



Managing Teacher Appraisal and Performance

A comparative approach

Edited by David Middlewood and Carol Cardno

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Managing Teacher Appraisal and Performance

This book deals with the biggest single issue currently facing school managers, how they should appraise the performance of their staff and the implications of this process. Recent government initiatives have brought this matter to the fore and headteachers are now required by law to implement appraisal. This book brings together the latest thinking on the subject and places it directly in the context of school management.

Managing Teacher Appraisal and Performance examines the ways in which various countries have tackled the issue, ranging from the 'hire and fire' approach, to concentrating on professional development. The book includes sections on school leadership, the professional development of teachers and the implications for the future of teacher appraisal and performance. The chapters are written by distinguished international academics, writers and researchers, who report and analyse the significance of their work in the UK, Australia, New Zealand, Canada, South Africa, Singapore and the USA.

This timely and authoritative book is essential reading for headteachers and school managers seeking guidance on the appraisal process.

David Middlewood is Director of School-based Programmes at the University of Leicester's Educational Management Development Unit.

Carol Cardno is Professor of Educational Management and Head of the School of Education at UNITEC Institute of Technology, New Zealand.

Contributors

The editors

David Middlewood is Director of School-based Programmes in the Educational Management Development Unit of the University of Leicester, and was previously a secondary school headteacher. He has edited and contributed to volumes on topics such as strategic management, home-school links, curriculum management, recruitment and selection and staff development. He is also co-author of *Practitioner Research in Education: making a difference* (1999). He has published and researched in the field of performance appraisal, in the United Kingdom, New Zealand and South Africa and has acted as consultant to and evaluator of appraisal schemes for various organisations. His book (with Tony Bush) *Managing People in Education* (1997) is a best-selling book on Human Resources in Education and is the set text on HRM in a majority of UK University Masters courses. David is also co-editor of the national journal *Headship Matters*.

Carol Cardno is Professor of Educational Management and Head of the School of Education at UNITEC Institute of Technology, New Zealand. She has a wide experience of teaching in primary, secondary and tertiary sectors. She has also held several school management positions and was principal of a secondary school before establishing an Education Management Centre at UNITEC in 1991. Carol is the author of *Collaborative Management in New Zealand Schools* (1990, Longman Paul) and *Effective Performance Appraisal – Integrating Accountability and Development in Staff Appraisal* (1997, with Eileen Piggot-Irvine, Longman) and several papers on topics related to her research interests which are staff appraisal, organisational learning and teams, collaborative management and management development.

The contributors

Catherine F. Battaglia is Principal of City Honors School in Buffalo, New York, following a period on Special Assignment for the Niagara Falls Board of Education, Niagara Falls, New York, where she has developed and co-ordinated professional development programmes and training for district employees for twelve years. She

earned her Ph.D. in Social Foundations from the State University of New York at Buffalo. She also serves as an adjunct professor at Niagara University.

Her research interests revolve around the issues of creating learning communities, promotions, job-embedded staff development using Action Research to link professional development with teacher appraisal, and fostering university and school-based partnerships, which focus on enhancing teacher performance.

Joy Chew is Associate Professor and Head of Policy and Management Studies Academic Group at the National Institute of Education, Nanyang Technological University, Singapore. Her academic background, including her doctorate, is in Sociology of Education. Her research areas are in values education, mentoring as a tool for principalship training and sociology of schooling. She has been involved in the management education of school principals and incumbent heads of departments in Singapore. She has intimate research-based knowledge of the assessment of principals' performance in Singapore and its impact upon the principals' and schools' performance.

Wayne L. Edwards is Associate Professor of Education at Massey University, Palmerston North, New Zealand, where he is responsible for the Master of Educational Administration Programme. A former classroom teacher and teachers college lecturer, his major interests lie in the leadership, culture and improvement which might enhance the work of educational places.

Wayne has held a number of fellowships and appointments for research, teaching and consultancy in different parts of the world – primarily in North America, England and Australia. In 1997, he was a member of the three-person panel appointed by the New Zealand Government to review the nature and work of New Zealand's Education Review Office, leading to the publication *Achieving Excellence*. Wayne is currently a member of the Minister of Education's Working Party charged with reviewing the length of the school year and day in New Zealand.

Professor Edwards is a Fellow of the Commonwealth Council for Educational Administration and Management and a Fellow of the New Zealand Educational Administration Society. In 1995 he received the OBE for his services to education and intercultural programmes.

Tanya Fitzgerald is Associate Professor in the School of Education at UNITEC Institute of Technology, Auckland. She has a varied background in the education sector; as a teacher and Head of Department in secondary schools and as a lecturer in the History and Education Departments at the University of Auckland. Tanya has also held management positions in the corporate sector. Her current teaching is in the area of education management and her research interests are gender issues in education, policy studies, appraisal, governance and management in self-managed schools and the history of women's education. Tanya has presented numerous papers at both national and international conferences, and has examined performance appraisal in both educational and business contexts.

Lawrence Ingvarson is Head of the Division for Teaching and Learning with the Australian Council for Educational Research. He is also a member of a Ministerial Advisory Committee to establish a professional body for teachers. Before that, he was Associate Professor in the Faculty of Education at Monash University, Melbourne, Australia. Lawrence has worked extensively in Australia and the USA on reforms to teacher career structures and pay systems. His main interest is in teachers' professional development, as well as the development of schools as learning communities. He carried out research for the introduction of the Advanced Skills Teacher in Australia and has recently edited a book based on the work of the National Board since it was established in 1987.

Stephen L. Jacobson is Professor of Educational Administration in the Department of Educational Leadership and Policy at the State University of New York at Buffalo (UB). He earned his Ph.D. in Educational Administration from Cornell University in 1986. His research interests include the reform of school leadership preparation and practice, and such matters of school finance and personnel as teacher compensation, staff development and employee absence.

Jacobson's most recent books include: *School Administration: Persistent Dilemmas in Preparation and Practice* (Praeger 1996) and *Transforming Schools and Schools of Education: A New Vision for Preparing Educators* (Corwin 1998), and he received the MCB University Press 1998 Literati Club 'Highly Commended' Award for his article 'The inclusive school: Integrating diversity and solidarity through community-based management' in the *Journal of Educational Administration*, 1997.

In 1994 he was awarded the University Council on Educational Administration's Jack Culbertson Award for outstanding contributions to the field of educational administration. He is currently Director of UB's Centre for Continuing Professional Education and President of the American Education Finance Association.

Kenneth Leithwood is Professor of Educational Administration and Director, Centre for Leadership Development at OISE/University of Toronto. Specialising in the areas of leadership and educational change, his most recent books include *Changing Leadership for Changing Times* (Open University Press) and *Organisational Learning in Schools* (edited with K.S. Louis, published by Swets and Zeitlinger). He is the senior editor of the recent *International Handbook of Educational Leadership and Administration* (Kluwer). Kenneth Leithwood is one of the most respected writers on educational leadership in the world. His books and articles are widely published internationally and he has lectured in many countries.

Shamella Ramnarain is Head of Department in Asoka Secondary School in Durban, South Africa, and completed her Masters in Education in 1999. She has both practical and research-based experience of research into teacher appraisal.

Michael Thurlow is Professor of Educational Management at the University of Natal, Durban, South Africa, where formerly he was Dean of the Faculty of Education and Head of the Department of Education. During 1996 he served

as a member of the national Minister of Education's Task Team on Education Management Development and during 1997 served as a consultant in the same Minister's Interim Unit for Education Management Development. He served during the same period as the South African liaison person for the national component of the Canada–South Africa Education Management programme and currently is strategic planning consultant to the Kwazulu Natal Department of Education and Culture. He is a co-ordinator, with Professor Tony Bush, for the Partnership for Research and Development between the University of Leicester's EMDU and the University of Natal, which has led to education management publications in South Africa, where Michael has published widely.

John West-Burnham is Professor of International Leadership at the University of Hull. He worked in secondary modern, grammar and comprehensive schools and in further and adult education for fifteen years and was Principal Lecturer in In-Service Education Crewe and Alsager College, Cheshire for five years. He then became Development Officer, Cheshire LEA for two years, responsible for appraisal and management development and followed this with two years as Director of the Distance Learning MBA in Educational Management, University of Leicester. He joined the University of Lincolnshire and Humberside in 1995 as Professor of Educational Leadership, and the University of Hull in 2000.

John is author of *Managing Quality in Schools* (1992, 1997) and co-author of *Effective Learning in Schools* (1997) and of *The Appraisal Handbook* (1994). His research and writing interests include learning and school improvement, effective leadership and quality management in education. He is currently researching the processes by which educational leaders learn to be effective and is writing *Leadership for Learning* to be published by Routledge. John has worked with a large number of schools, LEAs and professional bodies in Britain and has also worked in Australia, New Zealand, South Africa, USA and Israel.

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Finally, the book probably would not have been completed without the unflinching support and expertise of Felicity Murray at Leicester University's EMDU. We owe her a great deal indeed.

Preface

The catalyst for this book was a joint research project in New Zealand (kindly funded by the British Council of New Zealand) between the Educational Management Development Unit of the University of Leicester and the School of Education of UNITEC, Auckland. This involved a visit by David Middlewood to Auckland in September/October 1998, during which he and Carol Cardno worked together on research and teaching. We had both had an active involvement in teacher appraisal in our two countries and had published on the topic. More significantly, both of us had argued that appraisal of the performance of teachers could only be effective if:

- it addressed the issue of a balance between the need for accountability and for professional development;
- it was managed in the context of the whole process of how teachers are managed as people in the school; and
- its success depended upon the success of the leaders and managers at individual school level in ensuring that national schemes were seen as relevant, and adapted to those individual contexts.

Through conferences, visits and other contacts (with school principals, headteachers, teachers and academics), we were also aware of the significance of the issue in a number of countries. Under a variety of descriptions – teacher assessment, teacher evaluation, appraisal – the question of how teachers could be helped, persuaded, encouraged or even ‘forced’ to perform effectively, and to improve where that performance was below expectations, was one to which the answer was being sought in a wide variety of contexts. As we explore in Chapter 1, the cultural, historical and political contexts inevitably play significant parts in seeking any answers.

Both New Zealand and the United Kingdom have adopted the terms ‘performance’ and ‘performance management’ to apply to teachers in schools, terms taken of course from the world of business and industry, a fact which is not necessarily likely to endear them to teachers anyway!

In presenting practice in this area from a number of countries, based on practice and research by distinguished writers and workers in the field, we in no way claim this book as any kind of extensive survey. Such a survey would inevitably run the risk of being both superficial and descriptive. Rather, we have been concerned to present studies from key countries, based on the research and experience of academics and practitioners, which illustrate some of the most important aspects of teacher performance and appraisal from which school managers may learn. Certainly, in the United Kingdom, with the new emphasis on performance management for teachers, these studies have a special relevance at this time.

In our first chapter we have outlined this relevance and importance and tried to identify some of the issues faced by leaders and managers. Thereafter, the book is in three parts. Part I focuses on school headteachers and principals, both from the point of view of examining their own performance and appraisal and also something of their role in the process as far as others are concerned.

Part II presents some of the issues involved in performance appraisal of teachers in studies from four different countries. A common theme is the extent to which teacher development can or should be part of an effective management process in this field. All the studies agree that it should, but the influence of different contexts, previous experience, and political initiatives is shown clearly through the different experiences.

Part III looks at some aspects of the future of this field, including an examination of addressing the dilemmas facing leaders, a query as to whether performance appraisal is as important as assessment for career progression and, finally, an attempt to predict some future trends and identify points which will be of value to managers.

This last point is for us, and all the contributors, the ultimate purpose of a book such as this. Effective leaders and managers are those who seek to understand and clarify the concepts and issues involved in a topic such as teacher performance and appraisal, and then adapt and apply these to their individual circumstances, never losing sight of the person for whom their effective management is ultimately intended – the school learner.

The project of this book has been stimulating and demanding and we are above all extremely grateful to all the contributors for their work. All chapters were specially commissioned for this book.

David Middlewood and Carol Cardno
December 2000

Abbreviations

AJHR	Appendices to the Journals of the House of Representatives (N.Z.)
ANC	African National Congress
APR	Annual Performance Review
AR	Action Research
BARS	Behaviourally Anchored Rating System
DfEE	Department for Education and Employment
ELRC	Education Labour Relations Council
EPU	Education Policy Unit
ERO	Education Review Office
IiE	Industry into Education
ITIP	Instructional Theory into Practice
LPSH	Leadership Programme for Serving Heads
MoE	Ministry of Education
NAG	National Administrative Guideline
NBPTS	National Board for Professional Teaching Standards
NPQH	National Professional Qualification for Headship
NZ	New Zealand
NZPPTA	New Zealand Post-Primary Teachers' Association
OECD	Organisation for Economic and Cultural Development
OFSTED	Office for Standards in Education
PGP	Professional Growth Plan
PPM	Principal Performance Management
PRP	Performance Related Pay
SA	South Africa
SADTU	South African Democratic Teachers' Union
SBM	Site-Based Management
SDT	Staff Development Team
SES	Socio-Economic Status
STA	School Trustees Association
TRB	Teacher Registration Board
TTA	Teacher Training Agency

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The significance of teacher performance and its appraisal

David Middlewood and Carol Cardno

The context of the growing importance of education

In the last quarter of the twentieth century, an increasing consensus developed concerning the link between economic prosperity and the effectiveness of a country's education provision. As globalisation gathered pace dramatically in the 1980s and 1990s, this link became more overt as the comparison and competitiveness between nations inevitably increased. At the heart of the argument for the link is the need for an educated workforce, without which a country's economy will not keep pace. This has been equally clear in the established western countries and the emerging Asian 'tiger' economies of the 1980s and 1990s. What is meant by an 'educated workforce' will necessarily differ but central to the production of this clearly lies the quality of teaching and learning in a nation's schools, colleges and universities.

These two factors at the macro international level – the emphasis on comparisons and competitiveness and on the quality of teaching and learning – have been reflected within many countries. The concern of governments in countries whose practice is described in this book, has been increasingly with comparisons between schools. This has been accompanied by the international movement towards schools' self-governance and self-management, leading to the conflict, real or potential, between the laudable desire to raise standards for all school students and the influence of the marketisation upon schools. This latter influence has led to intense debate in countries such as New Zealand, the United Kingdom, USA, and Canada about the disadvantaging of certain students, especially in urban areas, caused by resource allocation.

All this is very familiar but the significance for teaching and learning and consequently for any assessment of teacher performance is that comparisons and competitiveness inevitably have meant that governments have placed the emphasis upon education *outcomes*, such as proficiency in literacy and numeracy, examination results, test scores, and numbers of students continuing beyond statutory schooling. The significance of these is that outcomes have to be seen to be measurable, because only in measurable outcomes can comparisons be visibly

made. This emphasis on the measurable brings with it a considerable risk. As Preedy (2000: 95) suggests:

Many of the most valuable outcomes of education are multi-dimensional, complex and long term. . . . By focusing on measuring outcomes against pre-specified objectives, the product evaluation model ignores unplanned outcomes, and fails to explore the value and worth of the prescribed objectives and purposes. There is also a tendency to de-emphasise contextual factors . . .

None of this is any argument against teachers and schools needing to be accountable. Clearly they have to be accountable in a visible way, both to the students and parents whom they serve and to the taxpayer for the considerable sums invested in education. Any system of performance and its appraisal in education must capture this essential requirement and, later in this chapter, we examine this in detail.

Preedy's comment captures the essence of a potential dilemma in the assessment of teachers' performance. If the emphasis in an educational system is on measurable outcomes and schools are deemed successes or failures according to those outcomes, then effective teaching will be seen as that which achieves those outcomes. The temptation therefore is for national bodies to promulgate a model of teaching which lends itself to this and to appraise teachers accordingly. In the UK, the model of effective teaching as presented by the OFSTED Framework of Inspection of Schools (OFSTED, 1997), and against which teachers' lessons were formally graded during one-off inspections, was widely criticised, not because it was an invalid model but because it was presented as the *only* model. It was above all an outcomes model because the inspection model of the UK in the 1990s was itself essentially one concerned with inspecting schools' attainments.

The complexity of assessment of teaching

The question of defining good teaching has concerned educationalists and academics for some considerable time. As Kyriacou (1986) postulated, perceptions of teaching depend upon philosophical premises anyway – is it a craft, an art, a science for example? The debates about the 'deskilling' of teachers (Ozga 1995) and whether teachers are professionals (Hoyle 1995) simply illustrate the complexity further. However, even if a model based upon measurable outcomes is assumed for the purposes of appraising the effectiveness or otherwise of a teacher's performance, the issue of *context* remains a complicating factor.

Much of the issue of context that is relevant here is related to the extent to which schools are held responsible for the success or otherwise of their students. Stoll and Myers (1998: 9), draw attention to the distinct difference between the majority of countries who refer to 'failure of pupils' and a few who talk in terms of 'school failure'. Where school failure is emphasised, external context has low consideration and school managers and teachers are criticised for having