSIS: Competent teachers establish procedures for gathering data by:

1. Compiling information about each student
2. Collecting information which is relevant to goals for student outcomes
3. Using a variety of sources of information
4. Using assistance from and cooperating with others when needed

B. LONG RANGE PLANS: Competent teachers use diagnostic data along with state and District goals and adopted courses of study to establish instructional objectives and to relate these to individual needs by:

1. Writing instructional objectives
2. Preparing objectives that reflect the use of information gathered in diagnosis
3. Preparing objectives in terms of student performance
4. Preparing objectives which are measurable
5. Preparing both short and long-term objectives for any assigned class

C. LESSON PLANS: Competent teachers write lesson plans to meet individual and group needs by:

1. Planning lessons that are consistent with the objectives
2. Planning lessons that include appropriate activities which meet individu and group needs
3. Planning to utilize appropriate resource materials related to instructio objectives
4. Planning alternatives to meet the needs of individual students
5. Accepting and using student feedback in planning instruction
6. Preparing plans and activities for their classes when absent

D. SUPPLEMENTAL RESOURCES: Competent teachers use a variety of supplemental resources appropriate to the subject matter by:

1. Using available media effectively and efficiently
2. Requesting and using materials and facilities based on instructional objectives
3. Knowing and utilizing community agencies, groups and individuals to further the educational program.

E. EFFECTIVE CLASSROOM MANAGEMENT: Competent teachers use a variety of effective classroom management techniques which:

1. Establish high expectations for student behavior and achievement
2. Show respect for students
3. Provide an atmosphere in which students remain at task
4. Exhibit consistency when dealing with behavior problems
5. Seek outside help when appropriate or necessary
6. Exhibit positive verbal and nonverbal influence on students

F. **INSTRUCTIONAL STRATEGIES:** Competent teachers use a variety of instructional techniques appropriate to the students' needs by:

1. Communicating clearly the instructional objectives to students
2. Giving directions in a clear, concise manner
3. Phrasing questions so students may respond appropriately
4. Using strategies which involve students in higher levels of thinking
5. Pacing the activities within a lesson according to the needs of students
6. Using words and content appropriate to the subject area and students' abilities

G. **EVALUATION:** Competent teachers establish procedures for assessing student performance which are appropriate to the objectives and are for specific purposes by:

1. Providing students with well-timed and frequent feedback on their individual performances
2. Providing documentation that evaluation has taken place for each student by maintaining accurate records
3. Using objective data to arrive at a grade or indicator of student progress to be reported to parents
4. Providing feedback to students that promotes further achievement
5. Planning changes in teaching strategies based on the results of the evaluation

III. **INTERPERSONAL:** Interpersonal relations refers to the ability to communicate effectively with students, teachers, supervisors, parents and patrons

A. **COMMUNICATION SKILLS:** Competent teachers communicate effectively using language articulately and correctly by:

1. Listening to students, being open and honest with them, and promoting two-way communication
2. Participating in decision-making, listening to and sharing ideas and resources with colleagues and staff
3. Answering parents' inquiries promptly, honestly and with discretion
4. Initiating, when necessary, communication with parents
5. Relating District philosophy to the community-at-large

B. **INTERPERSONAL SKILLS:** The competent teacher uses interpersonal skills to:

1. Manage conflicts among students, staff and parents in a positive manner
2. Promote positive social relations with staff

Appendix 2.4 Refinement of Performance Standards at School level

Source   Eastview Elementary School Halton (1986)

Note: The refinement derives from the five categories of classroom expectations
      for teachers set out in the policy of the School Board

The Growth Indicators for Diagnose

Skills: What does the teacher do in order to diagnose
         student needs?

D15 — uses a problem solving approach towards student diagnosis

D14 — uses a diagnostic data for identification of individual
         learning needs

D13 — synthesizes data effectively

D12 — identifies student performance within appropriate
         growth strands for Knowledge, Skills and Affect

D11 — critically evaluates own program, curriculum guide-
         lines and current research literature

D10 — does a task analysis of curriculum objectives

D9   — interprets the data effectively

D8   — identifies individual learning styles given environ-
         mental, emotional, sociological, physical, and psycho-
         logical stimuli

D7   — uses theories of human intellectual development and
         current research to assist in diagnosis

D6   — develops diagnostic strategies based on curriculum
         learning outcomes (criteria reference testing and
         objectives)

D5   — organizes data effectively

D4   — uses a variety of informal testing techniques (objective)

D3   — uses a variety of standardized testing techniques

D2   — uses a variety of observational techniques to gather
         data (subjective)

D1   — uses theories of child development (Piaget)

Footnote: a teacher begins at the bottom of the list and works up

The Growth Indicators for Prescribe

Skills: What does the teacher do in order to prescribe program for student needs?

P13 — uses a problem solving approach towards programming for student needs

P12 — uses growth strands to ensure continuity and continuous building rather than disjointed experiences

P11 — ensures that skills are incorporated and reinforced in the centre activities

P10 — makes decisions on time based on timetable allotment for subject, previous student performance and required amount of practice

P9 — uses a variety of teaching strategies
            — the levels of questioning — Bloom's Taxonomy
            — Learning Theories — Transfer, Reinforcement, Retention, Motivation

P8 — groups students according to several alternatives applied on basis of need of large or sub groups

P7 — selects materials (print and non print) to match student needs

P6 — designs appropriate learning experiences to promote growth in all students based on individual learning styles

P5 — plans teaching/learning activities according to program alternatives

P4 — writes long range, unit and daily plans
            — develops evaluative process

P3 — plans a) a teacher oriented program
            b) an individualized learning program
            c) an integrated day to achieve the objectives of the different subject areas
            d) a combination of teacher directed and centre activities

P2 — develops program objectives based on curriculum learning outcomes

P1 — identifies appropriate learning objectives from Ministry and Board curriculum documents

The Growth Indicators for Instruct

Skills: What does the teacher do in order to instruct students?

I15 — uses a problem solving approach for instructing students

I14 — while interacting with students, makes instructional decisions from a wide range of alternatives to meet student needs (material, time and space)

I13 — uses growth strands to describe instruction for students

I12 — uses time on task

I11 — uses the levels of questioning - Bloom's Taxonomy

I10 — uses learning theory (Motivation, Retention, Transfer, Reinforcement) to enhance learning

I9 — chooses from a range of positive reinforcement strategies to promote growth and self concept

I8 — ensures that instruction includes built in, on-going, informal evaluation, in a style consistent with the mode of teaching

I7 — uses instructional strategies effectively

I6 — facilitates harmonious and productive classroom inter- action consistently by modelling, listening, responding and asking questions

I5 — develops a teaching learning climate condusive to learning

I4 — makes classroom management decisions spontaneously

I3 — provides for a variety of learning styles through instruction

I2 — employs appropriate motivational and instructional materials

I1 — implements an instructional plan effectively

The Growth Indicators for Evaluate

Skills: What does the teacher do in order to evaluate
          student achievement?

E17 – uses a problem solving approach towards student
        evaluation

E16 – evaluates long range plans

E15 – holds conferences parent/teacher, teacher/teacher,
        pupil/teacher

E14 – synthesizes evaluative data

E13 – interprets evaluative data

E12 – organizes evaluative data effectively

E11 – uses a variety of non written evaluative techniques

E10 – evaluates oral discussion skills

E9   – selects appropriate evaluation techniques for
        student writing

E8   – develops evaluative measures as part of the planning
        process

E7   – evaluates projects using guidelines and expectations

E6   – uses pre-post tests effectively

E5   – keeps anecdotal records

E4   – constructs appropriate tests

E3   – uses commercially prepared tests

E2   – develops evaluative strategies based on curriculum
        learning outcomes

E1   – evaluates daily work by observation

The Growth Indicators for Communicate

Skills: What does the teacher do in order to communicate
          student achievement?

C15 — uses a problem solving approach towards communication
        of student achievement

C14 — uses conflict resolution theories

C13 — enhances self concept

C12 — holds interviews with parents

C11 — writes descriptive and prescriptive reports for
        parents, students and colleagues

C10 — translates evaluative data for a variety of purposes

C9   — organizes evaluative data for communication

C8   — keeps accurate, sufficient and pertinent records on
        each child for communication purposes

C7   — communicates all aspects of program within a consis-
        tent framework with colleagues, parents, students and
        administration

C6   — communicates to students and parents goals and
        objectives and growth

C5   — shares and develops ideas with colleagues

C4   — establishes open, honest, two way communications

C3   — selects appropriate form of communication

C2   — listens to students and others in an empathetic manner

C1   — communicates personal thoughts and feelings on a wide
        spectrum of issues

Appendix 2.5 An example of a Self-evaluation procedure (see Note below for source)

AREA OF RESPONSIBILITY No. 4 - SUBJECT COMPETENCE AND PROFESSIONAL GROWTH

Definition:

The teacher enters the profession with a certified academic or vocational background. He grows professionally when he takes advantage of opportunities to improve his knowledge and instructional qualifications.

4(A) I STRIVE TO UPGRADE MY PROFESSIONAL COMPETENCE.

- Within the past year I have participated in activities designed to improve myself and the educational system, such as additional university courses, subject councils, workshop, federation offices and committees.
- I attempt to broaden my perspective through professional study, research, reading, writing, travel, and try to enrich my teaching through the experience gained.

4A ☐

4(B) I MAKE USE OF AVAILABLE MEANS OF EVALUATION TO IMPROVE MY TEACHING.

- I am receptive to the suggestions of my colleagues.
- I take part in intervisitation programs with a view to exchanging ideas.

4B ☐

4(C) I TAKE AN ACTIVE PART IN CONTINUING CURRICULUM DEVELOPMENT.

- I have attained a working knowledge of O.S.I.S.
- Through discussions with colleagues and through reading professional literature I am aware of curriculum innovations in my subject area.
- I have been involved in the planning and updating of courses of study in my subject area.
- I evaluate the effectiveness of the courses of study that I teach with a sensitivity for student interest and relevance to the modern scene.

4C ☐

4(D) I RECOGNIZE THE MAJOR OBJECTIVES TO BE ACHIEVED IN MY SUBJECT AREA AND WORK TOWARDS THEIR ATTAINMENT.

- I have participated in staff and department discussions regarding philosophy and objectives.
- I have established objectives for each course that I teach and they are consistent with the overall objectives of the department.
- I question critically the methods, procedures and materials employed in terms of their value in achieving the objectives of the program.

4D ☐

Source "Evaluation for Windsor Teachers" (1986) Windsor School Board

5 - excellent
4 - very good; very effective in this part of my work.
3 - good; an acceptable level of performance.
2 - fair; needs my attention; must update my performance in this part of my work.
1 - poor; dissatisfied with this part of my work; must take immediate steps to improve in this regard.

Appendix 2.6 PRISM

Source   Schenley High School Teacher Centre Handout Training Materials (1987)

1/23/84
7/23/86A

PITTSBURGH PUBLIC SCHOOLS
PRISM

TEACHER DECISION-MAKING MODEL

1. ABOUT THE CONTENT

What is to be learned?

2. ABOUT THE LEARNER

Where is learner with regard to content?

What is the learner to do in order to learn?

How does the learner learn best?

3. ABOUT THE TEACHER AND TEACHING

How do I use self?

How do I deliberately and consciously use principles of learning?

WHAT? (Objective)

HOW? (Methods)

TEACHING & LEARNING

EVALUATE

NEXT STEP
RETEACH?   ABANDON?
EXTEND?   MOVE ON?

PITTSBURGH PUBLIC SCHOOLS

Pittsburgh
Research-Based
Instructional
Supervisory
Model

PRISM is:

A standard or gauge for examining teacher decisions about the content, about the learner and about the teaching.

PRISM is:

A system for disseminating instructional skills or, what you teach a teacher when you are trying to teach a teacher how to teach.

PRISM is:

One overriding aspect of the total teaching role - Knowledge of instructional skills. Other aspects include:

1. Knowledge of child/adolescent growth and development
2. Knowledge of content
3. Human relations skills
4. Knowledge and use of materials
5. Planning skills
6. Classroom management skills

PRISM is:

A language about teaching which enables professionals to communicate more clearly, accurately, rapidly and with ease.

PRISM is:

A way to organize planning and teaching decisions through a lesson design.

PRISM is:

A way to increase the probability, ease, rate and degree of learning.

PRISM is:

A guide for examining effective teaching and reinforcing it. It includes four major elements of effective instruction.

1. Select an objective at the correct level of difficulty
2. Teach to an objective
3. Monitor the progress of the learner and make adjustments to the teaching
4. Use, without abuse, certain principles of learning

PRISM is NOT:

A prescription

A recipe

A single model for teaching

For direct teaching only, ignoring discovery or
        cooperative learning

A way to clone teachers

A checklist for evaluating lesson planning

A script to be followed

A list of "must do's" in every lesson

Just an elementary model

For helping only teachers who are having difficulty

A rigid model which stifles creativity

T H E   M O D E L

Elements of Effective Instruction:

1. Select an objective at the correct level of difficulty
.An instructional objective includes the learner's behavior
and the content to be learned (behavior + learning)
.Terminal objective/baseline objective
.Task analysis
.Analyze for sequence, for dependence and for necessity
.Diagnose students (formally, informally, inferentially)
.Group for instruction

2.   Teach to an objective
.Teaching behavior relevant to helping student succeed with objective
.Teaching behavior in four categories
I   .Information or explanation teacher gives
Q   .Questions teacher asks
A   .Activities teacher plans
R   .Responses of the teacher to the efforts of the learner

3.   Monitor the progress of the learner and adjust the teaching.
.Active participation
Eliciting overt behavior
Checking overt behavior
Interpreting the overt behavior
Acting on the interpretation
Reteach?
Expand?
Abandon?
Move-on?

4.   Use, without abuse, certain principles of learning
.Motivation
.Reinforcement
.Sequence
.Practice
.Retention
.Transfer

PRINCIPLES OF LEARNING

A. Motivation Theory

    1. Tension or level of concern (apathy $\longleftrightarrow$ anxiety)
    2. Feeling tone (pleasant $\longleftrightarrow$ unpleasant)
    3. Interest -- (self-novelty)
    4. Success -- (level of difficulty)
    5. Feedback -- (knowledge of results)
    6. Reward -- (extrinsic or intrinsic)

B. Reinforcement Theory

    1. Positive
    2. Negative (stop + new behavior + positive)
    3. Extinction
    4. Schedule of reinforcement

C. Practice Theory

    1. How much material at once?
    2. How long? - - (intense and intent)
    3. How often? - - (schedule massed-distributed)
    4. How well has material been learned.
    5. Meaning - modeling - monitoring

D. Sequence Theory

    1. First position (prime time)
    2. Last position (second best)
    3. Just past the middle (JPM)
    4. Meaning
    5. Solutions
        .Change position
        .Add vividness
        .Pull out JPM, teach separately, put in back
        .Chaining or backward building
        .Review JPM
        .Shorten sequence

E. Retention Theory

    1. Degree of original learning
    2. Feeling tone
    3. Practice schedule
    4. Meaning
    5. Transfer

F. Transfer Theory

    1. Positive or negative
    2. Associations
    3. Similarities
    4. Degree of original learning
    5. Critical attributes - Meaning

Instructional Skills

Can the teacher:

1. Teach to an Objective

.formulate an instructional objective

.generate teacher behaviors relevant to an objective

.generate student activities relevant to an objective

2. Select an objective at the correct level of difficulty for students

.write a task analysis

.use the task analysis as the basis for the diagnostic process

3. Monitor the students and adjust the teaching

.elicit overt behavior of students

.check the overt behavior

.use an analysis of the learning and/or knowledge of the principles of learning to interpret the overt behavior of students

.act on the interpretation

4. Use the principles of learning (some of which are listed below) to facilitate the learning process for students

.motivation

.reinforcement

.sequence/prime time

.practice

   meaning
   modeling
   monitoring

.pupil participation

.retention

.transfer

6/1/82

PITTSBURGH PUBLIC SCHOOLS

PRISM

TOPIC	SUMMARY OF IDEAS
Teach to an Objective	Match the Relevancy of Teacher Actions (Information, Questions, Activities and Responses to Expected Student Outcomes.
Select the Objective at the Correct Level of Difficulty	Develop and Conduct a Diagnosis, with Teaching Focused on a Task Analysis.
Monitor the Learner and Adjust Teaching	Promote Active Participation to Better (1) Elicit, (2) Check, (3) Interpret and (4) Act on Overt Responses.
Use Without Abuse the Principles of Motivation	Use level of concern, feeling tone, success, interest, knowledge of results, and reward-intrinsic/extrinsic to promote learning.
Use Without Abuse the Principles of Reinforcement	Use positive, negative and extinction reinforcement with the appropriate schedule to promote learning.
Use Without Abuse the Principles of Practice	Use massed, distributed and maintenance practice schedules incorporating meaning, modeling and monitoring to promote learning.
Use Without Abuse the Principles of Sequence	Use prime time efficiently and counteract the "just past the middle syndrome" by adding meaning, utilizing vividness and modifying length and sequence of tasks to promote learning.
Use Without Abuse the Principles of Retention	Use meaning, degree of original learning, feeling tone, positive and negative transfer and schedule of practice to promote learning.
Use Without Abuse the Principles of Transfer	Use similarity, association or bonding, degree of original learning and the teaching of critical attributes to promote learning.
Use Effective Questioning Strategies	Use varying levels of questioning including literal, inferential, and evaluative, to promote learning.
Use Lesson Design	Use the elements of anticipatory set, objective, input, modeling, checking for understanding, guided practice and independent practice to promote learning.

INSTRUCTIONAL ASSESSMENT

PROCEDURE   STRUCTURE AND PURPOSE

```
┌─────────────────────┐
│ ESTABLISHMENT       │             FROM PERCEIVED NEEDS OF STUDENTS TO SET
│     OF              │    _____   OBJECTIVES FOR TEACHING PERFORMANCE
│  CRITERIA           │
└─────────────────────┘
          │
          │
┌─────────────────────┐             TO OBSERVE WHAT HAPPENS IN THE CLASSROOM
│ CLASSROOM           │             IN TERMS OF:
│ VISITATION          │    _____       TEACHER BEHAVIOUR
│                     │                 STUDENT BEHAVIOUR
└─────────────────────┘
          │
          │             TO BRING ABOUT CLEAR COMMUNICATION BETWEEN
          │             TEACHER AND EVALUATOR TO ASSIST IN
┌─────────────────────┐ _____  IMPROVEMENT OF TEACHING PERFORMANCE BY:
│ THE EVALUATION      │    1.   TEACHER'S EXPLANATION OF HIS OBJECTIVES,
│   INTERVIEW         │              METHODS, CONCLUSIONS ABOUT LESSON.
│                     │    2.   EVALUATOR'S PARAPHRASE.
└─────────────────────┘    3.   OUTLINE OF EVALUATOR'S OBSERVATIONS IN
          │                      CLASSROOM.
          │                 4.   MUTUAL CLARIFICATION.
          │                 5.   CONCLUSIONS - JUDGEMENTS.
          │                 6.   RECOMMENDATIONS.
          │
┌─────────────────────┐             TO RECORD THE EVALUATOR'S
│    THE              │                 OBSERVATIONS
│                     │    _____       EXPECTATIONS
│   REPORT            │                 CONCLUSIONS - JUDGEMENTS
│                     │                 RECOMMENDATIONS
└─────────────────────┘
```

APPENDIX 2.8   New Style Evaluation Form

Source: Pittsburgh Public Schools (1987)

Pittsburgh Public Schools

DPER 202

PROFESSIONAL RATING FORM
(TEACHER)

Last Name _____ First _____ Middle _____

School _____ Grade(s) _____ Subject(s) _____

SATISFACTORY		UNSATISFACTORY	
Service of employee sufficiently acceptable to justify continuation of employment.	Signature of Rater	Improvement is essential to justify continuance of service	Signature of Rater
	Position		Position
	Date		Date

I. PREPARATION
- Evidences planning which reflects district goals and the adopted curriculum
- Evidences planning which reflects elements of effective lesson design.
- Provides appropriate instructional material to meet student needs
- Keeps abreast of subject matter and current instructional practices
- Provides students and parents with structured feedback on student progress

II. TECHNIQUE
- Demonstrates ability to organize for instruction
- Selects the objective at the appropriate level of difficulty
- Teaches to an objective
- Monitors the learners and adjusts the teaching.
- Encourages the students through the use of appropriate reinforcement
- Facilitates active participation
- Supports learning with appropriate practice activities
- Utilizes instructional time effectively through the use of sequencing and pacing
- Monitors and adjusts the level of concern in the classroom

III. STUDENT REACTION
- Student response to activities over which the professional employee has control.)
- Students demonstrate time on task
- Students respond positively to an effective classroom management system
- Students participate in learning activities
- Students demonstrate communication and study skills

IV. PERSONAL QUALITIES
- Establishes and maintains a positive classroom climate
- Demonstrates ethical behavior
- emotional maturity and sound judgment
- Maintains grooming and hygiene which complement instruction
- Maintains a professional attitude
- Promotes student interest
- Encourages student achievement
- Promotes development of a positive self-concept in students

I acknowledge that I have read the report and that I have been given an opportunity to discuss it with the rater. My signature does not necessarily mean that I agree with the performance evaluation.

Signature of Teacher _____

Date _____

TEMPORARY PROFESSIONAL
☐ Excellent
☐ Above Average
☐ Average
☐ Below Average
☐ Unsatisfactory

Semester Rating Period
1 ☐ 2 ☐ 3 ☐ 4 ☐

PROFESSIONAL
☐ Satisfactory
☐ Below Average*
☐ Unsatisfactory

*Below Average-bordering on Unsatisfactory and must be documented

I certify that the above named employee for the period beginning _____
month/day/year
and ending _____ month/day/year
has received a rating of
SATISFACTORY ☐   UNSATISFACTORY ☐

Date _____   District Supt. or I.U. Exec. Director

STANDARDS FOR USE OF PROFESSIONAL RATING FORM

EMPLOYEE DEFINITIONS*

The term *professional employee* shall include those who are certificated as teachers, the selection of whom is on the basis of merit as determined by eligibility lists.

The term *employee* used hereafter shall refer to both temporary professional and professional employees.

EXPLANATION AND RATING OF TEMPORARY PROFESSIONAL EMPLOYEE**

A temporary professional employee must be notified as to the quality of service at least twice a year. No such employee shall be dismissed unless rated as unsatisfactory and notified in writing of such unsatisfactory rating within 10 days after the unsatisfactory rating. A temporary professional employee whose work has been certified by the district superintendent or an intermediate unit executive director to the secretary of the school district, during the last four (4) months of the second year of such service. as being satisfactory shall thereafter be a professional employee within the meaning of this article. The attainment of this status shall be recorded in the records of the board and written notification thereof shall be sent to the employee. The employee shall then be tendered forthwith a regular contract of employment as provided for professional employees.

DESIGNATED RATER***

Rating shall be done by or under the supervision of the superintendent of schools or, if so directed by him/her, an assistant superintendent, a supervisor, or a principal who has supervision over the work of the professional employee being rated. No unsatisfactory rating shall be valid unless approved by the district superintendent.

MAINTENANCE OF RATING RECORDS****

It shall be the duty of the board of school directors to cause to be established a permanent record system containing ratings for each professional employee within the district. and copies of all his/her ratings for the year shall be transmitted to the employee upon his/her request; or if any rating during the year is unsatisfactory copy of same shall be transmitted to the professional employee concerned. No ... employee shall be dismissed unless such rating records have been kept on file by the board of school directors.

....

*   See Section 1101 (1) and (3) of the Public School Code of 1949, as amended
**   See Section 1108 of the Public School Code of 1949, as amended.
*** See Section 1123 of the Public School Code of 1949, as amended.
**** See Section 1125(a) of the Public School Code of 1949, as amended
       NOTE .... The word *professional* has been deleted to be consistent
                 with the employee definitions

GENERAL RATING

1 Designated rater shall use this rating form for each and every official *employee* rating

2 The designated rater will place his/her signature in the block provided for either the satisfactory or unsatisfactory rating at the top of the form

3 Professional employees shall be rated a minimum of once each year

4 Due consideration shall be given in the rating process to the following factors professional assignment; intellectual level of students and learning behavioral problems which might affect professional performance and factors over which the professional has control

5 Descriptors in each category shall not be weighted

6 A copy of the rating shall be provided to the employee

DETAILED APPRAISAL FOR UNSATISFACTORY RATING

1 When an unsatisfactory rating in any major category (I, II, III or IV) is given an employee the rater must place a check in the block below that category designation

2 It is possible that a gross deficiency in a single category might be sufficiently serious to warrant a total rating of unsatisfactory

3 Wherever an unsatisfactory rating is given each such recorded rating must be stated and the specific circumstances supported by anecdotal records. The records must include specific details of evidence likely to be important in the event the services of an employee are to be discontinued

4 Two consecutive unsatisfactory ratings of a professional employee are necessary to support a dismissal due to incompetency.

APPENDIX 2.8 Old Style Evaluation Form

Source: Pittsburgh Public Schools (1987)

Rev. DBE-333

TEMPORARY PROFESSIONAL EMPLOYEE/PROFESSIONAL EMPLOYEE RATING FORM

Commonwealth of Pennsylvania
DEPARTMENT OF EDUCATION
Box 911, Harrisburg, Pa. 17126

Last Name _____ First _____ Middle _____

District/IU		School	Subject(s)	Grade(s)

Satisfactory	Unsatisfactory	Signature of Rater:
Service of employee suffi- ciently acceptable to justify continuation of employment.	Improvement is essential to justify continuance in service.	Position: Date:

Signature of Rater: _____ Position: _____ Date: _____

I. PERSONALITY:
(encompasses those personal characteristics that directly influence professional performance.)

- Exercises (prudent) judgment.
- Maintains personal hygiene.
- Maintains poise and composure.
- Maintains professional attitudes.

II. PREPARATION

- Communicates with parents about student's progress.
- Demonstrates appropriate language usage.
- Demonstrates a willingness to cooperate toward district goals.
- Evidences planning which reflects objectives and activities.
- Keeps abreast of subject matter and special practices.
- Provides appropriate instructional material to meet the student's needs.

III. TECHNIQUE

- Demonstrates ability to organize for instruction.
- Encourages students with appropriate reinforcement.
- Provides an educational atmosphere consistent with instructional goals.
- Provides for individual student differences.
- Utilizes appropriate strategies.

IV. PUPIL REACTION:
(student response to activities over which the professional employee has control.)

- Demonstrates work/study habits.
- Evidences communication skills.
- Exhibits behaviors conducive to learning.
- Participates in learning activities.

Rating (Total Category I, II, III, IV)	
Seniority	
Weighted Total	

Rating: Temporary Professional Employee
I certify that the above-named employee for the period beginning _____ (month/day/year) and ending _____ (month/day/year) has received a rating of SATISFACTORY ☐ UNSATISFACTORY ☐

_____ _____
Date   I.U. Executive Director or Dist. Supt.

I acknowledge that I have read the report and that I have been given an opportunity to discuss it with the rater.
My signature does not necessarily mean that I agree with the performance evaluation.

_____ _____
Signature of Employee   Date

Rating: Professional Employee
I certify that the above-named employee for the period beginning _____ (month/day/year) and ending _____ (month/day/year) has received a rating of SATISFACTORY ☐ UNSATISFACTORY ☐

_____ _____
Date   I.U. Executive Director or Dist. Supt.

STANDARDS FOR USE OF DEBE-333

EMPLOYEE DEFINITIONS*

The term *professional employee* shall include those who are certificated as teachers, supervisors, principals, assistant principals, vice-principals, directors of vocational education, dental hygienist, visiting teachers, home and school visitors, school counselors, child nutrition program specialists, school nurses, school librarians and school secretaries, the selection of whom is on the basis of merit as determined by eligibility lists.

The term *temporary professional employee* shall mean any individual who has been employed to perform for a limited time the duties of a newly created position or of a regular professional employee whose service has been terminated by death, resignation, suspension or removal.

The term *employee* used only hereafter shall refer to both temporary professional and professional employees.

RATING OF TEMPORARY PROFESSIONAL EMPLOYEE**

A temporary professional employee must be notified as to the quality of service at least twice a year. No such employee shall be dismissed unless rated as unsatisfactory and notified in writing of such unsatisfactory rating within 10 days after the unsatisfactory rating. A temporary professional employee whose work has been certified by the district superintendent or an intermediate unit executive director to the secretary of the school district, during the last four (4) months of the second year of such service, as being satisfactory shall thereafter be a *professional employee* within the meaning of this article. The attainment of this status shall be recorded in the records of the board and written notification thereof shall be sent also to the employee. The employee shall then be tendered forthwith a regular contract of employment as provided for professional employees.

DESIGNATED RATER***

Rating shall be done by or under the supervision of the superintendent of schools or, if so directed by him/her, the same may be done by an assistant superintendent, a supervisor, or a principal, who has supervision over the work of the professional employee or temporary professional employee who is being rated. No unsatisfactory rating shall be valid unless approved by the district superintendent.

MAINTENANCE OF RATING RECORDS****

It shall be the duty of the board of school directors to cause to be established a permanent record system containing ratings for each professional employee within the district and copies of all his/her ratings for the year shall be transmitted to the employee upon his/her request; or if any rating during the year is unsatisfactory copy of same shall be transmitted to the professional employee concerned. No ... employee shall be dismissed unless such rating records have been kept on file by the board of school directors.

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* See Section 1101 (1) and (3) of the Public School Code of 1949, as amended.
** See Section 1108 of the Public School Code of 1949, as amended.
*** See Section 1123 of the Public School Code of 1949, as amended.
**** See Section 1125(a) of the Public School Code of 1949, as amended.
Note: ... The word *professional* has been deleted to be consistent with the employee definitions.

GENERAL RATING

1. Designated rater shall use this rating card for each and every official employee rating.

2. The designated rater will place his/her signature in the block provided for either the satisfactory or unsatisfactory rating at the top of the card.

3. Professional employees shall be rated a minimum of once each year.

4. Due consideration shall be given in the rating process to the following factors... professional assignment, intellectual level of students and learning/behavioral problems which might affect professional performance and factors over which the professional has control.

5. Using the descriptors listed in each category on the card, the rater will attach a numerical value to the employee's performance in each of the the four categories -- Personality, Preparation, Technique and Pupil Reaction -- to a maximum numerical value of 20 points per category. The aggregate numerical value will not exceed 80 points when adding the four categories.

6. The final numerical rating for each category will appear in the designated block at the bottom of each category column. The total numerical score of the four categories shall be placed in the rating box.

7. Descriptors in each category shall not be weighted. The objective is to substantiate the numerical score with anecdotal records using the descriptors simply as guides.

8. A rating in any category of less than 20 points shall be substantiated by anecdotal records and discussed with the employee.

9. A copy of the rating shall be provided to any employee upon request.

DETAILED APPRAISAL FOR UNSATISFACTORY RATING

1. When an unsatisfactory rating in any major category I, II, III or IV is given an employee, the rater must place a check in the block opposite that category designation.

2. It is possible that a gross deficiency in a single category might be sufficiently serious to warrant a total rating of unsatisfactory.

3. Wherever an unsatisfactory rating is given, each such recorded rating must be stated and the specific circumstances supported by anecdotal records. The records must include specific details of evidence likely to be important in the event the services of an employee are to be discontinued.

4. Two consecutive unsatisfactory ratings of a professional employee are necessary to support a dismissal on the grounds of incompetency.

SUSPENSION AND NUMERICAL WEIGHTING

When the number of employees within the district must be reduced the intermediate unit executive director or district superintendent shall follow the procedures in Section 1125 of the Public School Code of 1949. In accordance with standards and weighting incorporated in this card, seniority is to be added to the rating only when a substantial difference exists in the ratings of those considered for suspension. Seniority will be given the weight of one point for each year of service in the school district of current employment to a total not to exceed 20 points.

Appendix 2.9
CERTIFIED STAFF DEVELOPMENT AND IN-SERVICE PROGRAM GOALS

As a result of the District's commitment to implementing and maintaining an ongoing Staff Development and In-service Program for certified staff, the specific goals of the program are as follows:

1. to improve the quality of teaching in the classroom;

2. to apply findings from educational research in the teaching process;

3. to expand and enrich learning activities for all students in our district;

4. to enrich the lives of teachers and administrators so that they continuously expand their knowledge, professional skills, and understanding of children;

5. to generate continuous efforts to improve curriculum;

6. to create conditions which promote professional skill development on a continuous basis;

7. to provide professional assistance to certified staff;

8. to change teaching strategies and curriculum as indicated by assessed needs of the district;

9. to promote physical and mental well-being among all staff;

10. to promote professional growth and instructional improvement at building and individual staff member levels;

11. to provide a climate that encourages all staff to be risk-takers with the knowledge that it's "okay" to fail.

It is recognized that the district goals relating to certified staff development must have a direct impact on the essential elements of instruction, as well as the various skills that lead to more effective learning experiences for students. As a result, the following illustration provides an overview of the scope of skills and content areas that will provide the major direction for planning staff development and in-service activities:

(See illustration on next page)

Source "Certified Staff Development and In-Service Program"
Centennial School District (1987)

Scope of Staff Development
and
In-Service Program Activities
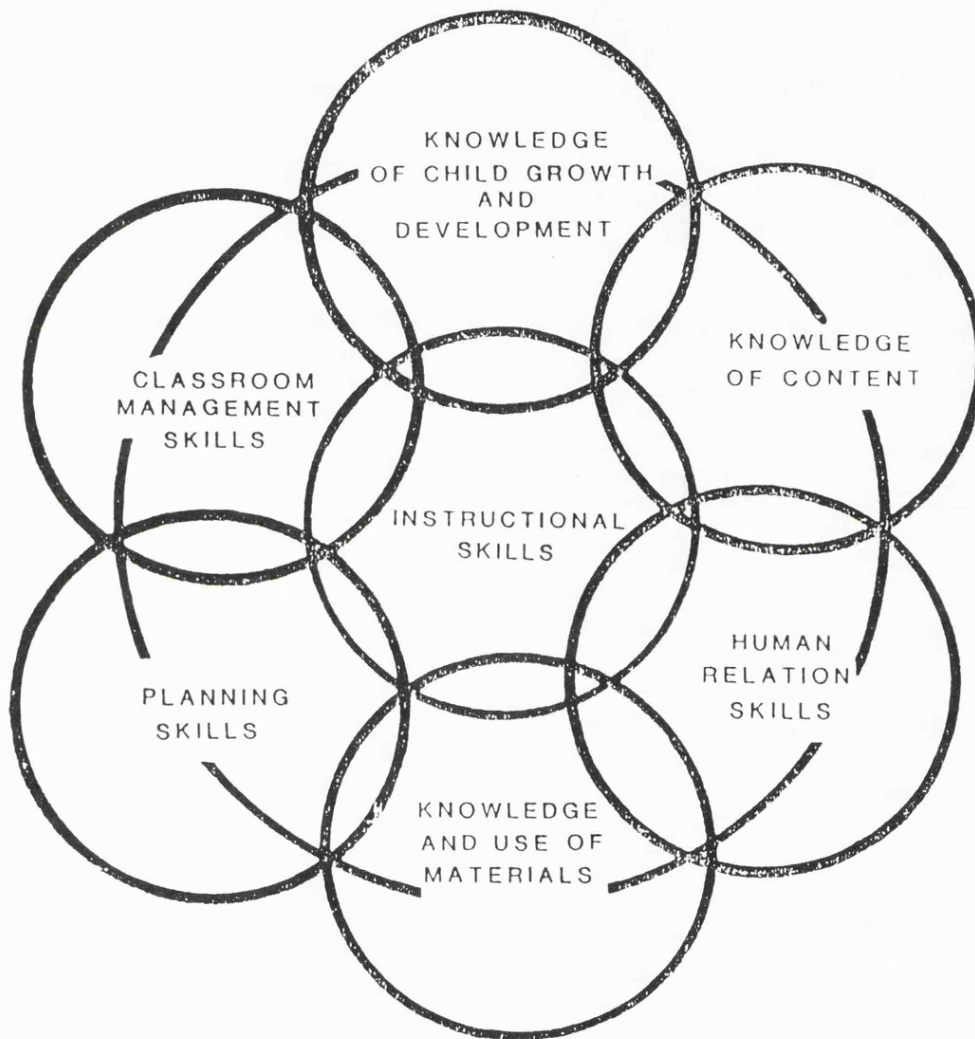
FOUR CATEGORIES OF GOALS

1. TEACHING GOALS – goals built around teacher or worker

   behaviours that are directly related to student outcomes.

2. LEARNER GOALS – goals that relate directly to solving

   a specific learning problem or improving some particular

   student deficit.

3. PROGRAM GOALS – goals that relate to curriculum areas,

   course outlines, materials selection, etc.

4. ORGANIZATIONAL/ADMINISTRATIVE GOALS – goals that

   deal with specific administrative criteria such as listed in

   a minimum standards description.

EVALUATION FOR GROWTH: A FOCUS ON SKILLS

GOAL DEVELOPMENT WORK SHEET

I CLASSROOM MANAGEMENT SKILLS A. To establish a computer interest centre in my classroom. B. To provide students the opportunity to learn independent study skills.	II INSTRUCTIONAL PROCEDURES A. To get more student involvement during each instructional period. B. To expose my students to diverse examples of good literature and good language. C. To introduce my students to the micro-computer.
III COMMUNICATION SKILLS	IV STAFF RELATIONSHIPS
V PERSONAL/PROFESSIONAL DEVELOPMENT A. To learn more about computer applications in Language Arts.	VI OTHER AREAS

BEHAVIOURAL LANGUAGE

OBJECTIVE: EACH EVALUATOR WILL BE ABLE TO
DESCRIBE EVENTS IN A CLASSROOM
IN BEHAVIOURAL LANGUAGE SUCH
THAT THE DESCRIPTION DOES NOT
DEPEND UPON HIS/HER PERSONAL
OPINIONS AND VALUES.

BEHAVIOURAL LANGUAGE

- is language that refers to
    what a person sees and hears
- verbal and non-verbal behaviour
- description of the physical
    environment

FACT - behaviour that can be observed/
    measured

INFERENCE - statement/suggestion based on
    data

JUDGEMENT - statements made in relation
    to goals/objectives

FOCUS ON BEHAVIOUR

1. Decide whether each of the following verbs represents behaviour or an inference from behaviour. After each write "B" or "I".

1.	talk	_____
2.	describe	_____
3.	enjoy	_____
4.	interfere	_____
5.	help	_____
6.	ask	_____
7.	arrive	_____
8.	bore	_____
9.	praise	_____
10.	encourage	_____

2. Match an action with a completion to produce a statement, and in this way create 6 different statements that predict behaviour rather than an inference based on behaviour.

ACTIONS

1. I will increase
2. I will improve
3. I will call
4. I will not talk
5. I will expect
6. I will chastise
7. I will not jeopardise
8. I will please
9. I will write a note
10. I will make

COMPLETIONS

a. to the Director
b. my questions
c. as often
d. more suggestions
e. my salary
f. my relations with colleagues
g. more principals by their names
h. my boss more often
i. the area superintendent
j. my understanding of the budget

STATEMENTS

1. _____

2. _____

3. _____

4. _____

5. _____

6. _____

3. Assuming that your work has improved since you started your present job, list 3 changes of behaviour that suggest improvement.

1. _____

2. _____

3. _____

APPENDIX 2.13

The Halton Logo

Questions and Answers

about

COOPERATIVE

SUPERVISION and EVALUATION

The Halton Board of Education

DIAGRAM OF THE FIVE EDUCATIONAL MODELS, THEIR COMPONENTS AND THE SPECIFIC VALUES

MODELS COMPONENTS	I selective streaming model	II setting model	III mixed ability model	IV integrative model	V innovative model
A. Main structure of the educational model.	Streaming.	Setting.	Mixed ability grouping (mainly cognitive).	Mixed ability grouping (on more criteria than just cognitive).	Same as IV.
B. Curriculum content.					
B.1 Types of contents.	Various contents. Mainly cognitive.	Cognitive knowledge according to the different subjects.	Same as II. Some attention to the functioning of the group as a condition for teaching and learning.	Cognitive, affective normative, expressive knowledge and skills. Aimed at total development of the Individual	Same as IV + Actual contents. Insight in societaand group processes.
B.2 Relations between contents.	Strong boundaries between subjects. Within subjects few relations between contents. Fragmented.	Strong boundaries between subjects. e More relations between contents.	Same as II. Within subjects ogn more relations (longitudinal).tive	Cognate subjects are clustered. Strong longitudinal build up. Projects. Themes. Subject areas.	Same as IV. Option is to weaken boundaries between all contents.

DIAGRAM OF THE FIVE EDUCATIONAL MODELS, THEIR COMPONENTS AND THE SPECIFIC VALUES

MODELS COMPONENTS	I selective streaming model	II setting model	III mixed ability model	IV integrative model	V innovative model
B.3 Time-allocation for the contents.	According to current or prescribed norms (mostly externally regulated).	Strong emphasis on certain important subjects.	Same as II.	Much time for other than cognitive subjects.	Much time for actual themes/ learning to co-operate/group processes.
B.4 Curriculum offer.	According to present expertise and teachers.	Core curriculum is cognitive. Some choice of subjects.	Same as II.	All clusters are obligatory (this is the core curriculum). Also the non-cognitive ones. Variations within clusters.	All contents in principle obligatory. Influence of the team and pupils is great.
B.5 Contents are basically derived from ...	Final examination. Certificate requirements.	Same as I. Choice of subjects possible.	Same as II.	Same as III + from development of the individual in all aspects.	Same as IV + society and learning group.
C. Curriculum organization.					
C.1 Dominant curriculum frames.	Subject/class teaching.	Same as I.	Subjects/small groups.	Project teaching. Themes. Subject areas.	Same as IV + actual themes.

Source: De Caluwe et al (1988) School Development: Models and Change, ACCO.

DIAGRAM OF THE FIVE EDUCATIONAL MODELS, THEIR COMPONENTS AND THE SPECIFIC VALUES

MODELS / COMPONENTS	I selective streaming model	II setting model	III mixed ability model	IV Integrative model	V innovative model
C.2 Differentiation.					
C.2.1 Didactical differentiation.	Few.	Few.	Much.	Much.	Much.
C.2.2 Differentiation according to Interest.	Few.	Few.	Few.	Much.	Much.
C.3 Learning routes.					
C.3.1 Number of possible learning routes in the offering of the curriculum.	Each stream is one learning route.ew.	Per subject choice of level possible.	In each basic unit and within the group possibilities for enrichers/-revisers.	Learning routes are adapted to pupils and to the needs, wishes and possibilities of the individual. In principle many learning routes.	Pupils have much influence. Actual events in or outside the school can be influential.
C.3.2 To what extent are the learning routes fixed in advance?	Fixed. Each stream is one learning route.	Fixed in different, well defined levels.	Less fixed. II necessary more time can be used for 'revisers' or alternative procedures for 'revising'.	Is adapted to pupils.	Pupils have influence.

DIAGRAM OF THE FIVE EDUCATIONAL MODELS, THEIR COMPONENTS AND THE SPECIFIC VALUES

MODELS / COMPONENTS	I selective streaming model	II setting model	III mixed ability model	IV integrative model	V innovative model
C.3.3 In what ways can pupils go through the learning a routes? What are the possibilities?	In one way. All subjects must be mastered sufficiently. If not, then to lower stream.	Three times per year a test. Pupils are allocated to a certain level. For all subjects and all pupils at the same time. Pupil can change level three times per year.	Are the basic goals of the unit mastered by all the pupils? Then start the next unit. Per subject different. In each unit pupils can, according to their achievements, enrich or revise.	Per Individual. Is he/she up to the next contents? In principle focused on the individual. Many possibilities.	Continuous progression. Teams and pupils influential. Many possibilities.
C.3.4 Requirements and norms. Are they fixed or not?.	Requirements fixed in each stream.	Requirements fixed per subject and per level. Prognostic test determines allocation to certain level.	Requirements fixed Time less fixed. If the pupil does not meet the requirements he has to revise.	Per Individual different requirements. Not uniform. Interests are important.	Same as IV.
D. Grouping patterns of pupils.					
D.1 Dominant grouping pattern.	Classes. Homogeneous per stream.	Classes. Combinations of heterogeneous and homogeneous groups.	Classes. Heterogeneous groups. Short periods of homogeneous grouping within the class.	Basic group with many possibilities for individual work.	Basic group. Within that group several smaller groups.

MODELS / COMPONENTS	I selective streaming model	II setting model	III mixed ability model	IV integrative model	V innovative model
D.2 Are there fixed 'homegroups' for pupils?	Fixed groups per stream.	Heterogeneous group. Frequent changes to homogeneous groups.	Fixed group within this group frequent changes.	Fixed 'homegroup'.	Same as IV.
D.3 Is there much or little regrouping and on what ground?	Little. Strong input selection. If pupil cannot master the stream, he goes to a lower one.	On the prognostic test. Three times per year for the subjects which use the levels.	On the basis of a diagnostic test. Within the class. Once per unit (appr. six weeks).	Little regrouping. Unless interests change or when it is needed for individual development.	Little regrouping. Basic group is fixed.
D.4 On what ground are pupils allocated to teachers?	More or less accidental. According to teachers qualifications. Changes each year.	Same as I + on the basis of levels. Counsellor (pupil guidance) more or less stable.	Same as II.	Relatively fixed. Teacher team is constant for years.	Same as IV.

DIAGRAM OF THE FIVE EDUCATIONAL MODELS, THEIR COMPONENTS AND THE SPECIFIC VALUES

MODELS / COMPONENTS	I selective streaming model	II setting model	III mixed ability model	IV integrative model	V innovative model
E. Pupil guidance.					
E.1 Function of pupil guidance.	Poor. Correcting or disciplinary function. Individual cases with serious problems.	Supportive for subjects and choice of levels. Some activities in heterogeneous group (remedial teaching; learning skills). Little to moderate.	Same as II. Aimed at the group. Independent work. Groupwork. Good groupfunctioning is regarded as a condition for learning climate. Less correcting, more convincing.	Pupil guidance has own goals. Aimed at basic group. Anticipation of problems. Aimed at the well-being of the pupil.	Same as IV. Aimed at the group and social processes.
E.2 Amount of time available for pupil guidance.	Little.		Same as II.	Much.	Much.
E.3 Relation between subjects and pupil guidance.	Strong separation.	Same as I + supportive for subject teaching.	Same as II + attention for groupfunctioning as a condition for education.	Integrative relation.	Integration.
E.4 Functionaries for pupil guidance.	Form-master.	Counsellor with restricted task. Remedial teacher.	Counsellor. Subject teachers.	Counsellor with extended and dominant task. Subject teachers.	All teachers.

DIAGRAM OF THE FIVE EDUCATIONAL MODELS, THEIR COMPONENTS AND THE SPECIFIC VALUES

MODELS / COMPONENTS	I selective streaming model	II setting model	III mixed ability model	IV integrative model	V innovative model
F. Testing and reporting.					
F.1 At what Is the testing and reporting aimed?	Aimed at cognitive achievements.	Same as I, prognostic.	Same as I, diagnostic.	Aimed at many aspects of achievements and of the individual Diagnostic.	Same as IV + social development.
F.2 Function of the report.	Selection. Pass/fail decisions.	Allocation to levels.	Units, which have been worked through and enrich or revise.	Which contents must follow now?	Same as IV + feedback to the team.
F.3 How does the report looks like?	Marks on different subjects.	Marks per level.	Are the goals attained? Yes/no. Which enrichment matter has been worked through.	Combination of a word report (description) and marks.	Same as IV.
F.4 Who makes the report?	Subject teachers. Individually.	Same as I + a small part is done by the counsellor.	Same as II.	Counsellor with the help of subject teachers. Pupil reports himself.	Same as IV + team.

DIAGRAM OF THE FIVE EDUCATIONAL MODELS, THEIR COMPONENTS AND THE SPECIFIC VALUES

MODELS / COMPONENTS	I selective streaming model	II setting model	III mixed ability model	IV integrative model	V innovative model
F.5 Standardization of the testing and reporting.	Fixed norms. If pupil does not meet these, he has to do a whole year over again or he has to go to a lower stream.	Fixed norms. If pupil does not meet these, he goes to a lower level in that subject.	More relative norms. comparison with the whole group. Description of basic matter and units.	On the basis of several norms of pupils in comparison with himself. Description of themes and projects.	Same as IV + social functioning.
G. Evaluation of Instruction processes.					
G.1 Aimed at ..?	Selection of	Might lead to pupils. levels or mitigation of transfer possibilities.	Might lead to adjustment of basic units and enrichment matter.	Might lead to adjustment of educational program and functioning of teachers.	Same as IV. adjustment of
G.2 Who does the evaluation? Who sets criteria?	Individual teacher. Criteria ad hoc/diffuse or absent.	Subject teachers. Subject teachers in department.	Same as II.	Counsellor and subject teacher. Criteria in common consultation, also with pupils.	Team. Team and pupils.

2.3 Diagram of the five organizational models, their components and the specific values

Models / Components	I Segmental model	II Line-staff model	III Collegial model	IV Matrix model	V Modular model
I ORGANIZATIONAL UNITS					
1 Educational sections					
1.1 nature	vertical	horizontal and vertical	as II accent horizontal	as III + on various (within the divisions)	modular
1.2 size	moderate	big	big	big	small
1.3 autonomy	great	limited by hierarchy	limited by mutual agreement	limited by policy making process	great
2 Departments					
2.1 engagement	without engagement	obligatory	accepted	as III	as III
2.2 status	little	moderate	great	moderate	as IV
2.3 impact	informal informative	advisory function of management; execution of management policy	policy making; mutual support	as III	advisory of modules and management
3 Finance-secretarial units					
3.1 core-function	administer budgets; control of budgets	as I + pupil registration	as II + attention to education	as III	as III
3.2 scope on	management	as I	as I + departments	as III + policy making bodies + yearteams	modules management

Models / Components	I	II	III	IV	V
4 Pupil guidance (-units)					
4.1 core-function	informative regarding subjects and vocational choices	as I + supporting pupils to meet subject requirements	as II + accent on supporting individual and group functioning of pupils	pupil oriented in their striving for selffulfilment, in mutual adjustment with teachers	as IV + in service-training of tutors/teachers
4.2 executive body	form teachers; vocational consultant	as I + remedial teachers	tutor/form teachers; vocational consultant; remedial teachers; counsellor	houses of teachers; vocational consultant; remedial teachers; counsellor	tutor-teacher; vocational consultant; remedial teachers; counsellor
5 Educational Developmental(-units)					
5.1 core-function	non-existant	reduce constraints	as II + didactical improvement	as III + integration instruction and guidance	as IV + actualization of education
5.2 who's initiating	individuals	management	departments	management; task groups; houses	modular teams; management; policy making bodies
6 Teachers					
6.1 autonomy	individual	as I, limited by hierarchy	as I, limited by departments	as I, limited by school policy	as I, limited by modular team
6.2 view on pupil guidance	rare	remit to guidance units	as II, + communication with tutor/form teacher	direct and intensive	integrated in module

Source: De Caluwe et al (1988) School Development: Models and Change, ACCO.

III GOVERNING BODY AND MANAGEMENT

Models Components	I	II	III	IV	V
12 Task view of governing body	control	as I, + directional steering	as I, + policy making	as III	as III, + visionary oriented
13 Management					
13.1 Core functions	administer budgets	design of structure/rules	process oriented	as III, + policy making	as III, + development vision
	control	coordinating			
13.2 Position of head	personal	control hierarchical formal	primus inter pares	as III, + content focused	member of team future focused
13.3 Tasks of deputy heads	assistent to the head	in charge of an educational section	as II, + in charge of a guidance unit	as III, + in charge of a developmental unit	member of team of (dep) heads
13.4 Who's responsible towards governing body?	head	as I	as I, + team of (dep) heads	as III	as III
14 Middle management position	none	assistent to deputy	ownposition between management and teachers	as III	integrated in modules

IV DEGREE OF ORGANIZATION

Models Components	I	II	III	IV	V
15 Range of structures	few	moderate	substantial	many	substantial
16 Organizational awareness	little	moderate	substantial	high	high

II COORDINATING MECHANISMS

Models Components	I	II	III	IV	V
7 Regulations					
7.1 External	many specific rules / taken for granted	less, and more generalized rules	as II	strongly generalized rules	as IV
7.2 Internal	directly derived from external regulations	external regulations are transformed by management	external regulations are fully interpreted by management and departments to serve own process	many caused by own policy making process	more general / facilitating and conditioning / modules formulate own rules
8 Professional skills	external fixed in subject-training	as I, + needed for curriculum	as I, + learning methods	developed in school	as IV
9 Hierarchical supervision	hardly	moderate, + required by setting structure	process oriented	moderate, looking after school-policy	signalizing evaluating and protecting school-policy
10 Consultation structures					
10.1 Quantity	few	moderate	many	many	moderate
10.2 Characteristic of decision-making	'garbage can'	according to pyramid	according to 'linking pin' principe	emphasis on middle management	small intergroup dynamics
10.3 main group	plenary staff	subject department	subject department	tutors, teachers yearteams	modular 'team'
11 Culture	few	few/moderate	based on professional work	substantial internally developed	strong

APPENDIX 3.3 Source: FEU (1987) Extract from "A Self Profile for Continuing Professional Development."

PROMPT SHEET

TEACHING AND STUDENT LEARNING

Further and higher education institutions are concerned with structured student learning i.e. learning that is planned and intended. Teaching can be considered to be effective if it results in the development and demonstration of competence by the student. A simplistic measure of the quality of teaching will be how effectively and efficiently a student can at the end of a programme of study, apply or use the things that have been learned.

In practice, however, learning may also be influenced by conditions over which the teacher has little or no control. It is therefore important that the process of learning incorporates mechanisms for providing systematic feedback for both students and teachers to inform the planning of future teaching and learning.

To analyse your own teaching you will need to be aware of the factors influencing the teaching student learning process. Discussing your teaching methods with colleagues, visiting other educational institutions and keeping abreast of current literature on educational theory and practice will all assist in keeping you up to date.

○ state aims and objectives for a learning activity?
○ design relevant learning activities?
○ develop learning materials?
○ select appropriate assessment techniques and methods of recording?

TEACHING AND LEARNING

ARE YOU ABLE TO

○ communicate effectively with learners to give and receive information and advice?
○ negotiate learning experiences with learners?
○ use a range of teaching and learning strategies e.g. role play, games, simulation, case study, assignments, projects, independent study programmes, group work, group discussion, demonstrations, computer-based learning?
○ use a range of teaching and learning aids, e.g. overhead projectors, handouts, chalk/white board, audio, video, computers, and combinations of these e.g. interactive video?
○ relate work, community and/or residential experience to college-based learning?

This prompt list may help you to identify how well you are facilitating your students' learning processes. This is not a complete list and you may wish to use these and/or other items in your profile.

PREPARING

ARE YOU ACTIVELY INVOLVED IN

○ updating your knowledge?
○ updating your knowledge of teaching, learning and assessment methods?
○ designing curricula as a member of a course team?

ARE YOU ABLE TO

○ state aims and objectives for a learning programme?
○ identify the implications for learning programmes of learners' background and experience e.g. age, gender, racial and cultural background?
○ plan a learning programme?
○ plan the delivery of core competences through single subjects, vocational studies, work, community and/or residential experience?

10

ASSESSING

ARE YOU ABLE TO

○ identify learners' prior knowledge and skills?
○ identify potential barriers to learning related to gender, race or previous difficulties?
○ select appropriate methods to record and review learners' experience in a range of learning contexts?
○ identify assessment criteria?
○ use a range of assessment techniques in applying assessment criteria, e.g. essays, objective testing, practical tests, oral tests, observation?
○ select appropriate methods to facilitate learners' self assessment and peer assessment?
○ use assessment to guide learning?
○ select appropriate assessment evidence for profile recording?

EVALUATING

ARE YOU ACTIVELY INVOLVED IN

○ reviewing teaching and learning strategies in the light of learner feedback?

11

○ obtaining evidence of the perceptions of learners, tutors, providers and sponsors on the effectiveness of the learning programme?
○ reviewing the evidence obtained?
○ taking action to improve the learning programme in the light of the evidence obtained?

Select from the above and/or add your own prompts.

TEACHER APPRAISAL

A QUESTIONNAIRE

PURPOSE

The purpose of this questionnaire is to obtain clarification about how teachers see the nature and scope of appraisal at the present time. It is hoped that the information supplied in the responses will be valuable in planning and designing in-service activities aimed to help teachers participate beneficially in an appraisal process.

HOW TO RESPOND

You are asked to respond to the items in this questionnaire by putting a circle round a number from 1 to 5 (thus: ③). The numbers are placed alongside each item and for each of the six sets of items (A to F) the headings indicate the relative standing of each of these numbers. Where you are stating your opinion, perception or judgement it is intended that there should be a spread of circled numbers appearing in the responses in the set. This spread will indicate how you discriminate between the items. It is your exercise of discrimination that will yield the valuable information that is needed. Where you are stating your experience (in C and F) the circled numbers are not expected to be spread in the same way.

Please return to:-
Michael Henley
The University Centre
Barrack Road
Northampton
NN2 6AF   © Michael Henley

A.   Teacher Perceptions of Teacher Appraisal

		Strongly Disagree		No Opinion[*]	Strongly Agree	
1.	Appraisal is a highly personal undertaking for the appraisee	1	2	3	4	5
2.	Appraisal is a highly personal undertaking for the appraiser	1	2	3	4	5
3.	The results of appraisal reflect the judgement and expertise of the appraisee	1	2	3	4	5
4.	The results of appraisal reflect the judgement and expertise of the appraiser	1	2	3	4	5
5.	The intended purpose of appraisal is to remove weak teachers from schools	1	2	3	4	5
6.	The proper purpose of appraisal is to help all teachers to grow professionally	1	2	3	4	5
7.	Unless teachers are open to constructive suggestions appraisal will not make them more effective	1	2	3	4	5
8.	To make worthwhile gains participants in appraisal need to be trained	1	2	3	4	5
9.	Classroom observation is an essential part of teacher appraisal	1	2	3	4	5
10.	Matters considered in appraisal should be agreed as relevant to the learning of pupils	1	2	3	4	5
11.	If teachers in a school all share a 'vision' of what constitutes for them effective teaching strategies this will benefit the appraisal process in that school	1	2	3	4	5
12.	Goal setting is a proper part of the appraisal process (see also section C)	1	2	3	4	5
13.	Examination by the appraiser of classroom records of pupil achievement is to be expected	1	2	3	4	5
14.	Appraisal should include opportunity for appraisee and appraiser to engage in a two way exchange of views	1	2	3	4	5

[*] **No Opinion**   is intended to be understood as neither strongly agreeing nor strongly disagreeing. (This applies to pages 3 and 6 also.)

B.   **Teacher Expectations of Outcomes of Teacher Appraisal**

		Strongly Disagree		No Opinion		Strongly Agree
1.	Will promote my professional development	1	2	3	4	5
2.	Will lead to better identification of my training needs	1	2	3	4	5
3.	Will lead me to greater job satisfaction	1	2	3	4	5
4.	Will lead me to increase my awareness of my classroom layout and display	1	2	3	4	5
5.	Will help me in my thinking about the effectiveness of my teaching	1	2	3	4	5
6.	Will improve my lesson planning	1	2	3	4	5
7.	Will improve my teaching	1	2	3	4	5
8.	Will lead to improvement in the attainments of pupils	1	2	3	4	5
9.	Will secure that my achievements are more widely appreciated	1	2	3	4	5
10.	Will cause Headteachers to spend more time in classrooms	1	2	3	4	5
11.	Will increase the knowledge Headteachers have of their schools	1	2	3	4	5
12.	Will promote closer working together on the part of teachers	1	2	3	4	5
13.	Will increase my understanding of the management of a school	1	2	3	4	5
14.	Will cause me anxiety	1	2	3	4	5
15.	Will cause me extra work	1	2	3	4	5
16.	Will make me feel accountable	1	2	3	4	5
17.	Will threaten my autonomy	1	2	3	4	5

C. Teachers and Goal Setting

		No knowledge No experience	Working knowledge Some experience	Experienced	Full Knowledge Very experienced	
1.	Goal setting and implications for a school	1	2	3	4	5
2.	Goal setting with Head of Department, Professional Tutor, other similarly senior colleague (please specify ....)	1	2	3	4	5
3.	Goal setting for myself as part of structured self-evaluation	1	2	3	4	5
4.	Goal setting as part of a regular appraisal process	1	2	3	4	5
5.	Goal setting as an annual event	1	2	3	4	5
6.	Goal setting more or less frequently than annually (please specify period ....)	1	2	3	4	5
7.	Goal setting intended directly to affect my classroom responsibilities	1	2	3	4	5
8.	Goal setting for individual pupils	1	2	3	4	5
9.	Goal setting for my class(es)	1	2	3	4	5
10.	Goal setting as a team exercise affecting the school as a whole or a large part of it	1	2	3	4	5
11.	Goal setting under direction of superior	1	2	3	4	5
12.	Goal setting with a peer ie with a person seen to be of equal status in this situation	1	2	3	4	5

Note Goal here stands for an achievement aimed for during a given time scale. Other words often used for this are 'target' and 'objective'. The purpose is to meet a need for change that a review of the current state has shown to be desirable or necessary. Goals may relate to a teacher's own growth, the lessons the teacher gives, or to pupil progress, or other educational matters.

D. Teacher Requirements of Appraisers

		Of lesser importance		Important		Very important
1.	Familiarity with my particular classroom or/and with what I teach	1	2	3	4	5
2.	Familiarity with a wide range of teaching situations	1	2	3	4	5
3.	Extensive knowledge of the curriculum of my school	1	2	3	4	5
4.	Trustworthy	1	2	3	4	5
5.	Non-adversarial working relationship with me	1	2	3	4	5
6.	Capable of sharing ideas with me about improvement in teaching and learning in my classes	1	2	3	4	5
7.	Clarity about standards relevant to me	1	2	3	4	5
8.	Capable of agreeing standards with me	1	2	3	4	5
9.	Capacity to demonstrate or model needed improvements or alternative approaches	1	2	3	4	5
10.	Credibility as a source of feedback	1	2	3	4	5
11.	Versed in theories of learning	1	2	3	4	5
12.	Informed about research on effective teaching	1	2	3	4	5
13.	Acceptance of need for experimentation	1	2	3	4	5
14.	Recognition that innovation implies risk taking	1	2	3	4	5
15.	Capable of differentiating the reasons for any successes/failures as my responsibility or the responsibility of others	1	2	3	4	5
16.	Share in responsibility for follow-up to an appraisal	1	2	3	4	5
17.	Flexibility	1	2	3	4	5
18.	Expertise in the assessment of pupils' work	1	2	3	4	5
19.	Training in classroom observation*	1	2	3	4	5

* Classroom observation should be taken to mean an activity that is thought-out and systematic, but it might not always rely upon an instrument or guideline as used by researchers or prescribed for the purpose by an LEA; a school might have devised its own guideline. Classroom observation is used in this sense in the above and other sections in this questionnaire.

E. **Teacher Views about Classroom Observation**

		Strongly Disagree		No Opinion	Strongly Agree	
1.	My views on pedagogy are expressed in my actions in the classroom	1	2	3	4	5
2.	My view is that teachers welcome systematic observation of themselves working in their classrooms	1	2	3	4	5
3.	It is important that an appraiser is familiar with a teacher's class and classroom before a classroom observation for appraisal occurs	1	2	3	4	5
4.	The methods used in the classroom observations should be agreed in pre-observation discussion with the teacher being observed	1	2	3	4	5
5.	A classroom observation for appraisal should: last a whole lesson	1	2	3	4	5
6.	occur more than once (please propose number of occasions ....)	1	2	3	4	5
7.	After a classroom observation feedback to the teacher by the next school day should be the rule	1	2	3	4	5
8.	From systematic classroom observation reliable information about the complexities of teaching can be gained	1	2	3	4	5
9.	In classroom observation the view should be through sometimes the wide angle lens and sometimes the microscope	1	2	3	4	5
10.	I am familiar with classroom observation instruments	1	2	3	4	5
11.	I need familiarisation with classroom observation instruments and their use	1	2	3	4	5
12.	Untrained classroom observers cannot be objective	1	2	3	4	5
13.	Teachers do not need training in classroom observation	1	2	3	4	5
14.	Classroom observation by peers should be encouraged	1	2	3	4	5
15.	If classroom observation is usual in a school students are unaffected by it	1	2	3	4	5
16.	Students never behave normally if there is an observer in the classroom	1	2	3	4	5
17.	An outcome of systematic classroom observation is improved effectiveness in self evaluation	1	2	3	4	5
18.	Systematic classroom observation contributes to the improvement of pedagogical practice in the school	1	2	3	4	5

F. Teachers and Experience of Classroom Observation

		No Experience	Limited Experience		Very Experienced	
1.	As a teacher being observed	1	2	3	4	5
2.	As an observer within my own department/school (please delete as necessary: both may apply eg in a large school)	1	2	3	4	5
3.	As an observer in a school other than my own	1	2	3	4	5
4.	As a regular observer at least once a term (please specify frequency ....)	1	2	3	4	5
5.	As an occasional observer less frequently than once a term	1	2	3	4	5
6.	Observing in a classroom as a superior	1	2	3	4	5
7.	Observing in a classroom as a peer	1	2	3	4	5
8.	Observing as part of team teaching	1	2	3	4	5
9.	Observing a probationer	1	2	3	4	5
10.	Observing for the whole period of a lesson	1	2	3	4	5
11.	Observing for a period of less than a lesson	1	2	3	4	5
12.	Observing as part of a commitment ongoing from year to year	1	2	3	4	5
13.	Observation facilitated through INSET	1	2	3	4	5
14.	Observing where all colleagues have been supportive	1	2	3	4	5
15.	Observing supported by sufficient pre-planning expertise	1	2	3	4	5
16.	Observation supported by adequate follow-up	1	2	3	4	5
17.	As a teacher being observed for a whole lesson	1	2	3	4	5
18.	As a teacher being observed for a shorter period than a whole lesson	1	2	3	4	5

Note Responses to the above items should be based on your current experience which is meant to include recent years but not experience gained say 10 or more years ago and not repeated since. 'Lesson' should be taken to mean a time span of not less than approximately 40 minutes or the conventional period of time for a lesson in your school.

PLEASE COMPLETE THE FOLLOWING DETAILS

Level of Post (ie Burnham scale
designation) at present held   : _____

Type of School   : _____

Number on Roll (approximately)   : _____

Number of Years of Experience in Teaching : _____

Number of Schools in which Posts have
been held previously (other than
supply appointments)   : _____

TEACHER APPRAISAL ANTICIPATORY CONCERNS

A Rich Picture: What's Afoot?

An Example of Soft Systems Analysis (following NAUGHTON, J.
(1984) Soft Systems Analysis An Introductory Guide, 'OU)

Teacher Perceptions of Teacher Appraisal: proportions of the teachers strongly agreeing with certain perceptions concerning teacher appraisal shown in comparative order according to the level of post held

Item Reference and Short Title	Level of Post (Key below)						
	1		2		3		4	
A14 Opportunity for two way exchange (99.2%)	98.4%	2	100%	1	100%	1=	100%	1=
A7 Teachers need to be open to suggestion (97.8%)	100%	1	95.5%	3	96.3%	3	97.2%	3=
A6 Proper purpose is professional growth (95.0%)	93.4%	3	90.9%	5	100%	1=	100%	1=
A9 Essential to have classroom observation (91.8%)	90.5%	4	88.6%	7	92.6%	4=	100%	1=
A1 Is highly personal for the appraisee (90.2%)	88.2%	5	93.2%	4	85.1%	8	94.3%	5
A8 Worthwhile gains depend on training (87.2%)	77.3%	7	97.7%	2	92.6%	4=	91.4%	6
A10 Should be relevant to learning of pupils (84.5%)	82.7%	6	89.6%	6	81.4%	10	97.2%	3=
A12 Goal setting is a proper part of process (83.7%)	73.0%	8	88.1%	8	92.6%	4=	84.3%	9
A11 Shared vision of effectiveness a benefit (78.6%)	69.7%	9	83.2%	9	92.6%	4=	80.0%	10
A4 Results reflect expertise of appraiser (75.5%)	69.3%	10	75.0%	10	80.8%	11	85.7%	7
A2 Results reflect expertise of appraisee (62.0%)	52.1%	12	56.9%	11	81.5%	9	74.3%	12
A13 Is highly personal for the appraiser (58.0%)	54.0%	11	53.5%	12	40.7%	13	85.7%	7
A3 Examining expected of classroom records (54.4%)	43.5%	13	50.0%	13	62.9%	12	77.2%	11
A5 Intention removal of weak teachers (9.3%)	15.8%	14	9.1%	14	0.0%	-	2.9%	13

Key | 1 | Posts on scales 1 and 2 | 2 | Heads of Department

  3 | Deputy Heads | 4 | Heads

Note: The numbers to the right of the percentages signify the order in which the teachers in the relevant category for that column placed the item. The items are listed in descending order overall as determined by the teachers responses. On the left in brackets below each title are the overall percentages which produce that descending order.

APPENDIX 5.2 RESPONSES TO QUESTIONNAIRE: SECTOR B

Teacher Expectations of Outcomes of Teacher Appraisal: proportions of the teachers strongly agreeing on certain expectations shown in comparative order according to the level of post held

Item Reference and Short Title	Level of Post (Key below)							
	1		2		3		4	
B5 Help thinking on effectiveness (92.9%)	88.2%	2	90.9%	1	100%	1	100%	1
B2 Training needs identified better (90.8%)	88.3%	1	84.1%	2	100%	1=	97.1%	2
B1 Will promote my professional devel,
pt. (82.5%)	76.6%	3	72.8%	3	100%	1=	94.2%	3
B7 Will improve my teaching (69.3%)	52.0%	6	72.1%	5	92.6%	4	85.3%	5
B16 Make me feel accountable (64.3%)	57.9%	4	59.1%	7	70.4%	8	80.0%	9
B4 Increase awareness of layout\display (63.9%)	49.3%	9	72.7%	4	69.2%	10	80.0%	8
B3 Lead to greater job satisfaction (63.8%)	49.4%	8	58.2%	8	77.7%	7	91.4%	4
B8 Improve pupil attainment (58.%)	43.4%	12	54.5%	10	85.1%	6	73.5%	10
B6 Will improve my lesson planning (54.7%)	50.6%	7	63.6%	6	85.2%	5	80.0%	7
B12 Promote closer working together (53.6%)	44.2%	11	45.5%	12	70.3%	9	71.4%	12
B11 Increase Head's knowledge of school (53.4%)	57.2%	5	54.5%	9	60.3%	11	82.9%	6
B14 Will cause me anxiety (47.0%)	45.5%	10	50.0%	11	48.1%	15	45.7%	16
B10 Cause heads to be in classrooms more (46.9%)	43.4%	13	37.2%	16	44.4%	16	69.7%	13
B9 Achievements appreciated more (46.1%)	35.5%	14	43.2%	13	51.8%	13	68.6%	14
B15 Will cause me extra work (43.7%)	35.1%	15	38.7%	14	51.8%	14	62.9%	15
B13 School management better understood (41.2%)	23.7%	16	38.6%	15	55.5%	12	71.5%	11
B17 Will threaten my autonomy (24.3%)	19.5%	17	27.3%	17	34.6%	17	23.5%	17

Key 1 Posts on scales 1 and 2   2 Heads of Department

3 Deputy Heads   4 Heads

Note: The numbers to the right of the percentages signify the order in which the teachers in the relevant category for that column placed the item. The items are listed in descending order overall as determined by the teachers responses. On the left in brackets below each title are the overall percentages which produce that descending order.

Teachers and Goal Setting: proportions of the teachers who were experienced or very experienced compared according to the level of post held

Item Reference and Short Title	Level of Post (Key below)						
	1		2		3		4
C9 For my classes (49.1%)	43.2%	1	52.3%	1	51.8%	1	55.9% 3=
C8 For individual pupils (43.3%)	40.0%	2	37.6%	4	44.4%	3=	55.9% 3=
C3 For myself for self-evaluation (38.7%)	25.3%	3	38.6%	3	44.4%	3=	62.9% 1
C7 Affecting classroom responsibilities (29.3%)	23.0%	4	32.6%	7	33.3%	7=	36.4% 7
C10 As a team exercise affecting school (28.9%)	14.7%	6	36.4%	5	29.6%	9	50.0% 5
C2 With senior colleagues (28.3%)	10.8%	8	38.7%	2	40.7%	5	44.8% 6
C1 With implications for a school (28.1%)	10.7%	9	20.4%	11	48.1%	2	60.0% 2
C12 With a peer (27.1%)	21.7%	5	36.3%	6	33.3%	7=	21.9% 10
C5 As an annual event (19.1%)	5.4%	12	25.0%	10	40.0%	6	25.7% 8
C6 Over periods of time not a year (18.2%)	11.8%	7	30.0%	8	12.0%	12	22.2% 9
C11 Under direction of superior (11.5%)	5.5%	11	25.5%	9	18.5%	11	0.0% 12
C4 As part of regular appraisal process (9.5%)	6.8%	10	9.0%	12	18.6%	10	8.6% 11

Key 1 Posts on scales 1 and 2   2 Heads of Department

3 Deputy Heads   4 Heads

Note: The numbers to the right of the percentages signify the order in which the teachers in the relevant category for that column placed the item. The items are listed in descending order overall as determined by the teachers responses. On the left in brackets below each title are the overall percentages which produce that descending order.

Teacher Requirements of Appraisers: proportions of the teachers considering certain requirements very important shown in comparative order according to the level of post held

Item Reference and Short Title	Level of Post (Key below) 1		2		3		4	
D6 Capable to share ideas on improvement (93.5%)	90.9%	1	95.4%	2	88.9	2	100%	1
D4 Trustworthy (92.3%)	85.7%	2=	97.7%	1	96.3%	1	97.2%	2
D10 Credibility as a source of feedback (86.7%	81.3%	5	88.4%	8	85.2%	3=	97.1%	3
D7 Clarity to me on relevant standards (85.7%)	82.8%	4	88.7%	5=	85.2%	3=	88.6%	6=
D2 Familiarity with many teaching situations (84.1%)	85.7%	2=	88.7%	5=	81.5%	5	77.2%	12
D5 Non-adversarial working relationship (83.4%)	80.0%	6	90.7%	4	70.3%	9	91.4%	4
D19 Training in classroom observation (80.2%)	77.0%	9	92.6%	3	50.0%	17	89.5%	5
D8 Capable with me on agreeing standards (78.2%)	78.0%	8	84.1%	9	62.9%	11	82.9%	9=
D16 Share in follow-up responsibility (77%.0)	71.5%	13	73.0%	13	81.4%	6	88.6%	6=
D17 Flexibility (76.0%)	72.8%	12	88.6%	7	77.7%	7	65.7%	16=
D1 Familiarity with my classroom/subject (74.7%)	76.6%	10	74.4%	12	59.2%	12=	82.8%	11
D9 Capacity to model improvements (74.6%)	79.0%	7	69.8%	14	74.0%	8	71.7%	13
D18 Expertise in assessing pupils' work (71.4%)	67.1%	16	75.0%	10=	59.2%	12=	85.7%	8
D3 Extensive school curriculum knowledge (69.9%)	70.2%	14=	75.0%	10=	59.2%	12=	71.4%	15
D15 Can differentiate responsibilities (69.8%)	73.7%	11	63.6%	16	51.8%	16	82.9%	9=
D14 Knows innovation implies risk taking (68.9%)	70.2%	14=	65.9%	15	66.6%	10	71.5%	14
D13 Accepts need for experimentation (61.8%)	66.3%	17	52.3%	17	59.2%	12=	65.7%	16=
D12 Knows research on effective teaching (51.4%)	52.0%	19	45.5%	18	48.1%	18	60.0%	19
D19 Knows theories of learning (49.7%)	54.6%	18	41.0%	19	33.3%	19	62.9%	18

Key   1   Posts on scales 1 and 2   2   Heads of Department

      3   Deputy Heads   4   Heads

Note: The numbers to the right of the percentages signify the order in which the teachers in the relevant category for that column placed the item. The items are listed in descending order overall as determined by the teachers' responses. On the left in brackets below each title are the overall percentages which produce that descending order.

APPENDIX 5.5   RESPONSES TO QUESTIONNAIRE: SECTOR C

Teachers and Goal Setting: proportions of the teachers who were experienced or very experienced compared according to the phase in which they were teaching

Item Reference and Short Title	Primary		Phase Middle		Secondary	
For my classes (49.1%)	50.6%	1	42.4%	1	49.2%	1
For individual pupils (43.3%)	49.4%	2	36.3%	2	37.5%	2
For myself for self-evaluation (38.7%)	43.9%	3	30.3%	7	37.5%	3
Affecting classroom responsibilities (29.3%)	31.3%	6	28.2%	8	28.5%	5
As a team exercise affecting school (28.9%)	32.1%	5	30.2%	6	25.0%	8=
With senior colleagues (28.3%)	22.1%	8	32.3%	5	34.9%	4
With implications for a school (28.1%)	32.2%	4	33.3%	4	25.1%	7
With a peer (27.1%)	26.6%	7	34.4%	3	25.0%	8=
As an annual event (19.1%)	13.5%	10	18.8%	11	26.9%	6
Over periods of time not a year (18.2%)	19.2%	9	20.7%	10	16.0%	10
Under direction of superior (11.5%)	8.9%	11	24.2%	9	8.2%	12
As part of regular appraisal process (9.5%)	8.6%	12	12.1%	12	9.5%	11

Note: The numbers to the right of the percentages signify the order in which the teachers in the relevant phase for that column placed the item. The items are listed in descending order overall as determined by the teachers' responses. On the left in brackets below each item are the overall percentages which produce that descending order.

APPENDIX 5.6

PRINCIPAL COMPONENTS ANALYSIS: STATISTICAL TABLES
   (LISTWISE DELETION OF CASES WITH MISSING VALUES)

Teachers' Perceptions of Appraisal

Initial Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
A1	1.00000	*	1	2.55845	19.7	19.7
A2	1.00000	*	2	1.63002	12.5	32.2
A3	1.00000	*	3	1.35047	10.4	42.6
A4	1.00000	*	4	1.07658	8.3	50.9
A5	1.00000	*	5	1.02862	7.9	58.8
A6	1.00000	*	6	.90581	7.0	65.8
A7	1.00000	*	7	.80192	6.2	71.9
A8	1.00000	*	8	.76178	5.9	77.8
A9	1.00000	*	9	.72621	5.6	83.4
A10	1.00000	*	10	.60930	4.7	88.1
A11	1.00000	*	11	.55533	4.3	92.3
A12	1.00000	*	12	.52343	4.0	96.4
A13	1.00000	*	13	.47208	3.6	100.0

Factor Matrix

	Factor 1	Factor 2	Factor 3	Factor 4	Factor 5
A1	.31222	.53190	-0.09881	.06952	.50845
A2	.31382	.68704	-0.03487	-0.32497	.08981
A3	.58417	.09213	.00499	.47716	.00516
A4	.52372	.37029	-0.08087	.35582	-0.20337
A5	-0.32717	.13333	.68435	.34490	.06084
A6	.40314	-0.35083	-0.54023	.11380	.15475
A7	.32882	-0.50083	.28106	.04621	.37044
A8	.45988	-0.19912	.25758	.01160	.52500
A9	.38908	.04561	.43087	.19218	-0.38652
A10	.41569	.08443	.30870	-0.62375	-0.04044
A11	.57209	-0.33705	.29025	-0.22423	-0.18008
A12	.49921	-0.34193	-0.24295	-0.01806	-0.24771
A13	.50704	.24171	-0.05657	-0.03267	-0.18793

Final Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
A1	.65352	*	1	2.55845	19.7	19.7
A2	.68539	*	2	1.63002	12.5	32.2
A3	.57747	*	3	1.35047	10.4	42.6
A4	.58591	*	4	1.07658	8.3	50.9
A5	.71581	*	5	1.02862	7.9	58.8
A6	.61434	*				
A7	.57730	*				
A8	.59325	*				
A9	.52544	*				
A10	.66593	*				
A11	.60785	*				
A12	.48684	*				
A13	.35509	*				

Teachers' Expectations of Teacher Appraisal

Initial Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
B1	1.00000	*	1	6.29834	37.0	37.0
B2	1.00000	*	2	2.55355	15.0	52.1
B3	1.00000	*	3	1.74722	10.3	62.3
B4	1.00000	*	4	1.06293	6.3	68.6
B5	1.00000	*	5	.77944	4.6	73.2
B6	1.00000	*	6	.63719	3.7	76.9
B7	1.00000	*	7	.61720	3.6	80.6
B8	1.00000	*	8	.50766	3.0	83.6
B9	1.00000	*	9	.46219	2.7	86.3
B10	1.00000	*	10	.40390	2.4	88.6
B11	1.00000	*	11	.39095	2.3	90.9
B12	1.00000	*	12	.35722	2.1	93.0
B13	1.00000	*	13	.31568	1.9	94.9
B14	1.00000	*	14	.26583	1.6	96.5
B15	1.00000	*	15	.25180	1.5	97.9
B16	1.00000	*	16	.22221	1.3	99.3
B17	1.00000	*	17	.12671	.7	100.0

Factor Matrix

	Factor 1	Factor 2	Factor 3	Factor 4
B1	.69308	-0.14986	.24423	.48377
B2	.71344	-0.09985	.15974	.38615
B3	.83374	-0.05949	.21282	-0.00366
B4	.75632	.03392	.18846	-0.25165
B5	.77399	.03171	.15482	-0.13179
B6	.80896	.07203	.09494	-0.30434
B7	.87710	-0.00921	.18790	-0.18752
B8	.83200	-0.01980	.11611	-0.23448
B9	.43701	.31541	-0.27632	.53605
B10	.27224	.33827	-0.71209	-0.14174
B11	.36950	.42946	-0.66168	-0.00833
B12	.61418	-0.03898	-0.34831	.12001
B13	.61953	.11754	-0.31422	-0.10765
B14	-0.34696	.65429	.26942	-0.16707
B15	.04987	.72208	.36128	.18984
B16	.05769	.74996	.18292	.10502
B17	-0.19491	.76430	.14696	-0.08851

Final Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
B1	.79650	*	1	6.29834	37.0	37.0
B2	.69359	*	2	2.55355	15.0	52.1
B3	.74396	*	3	1.74722	10.3	62.3
B4	.67202	*	4	1.06293	6.3	68.6
B5	.64140	*				
B6	.76123	*				
B7	.83987	*				
B8	.76108	*				
B9	.65416	*				
B10	.71571	*				
B11	.75886	*				
B12	.51446	*				
B13	.50795	*				
B14	.64897	*				
B15	.69046	*				
B16	.61025	*				
B17	.65157	*				

Teachers' Experience of Goal Setting

Initial Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
C1	1.00000	*	1	6.57644	54.8	54.8
C2	1.00000	*	2	1.08708	9.1	63.9
C3	1.00000	*	3	.89116	7.4	71.3
C4	1.00000	*	4	.65584	5.5	76.8
C5	1.00000	*	5	.59442	5.0	81.7
C6	1.00000	*	6	.49597	4.1	85.8
C7	1.00000	*	7	.40302	3.4	89.2
C8	1.00000	*	8	.35102	2.9	92.1
C9	1.00000	*	9	.31203	2.6	94.7
C10	1.00000	*	10	.26826	2.2	97.0
C11	1.00000	*	11	.20971	1.7	98.7
C12	1.00000	*	12	.15506	1.3	100.0

Factor Matrix

	Factor 1	Factor 2
C1	.74028	-0.12218
C2	.80087	-0.33613
C3	.70309	.18633
C4	.70793	-0.28713
C5	.75764	-0.36095
C6	.73003	-0.23387
C7	.76266	.20579
C8	.72802	.50381
C9	.74034	.55114
C10	.80626	.01769
C11	.70633	-0.20964
C12	.68981	.11330

Final Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
C1	.56295	*	1	6.57644	54.8	54.8
C2	.75438	*	2	1.08708	9.1	63.9
C3	.52906	*				
C4	.58361	*				
C5	.70431	*				
C6	.58763	*				
C7	.62399	*				
C8	.78385	*				
C9	.85186	*				
C10	.65036	*				
C11	.54284	*				
C12	.48868	*				

Teachers' Requirement of Appraisers

Initial Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
D1	1.00000	*	1	6.23242	34.6	34.6
D2	1.00000	*	2	1.76727	9.8	44.4
D3	1.00000	*	3	1.26917	7.1	51.5
D4	1.00000	*	4	1.08178	6.0	57.5
D5	1.00000	*	5	1.07085	5.9	63.5
D6	1.00000	*	6	.94622	5.3	68.7
D7	1.00000	*	7	.79724	4.4	73.1
D8	1.00000	*	8	.75022	4.2	77.3
D9	1.00000	*	9	.62125	3.5	80.8
D10	1.00000	*	10	.56429	3.1	83.9
D11	1.00000	*	11	.53517	3.0	86.9
D12	1.00000	*	12	.48161	2.7	89.5
D13	1.00000	*	13	.45112	2.5	92.0
D14	1.00000	*	14	.37507	2.1	94.1
D15	1.00000	*	15	.33632	1.9	96.0
D16	1.00000	*	16	.29594	1.6	97.6
D17	1.00000	*	17	.25328	1.4	99.1
D18	1.00000	*	18	.17076	.9	100.0

Factor Matrix

	Factor 1	Factor 2	Factor 3	Factor 4	Factor 5
D1	.50974	-0.17215	.52685	.32666	-0.12192
D2	.55003	-0.03888	.48932	-0.23957	.13224
D3	.58919	-0.16379	.48590	-0.11503	-0.03280
D4	.44884	.48791	.17019	-0.13958	.18140
D5	.46789	.44215	.22401	-0.17092	.04003
D6	.54978	.37992	-0.24499	-0.01183	.07509
D7	.71277	.32616	-0.16221	.06402	.07590
D8	.68491	.40458	-0.12577	.13549	.00308
D9	.56091	-0.01512	.15237	.31894	.20229
D10	.60974	.28450	-0.22548	.37085	.07545
D11	.61254	-0.42560	-0.23099	-0.08836	.45796
D12	.59362	-0.45826	-0.20363	-0.02090	.50029
D13	.67857	-0.32295	-0.22898	-0.24157	-0.23527
D14	.61773	-0.26725	-0.22975	-0.29462	-0.32143
D15	.51368	-0.19973	-0.12500	.49379	-0.44576
D16	.55089	.20058	-0.16059	-0.11287	-0.19581
D17	.62425	.05790	.01130	-0.39532	-0.28766
D18	.64037	-0.36034	.13833	.16628	-0.08002

Final Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
D1	.68861	*	1	6.23242	34.6	34.6
D2	.61836	*	2	1.76727	9.8	44.4
D3	.62438	*	3	1.26917	7.1	51.5
D4	.52087	*	4	1.08178	6.0	57.5
D5	.49541	*	5	1.07085	5.9	63.5
D6	.51240	*				
D7	.65058	*				
D8	.66697	*				
D9	.48071	*				
D10	.64678	*				
D11	.82723	*				
D12	.85458	*				
D13	.73090	*				
D14	.69591	*				
D15	.76192	*				
D16	.42058	*				
D17	.63220	*				
D18	.59310	*				

Teachers' Views on Classroom Observation

Initial Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
E1	1.00000	*	1	3.60118	20.0	20.0
E2	1.00000	*	2	2.15273	12.0	32.0
E3	1.00000	*	3	1.56752	8.7	40.7
E4	1.00000	*	4	1.29762	7.2	47.9
E5	1.00000	*	5	1.15671	6.4	54.3
E6	1.00000	*	6	1.08520	6.0	60.3
E7	1.00000	*	7	.95070	5.3	65.6
E8	1.00000	*	8	.91471	5.1	70.7
E9	1.00000	*	9	.81710	4.5	75.2
E10	1.00000	*	10	.72688	4.0	79.3
E11	1.00000	*	11	.65471	3.6	82.9
E12	1.00000	*	12	.62747	3.5	86.4
E13	1.00000	*	13	.53760	3.0	89.4
E14	1.00000	*	14	.48397	2.7	92.1
E15	1.00000	*	15	.41652	2.3	94.4
E16	1.00000	*	16	.39268	2.2	96.6
E17	1.00000	*	17	.32074	1.8	98.4
E18	1.00000	*	18	.29597	1.6	100.0

Factor Matrix

	Factor 1	Factor 2	Factor 3	Factor 4	Factor 5	Factor 6
E1	.52248	.30443	-0.20691	.18067	-0.13997	.30599
E2	.27427	-0.26314	.36821	.11918	.35483	-0.46126
E3	.04038	.68378	.11406	.50334	.18748	-0.12826
E4	.15038	.63792	.10957	.39944	-0.19562	-0.34106
E5	.43156	.15537	-0.27511	.19887	-0.11057	.40824
E6	.40099	.16587	.07214	-0.13265	.29399	.47503
E7	.08114	.26637	.28962	-0.54737	.35923	-0.03893
E8	.77261	.00770	.12449	-0.08335	.12690	-0.07107
E9	.54506	.17078	-0.02483	-0.32434	.09675	.04855
E10	.39489	.03648	-0.72468	-0.02226	.23525	-0.22449
E11	.08508	.22665	.75571	-0.04226	-0.29366	.22621
E12	.08042	.62629	-0.09208	-0.23047	.04889	-0.05304
E13	-0.16137	-0.36029	.17392	.49831	.43980	.32336
E14	.60548	.00080	.06325	-0.10668	-0.34877	-0.14754
E15	.52639	-0.28938	.14730	.03701	-0.23805	.01194
E16	-0.39282	.48397	.04824	-0.07133	.34115	.09134
E17	.72252	-0.17559	.05717	.03828	.11142	-0.07131
E18	.68219	-0.20230	.13022	.21438	.20035	-0.02293

Final Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
E1	.55434	*	1	3.60118	20.0	20.0
E2	.63291	*	2	2.15273	12.0	32.0
E3	.78714	*	3	1.56752	8.7	40.7
E4	.75570	*	4	1.29762	7.2	47.9
E5	.50450	*	5	1.15671	6.4	54.3
E6	.52318	*	6	1.08520	6.0	60.3
E7	.59158	*				
E8	.64058	*				
E9	.44378	*				
E10	.78865	*				
E11	.76891	*				
E12	.46551	*				
E13	.73240	*				
E14	.52540	*				
E15	.44071	*				
E16	.52068	*				
E17	.57510	*				
E18	.60989	*				

Teachers' Experience of Classroom Observation

Initial Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
F1	1.00000	*	1	6.88026	43.0	43.0
F2	1.00000	*	2	1.43853	9.0	52.0
F3	1.00000	*	3	1.19112	7.4	59.4
F4	1.00000	*	4	1.04814	6.6	66.0
F5	1.00000	*	5	.86145	5.4	71.4
F6	1.00000	*	6	.77013	4.8	76.2
F7	1.00000	*	7	.64086	4.0	80.2
F8	1.00000	*	8	.62170	3.9	84.1
F9	1.00000	*	9	.49449	3.1	87.2
F10	1.00000	*	10	.42067	2.6	89.8
F11	1.00000	*	11	.40835	2.6	92.3
F12	1.00000	*	12	.36818	2.3	94.6
F13	1.00000	*	13	.27752	1.7	96.4
F14	1.00000	*	14	.26597	1.7	98.0
F15	1.00000	*	15	.16966	1.1	99.1
F16	1.00000	*	16	.14298	.9	100.0

Factor Matrix

	Factor 1	Factor 2	Factor 3	Factor 4
F1	.30894	.64883	.30722	-0.32895
F2	.76233	.01947	-0.08009	-0.08985
F3	.52364	.50181	-0.10755	.28232
F4	.76520	-0.15894	-0.01852	.00151
F5	.48307	.28029	-0.58027	.27101
F6	.78037	-0.25172	-0.20430	-0.10338
F7	.54349	.56805	.12848	.11517
F8	.56793	.14114	.00740	-0.53350
F9	.67481	-0.36990	-0.04209	-0.19138
F10	.82708	-0.12110	-0.09261	-0.10333
F11	.64258	.08661	-0.42686	.11726
F12	.66942	-0.23537	-0.10197	.05228
F13	.41420	-0.14678	.41558	.63507
F14	.74148	-0.09406	.13119	.00867
F15	.76516	-0.03720	.39817	.00658
F16	.75921	-0.09695	.36329	.05404

Final Statistics

Variable	Communality	*	Factor	Eigenvalue	Pct of Var	Cum Pct
		*				
F1	.71902	*	1	6.88026	43.0	43.0
F2	.59602	*	2	1.43853	9.0	52.0
F3	.61728	*	3	1.19112	7.4	59.4
F4	.61114	*	4	1.04814	6.6	66.0
F5	.72208	*				
F6	.72476	*				
F7	.64783	*				
F8	.62714	*				
F9	.63060	*				
F10	.71798	*				
F11	.61637	*				
F12	.51665	*				
F13	.76912	*				
F14	.57593	*				
F15	.74544	*				
F16	.72070	*				

Teachers' Views about Classroom Observation: proportions of the teachers strongly agreeing with certain views shown in comparative order according to the level of post held

Item Reference and Short Title	Level of Post (Key below)							
	1		2		3		4	
E6 More than one observation necessary (85.0%)	82.4%	2	85.3%	1	88.9%	3	87.5%	6
E3 Familiarity needed with class and c/room (84.7%)	85.8%	1	72.8%	4	92.6%	2	91.4%	1
E4 Agreement on method necessary (79.3%)	75.4%	4	75.0%	3	88.8%	5	85.7%	7
E9 View wide angle or microscope (76.1%)	67.5%	9	79.5%	2	85.2%	6	82.9%	8
E7 Feedback by next day (76.0%)	78.0%	3	70.5%	5	77.7%	8	77.2%	10
E1 Views on pedagogy are expressed in action (74.5%)	68.5%	8	59.1%	9	96.1%	1	90.9%	3
E5 Observation should last whole lesson (73.3%)	71.2%	6	62.5%	8	76.9%	9	87.9%	5
E8 Systematic ob. gives reliable inform. (70.2%)	55.3%	13	70.5%	5	88.9%	3	88.3%	4
E17 Systematic ob. improves self-eval. (69.7%)	63.6%	10	56.9%	10	71.5%	11	91.2%	2
E14 Encourage peer observation (68.7%)	58.5%	11	68.2%	7	81.4%	7	72.4%	13
E12 Untrained obsers. cannot be objective (65.5%)	74.0%	5	56.9%	10	66.6%	13	57.1%	14
E11 Need familiarizn. with ob. instruments (63.4%)	70.7%	7	54.8%	13	40.0%	15	75.7%	12
E15 Students unaffected if ob. usual in school (62.9%)	58.5%	11	56.8%	12	66.6%	13	77.2%	10
E18 Systematic ob. helps pedagogical practice (59.4%)	50.0%	14	47.7%	14	74.0%	10	82.8%	9
E16 Students do not behave normally if ob. in classroom (31.1%)	36.4%	15	40.9%	15	18.5%	16	17.1%	16
E10 I am familiar with observation instruments (28.3%)	13.7%	16	26.2%	16	66.7%	12	31.4%	15
E2 Systematic obser- vation is welcome (11.1%)	9.1%	17	13.6%	17	7.4%	17	15.2%	17
E13 Teachers do not need training in c/room ob. (4.9%)	7.8%	18	4.5%	18	0.0%	18	2.9%	18

Key 1 Posts on scales 1 and 2   2 Heads of Department

     3 Deputy Heads   4 Heads

Note: The numbers to the right of the percentages signify the order in which the teachers in the relevant category for that column placed the item. The items are listed in descending order overall as determined by the teachers' responses. On the left in brackets below each title are the overall percentages which produce that descending order.

Teachers and Classroom Observation: proportions of the teachers who were very experienced in certain fields compared according to the level of post held

Item Reference and Short Title	Level of Post (Key below) 1		2		3		4	
F10 Observing for whole lesson (25.8%)	10.5%	6=	15.9%	5=	51.8%	1=	51.4%	3
F6 Observing as a superior (25.2%)	2.6%	15	20.45	1	51.8%	1=	60.0%	1
F1 As a teacher observed (24.1%)	31.6%	1	18.1%	3	29.6%	8	11.4%	14
F2 As observer:own school/department (23.8%)	10.6%	5	15.9%	5=	33.3%	6=	54.3%	2
F9 Observing a probationer (22.6%)	11.8%	4	18.2%	2	40.7%	3	38.2%	7
F11 Observing for less than whole lesson (20.8%)	6.7%	10	16.3%	4	34.6%	5	47.0%	5
F16 Observing with adequate follow-up (18.2%)	7.9%	9	13.9%	8	33.3%	6=	34.3%	9
F14 Observing with supportive colleagues (17.0%)	9.4%	8	9.7%	11	24.0%	11	37.2%	8
F18 Being observed for less than whole lesson (16.5%)	18.8%	3	14.8%	7	9.1%	17	15.8%	11
F4 Regular observer at least once termly (16.4%)	2.7%	14	4.7%	14	36.0%	4	47.1%	4
F8 Observing as part of team teaching (15.5%)	10.5%	6=	13.6%	9	26.9%	9	20.%	10
F17 Being observed for whole lesson (14.8%)	20.3%	2	11.1%	10	0.0%	18	10.6%	15
F12 Observing: year to year ongoing (12.6%)	0.0%	16=	4.6%	15=	25.9%	10	40.0%	6
F15 Observing with sufficient pre-planning (8.4%)	5.5%	12	4.6%	15=	18.5%	13=	11.7%	13
F7 Observing as a peer (8.4%)	6.6%	11	9.1%	12	11.1%	16	9.4%	16
F3 As observer: in different school (7.7%)	5.2%	13	4.6%	15=	18.5%	13=	8.8%	17
F5 Observer: less than termly (7.4%)	0.0%	16=	7.5%	13	22.7%	12	15.3%	12
F13 Observing: Inset facilitated (3.9%)	0.0%	16=	4.5%	18	11.5%	15	5.9%	18

Key   1   Posts on scales 1 and 2   2   Heads of Department

   3   Deputy Heads   4   Heads

Note: The numbers to the right of the percentages signify the order in which the teachers in the relevant category for that column placed the item. The items are listed in descending order overall as determined by the teachers' responses. On the left in brackets below each item are the overall percentages which produce that descending order.

Appendix 7.1

CASE STUDY SCHOOLS AND TEACHERS
The schools in the case studies and the teachers who shared in the conversations are identified below by using iniial letters. The information given here is inteneded only to supplement the basic data given in chapter 4 and is provided to show the schools as mixed in character and, in a broad sense, unexceptional in the county.

<u>WL</u>
WL is a Lower School in Northampton. It is located on a private housing estate completed during the last 25 years. The school was built during this period on a spacious site which is shared with a nursery school. For much of the time, additional temporary accommodation has been required. The school has had two heads since it opened. In the main, the neighbourhood is prosperous. The teachers who participated in the individual conversations were: JM, the head; MP, the deputy head; CT, a Coordinator; and MS, a classroom teacher.

<u>FMJ</u>
This school is a voluntary aided Junior School located in a small town in central Northamptonshire. It was established in the last century and continues to serve a residential area of mixed housing much as it has always done. The school has pleasant surroundings, including a playing field of its own. The town has many small businesses including still a number connected with the leather and shoe trades which were for long a staple element in the commerce of the county. Two teachers were met here: GM, the head; and ER, the deputy head. The head had been recently appointed. The deputy had been at the school many years.

<u>EBM</u>
EBM is a Middle School which was built some ten years ago to serve the expansion area of Northampton. It serves a residential area comprising houses provided for both rent and sale. Most of the families have newly come to the area in response to job opportunities created as a result of the new

town status which Northampton had during the late 1960s, 1970s and 1980s. The school is very well appointed and was designed to encourage teachers to work collaboratively. There are extensive playing fields and a small community centre is attached to the school buildings. At this school, conversations were shared with RJ, the head; CB, the deputy head; PC, a coordinator; and HJ, a classroom teacher and probationer.

CS

CS is a rural comprehensive secondary school located in large village in the southwest of the county. Most children are brought to school by hired buses. The school has an image attractive to the community it serves and recently had extra accommodation added for its sixth form. The school has been open for twenty years. It occupies a spacious site. At this school there were conversations with DM, the head (who was appointed from another Northamptonshire secondary school nearly ten years ago); TA, the deputy head; NM, a head of faculty; and CS, a young classroom teacher in her second appointment.

MS

MS is a school built as part of a county progamme of rural reorganisation following the 1944 Education Act. Originally a secondary modern school, it became a comprehensive school during the 1970s. The buildings were constructed by instalments and in design have kept mainly in line with curriculum development over the last twenty years. The school is located in a small town in the northwest of the county. It is not far from one of the four large towns in the county and traditionally the schools in this town have attracted secondary pupils away from MS. Nevertheless, this school has gained in reputation over the years since it became comprehensive. The conversations here were with the head, LD, who had previously been deputy head of the school; EG, a deputy head; JH, a head of department; and AB, a classroom teacher of many years experience.

WS

WS is located in the east of the county. It mainly serves a small town and an adjoining rural area where the adult population consists mainly of commuters who go in many directions, including London, as well as Northampton. This comprehensive school has a historical background of development much like that of MS. The head of WS has been there many years. He is well-informed about the theory and practice of appraisal in several parts of the country in both educational and non-educational organisations. There were conversations at this school with the JH, the head; DH, a deputy head; KR, a head of department; and SP, an education support teacher who has extensive experience in special education.

APPENDIX 7.2

As indicated in chapter 7, section 7.1.2, in this appendix, the
questions which were used as the basis of the conversations with the
teachers in the case study schools are reproduced below.

At the beginning of the conversation, each teacher was handed a copy
of the relevant section and an explanation was given of the intended
approach referred to in the introductory note.

* * * * * * * * *

Teacher Appraisal Case Studies

This note outlines the approach it is proposed to make to the
interviews with members of staff at the five schools chosen to
participate in this follow up to the enquiry made four years ago.
Mostly the same questions will be asked with each person, but
differentiation in viewpoint will be explored, particularly towards
teaching and learning as the nub..

Key Questions

For the Head:

Do you consider yourself ready for teacher appraisal as currently
envisaged by government? What role(s) do you anticipate taking on?

In respect of teacher appraisal, what do you have in place at
present, at your school? (The intention here is to explore classroom
visitation routines, goal setting, and management style.)

From your viewpoint, what change to the school's state of readiness
for (or effectiveness with) teacher appraisal can you say has
happened over last four years?

Have staff at this school investigated staff appraisal in a non-
educational organization eg in a business? If so, has there been, or
is there intended to be, any copying of applications eg in procedure,
purpose, preparation?

What, if anything, do you consider has to be distinctive about
teacher appraisal? (Comparative views in relation to practice in non-
educational oganizations will be invited, if they can be offered.)

What do you expect to be the key future outcomes from teacher
appraisal: for school, for self, for pupils? (Exploration is
anticipated here of issues of context, professional growth, and links
with pupil attainment.)

What for you can/could make or break teacher appraisal as a gainful
activity?

Any other observations? (Unless already covered, enquiry will be
made here about school documentation.)

For the Senior or Middle Manager (Deputy, Head of Department):

What experience have you of teacher appraisal, especially goal setting, and classroom observation? (Whether the experience has been acquired over the last four years will be explored.)

Do you consider yourself ready for teacher appraisal as currently envisaged by government? Besides being an appraisee, what role(s) do you anticipate taking on?

What change in your state of such readiness can you say has occurred over the last four years?

From your viewpoint, what change to the school's state of readiness for (or effectiveness with) teacher appraisal can you say has happened over the last four years?

What do you expect to be the key future outcomes from teacher appraisal: for school, for self, for pupils? (Exploration is anticipated here of issues of context, professional growth, and links with pupil attainment.)

What, if anything, do you consider has to be distinctive about teacher appraisal? (Comparative views in relation to practice in non-educational oganizations will be invited, if they can be offered.)

What for you can/could make or break teacher appraisal as a gainful activity?

Any other observations?

For the Classroom Teacher:

What experience have you of teacher appraisal, especially goal setting, and classroom observation? (Whether the experience has been acquired over the last four years will be explored.)

Do you consider yourself ready for teacher appraisal as currently envisaged by government? Besides being an appraisee, what role(s), if any, do you anticipate taking on?

What change in your state of such readiness can you say has occurred over the last four years?

From your viewpoint, what change to the school's state of readiness for (or effectiveness with) teacher appraisal can you say has happened over last four years? (Prompts, if needed, will be given on classroom observation, goal setting, and collegiality.)

What do you expect to be the key future outcomes from teacher appraisal: for school, for self, for pupils? (Exploration is anticipated here of issues of context, professional growth, and links with pupil attainment.)

What, if anything, do you consider has to be distinctive about teacher appraisal? (Comparative views in relation to practice in non-educational oganizations will be invited, if they can be offered.)

What for you can/could make or break teacher appraisal as a gainful activity?

Any other observations?

Footnote: It is proposed to begin with the Head. Who comes next will depend on the covenience of the persons concerned. It is not intended to share responses given by one person with any other person who is seen later, in the same school, or in another school.

MH/CS/Thesis/5.91   Michael Henley

APPENDIX 7.3

AN EXAMPLE OF A VOLUNTARY SYSTEM OF TEACHER APPRAISAL IN PLACE IN 1991 AT A SECONDARY SCHOOL (CS) IN NORTHAMPTONSHIRE

The following papers comprise extracts from the documentation which this school provides to set out for participants the key aspects of its voluntary system of teacher appraisal. The current strategy for development is also indicated in these extracts. The scale of effort invested by the policy makers at the school is evident, as referred to in the text of chapter 7.

APPENDIX 7.3 Source: CS Material illustrating a voluntary Appraisal

System in a Northamptonshire secondaryschool (1991).

A 'Modular' Approach to Teacher Appraisal

Principles

- To operate within the statutory requirements for Teacher Appraisal.

- To enhance staff development and be perceived as doing so by staff. An equitable approach.

- To operate within existing time/financial constraints.

- To address all the professional rôles undertaken by all teaching staff.

Model

- Cycle common to all staff.

- Specific previously agreed job descriptions for all staff/all rôles.

- Appraisee to have a choice of appraiser of similar or superior status from a panel, and a choice of third party(s).

- Appraisers/appraisees to receive training.

- 50% appraisal 1991-3, and remaining staff 1993-5.

- All staff appraisal on classroom effectiveness/approach. Information from minimum of two hours classroom observation, discussion with a third party, appraisee's self-evaluation.

- Staff then agree additional rôles for appraisal with the same appraiser. Information is gained from discussion with a third party(s) and the appraisee's self-evaluation, both based on the job description.

    - CURRICULUM TEAM LEADER

    - HEAD OF YEAR

    - TUTOR

    - DEPUTY HEAD   }   Variation in the approach to appraisal
                     }   will reflect National and County
    - HEADTEACHER   }   requirements/guidelines

Note: Curriculum Team Leaders may also have additional whole-school rôles. This aspect of their job description is agreed with the Headteacher, prior to the commencement of the appraisal.

T J A

The Development of Appraisal

The Process

Background

A pilot appraisal scheme has operated over the previous two years, with appraisees being involved on a voluntary basis. This scheme has focused solely on classroom practice, the cycle mirroring that now adopted by the LEA.

Initially, these approaches were central to establishing this successful pilot:

- Sensitive handling of volunteers. An approach based on trust, which reflects the whole school ethos.

- Promoting appraisal as central to the existing, supportive approach to staff development.

- Pilot development by staff of contrasting status/experience, perceived as 'good practitioners'.

- Whole staff consultation/informing, via Training Days and Curriculum Review Meetings, on-going over two years.

- Job descriptions established by consensus.

Preparation for Formal Appraisal, Commencing October 1991

When	
January '91	Conception of 'modular' approach (TJA/NNM) in the light of DES requirements and Chenderit culture.
February	Modular approach discussed with Staff Development Committee.
	Modular approach discussed with staff teams (e.g. HOF).
	Detail produced (TJA/NNM) for HOF/Y.
	Discussed with staff teams and amended.
	Up-date discussed with all staff via Curriculum Review Meetings.
March	Further work on details of Tutor/Faculty Teacher approach, involving classroom observation.
	Discussed with Year Teams.
June	Appraisal Panel established.
	Volunteers to be appraised 1991-3, sought via Faculty Meetings.
	Criteria for selection of first cohort agreed.
July	Internal training of Appraisal Panel.
	First cohort established/staff individually informed.
September '91	Further training for Appraisal Panel.
	Training for staff undergoing appraisal 1991/2.
October	On-going support and monitoring of process.

TJA

The Appraisal Cycle

1. The appraisee should agree areas of responsibility with HOY or HOF or SMT, using the enclosed broad job description, before the appraisal begins.

2. Subject to constraints, the appraisee selects an appraiser from the school panel. Generally this should be a colleague who is of similar or higher status to the appraisee.

3. During the initial meeting (20-30 minutes) the appraiser/appraisee will discuss/agree:

   (i) the third party or parties with whom the appraiser will discuss the appraisee's work using the agreed job description.

   (ii) the use of the self-evaluation questionnaire.

   (iii) the focus of the appraisal i.e. the appraisee's areas of responsibility as a Curriculum Team Leader/within the classroom observation, any aspect for particular attention. It is also relevant to confirm the appraisee's additional rôles in school (e.g. HOY or tutor, etc).

   (iv) the time-scale for the appraisal, including:

   - when the self-evaluation should be passed to the appraiser (at least 48 hours before the appraisal interview).

   - the date of the appraisal interview.

   - estimated date by which the final version of the agreed appraisal statement, including targets, will be completed.

   In order that the appraisal process should be effective, it is recommended that between two and three weeks only should elapse between the initial meeting and the production of the first draft of the agreed appraisal statement.

4. The appraisal interview (one hour, possibly more) will offer an opportunity to discuss:

   - the self-appraisal responses to:
     (i) the lessons which were observed;
     (ii) identified rôle(s).
   - the comments of the third party(s)/appraiser.
   - the appraisal statement points and short/long term targets, along with appropriate staff development.

5. The agreed appraisal statement/targets

   This will be drafted by the appraiser, who, after further consultation with the appraisee, will make the amendments necessary to produce the agreed final version.

   (Should agreement not be possible, then disputed points should reflect the differing views of appraiser and appraisee.)

6. Copy of agreed statement

   This will be made available to:

   - appraisee.
   - professional tutor/staff development co-ordinator/Headteacher (copy held in school).
   - an LEA representative can ask to see the copy held by the school.
   - Chair of governors may request to see the targets, but it may be in the appraisee's interest if a context is provided for these.

Self-Evaluation

This self-evaluation is intended to provide a basis for discussion at the appraisal interview. The agreed outcomes of the discussion will be included in the appraisal statement.

- The following areas, excluding your comments, will also be used as a basis for discussion with the agreed third party.

The following includes an opportunity to self-evaluate the lessons which your appraiser will observe. We recommend that at least one hour is devoted to completion of the self-evaluation aspect of the appraisal process. A copy of this information/self-evaluation should be passed to your appraiser at least forty-eight hours before the appraisal interview.

For each of the following responsibilities, and for any additional responsibilities previously agreed with your HOF/SMT, consider and comment:

(i)   How do you approach the responsibility?

(ii)   How successful do you feel this approach has been?

(iii)   How do you feel the approach could be improved?

The classroom teacher is responsible for:

Classroom responsibilities

(a)   Use of a variety of teaching methods, learning activities and resources appropriate to the aims and objectives of the course and the needs and abilities of the student.

(b)   Encouraging and developing high expectations for individual students and for classes as a whole.

(c)   Establishing and maintaining a disciplined and productive working relationship in the classroom, and with individual students.

(d)   Providing and maintaining a suitable, pleasant, safe and stimulating environment where effective learning can take place.

(e)   Planning, preparing, adapting and evaluating work within the faculty/department/year structure appropriate to the needs and abilities of the students.

(f)   Being familiar with and making use of the established disciplinary procedures within the Faculty and school.

Faculty Responsibilities

(g)   Having a knowledge and understanding and taking part in developing the aims, objectives, structure and resources of Faculty and Departmental courses.

(h)   Contributing to Faculty S.D.P.s and taking responsibility for collective and individually allocated developments.

(i)   Understanding his/her responsibilities within the Faculty, or Faculties, and departmental teams and carrying out those responsibilities. Please describe Faculty responsibility(s) and comment.

(j)   Keeping up with subject developments and professional developments in general and making use of training opportunities where appropriate.

(k)   Attending appropriate Faculty and whole school meetings, and contributing to less formal discussion of professional issues.

Assessment Responsibilities

(l)   Regularly assessing, monitoring and counselling students and keeping a record of student marks, in line with Faculty and school policy.

(m)   Co-ordinating accurate and considered reports including R.O.A. as may be required by Faculty and School.

(n)   Setting regular and appropriate homework in line with Faculty and School policy and monitoring use of homework diaries.

(o)   Being available to consult with parents on the progress of their child.

(p)   Consulting with tutors/Year Heads, subject teachers on the progress and welfare of students.

Self-Evaluation of Lessons Observed by the Appraiser

(q)   Please use copies of the lesson observation sheet used by the appraiser. Completed notes should be brought to the appraisal interview.

Faculty Teacher Appraisal

Information/Self Evaluation Sheet

Please confirm for the current academic year, your:

1. **Teaching Group (year/level) and hours taught weekly**

Year	Level	Hours Taught (Weekly)

2. **Tutor Group**

3. **Responsibilities other than Faculty responsibilities (e.g. Assistant HOY)**

4. **Extra-Curricular Responsibilities**

Classroom Observation Record

This sheet is designed to aid the appraiser/appraisee during classroom observation. Although it should be used to provide evidence and possible recommendations for discussion during the appraisal interview, it must not be retained as part of the final documentation kept on file.

Agreed Focus Points

	What is Observed	Comments/Points for Discussion With Appraisee
Preparation/Planning		
Class Management		
Use of Material		

P.T.O.

Relationship With Students

Teaching Style

Pupil Participation and Interest

Aims and Learning Outcomes

HOY APPRAISAL (Non-Teaching Aspects)

This self-evaluation is intended to provide a basis for discussion at the appraisal interview. The agreed outcomes of the discussion will be included in the appraisal statement.

The questions from this self-evaluation sheet will also be used as a basis for discussion with the agreed third party.

This self-evaluation sheet should help you to reflect on your Faculty/Department responsibilities. We recommend that at least one hour is devoted to completion of this aspect of the appraisal process. It would be useful if the written outcomes from the self-evaluation could be passed to your appraiser at least a day in advance of the appraisal interview.

For each of the following responsibilities (a) - (m), and for any additional responsibilities previously agreed with your appraiser/SMT, consider and comment:

(i)   How do you approach the responsibility?

(ii)   How successful do you feel this approach has been?

(iii)   How do you feel the approach could be improved?

HOY's should:

Year Ethos / Practice

(a)   Monitor and support the academic and personal development of groups and individual pupils in the Year.

(b)   As appropriate, lead / co-ordinate the induction and guidance programmes for pupils.

(c)   Lead / co-ordinate the PSE Generalist provision for the Year.

(d)   Co-ordinate staff / parent contact, including parents' evenings.

(e)   Discuss / agree with the Year Team and S.M.T, development objectives to be part of the S.D.P. Lead / monitor the implementation of these.

(f)   Monitor and support the pupil Year Council and School Council.

Team Management

(g)   Provide counselling, guidance and support for tutors.

(h)   Build and maintain effective Year Teams through regular communication / consultation.

(i)   Train tutors for:

(i)   tutor role;
(ii)   assistant Year Head/HOY role.

(j)   Liaise with Faculty Heads, other team and S.M.T. as appropriate.
(k)   Liaise with external agencies through pastoral co-ordinator.

Administration

(l)   Monitor:

- profiles / assessments
- ROA
- registers
- homework diaries and home work timetables
- school records

(m)   Accurately and punctually complete other administration as required.

Other Responsibilities (relevant to HOY role)

Curriculum Team Leader (Non-Teaching Aspects)

This self-evaluation is intended to provide a basis for discussion at the appraisal interview. The agreed outcomes of the discussion will be included in the appraisal statement.

The questions from this self-evaluation sheet will also be used as a basis for discussion with the agreed third party.

This self-evaluation sheet should help you to reflect on your Curriculum Team Leader responsibilities. We recommend that at least one hour is devoted to completion of this aspect of the appraisal process. It would be useful if the written outcomes from the self-evaluation could be passed to your appraiser at least a day in advance of the appraisal interview.

For each of the following responsibilities (a) - (j), and for any additional responsibilities previously agreed with your appraiser/SMT, consider and comment:

(i)   How do you approach the responsibility?

(ii)   How successful do you feel this approach has been?

(iii)   How do you feel the approach could be improved?

Please tick the responsibility(s) which do not form part of your role

The Curriculum Team Leader is responsible for:

Curriculum

☐   (a)   Evaluating the effectiveness of learning in the team, and,

☐   (b)   developing/maintaining and reconstructing the curriculum, including teaching/learning styles to best meet pupils' needs (also considering local/national requirements).

☐   (c)   Developing cross-team links in support of (b) within the general culture of the school.

☐   (d)   His/her own and the team's involvement in:

(i)   informal discussion/planning of curricular and related issues.

(ii)   formal discussion/planning,including regular team meetings, of curricular and related issues.

☐   (e)   Planning and implementing phased developments recorded in SDP.

Staff Development

☐   (f)   Supporting team staff and involving them in the planning/implementation of curriculum, including the development of a view of whole school issues / structures.

☐   (g)   In addition to (a), developing staff through appropriate delegation, appraisal and career planning.

Administration

☐   (h)   Accurate and punctual recording keeping, assessment and reporting in line with whole school policy.

☐   (i)   The appropriate management of financial and material resources.

☐   (j)   Accurate and punctual completion of admin tasks.

Other Responsibilities

(e.g. Supporting new staff within the Team.)

APPENDIX 7.4

EXAMPLES OF TARGETS USED AS PART OF A VOLUNTARY SYSTEM OF TEACHER APPRAISAL IN PLACE IN 1991 AT A SECONDARY SCHOOL (WS) IN NORTHAMPTONSHIRE

Illustrated on the following pages are aspects of the target setting procedures and structures which were part of the system of teacher appraisal adopted at WS. The content in the examples given is considered sufficiently self-explanatory for the present purpose to require no further ampliication beyond the references in chapter 7.

TARGET A4	To implement effectively the National Curriculum
TASKS	Link with target A3, A5, A6 Carry out a Curriculum Audit - Devise a Curriculum Development Plan - Identify strategies for implementing the plan
ROLES AND RESPONSIBILITIES	- J H and B ? - Heads of Faculty - Curriculum Co-ordinators - Cross-Curricular Co-ordinators - Whole Staff
INSET/STAFF DEVELOPMENT	- Identified by Curriculum Areas in the Audit - Increased understanding and involvement in forming a School Development Plan
RESOURCES	- Identified in the Curriculum Audit
SUCCESS CRITERIA	- Increased knowledge about the implementation of the National Curriculum - Foster a positive approach to implementing the National Curriculum. Staff morale improved - Increased awareness of the whole curriculum - More effective resource provision and use
REVIEW	- Progress Update at S.M.T. every ½ term - Audit requires deadline and should be used in the construction of the whole curriculum plan - Should be on-going target - Audit and Construction should be the aim for 1990-91

TARGET A3	To ensure the effective implementation of the Federation Structure
TASKS	Link with target A4 - Provide clear guidelines and support for Delivery Groups - Address the issues of duplication in the curriculum, particularly in Years 7 and 8 - Encourage and facilitate curriculum collaboration within and outside the Federation with reference to The Curriculum at W School - into the 1990's - Develop H.O.F. and Curriculum Co-ordinators input into Timetable Construction
ROLES AND RESPONSIBILITIES	- Chairperson and representatives of the Policy Steering Group - Proactive work of H.O.F. - Timetable task to be lead by D H - Whole Staff
INSET/STAFF DEVELOPMENT	- Knowledge of Timetable construction - Knowledge of the courses offered within and outside Federations - Team Building - P.S.G., Delivery Group, and Faculty
RESOURCES	- Early information and hands on experience of the format of the timetable for 1991-1992 - Identified time to work on timetable construction and deadlines for completion - Those identified by Delivery Groups
SUCCESS CRITERIA	- Enhanced collaboration between curriculum areas - Reduced duplication- increased reinforcement. A more coherent curriculum delivery - Richer experience of students. Ease of transfer improved - Increased staff awareness of whole curriculum
REVIEW	- Progress Update every ½ term at S.M.T. Meetings - Progress Update at P.S.G. Meetings - For curriculum development the target audience should be Year 7 (K.S.3) for 1991-1992.Then a rolling programme - This should be an ongoing target

Target A6

TARGET (A6): To review profiling procedures in the light of the National Curriculum

TASKS:
Link with target A5
1. Monitor and Evaluate the implementation of R.O.A. policy in Curriculum and form time for years 7, 10, 12
2. Seek parents' views regarding profile reports
3. Monitor and communicate the work of Ian Cooper

ROLES AND RESPONSIBILITIES:
- Jonathon Hickman, David Hargreaves (A5 link)
- H.O.F. and Curriculum Co-ordinators
- H.O.Y.
- P.O.A. Working Group
- Task 3 - C   H   , D   H   , J   , J   H
- Whole Staff

INSET/STAFF DEVELOPMENT:
- Counselling Training in completing student 'one to one' discussion
- Continued awareness raising re the construction and use of the summative R.O.A.

RESOURCES:
- Up to date information regarding external influences
- Conferences/meetings/publications from S.E.A.C., D.E.S., N.C.C., L.E.A. and N.A.R.A.
- Information Technology - hardware and software needs.

SUCCESS CRITERIA:
- Improved teaching and learning in the classroom
- Enhanced student motivation and responsibility
- Enhanced student-teacher relationship
- Parents have clearer picture of their child's achievements and targets
- Improved communication about student performance between Curriculum area and Form Tutor

REVIEW:
- Progress Update every ½ term at S.M.T. Meetings
- Progress Update at H.O.F. meetings every ½ term
- Progress Update at H.O.Y. meetings every ½ term
- Evaluate 'one to one' discussions throughout the year
- Ongoing target

Target A5

TARGET (A5): Continue the development of a whole school policy on assessment, recording, and reporting

TASKS:
Link with target A4 and A6
- Establish a Working Group to examine assessment, recording, reporting at Wollaston
- Working Group carry out Audit of existing policy and known requirements of N.C., 'A' and 'A/S' levels
- Construct whole school policy on Assessment, recording and reporting

ROLES AND RESPONSIBILITIES:
- D   H   and J   H
- H.O.F.'s and Curriculum Co-ordinators
- Cross Curricular Co-ordinators
- Whole staff

INSET/STAFF DEVELOPMENT:
- Assessment requirements of School, Nat. Curriculum, G.C.S.E., AS and A levels

RESOURCES:
- Up to date information regarding external assessment requirements
- Knowledge of statutory requirements
- Access to Conferences, advisory and inspectorate support

SUCCESS CRITERIA:
- Policy statement supported by whole staff
- Improved staff understanding of assessment, recording, reporting
- Reduced staff anxiety re - assessment, recording, and reporting. This should positively affect staff morale

REVIEW:
- Progress Update at S.M.T. every ½ term
- Working Group work to deadline
- Should complete Audit and Construction by summer '91
- Consider Implementation and Evaluation for '91-'92

APPENDIX 7.5

AN EXAMPLE OF A VOLUNTARY SYSTEM OF TEACHER APPRAISAL IN PLACE IN 1991 AT A LOWER SCHOOL (WL) IN NORTHAMPTONSHIRE

The following papers illustrate the teacher appraisal system at the lower school referred to in chapter 7. The first page is the introductory statement which describes the procedure applying to all the teaching staff at the school. Of the appendices mentioned, there is included here only the example (Appendix A) which concerns the appraisal of a classroom teacher.

Worthy of particular attention is item 8 in the "Outline of Procedure for Appraisal". In this item, the procedure for subordinate appraisal of the head is mentioned and it is indicative of the openness of appraisal at this school, a point made in the text of chapter 7.

Outline of Procedure for Appraisal

The procedure will be carried out by the Head and Deputy with the involvement of all members of staff. Where groups are involved, the Head will join a different group each term.

1. Job description – each teacher will write their own, expressing how they perceive their role within the school.

2. Head's interview with member of staff – this takes the form of an informal discussion using the job description as a vehicle for discussion about the teacher's role in the school, strengths and weaknesses, feelings and aspirations, future development and giving opportunity for a two-way discussion to benefit the Head's own development.

3. A written self-analysis by Deputy, Head, and every member of staff, stating perceived strengths and weaknesses.

4. Group discussion – each member of the group should be prepared to present and discuss their own self analysis to the group. The Appraisal Group shall be any group pre-determined for the purpose. The main aim of this group is for building self-confidence, by sharing expertise, in order to help individual teachers overcome weakness and to affirm and reinforce strengths.

5. Head's appraisal of individual class teacher carried out by:

      a.   observation in the classroom.

      b.   long term assessment.   (see appendix A.)

6. Follow up interview with Head – to discuss appraisal, using the appraisal documents as a guide.

7. Group discussion of:

      a.   valuable points arising from Head's appraisal. It will be necessary for Head to attend all these sessions.

      b.   to set targets for future progress.

8. Running concurrently will be the appraisal of the Head by the Deputy. (see Appendices B and C). This will follow the same format as the teacher's appraisal.

9. To foster a coherent appraisal policy all groups will need to meet together on a regular basis to report on group initiatives and discuss targets and future developments.

Appendix A

Guidelines for the Headteacher's Appraisal of Staff.

1. Relationship with children.

2. Classroom atmosphere.

3. Classroom organization.

4. Children's development.

5. Curriculum content.

6. Awareness of 'whole' school ethos.

7. Accessibility to children.

8. Communication.

9. Display work and general classroom appearance.

10. Relationship with the community.

KEY:

    A = can be assessed on appraisal visit.

    Y = should be assessed over a longer period (perhaps a full year) and using longer term knowledge of the subject.

   AY = should be assessed using both an appraisal visit and longer term appraisal.

1. **Relationship with children.**

   a. welcoming (first thing etc.)   A

   b. verbal contact e.g. tone of voice etc.   A

   c. eye contact.   A

   d. non-verbal contact.   A

   e. manner towards children.   A

   f. children's manner towards teacher.   A

   g.- confidence building for children   AY

2. **Classroom Atmosphere.**

   a. are children happy and confident   AY

   b. independent   AY

   c. busy with appropriate noise level.   A

   d. is there an opportunity to satisfy moods   A

   e. surroundings and ambience   AY

   f. warmth of caring   AY

3. **Classroom Organization.**

   a. provision of materials   AY

   b. accessibility of materials   A

   c. layout of furniture (corners etc.)   AY

   d. use of time   AY

   e. general tidiness   AY

   f. cleaning up   A

   g. indicators of good planning   AY

4. Children's Development.

   a. teacher should show evidence of their knowledge
       of children's development   AY

   b. emotional needs and development and treatment   AY

   c. awareness of children as individuals   AY

   d. provision of materials that are appropriate to
       their developmental state   AY

   e. evidence of academic progression   AY

   f. provision for special needs i.e. high fliers,
       low achievers, multicultural   AY

5. Curriculum Content.

   a. clear aims for the curriculum   Y

   b. breadth of provision   Y

   c. depth of provision   Y

   d. teachers should be aware of which aspects of
       the curriculum they are trying to promote by
       each activity provided   A

   e. teachers should also be aware of the skills and
       concepts needed within the body of knowledge
       for the curriculum   Y

   f. signs of multicultural content   AY

6.   <u>Awareness of Whole School Ethos.</u>

    a.   how does the classroom atmosphere contribute
        to the 'whole school ethos'   AY

    b.   does the teacher indicate awareness of the
        philosophy of the school   AY

    c.   does the content of the class curriculum fit
        in with the school's curriculum, philosophy
        and guidelines   AY

7.   <u>Accessibility to Children.</u>

    a.   teaching style   A

    b.   physical positioning in classroom   A

    c.   appropriateness of appearance   A

    d.   is the teacher approachable   AY

    e.   is the teacher aware of the children's needs
        (intellectual, emotional and physical)   AY

8.   <u>Communication.</u>

    a.   with teacher   A

    b.   with peer group   A

    c.   with parents   A

    d.   with other visitors and staff   AY

    e.   communication between everyone in the class-
        room at a given time   A

    f.   listening to children, children listening to
        other children, and the teacher listening to
        other adults (setting good example)   A

9.   Display and General Classroom Appearance.

a.	overall impression of classroom appearance	AY
b.	quality of display	AY
c.	quantity (too much, too little)	AY
d.	evidence of thought and planning	AY
e.	appropriateness of labelling	AY
f.	appropriateness to life of classroom and/or school	AY
g.	awareness of its value	AY
h.	evidence that children are making use of it	Y
i.	children's contribution	AY
j.	teacher's contribution	AY
k.	mounting and draping	AY
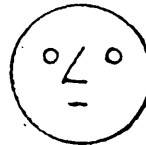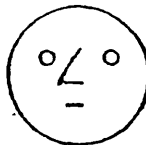
10.   Relationship with the Community.

a.	welcoming parents (e.g. a.m.)and listening to them	AY
b.	evidence that the wider community is involved in the curriculum	AY
c.	relationship with all staff, teaching and non-teaching	AY
d.	attitude to other regular visitors (e.g. students, multicultural etc.)	AY
e.	attitude to guests (invited people)	AY

APPENDIX 7.6

SMILING AND UNSMILING FACES

On the following page is an extract from a configuration of
smiling and unsmiling faces such as that referred to in
chapter 7.   A configuration like this can be used with
young children as a valuable means of evaluation providing
feedback to a teacher, as an element in teacher appraisal or
independently.   The number of faces in a row can of course
be greater than three, as was the case in the example
referred to in the text of chapter 7.   Similar
configurations can be used with older children.

	Never	Sometimes	Often

8. My teacher is polite and nice.

9. My teacher does things that keep children well-behaved.

10. My teacher is fair when children misbehave.

11. My teacher teaches in ways that help me learn.

12. My teacher uses things like charts, movies, filmstrips, and records.

13. My teacher chooses books, workbooks, worksheets, and other things that help me learn.

14. My teacher gives clear explanations and directions about my class work.

15. My teacher explains things again if I don't understand.

16. My teacher listens to me and uses my ideas.

An Example of a Checklist developed from HMI material

CHARACTERISTICS OF GOOD TEACHERS. - HMI.

* reliable.
* punctual.
* cooperative with colleagues.
* accept responsibility for care and safety of children.
* personality and character to command respect.
* knowledge of subject.
* ability to engage interest.
* respect for pupils.
* genuine interest in pupils words and thoughts.
* a quality of professional concern.
* commitment to further training.
* flexibility of approach.
* appropriate expectations of children.
* ability to foster self-discipline in children.
* set a good example.
* use appropriate language for childrens needs.
* encourage discussion.
* make long term plans with explicit goals (schemes).
* make short term plans (prepare lessons).
* have clear objectives for each lesson.
* make good use of resources/teaching aids.
* ability to capitalise on the unexpected.
* assess, mark and record childrens' work.
* give children feedback through discussion.
* develop relationships with children outside the classroom through extra-curricular activities.
* develop relationships with parents and the wider community.

From:

QUALITY IN EDUCATION: EVALUATION AND APPRAISAL. H.M.S.O.1985.

Source: Appraisal Pilot Project Norfolk (1989) Handbook for Individual Appraisal Norfolk County Council

APPENDIX 8.2

DIAGRAMMATIC REPRESENTATIONS OF THE COMPONENTS OF THE
PROFESSIONAL KNOWLEDGE BASE OF TEACHING AND OF A MODEL OF
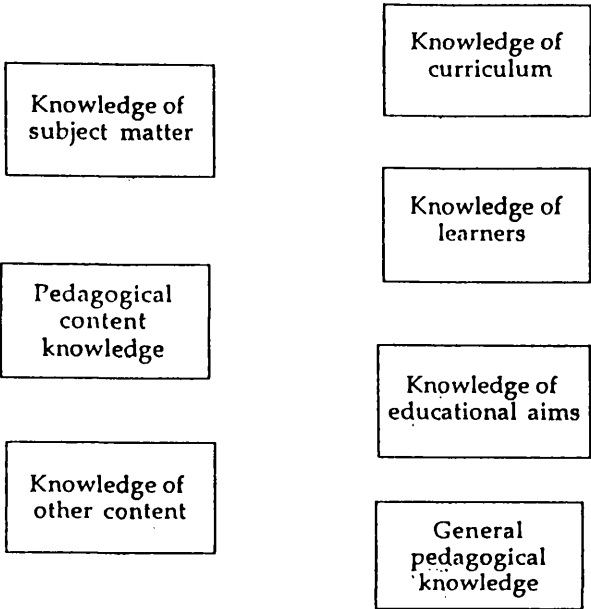PEDAGOGICAL REASONING

On the following page are two simple diagrams which were
constructed for the purpose of aiding understanding of the
process of teaching and learning. They are reproduced
here as an extended exemplification of the stage reached at
page 356 in the development of the argument that a
conceptual framework for teacher appraisal is likely to be
stronger if it itself is supported by sub-frameworks which
are built up from the findings of educational research,
especially, for example, such research which explores the
areas of the professional knowledge base of teaching and of
pedagogy.

While in diagram 1) there are no lines between the boxes to
suggest connections because these are a mystery (say the
authors), there are arguably strong relationships assumed in
practice at school and LEA levels. It is therefore
desirable to be open and as articulate as possible about
what is being assumed in practice. In diagram 2), there are
connections assumed between the events depicted, and the
numbers indicate a sequence or cycle governs the development
of these events, even if all stages in the development may
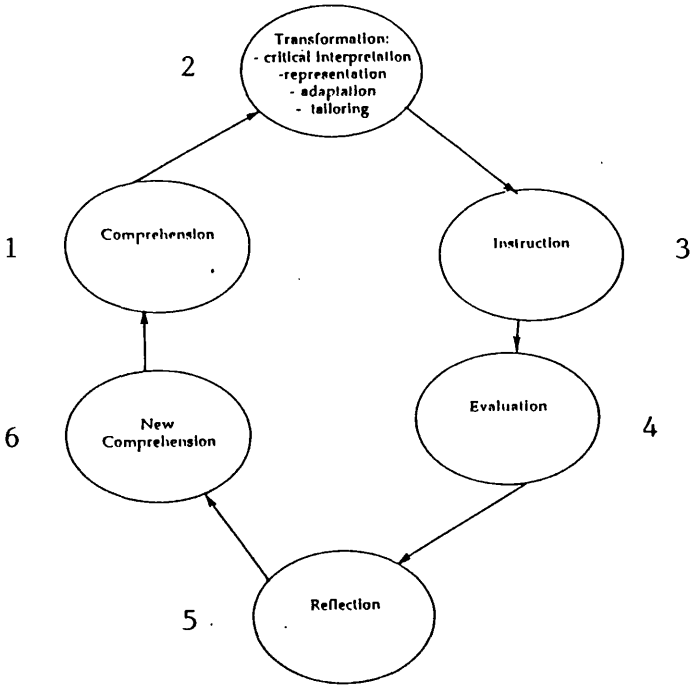not be strongly in evidence in every lesson.

APPENDIX 8.2

A Diagrammatic Representation of the Components of the Professional Knowledge Base of Teaching

1)

| Knowledge of subject matter |
| Knowledge of curriculum |
| Knowledge of learners |
| Pedagogical content knowledge |
| Knowledge of educational aims |
| Knowledge of other content |
| General pedagogical knowledge |

Components of the professional knowledge base of teaching

2)

2 — Transformation:
- critical interpretation
- representation
- adaptation
- tailoring

1 — Comprehension

3 — Instruction

6 — New Comprehension

4 — Evaluation

5 — Reflection

Model of pedagogical reasoning

Source: Wilson, S. M., et al (1987) 150 Different Ways of Knowing: Representations of Knowledge in Teaching in Calderhead, J. (ed.), Exploring Teachers' Thinking Cassell pp. 104 - 124.

The Roles of the Teacher

MANAGER Co-ordinating pupils' activities and structuring their learning programmes.

ADVISER Suggesting ways to tackle a task and ensuring that the task is sufficiently challenging.

NEGOTIATOR Working with pupils to negotiate an appropriate task, realistic deadlines and good use of resources.

CHALLENGER Providing an additional perspective which might be missing. For example, representing the views of the police to a pupil developing an alarm system.

RESOURCE PROVIDER Organising and providing resources.

PROGRESS CHASER Ensuring that deadlines are met.

INSTRUCTOR Providing specific knowledge and skills

LISTENER Acting as a sounding board for ideas.

FACILITATOR Helping groups and individuals to reach decisions without providing answers. For example, helping a group identify the appropriate material by asking them to consider the properties of a range of materials.

EVALUATOR Deciding on the merits of a pupil's approach and advising accordingly.

MONITOR Ensuring that all pupils are working to their full potential and making progress.

ASSESSOR Assessing and recording pupils progress

Source: NCC 1991 Managing Design and Technology at Key Stage 3 Section 7

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Note: The school material referred to during the research is mostly not listed above because too voluminous. The nature of the material is indicated in the text. Items considered particularly important are identified either above or in appendices.