TEACHER EVALUATION POLICY IN PORTUGAL:

AN IMPLEMENTATION STUDY

A Dissertation

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Ana Paula dos Reis Curado

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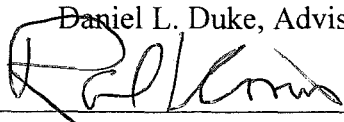
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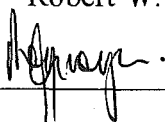Charlottesville, Virginia

APPROVAL OF THE DISSERTATION

This dissertation, "Teacher Evaluation Policy in Portugal: An Implementation Study",

has been approved by the Graduate Faculty of the Curry School of Education in partial

fulfillment of the requirements for the degree of Doctor of Philosophy.

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Daniel L. Duke, Advisor

_____

Robert W. Covert

_____

Margaret M. Grogan

_____

Pamela D. Tucker

_____

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ABSTRACT

The purpose of this dissertation was to study the implementation process of Portuguese policy of teacher evaluation. To achieve this purpose, the collective bargaining process leading to the formulation of the teacher evaluation policy was investigated, and three case studies, based on three secondary schools with different organizational characteristics, were developed.

The conceptual framework guiding the study's design and findings was derived from organization theory. The literature review covered the areas of teacher evaluation, teacher professionalization, educational change, and policy implementation.

The Portuguese policy of teacher evaluation is composed of three elements: a document of critical reflection written by the teacher in evaluation; mandatory continuing education; and an appraisal report by the school's evaluation committee. How these elements were implemented varied across the three secondary schools. The study also concluded that Portuguese teacher evaluation policy, while asserting to promote teacher professional development and school improvement, lacked some basic characteristics that the literature deemed pivotal to accomplish its stated purposes. Policy implementation focused primarily on career advancement. Recommendations were suggested for teacher evaluation policy reformulation and its implementation, and issues for further research were addressed.

DEDICATION

To my mother,

and to the memory of my father.

ACKNOWLEDGEMENTS

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CHAPTER 1

PROBLEM STATEMENT

The purpose of this dissertation was to study the implementation process of Portuguese policy of teacher evaluation. To achieve this purpose, the collective bargaining process leading to policy formulation was investigated, and a qualitative cross-case analysis of the implementation process in three secondary schools was conducted.

Seven sections form the problem statement chapter of the study. First, the personal and professional reasons leading to the choice of the topic are explained. Second, the research problem is formulated, the purpose stated, and the questions specified. Third, the relevance of the study is established and its limitations considered. Finally, the organization of the study is detailed and some definitions are provided.

1. Personal and Professional Reasons Leading to the Choice of the Research Topic

Why study such a sensitive, or "explosive" (Hajdi, 1995) topic as teacher evaluation? In order to answer this question, it is necessary to describe briefly my long-term relationship with teachers and teaching. This relationship might be characterized as

problematic, since the reason that I chose my first degree, economics, back in the early 1970s, was precisely because I had no desire to teach. I would have preferred to study foreign languages (English or French) or history, but I knew that, by choosing those courses, I would most certainly be funneled into teaching. Such a prospect was unappealing; I therefore chose the preparatory courses necessary to enter the School of Economics.

All this occurred in Mozambique, where I lived throughout my teenage years. When I returned to Lisbon, Portugal, to attend my first year of university, I experienced what I have begun to call my first "epistemological earthquake". From a virtually apolitical and uncritical life as lived by young urban whites in Mozambique, I was suddenly transported to the Lisbon university's tumultuous climate of the early 1970s, a sequel of the May, 1968, European student movement. Conflict was everywhere; Marxism was the ideology of nearly everyone adopting a critical position toward the Portuguese totalitarian and colonialist regime. The School of Economics was one of the focal points of student protest. From an earlier uncritical position, I moved to the opposite extreme: left-wing politics of Marxism. That phase was extremely important for the development of my first consistent conceptual approach to understanding life and the social relationships within it.

Another consequence of this formative period was that I rejected my initial intention to practice the profession of economics, linked in my mind to the establishment, technocracy, and exploitation. So, in my fifth and last year, I began to teach. I realized I liked teaching, mostly because of my friendly relationships with students, and additionally because I enjoyed teachers' working conditions, namely their autonomy, the

vacations, and the twenty-two weekly hours of work. After completing my economics degree, I concentrated on getting tenure, to ensure employment stability. I took the necessary initial training courses and began my career as a high school economics, sociology, and political science teacher.

In my eighth year of teaching, I was selected to supervise a group of teachers engaged in their initial training. During this process, I began to study the evolution of the Portuguese educational system, comparing it with other systems, discussing the importance of schools as means of socialization and reproduction. This teacher training process was school-centered, involved teachers of different disciplines, and promoted a cross-disciplinary approach to educational issues. It was a very challenging and dynamic process, and for two years I was deeply involved in it.

When training ended, routine began to characterize my professional life. I had achieved almost all that was possible in a high school besides teaching. I felt nearly claustrophobic, with a decreasing motivation to teach, and realized that it would be increasingly difficult to change occupations, due to my age and lack of other professional experiences. I applied to the few master's programs in education that existed in Portugal at the time. This evolution through my life stages did not differ much from what has been written about teachers in other parts of the Western world, as Huberman's (1989) and Sikes' (1985) work, for instance, revealed. Finally, after thirteen years of teaching, I left my school and began working for the Portuguese Ministry of Education, at a central planning office, where I formed part of a team focusing on teachers' working conditions. The studies of initial and in-service teacher training led me to realize that the problem of teachers' lack of motivation was a focus of multiple national and international studies.

The need to create conditions to enhance the interest of teachers and the status of the teaching profession was evident.

In the early 1990s, I began working at the Institute for Educational Innovation. I also completed a master's degree in education, with a thesis focusing on the professional identity of secondary school teachers. The curricular component of this master's degree was extremely important for my intellectual development, leading me to rethink most of my epistemological assumptions. The comprehensive and systemic approach to the study of social reality, the introduction to the notion of uncertainty intrinsic to any type of knowledge, the notion of scientific advancement through the systematic critique of the formulated propositions -- all of this discourse prompted another "epistemological earthquake".

After completing my master's degree, I decided to work in Asia for two years, at the Department of Education of Macao, a Chinese territory under Portuguese administration. I developed a number of studies of Macao's complex educational system, and was included on a team responsible for designing and implementing an initial teacher-training course for kindergarten and primary school teachers at the University of Macao's School of Education. After my Asian experience, I returned to Portugal to work once more at the Institute for Educational Innovation. Over two years, I developed a Delphi study aimed at designing a framework for teacher evaluation and professional development, and collected opinions from key groups in the Portuguese educational community, including college presidents, Ministry of Education officials, representatives of teachers' unions and professional associations, teacher training directors, school presidents, and teachers. This study led me to extensively reading on teacher development

and teacher evaluation, mostly by American authors, on their experiences in a country where teacher evaluation systems were most developed and institutionalized.

While concluding the Delphi study, I realized that the natural next step in my intellectual development would be to apply to a doctoral program in the United States. I chose to study in America for two major reasons: I preferred the American doctoral system, composed of a course of study followed by a dissertation (Portuguese master's degrees were similarly organized, but doctoral programs included only the dissertation); and I believed that it would be interesting to live on a fourth continent, having already lived in Europe, Africa, and Asia. I had read several books and articles by Professor Daniel L. Duke, and had worked in Portugal with an American professor from Florida State University, who highly recommended Professor Duke as an adviser. Therefore, I asked Professor Duke if he would serve as my adviser for a Ph.D. program with a dissertation focused on teacher evaluation. Professor Duke agreed to do so, and supported my application to the University of Virginia's Curry School of Education, Department of Leadership, Foundations, and Policy, Administration and Supervision program area. I obtained a PRAXIS grant from the Portuguese Ministry of Science to help pay for my tuition and other expenses.

This path led me to the University of Virginia, on a paid leave from the Portuguese Ministry of Education, to write my doctoral dissertation on Portuguese teacher evaluation policy.

2. Research Problem

This research focused on the implementation of the current Portuguese secondary teachers evaluation policy. In order to understand the current policy, a brief description of the evolution of teacher evaluation policy in Portugal is provided.

2. 1. Background

From 1947 until 1974 (the year of the Portuguese democratic revolution), secondary teachers' evaluation was performed by the Ministry of Education's Inspectorate, supported by school directors, named "reitores". Consistent with the non-democratic regime, teachers had no say concerning the results of the inspectors' and "reitores" evaluations (Barroso, 1995; Simões, 1998).

From 1974 until 1986, the teacher evaluation issue disappeared from the educational agenda, since it was associated with control systems characteristic of the autocratic past. As the democratization process evolved and democracy was established, however, the social values pendulum began to swing toward quality, efficiency, and accountability, and away from the focus on equity, characteristic of the previous decade (Afonso, 1994; Barroso, 1991; Nóvoa, 1992).

Following the enactment of the Educational System Basic Law of 1986, the teacher evaluation issue re-surfaced, with a focus on development, accountability and career advancement. A teacher evaluation policy was implemented in 1992, together with

a new policy on school administration, as part of a centralized effort aimed at reinforcing schools' autonomy and promoting teacher professional development. This evaluation policy was based on teachers' self-evaluation reports and on proof that the required in-service training units had been completed. The evaluation role was performed by the school directive board.

In 1998, with a new government run by the socialist party, the teacher evaluation policy was reformulated as part of the Teachers' Career Statute's revision. According to the new legislation, teacher evaluation continued to be based on a self-evaluation report, now entitled 'document of critical reflection', and on proof that the required continuing education credits had been completed. The evaluation role, however, was to be performed by an evaluation committee consisting of three to five teachers, appointed by the pedagogical board. This evaluation committee was required to write an appraisal report that would take into consideration the work performed by the teacher, individually or in groups, during the evaluation period.

Research on Portuguese teacher evaluation. The body of knowledge concerning the implementation of the Portuguese teacher evaluation policy is very limited. Only one master's thesis focused on this topic (Simões, 1998), and it dealt with the first policy, enacted in the early 1990s[1]. Another Delphi study (Curado, 2000) was sponsored by the Institute for Educational Innovation; it aimed at collecting opinions from key groups in the Portuguese educational community regarding the design of a conceptual framework

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[1]A review of this study was presented in Chapter 2, Section 4.2.

for teacher evaluation and professional development. There have been no studies regarding the second version of the teacher evaluation policy, enacted in the late 1990s.

2. 2. Problem Statement

The topic of teacher evaluation could be approached from diverse perspectives. The present study involved two: organizational change (Fullan, 1982, 1991) and policy implementation (Odden, 1991). It was assumed that a teacher evaluation policy might be implemented differently based on the organizational characteristics of schools.

Bolman and Deal (1997) divided organization theory into four perspectives or frames, defined as "both windows on the world and lenses that bring the world into focus" (Bolman & Deal, 1997, p. 12). The structural frame held that organizations existed to achieve goals, and they relied on authority and rules to assure coordination and efficiency in the pursuit of these goals. According to this frame, the purpose of teacher evaluation was to determine the extent to which teachers contributed to achieving organizational goals.

The human resource frame was based on the assumption that organizations consisted of individuals whose performance would be enhanced if there was a fit between their interests and the organization's interests. It was assumed that, if people were committed to the organization, they would work better, thereby improving both morale and productivity. According to this frame, teacher evaluation could be used to promote teacher commitment and empowerment.

The <u>political</u> frame regarded organizations as coalitions of individuals and groups, each trying to pursue their own interests. From this perspective, teacher evaluation was part of schools' micropolitics and focused on bargaining strategies developed by evaluators and evaluated in order to achieve their own agendas.

The <u>symbolic</u> frame considered that what mattered most in organizations was the meaning events had to participants, rather than the events *per se*. According to this frame, teacher evaluation was a ritual enacted to convey an appearance of rigor and credibility, while schools' core activities were not in fact closely inspected.

The human resource frame seemed to be the most fitted to understand the Portuguese teacher evaluation policy in the 1990s. Within this frame, a body of literature emphasized the role that teachers, as empowered professionals, might play in promoting educational quality and improving student learning. One of the characteristics of the movement emphasizing teacher professionalism was its focus on building a knowledge-base that resulted from communities of practice, that is, a common knowledge shared by practitioners through the exchange and discussion of reflective practices and solutions to practical problems. From this perspective, teacher evaluation practices should focus on self-improvement and peer review, involving teachers directly in the preparation, implementation, and follow-up of the evaluation process (Darling-Hammond, 1997; Duke, 1995; Firth & Pajak, 1997; Lee, 1991; Millman & Darling-Hammond, 1990; Stiggins & Duke, 1988).

It might be argued that the Teacher Evaluation Act of 1998 reflected the "professionalization" and "teacher empowerment" movement, as it stated that the evaluation role was to be performed by a committee of peers, that is, three to five teachers

from the school pedagogical board, who must appraise teachers' self-evaluation reports, termed "documents of critical reflection". In these documents, teachers must analyze their work during the evaluation period and offer proof that mandatory training courses had been attended. This requirement might be understood as a way of promoting the reflective practice necessary for professional development (Schon, 1978).

This evaluation policy, however, did not make provision for the observation of teachers' classroom practices. It might be argued that, by not promoting the examination of actual teaching, the policy did little to promote better teaching practices (Elmore, Peterson & McCarthey, 1996; Little & McLaughlin, 1993). Portuguese schools seemed to function according to a "logic of confidence" (Meyer & Rowan, 1978), in which administrators were not required to take a close look at actual teaching, thus avoiding taking action against ineffectiveness.

It was therefore possible to identify in the Portuguese teacher evaluation policy two different influences: one leading to teacher professionalism and empowerment; another leading to the enactment of symbolic rituals with few consequences for teachers' classroom practices. The effect of these different influences on the implementation of Portuguese teacher evaluation policy in three secondary schools, and the participants' opinions about the policy's impact, were the focus of this study.

3. Purpose and Central Questions of the Research

This study aimed to understand the implementation process of Portuguese teacher evaluation policy in secondary schools. Its purpose was twofold: first, to investigate if the new teacher evaluation policy was implemented differently in different types of secondary schools; and second, to collect secondary teachers' and school presidents' opinions concerning the policy's design, implementation, and impact.

Research question #1: How was the teacher evaluation policy implemented in three different types of secondary schools?

Research question #2: What were the opinions of secondary schools' presidents, evaluation committees, and evaluated teachers regarding the evaluation policy's design, implementation, and impact?

These questions were subdivided into more *specific questions*:

Research question #1: How was the teacher evaluation policy implemented in three different types of secondary schools?

Evaluation committee:

- How was the evaluation committee formed?

- What were the evaluation committee's activities?

- What were the contents of the appraisal reports?

Teachers' documents of critical reflection:

- How were teachers informed about their contents and purpose?

- What did they focus on?

Mandatory in-service training:

- How were the training courses related to the evaluation process?

Requests for "good" and proposals of "non-satisfactory" ratings:

- How were the processes related to "good" and "non-satisfactory" ratings organized?

Conflicts related to the evaluation process:

- What conflicts emerged as a consequence of the evaluation process? How were they managed?

Research question #2: What were the opinions of secondary schools' presidents, evaluation committees, and evaluated teachers regarding the teacher evaluation policy's design, implementation, and impact?

- What were their opinions about the design, implementation, and impact of each of the components of the evaluation policy?

- What reasons did they offer for teacher evaluation?

- What suggestions did they have for improving the teacher evaluation policy?

4. Justification

The relevance of this study might be justified from both an education policy and a research perspective.

Education policy relevance. In Portugal, educational reform in the 1970s and early 1980s was mostly concerned with school democratization and problems related to the equality of educational opportunities. In terms of teacher education, this concern was reflected by a focus on initial training: the country needed to train a large number of teachers to instruct all the young people entering institutions of formal education for the first time. It was also necessary to train teachers' trainers, and consequently to create education schools (Nóvoa, 1992).

The late 1980s and the 1990s witnessed a movement toward educational quality, defined in terms of excellence and accountability. Within this framework, teacher training policies were designed to promote in-service professional development, and teacher evaluation re-entered the educational policy agenda. The Teacher Evaluation Act of 1998 stated that its purpose was to promote teachers' merit and professionalism. This study's findings regarding how teacher evaluation policy was implemented in three secondary schools might be relevant to understand the extent to which the policy met its stated purposes.

Educational research relevance. Since the 1980s, research literature focusing on teacher evaluation has broadened from a focus on classroom observation to encompass integrated programs of individual and organizational development (Darling-Hammond,

1997; Duke, 1995; Firth & Pajak, 1997; Millman & Darling-Hammond, 1990; Stiggins & Duke, 1988). The Teacher Evaluation Act of 1998 determined that teacher evaluation in Portugal was based on self-evaluation and peer review; classroom observation was not considered. This study's findings might be relevant to understand the extent to which such a policy was perceived by school presidents, teachers and evaluators as impacting positively on teaching and schooling, thus contributing to research on the topic. The study's conclusions might also contribute to enlarge the small knowledge-base of teacher evaluation in Portugal[2].

5. Limitations

This study was based on interviews and document analysis; there was no direct observation of teacher evaluation practices in each school. Although triangulation techniques were used to validate information, the researcher was not able to directly confirm what was reported by others. The study relied on the opinions of secondary school presidents, evaluation committees, and evaluated teachers about Portuguese teacher evaluation policy. Various dimensions of the policy, such as the organization of teachers' in-service training, student perceptions of the impact of teacher evaluation on teachers' practices, and parents' opinions about the need for and efficacy of the current teacher evaluation policy, were not addressed.

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[2]Please see Chapter 2, Section 4.2. for a review of research on Portuguese teacher evaluation policy.

Access to teachers' self-evaluation reports and other documents analyzed in each school depended on the relationship established between the researcher and each school's president, and the commitment of each president to elicit teachers' collaboration. Thus, fieldwork in each school was limited by each school's president's receptivity toward collaboration with the study[3]. Since most participants were chosen by each school's president according to their availability to be interviewed, an "elite bias" (Miles & Huberman, 1994) might have occurred. While triangulation procedures have been implemented, it was impossible to confirm if that bias was completely eliminated.

This was an exploratory study, focused on the first year of implementation of the teacher evaluation policy. The findings should surely be supplemented or revised by long-term studies on policy implementation. The study was based on three secondary schools. The conclusions must be limited to these schools and should not be generalized to the Portuguese educational system.

Finally, this study relied on translation of interviews and documents originally in Portuguese. Although all participants were able to check their English-translated interview transcripts, language corrections took place during the last stages of data reporting. The researcher tried to be faithful to original documents and assertions, but it should be noted that meaning might have been lost during the translating and reporting processes.

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[3]Please see Chapter 4, Section 4.1. for a detailed description of the researcher's relationships with each school's president.

6. Organization of the Study

The organization of this study generally follows the traditional dissertation model. In Chapter 1, the research purpose and questions are identified, the problem is formulated, the study's relevance is discussed, limitations are noted, and some definitions are provided.

The Portuguese educational context is presented in Chapter 2. The macro-context, including the relationship between state, society, and education, is briefly described. Characteristics of secondary education in Portugal are addressed, and the collective bargaining process leading to formulation of current teacher evaluation policy is explained.

Chapter 3 presents the literature review. It opens with a discussion of the frameworks for understanding organization theory and the significance of performance appraisal in each of them. An analysis of the literature on teacher evaluation's purposes, methods, and sources also is presented. Research on the relationship between teacher evaluation and the professionalization of teaching is reviewed, along with studies on the relationship between education policy and practice.

The methodology used in this study is presented in Chapter 4. The rationale for the research design and the process of sample selection are explained. Data sources are identified, data collection procedures are explained, and methods to enhance data quality and credibility are presented. Finally, data analysis procedures are described, and ethical issues regarding methodological proceedings are addressed.

Chapters 5, 6, and 7 present the results of the study. Each of the three schools is described, along with how they implemented the teacher evaluation policy. Participants' opinions on the teacher evaluation policy are shared. In Chapter 8, a cross-case analysis identifies the main differences and similarities in schools' implementation of the teacher evaluation policy. Organizational frames are used to understand how the three schools approached policy implementation.

In Chapter 9, the study's conclusions are summarized. From these conclusions, recommendations regarding policy formulation and implementation are offered. The chapter concludes with suggestions for further research.

7. Definitions

For the purpose of this study, the following definitions are used:

- *teacher professional development*: "the process or processes by which minimally competent teachers achieve higher levels of professional competence and expand their understanding of self, role, context, and practice" (Duke & Stiggins, 1990, p. 117).

- *teacher evaluation*: the formal process or processes by which teachers are assessed for purposes of accountability, professional development, and/or school improvement (adapted from Darling-Hammond, 1990, pp. 17-32).

- *teacher merit*: both professional merit -- the extent to which teachers measured up to accepted standards of the teaching profession -- and worth -- teachers' value to their schools (adapted from Scriven, 1990, pp. 78-81).

CHAPTER 2

CONTEXT OF THE RESEARCH

In order to understand Portuguese teacher evaluation policy and its implementation in three secondary schools, it is necessary to understand the macro-context in which this evaluation took place. This chapter is composed of four sections. First, the relationship between state, society, and education in Portugal is briefly described. Second, the characteristics of Portuguese secondary education are presented. Third, the evolution of secondary schools' administration in Portugal is described, and its relationship with the teacher evaluation policy explained. Fourth, the evolution of Portuguese teacher evaluation policy in the 1990s is presented, the actual policy described, and the collective bargaining process explained.

1. Portuguese Macro-Context: State, Society, and Education in Portugal

According to a Portuguese sociologist (Sousa Santos, 1985), Portuguese society may be characterized as semi-peripheric. Sousa Santos (1985) used Wallerstein's taxonomy (Wallerstein, 1984) to explain that semi-peripheric societies were intermediate societies for two simultaneous reasons: 1) they were in intermediate stages of development, and 2) they performed an intermediary role between central and peripheric

societies. Within a European context, these semi-peripheric societies were characterized by a lack of correspondence between their production relationships and their social reproduction relationships. Thus, while their productive structures lagged behind their more-developed counterparts, their social structures corresponded to developed countries' dominant patterns and practices. In these semi-peripheric societies, the state played a central role in economic and social regulation.

In the specific case of Portugal, the role played by the state was intensified by the consequences of political transformations related to the 1974 revolution. According to Sousa Santos (1985), the lack of correspondence between legal framework and social practices has put the Portuguese state, both by its actions and its omissions, at the center of Portuguese society. During the 1980s, the Portuguese legal and institutional framework began to resemble that of the more-developed European societies, while social practices lagged behind.

Sousa Santos (1985) argued that while it seemed the state had increased its power in legal and institutional terms, in practice its field of action had been reduced, and its capacity to mobilize the formally available mechanisms had decreased due to an excessive bureaucracy. Consequently, "the formal state ran parallel to the informal state":

> Bureaucracies seem too heavy to reach their goals, and the apparatus seems to be blocked. In consequence, the state often acts in opposition to the social policies it proposes to perform ....Two apparently contradictory lines of action run parallel to each other and complement each other. The formal state runs parallel to the informal state; the concentrated state unfolds into a diffuse state (Sousa Santos, 1985, pp. 890-891).

Sousa Santos (1985) identified three ways in which the formal state ran parallel to the informal state: 1) by not enforcing the law: in this case, the law was only a political

assertion, confirming political or social goals, or legitimizing sectorial interests, and its effectiveness ended there; 2) <u>by selectively enforcing the law</u>: the compromises, conflicts, and precarious balances of power were reflected in legal documents; law enforcement was contingent on the balance of power relative to each given situation; c) <u>by instrumentalizing the law</u>: when a legal document, or a public agency, was formally created to accomplish some goals, but its implementation and effective practice were put to the service of different, even contradictory, ends.

The contributions of two other authors, Barreto (1996) and Monica (1996), reinforce this conception of precarious modernization and feeble structuration of state and society in Portugal.

In a study of the evolution of Portuguese social conditions between 1960 and 1995, Barreto (1996) concluded that there was a profound and very fast "modernization" (the author's quotation marks) of Portuguese society, which might be revealed by many social, namely demographic, indicators. This "modernization" consisted mostly of an approach to the developmental patterns and organizational models of more advanced European societies, with a longer welfare-state and democratic experience.

Monica (1996) claimed that there was an unquestionable democratic progress in Portugal between 1960 and 1995, and the Portuguese state, used to governing despotically, had been transformed into a state accountable for its actions. For this author, most relevant in this process was the pace of change, so fast that the country had become unrecognizable "both in its economy and its soul":

> With the probable exception of Spain, no European country has managed to finish with farmers, alter the fecundity rate, change consumption patterns, decrease infant mortality, institutionalize universal suffrage, transform

the relationship between state and church, create a middle class, open its borders to people and goods, educate the population, liquidate an empire, with the pace Portugal did it. Both in its economy and in its soul, the country is unrecognizable (Monica, 1996, pp. 230).

Regarding the relationship between state, society, and education in Portugal, Stoer and Araujo (1992) noted that the education crisis related to the democratization of education, which was experienced in developed countries over at least three decades, was experienced in Portugal in just one decade.

This brief description of Barreto (1996), Monica (1996), Sousa Santos (1985), and Stoer and Araujo's (1992) studies seems sufficient to convey the idea of the tentative conditions of Portuguese modernization, and the particular relationship between state and society in Portugal. It is necessary to understand this macro-context in order to understand the topic of this study: the constraints and potentialities inherent in the implementation of the new teacher evaluation policy.

2. Secondary Education in Portugal

This study focused on the implementation of the teacher evaluation policy in secondary schools. It is therefore necessary, before addressing the evaluation policy, to provide a brief description of the main characteristics of the secondary education system in Portugal.

2.1. Antecedents of the Current Secondary Education System

Until the 1980s, there was no unified secondary education system in Portugal. A two-branch system existed, with high schools that prepared students for university, and technical schools that provided the training necessary to enter the working world.

Characteristics of the former high schools and technical schools. The two Statutes regulating Portuguese secondary education -- the High Schools' Statute and the Technical Schools' Statute -- were enacted in 1947 and remained unchanged until 1968-69. High schools focused on the sciences and humanities. They were organized into a general course of five years (grades five to nine), and a complementary course of two years (grades ten and eleven), divided into letters and sciences. High school teachers were trained in a one-year program, in a small number of normal high schools located in district capitals. For each group of disciplines, only six applicants were admitted, four male and two female. The admission examination was extremely rigorous, thus keeping the number of properly-trained teachers low (Carreira, 1996).

Technical schools, both industrial and commercial, followed a vocational model. They were organized into a basic preparatory cycle, a general pre-training of two years, and a four-year second cycle. Technical school teachers were graduates of higher or middle technical institutes, and their training was obtained in two- to four-semester programs (Carreira, 1996).

High schools were more traditional and selective; technical schools were more practical and open. Emidio (1981) and Gracio (1986) noted that these two tracks of

secondary education were consistent with the sociopolitical regime, reproducing in their structures, goals, and methods two different social, economic, and cultural realities. The educational policy of the nondemocratic regime aimed at promoting a type of social integration based on conformity with social conditions.

The unification of the secondary education. The Portuguese Constitution of 1976 determined that the state had to "change schooling in order to overcome its conservative function in the social division of labor". As a result, secondary education was unified. Complementary secondary education (grades ten and eleven) was organized into five courses: scientific/natural studies; scientific/technology studies; economic and social studies; humanities; and visual arts. Each of these courses contained three components: a general area, a specific area, and a vocational area. According to Azevedo and Castro (1988) and Gracio (1986), this unification process was based on a "high school" model, and reinforced the growth of the "high school orientation" in secondary education.

Technical education was restructured in 1983 in an effort to provide an option for the large number of students who expected to enter higher education (Gracio, 1986). In spite of the Ministry's commitment, however, student interest in technical education was always low. Azevedo and Castro (1988) explained this lack of enthusiasm in terms of the "high school orientation" of secondary education during the preceding decade, and the under-valuing of school tracks that led directly to employment.

2.2. Portuguese Secondary Education in the 1990s

As a consequence of enacting the Basic Law of the Educational System in 1986, secondary education was restructured into three-year courses, some mainly oriented to direct employment (technology courses), and some mainly oriented to higher education (general courses). All courses had a common element, in order to facilitate the transition between the two tracks (Decree-Law 286/89, of August 29). Each of these courses had three components: general, specific, and technology.

The reform increased the number of schools offering technology courses, although in virtually all regions it was exceeded by the number of schools with general courses. Table 1 presents the distribution of secondary schools by region and areas of specialization.

Table 1

Secondary Schools' Curriculum by Regions -- 1994-95

			Courses							
			Grouping 1		Grouping 2		Grouping 3		Grouping 4	
	(a)	(b)	GC	TC	GC	TC	GC	TC	GC	TC
North	148	124	137	64	57	31	119	94	132	39
Center	103	88	94	52	26	16	80	66	96	24
Lisbon	158	153	152	92	104	46	138	112	151	61
Alente-jo	32	29	32	15	10	4	23	25	31	6
Algar-ve	18	15	17	13	12	7	16	12	17	7
Total	459	409	432	236	209	104	376	309	427	137

Source: Cachapuz et al. (1998): *9º ano e Agora?* Lisbon: ME

a) Schools with secondary education
b) Schools with technology courses (plus general courses)
GC: General courses, leading to higher education
TC: Technology courses, leading to employment
Grouping 1: exact and technology sciences
Grouping 2: arts
Grouping 3: economic and social sciences
Grouping 4: humanities

Secondary schools and students. In 1993-94, more than half the districts in Portugal (eleven out of eighteen) had secondary schools with occupation rates higher than 125 percent; there were no districts with an occupation rate lower than 100 percent. Twenty-three schools had more than 2000 students, six of which were located in Lisbon (Cachapuz et al., 1998). In the last four years, however, this tendency was reversed, and enrollment in most secondary schools decreased. Table 2 presents the evolution of secondary schools and students.

Table 2

Secondary Education: Evolution of Schools and Students

	N. Students (a)	N. Schools (b)	a/b
1984-85	155,029	335	463
1989-90	219,396	393	558
1993-94	257,323	450	572
1997-98	297,633	392	759

Sources: 1)1984-1994, cited by Cachapuz et al., 1998:

        Ministry of Education (1990). *Sistema Educativo Português - Situação e Tendências, 1990*. Lisbon: ME.

        Ministry of Education (1996). *Taxas de ocupação das escolas do ensino básico e secundário. 1993/94*. Lisbon: ME.

  2) 1997-98:

        Ministry of Education (1998). *Ano escolar 1997/98. Estatísticas preliminares*. Lisbon: ME.

Increased access to secondary schools was not accompanied by increased achievement: only thirty-eight percent of those students initially admitted to secondary schools actually graduated in 1990 (Cachapuz et al., 1998, citing data from the National Council for Education). This percentage has increased to around sixty percent in 1994 (Cachapuz et al., 1998, citing data from the OECE).

Secondary school teachers. Between 1985-86 and 1992-93, the number of secondary education teachers increased forty-seven percent. This trend was reversed between 1992-93 and 1997-98, however, as the number of teachers decreased nineteen percent. The decrease was due to a fall in the number of schools. Table 3 presents the evolution of secondary school teachers.

Table 3

Basic Education (Grades Seven to Nine) and Secondary Education Teachers[1]

School Year	N. Teachers
1985-86	39,685
1989-90	50,919
1992-93	58,273
1997-98	48,990

Sources: 1) <u>1985-1993</u>, cited by Cachapuz et al. (1998):
      Ministry of Education (1995). *Sistema Educativo Português - Situação e Tendências, 1992.* Lisbon: ME.
      Ministry of Education (1992): *Inspecção Geral de Ensino - Estatísticas, 1992.* Lisbon: ME.
    2) <u>1997-98</u>:
      Ministry of Education (1998). *Ano escolar 1997/98. Estatísticas preliminares.* Lisbon: ME.

These data reveal the current crisis in secondary schools' enrollment, with consequences for teachers' working conditions. Most secondary school teachers are tenured: in 1995-96 (the most recent year for which there were statistics), the percentage of tenured teachers was seventy-two percent; forty-one percent were more than forty years old, and sixty-nine percent were women[2]. As tenured teachers often do not have classes to teach, they must accustom themselves to performing other school functions.

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[1]In Portuguese statistics, secondary education teachers were grouped with basic education (grades seven to nine) teachers, because they belonged to the same group of disciplines.
[2]Source: Ministry of Education (1997). *Estatísticas da Educação, 1995-96.* Lisbon, Portugal: ME.

3. The Evolution of School Administration and Teacher Evaluation in Portugal

In order to understand the implementation of the teacher evaluation policy in secondary schools, it is necessary to describe the Portuguese model of secondary school administration. This section describes the evolution of secondary school administration in Portugal, and explains how teacher evaluation policy fitted into that framework.

3.1. The Bureaucratic Model of School Administration and the Role Played by Teacher Evaluation

During the totalitarian period (1933-1974), Portuguese schools and teachers were heavily controlled by the state through the Ministry of Education and its General Inspectorate. The state recognized the importance of schools as ideological tools, and designed rigorous control mechanisms over teacher education institutions and teaching practices. Secondary schools were administered by "reitores" appointed by the Ministry of Education to ensure compliance to the regime. They functioned in a system that resembled the bureaucratic model of organization -- division of labor with well-defined responsibilities, positions organized into a hierarchy of authority, administrative decisions conveniently recorded, standard rules and procedures -- without the guarantees granted by the technical neutrality proposed by Weber (Afonso, 1994; Barroso, 1991, 1995).

During this period, secondary school teachers' evaluation was performed by the Ministry of Education's Inspectorate, supported by schools' "reitores". According to the

Decree-Law 36508, of September 17, 1947, "reitores" were expected to "frequently observe classrooms, sessions and the rest of schoolwork, and intervene" (Article 26 C); "give the Inspectorate informations about teachers' quality of service" (Article 31 B); and "exercise discipline upon the teaching staff" (Article 42).

3.2. The Democratic Model of School Administration

After the revolution of 1974, as a reaction against the autocratic past, most Portuguese institutions adopted democratic models of governance. The model of secondary school organization generally known as "democratic management" was defined in a 1976 Act (Decree-Law 769-A/76, of October 23): schools should be composed of three collegiate bodies, each with specific responsibilities -- a directive board, a school pedagogical board and an administrative board.

The directive board included three or five teachers (depending on school size), two students, and one member of the non-teaching staff. Teacher representatives were elected by their peers, by secret vote, for a two-year period. The electoral process was based on electoral lists. Student representatives were elected for one year by the assembly of class delegates. Non-teaching staff elected one representative for two years. In fact, however, non-teaching staff had very little representation on school boards: according to

FENPROF (a federation of teachers' unions), in 1985 only thirty percent of school boards had student representatives, and thirty-seven percent had non-teaching staff members[3].

The pedagogical organization of secondary schools was based on disciplinary groups. There were about twenty disciplinary groups, whose number of teachers ranged from one or two, to twenty or more. Each group elected a delegate for two years, to coordinate group meetings (one per month) and represent teachers on the pedagogical board. The pedagogical board included about thirty members who met once per month and was responsible for each school's pedagogical coordination and supervision.

The administrative board was composed of three members: the president and secretary of the directive board, plus the head registrar. Its responsibilities included financial and budget management, according to the general norms of public accountancy.

The former organizational model for Portuguese secondary schools had three main characteristics: 1) division of functions into three organs; 2) concentration of roles in the same individual, the president of the directive board, who was also president of all three collegiate bodies; 3) dependence on norms and regulations enacted centrally by the Ministry of Education (Afonso, 1994; Clímaco, 1988; Formosinho, 1989). Formosinho (1989) argued that the principles of uniformity, universality, and impersonality were considered by Portuguese teachers as a safeguard against inequality of treatment or favoritism.

Teacher evaluation disappeared from the education agenda from 1974 until 1986, as it was associated with control systems characteristic of Portugal's autocratic past. As the democratization process evolved and democracy was established throughout

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[3]Source: FENPROF, cited by Afonso, 1994.

Portuguese society, however, the social values pendulum began to swing toward quality, efficiency, and accountability, as opposed to the prior decade's focus on equity.

Following the enactment of the Educational System Basic Law of 1986, the teacher evaluation issue resurfaced on the education policy agenda. A new teacher evaluation policy was implemented in the 1990s, along with a new model of school administration, and focused on accountability, development, and career progress.

3.3. Secondary School Administration in the 1990s and the Reintroduction of Teacher Evaluation

Initial experiment. Reform of the Portuguese educational system was initiated with the enactment of the Educational System Basic Law (Law 46/86, of October 14), the stated purpose of which was to "decentralize, deconcentrate and diversify educational structures and actions" (Chapter I, Article 3d). Concerns of democracy and efficiency were at the political core of this reform (Afonso, 1994).

Secondary schools' new administration model was based on two principles: separation between leadership (attributed to a school board that should focus on policy and values) and management (attributed to one executive director who should implement school policies and guidelines); and a participatory governance structure (the school board was composed of eighteen members, including nine teachers' representatives, and representatives of students, parents, non-teaching staff, district authorities and the community). Adopting a selective strategy, some teacher unions supported the proposed

increase of school autonomy, but reacted strongly against the composition of the school board and the imposition of a school manager, claiming, "We don't want bosses in our schools" [4]. Teachers feared losing control over school management, and sharing decisions with other interest groups. The introduction of a school manager would impose a new technical and professional justification for authority in schools, different from the political justification of the former governing bodies (Barroso, 1991; Formosinho, 1990).

Teacher opposition to this model of school administration led the government to adopt an experimental approach to reform implementation. A sample of twenty schools was selected for the purpose of experimenting with the new administration model, and a national commission was appointed to monitor and evaluate them. Several studies were subsequently conducted to examine how the reform was being implemented (Cunha, 1995; Falcão, Neves, & Almeida, 1995; Silva & Falcão, 1995). The findings of these studies suggested strategies of "evolution in continuity" that might be characterized as follows:

- In most schools, the new executive director was the former president of the school directive board.

- The executive director was also president of the pedagogical board.

- A great majority of school boards' out-of-school representatives consisted of teachers, so that teacher culture still prevailed.

- Socioeconomic organizations were barely represented on school boards.

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[4]Source: *Escola-Informação* N. 75, February 1991, p.1.

- Although teachers had supported the idea of increased school autonomy, organizational practices did not appear to take advantage of such autonomy.

It may be argued that the rationale behind these strategies was to allow teachers to continue to control schools, since only teachers were professionals with the knowledge necessary to develop educational policy. Cunha (1995) conceptualized these strategies in a broader political framework: teachers' opposition to one individual's leadership should be understood in the context of Portuguese political and educational history, as a way of maintaining Portuguese schools' democratic and representative systems, and avoiding a return to an authoritarian past and its "reitor" leadership.

Secondary schools' administration in the late 1990s. After the experimental period, a new school administration policy was implemented in all secondary schools. According to 1998's School Administration Act (Decree-Law 115-A/98, of May 4th), secondary schools' administration is composed of an *assembly,* an *executive direction*, a *pedagogical board*, and an *administrative board.*

The *assembly* is the body representing the educational community -- teachers, parents, non-teaching staff, students, district authorities, representatives of cultural, artistic, scientific, environment, or economic institutions of the community. The number of teachers cannot exceed fifty percent of the total assembly membership, whose maximum number is twenty. The assembly is responsible for defining the school's policy guidelines (Articles 8, 9).

The *executive direction* is the body responsible for designing and submitting, for the assembly's approval, the school's policy documents: the development plan and internal regulations. This body may consist of an executive board or a director. In the case of a director, he/she is supported by two assistants; in the case of an executive board, it is composed of a president and two vice-presidents (Articles 15, 16, 17, 48).

The *pedagogical board* is responsible for the schools' educational coordination and guidance, namely in the areas of student instruction and counseling, and teaching and non-teaching staff's initial and in-service training. It is composed of representatives of curriculum departments, special education and counseling services, parents, students, non-teaching staff, and a projects coordinator (Articles 24, 25).

The *administrative board* is responsible for the administrative and financial management of the school, and is composed of the president of the executive board, or director, the chief registrar, and one of the vice-presidents or assistant-directors (Articles 28, 29).

Secondary schools' structures of educational guidance are composed of *curriculum departments*, formed by groupings of disciplines, *class directors, teacher-tutors*, and *grade, cycle,* or *course coordinators* (Articles 35, 36, 37). Specialized support services are composed of *psychology and counseling services*, a *special education* team, and other services organized by the school (Article 38).

Two differences might be identified by comparing the new school administration model with the initial model experimented with in the early 1990s: 1) the new policy allows for a collegiate management body -- the executive board; 2) the executive board is elected. It might be inferred that the new model was a consequence of the teachers'

unions' opposition to the former model, since it established some principles strongly defended by several of the unions, namely the <u>peer approach</u> and the <u>professional authority approach</u> to school administration.

Teacher evaluation in the 1990s. Following the enactment of the Basic Law of Education in 1986 (Law 46/86, of October 14), and according to the reform focus on promoting participation and efficiency at all levels of the educational system, the purposes of teacher evaluation were formulated in terms of accountability, development, and career progress (Decree-Law 409/89, Decree-Law 139-A/90, Regulatory-Decree 14/92, Decree-Law 274/94, Decree-Law 207/96, Decree-Law 1/98, Regulatory-Decree 11/98)[5]. The first teacher evaluation policy was implemented in 1992 as part of a centralized educational policy aimed at reinforcing school autonomy and promoting teacher professional development. After 1998, following the enactment of a new Teachers' Career Statute (Decree-Law 1/98, of January 2), a new teacher evaluation policy was enacted (Regulatory-Decree 11/98, of May 15). The evolution of the Portuguese teacher evaluation policy in the 1990s is the focus of next section.

4. Portuguese Teacher Evaluation Policy in the 1990s

This section is composed of four subsections. First, the initial Teacher Evaluation Act is briefly described, and research on policy implementation reviewed. Second, the

main components of the new Teacher Evaluation Act are identified. Third, social participation in Portuguese educational policy formulation is explained. Fourth, the collective bargaining process leading to the new teacher evaluation policy is described, according to the accounts of the participants in the process, the Ministry of Education and teachers' unions.

4.1. Portuguese Teacher Evaluation Policy in the Early 1990s

Description: The first teacher evaluation policy was implemented in 1992, when Portugal was run by a social-democrat government, as part of an educational policy whose stated purpose was to reinforce school autonomy and promote teacher professional development. The Portuguese Teachers' Career Statute established a career ladder of ten salary levels. In order to progress from one level to the next, teachers needed to complete a minimum number of in-service training credits, equal to the number of years that teachers were required to remain at each level. The average annual number was four credit units, each corresponding to a minimum of six hours. To provide for teacher training needs, teacher centers were formed, each representing an association of schools within the same pedagogical area. The first teacher evaluation policy was based on teachers' self-evaluation reports and on proof that the required in-service training credits had been completed.

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[5] These acts regulated teacher evaluation, in-service training, and working conditions.

Research on policy implementation. Simões (1998) studied the implementation of the first teacher evaluation policy. The study's purposes were: 1) to understand if the policy had achieved its double goals of career advancement and professional development; 2) to identify teachers' and school presidents' perceptions of the evaluation processes and products; and 3) to analyze the level of reflection of teachers' self-evaluation reports. The study's methodological approach was a survey of nine basic and/or secondary schools located in urban, semi-urban, and interior districts. In each school, semi-structured interviews were conducted with two teachers and the school president. A total of twenty teachers' self-evaluation reports were analyzed. Simões (1998) concluded that what existed in Portugal was "a teacher evaluation that did not evaluate", since teachers' reports were not appraised, and teachers were given "satisfactory" ratings as a mere consequence of meeting legal requirements; "teachers' self-evaluation reports had a questionable credibility", since teachers did not reflect on their practices to write them; "teachers identified evaluation with a bureaucratic task" to be performed for career advancement; and teacher evaluation policy had "little impact on teacher professional development". These findings were common to all schools, regardless of their location; in all schools, teacher evaluation was not taken seriously (Simões, 1998, pp. 241-253). It was recommended that teacher evaluation be included in a more comprehensive school evaluation policy; and it was suggested that teachers' self-evaluation reports should be appraised, the accreditation system related to mandatory in-service training modified, and several sources of evaluation used.

4.2. Teacher Evaluation Policy in the Late 1990s

In the late 1990s Portugal was run by a socialist government. As a consequence of the collective bargaining process between the Ministry of Education and the teachers' unions, a new Teachers' Career Statute (Decree-Law 1/98, of January 2) was designed, and a new teacher evaluation policy was implemented. According to the new Teacher Evaluation Act (Regulatory-Decree 11/98, of May 15th), teacher evaluation aims at institutionalizing mechanisms to promote teacher merit and professionalism, and school improvement. The teacher evaluation policy is composed of three elements: 1) a document of critical reflection written by the evaluated teacher; 2) mandatory in-service training, certified by credited courses; 3) appraisal by an evaluation committee.

Document of critical reflection. The evaluation process begins with a presentation by the teacher to the president of the executive board, of a document of critical reflection on work performed during the evaluation period, accompanied by a certification of all completed training courses. The president of the executive board gives a copy of the teacher's document of critical reflection to the president of the pedagogical board (Article 5).

The document of critical reflection must be succinct and include an assessment of work developed both in and out of the classroom. It must consider the following components: a) teaching schedule; b) pedagogical relationship with students; c) accomplishment of core curricula; d) performance of non-teaching functions, namely in school administration and management, counseling, and pedagogical supervision; e)

participation in school projects; f) in-service training courses completed and certified; and g) developed and published studies (Article 6).

Appraisal of the document of critical reflection: the role of the evaluation committee. Teachers' documents of critical reflection are rated by the president of the executive board, based on an appraisal report written by the pedagogical board (Article 8). In order to write this appraisal report, the pedagogical board must form a committee composed of three (schools with fewer than thirty teachers) or five members (schools with more than thirty teachers). The president of the pedagogical board appoints one member -- the reporter -- to write the appraisal report's proposal. To write this proposal, the reporter must take into consideration the work performed by the teacher, individually or in groups, during the evaluation period.

Qualitative ratings. The ordinary teacher evaluation is a qualitative "satisfactory" rating, given by the executive board (Article 10).

The "non-satisfactory" rating. According to the Teachers' Career Statute (Article 44), the "non-satisfactory" rating is given as a consequence of one of three situations, fully documented: 1) poor relationship between teacher and students; 2) refusal to perform or poor performance of non-teaching functions; and 3) incompletion of the required training credits. The "non-satisfactory" rating is given by a regional evaluation committee at the recommendation of the executive board. This regional committee must be composed of a member appointed by the regional director of education, a teacher

appointed by the school pedagogical board, and a teacher or individual of recognized merit in education, appointed by the teacher being evaluated (Teacher Evaluation Act, Article 10). The "non-satisfactory" rating implies that the teacher will not advance, and must be accompanied by a development program (Article 12).

The "good" rating. The teacher who receives a "satisfactory" rating may request an appraisal by another evaluation committee in order to qualify for a "good" rating (Teacher Evaluation Act, Article 13). The rating of "good' is given by an evaluation committee formed in the teacher's school. This committee must be composed of the president of the pedagogical board, a teacher from outside the school, appointed by the pedagogical board, and a teacher or an individual of recognized merit in education, appointed by the teacher being evaluated (Teacher Evaluation Act, Article 10). The teacher who has been given a "good" may request, after fifteen years of service, a rating of "very good", which could lead to a bonus of two years in terms of career progress (Statute of Teacher Career, Article 50).

4.3. Social Participation in the Formulation of Educational Policy

In Portugal, social participation in the formulation of educational policy is assured by the National Council for Education (Decree-Law 241/96, of December 17). This Council, whose chairman is elected by the Assembly of Republic, is a body of approximately fifty-five members representing educational, political, and social

organizations, including the government, the National Council for Youth, political parties, legislative assemblies of Madeira and Azores, higher and non-higher education establishments, private education establishments, parents, students, student-workers, unions, employers, religious institutions, scientific, pedagogical, and cultural organizations, and seven members chosen by the Council from among individuals of renowned pedagogical and scientific merit. The National Council for Education is, on its own initiative or upon request from the government or the Assembly of the Republic, responsible for issuing opinions, reports, and recommendations on all educational issues, and particularly for ensuring the enforcement and development of the provisions established in the Basic Law of Education of 1986. Its mission is to "promote the participation of diverse social, cultural, and economic organizations in the search for consensus regarding educational policy" (Article 1).

It would be expected that, regarding the Teachers' Career Statute and the teacher evaluation policy, the National Council for Education would have issued some recommendations. In fact, Decree-Law 241/96 established teachers' careers as one of the educational issues subject to the Council's recommendations (Article 2.q). No opinion or recommendation regarding this issue, however, was issued by the National Council for Education. This omission seemed to be a consequence of Article 56 of the Portuguese Constitution (revised in 1997), which determined that unions had the right to participate in the formulation of labor legislation, through collective bargaining. Therefore, any opinions or recommendations issued by the Council would be irrelevant, since they would be automatically superseded by decisions made during the collective bargaining

process. That was the explanation provided by a member of the National Council for Education, who was also president of a teachers' union (SINDEP).

> I also belong to the National Council for Education, and I can explain why this happened. This Council only gives recommendations as requested by the Ministry, or by some other entity .... This usually happens when there is a great dispute about some issue. Generally, the Council functions by government's request. Regarding the Teacher Career Statute, this was an issue directly related to the collective bargaining process. Since the law says that working conditions have to be negotiated with the unions, any recommendation by the Council would have no influence in the bargaining process. Teachers' unions' positions would supersede any position by the Council (interview with SINDEP's president, February 16, 2000).

4.4. The Formulation of the Current Teacher Evaluation Policy:

Different Accounts

The new teacher evaluation policy was discussed at the bargaining table between the Ministry of Education and teachers' unions[6]. What follows is a description of the collective bargaining process leading to policy formulation. In order to provide an accurate account of the Ministry's position, extensive passages are cited of an interview with a Ministry of Education representative present at the bargaining process. The positions of the unions are derived from union publications (in the case of FENPROF and FNE), or from an interview with the president (SINDEP). These three unions --

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[6]Ten teachers' unions sat at the collective bargaining table; their positions and scope of influence were diverse, ranging from a primary school teachers' union to several unions representing teachers with university bachelors' degrees, and a union representing teachers who wanted to form a professional association.

FENPROF, FNE, and SINDEP[7] -- were chosen because they might provide a wide range of opinions regarding teacher evaluation and school management issues.

The initial bargaining process in the late 1980s and early 1990s. The teacher evaluation issue surfaced in the late 1980s when Portugal was run by a social-democrat government, and was embedded in a broader discussion of the Statute of Teachers' Career. Until then, only one administrative criterion -- seniority -- counted toward teacher career advancement. The first Teacher Evaluation Act (Regulatory-Decree 14/92, of June 4) established a policy based on a self-evaluation report ("critical report"), focusing on work performed during the evaluation period, and on proof that required continuing education credits had been completed.

A Ministry of Education representative explained that, at the time, unions had accepted the introduction of a teacher evaluation policy in exchange for the Ministry's agreement on a set of conditions for automatic career advancement, unimpaired by vacancies. According to the Ministry representative, unions' acceptance of a teacher evaluation policy had been important, because the new evaluation policy linked teacher career advancement to in-service training and reflection upon one's work.

> The first aspect I think is important to emphasize is that the requirement of linking teacher evaluation to career progress entered our legal system only in 1990. Until then, seniority was the sole criterion for career advancement. Unions contested this requirement, and eventually accepted it only because they obtained the Ministry's agreement on a set of conditions for career progress that do not exist in any other public administration sector. All other careers in public administration are conditioned, in terms of progress, on the opening of vacancies that are filled through a system of documented application.

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[7]FENPROF meant National Federation of Teachers; FNE meant National Federation of Teachers' Unions; SINDEP meant Democratic Teachers' Union.

In teachers' career, there is automatic progress. If a teacher does not receive a 'non-satisfactory' rating, he/she may proceed automatically. At the time, back in the early nineties, this was a great advance. Establishing by law that a teacher should regularly report to the school's administration about his/her work during career years, and linking teachers' professional route to continuing training, represented a gigantic step (interview with the Ministry representative, February 9, 2000).

At the time, FNE's positions echoed the Ministry of Education's positions on such basic issues as linking teacher evaluation to continuing education; relating teacher career advancement to an assessment of work performed during the evaluation period; initiating the evaluation process by presentation of a critical report; and applying the evaluation process once for each career level.

> Teacher evaluation presupposes the following principles: 1) career progress should be related to the evaluation of all work performed by teachers in their schools; 2) attending continuing education courses; 3) it should be performed by a jury, and the process should be confidential; 4) the jury should include a teacher appointed by the teacher in evaluation (FNE newspaper, *Notícias da Federação*, July 1988, p. 6).

> Teachers should be evaluated once in each level; the evaluation should begin with presentation of a critical report; it should be performed by a team including a teacher appointed by the teacher in evaluation, another teacher appointed by the school pedagogical board, and a third appointed by the Ministry of Education regional structures (FNE newspaper, *Notícias da Federação*, April 1989, p. 5).

At the end of the collective bargaining process, FNE claimed to have obtained agreement on all its proposals:

> The teacher evaluation policy established by law corresponds totally to the proposals presented by the FNE (FNE newspaper, *Notícias da Federação*, September 1991, p. 8).

The two other unions' positions regarding teacher evaluation focused on the need to evaluate the whole educational system, rather than individual teachers. In its documents, FENPROF declared:

> Teacher performance appraisal cannot be dissociated from the global context of teaching, and therefore it presupposes an evaluation of the educational system and the schools (FENPROF newspaper, n. 75, February 1991, p. 5).

SINDEP's president explained that their position had been based on the British teacher evaluation model, with a focus on teachers' reflection upon their work. While the Ministry had seemed to accept SINDEP's position, in fact this had not occurred, the president explained, since a thorough review of schools' working conditions had not been implemented.

> The comprehensive proposal presented by the SINDEP linked schools' management to teacher evaluation .... We have followed the guidelines of the British model of teacher evaluation, based on teachers' reflection upon their work .... We have proposed a similar model for Portugal, and the government has accepted it in principle, and established that teacher evaluation must be based on a self-reflection report. We think the principle is correct, but we have presented about thirty conditions to make teachers' reports valid. The first condition, which was not accepted by the Ministry, was that teacher evaluation depended on a thorough review of teachers' workplace conditions. Teaching strategies are constrained by schools' internal and external conditions (interview with SINDEP's president, February 16, 2000).

It may be inferred that both FENPROF and SINDEP tried to delay implementing the new teacher evaluation policy by replacing it with a more comprehensive (and therefore more difficult to implement) evaluation of the whole system.

Unions disagreed on the specifics of a teacher evaluation policy. SINDEP wanted teacher evaluation to be grounded on schools' middle management's appraisal of teachers' working conditions. School management should not be performed by peers, but

by managers. According to SINDEP, schools' peer management, with leaders elected by teachers, grounded school authority on political, rather than technical justification, and made schools inefficient.

> The other aspect of our proposal was that teachers' working conditions review should be performed by schools' middle management. Department representatives and class directors should perform this appraisal .... We argue for a model of school management that is not elected by peers -- here is the basic conflict between the SINDEP and the Ministry. If school leaders are elected by their peers, and then have to evaluate those peers, there is a conflict of interest.Teachers elect their leadership bodies, and this leadership is not technical but political .... We are not sufficiently mature, democracy-wise, not to personalize political and educational issues (interview with SINDEP's president, February 16, 2000).

FENPROF argued that teacher evaluation should include self-reflection and a collaborative appraisal, based on criteria defined by the school pedagogical board. According to the FENPROF, the main purpose of teacher evaluation should be to promote continuing professional development.

> Teacher evaluation responsibility is on the pedagogical board ... Teacher evaluation should be based on self-evaluation and on cooperative evaluation. Self-evaluation implies a critical examination of the work performed during the evaluation period. Its main purpose should be searching for the tools necessary for permanent professional development. Teachers' self-evaluation should be written in an individual report, according to criteria previously defined by the pedagogical board (FENPROF newspaper, N. 75, 1991, pp. 5,8).

Of the two positions, FENPROF's appeared to have had the greater influence on the Teacher Evaluation Act of 1998. In the first Act (1992), teacher evaluation was to be performed by the school's director or president of the directive board. This policy was opposed both by FENPROF and FNE: "We have to reject teacher evaluation performed by the school's directive board, or by the Inspectorate (FNE newspaper, *Notícias da*

Federação, February 1989, p. 5). In the second Act (1998), teacher evaluation was to be performed by an evaluation committee appointed by the school's pedagogical board. What may be called *the peer approach* to school management and teacher evaluation, defended by FENPROF, won over what may be called *the managerial approach* defended by SINDEP. It may be argued that this evolution of teacher evaluation policy was related to the fact that Portugal was run by a social-democrat government in 1992, and by a socialist government in 1998.

The bargaining process in the late 1990s. In 1998, as a consequence of the enactment of a new Teachers' Career Statute, teacher evaluation reappeared on the educational policy agenda. The Ministry of Education representative explained that the reason for a new evaluation policy was the perception that the former policy had been transformed into an administrative task. The new policy aimed at making pedagogical boards responsible for teacher evaluation, providing conditions for teachers to be rated as "good", and establishing criteria for teachers to be rated as "non-satisfactory".

> It was understood that the evaluation process was not accomplishing a number of requirements, because it had been transformed into a mere presentation of a document that was administratively read. Why did this happen? Because schools' directors had no power to confront evaluated teachers with their shortcomings, and identify ways to improve .... The new model should involve three principles. First, teacher evaluation should not depend on the individual decision of the school's director; it should become the pedagogical board's responsibility. Second, means should be provided .... to enable teachers who think their professional performance has quality, to have access to incentive mechanisms with impact on their career. Third .... the "non-satisfactory" rating should be accompanied by an improvement program to overcome teachers' shortcomings (interview with the Ministry representative, February 9, 2000).

The Ministry of Education's initial proposal to the unions included three alternative scenarios, in which teachers' ordinary evaluation should have specified evaluation dates. Teachers should be evaluated by members of their schools' direction and pedagogical boards, and an external individual appointed by consensus between the evaluation committee and the evaluated teacher. Teachers should present a critical report of their work, and a plan for continuing education. The evaluation process should be based on "minimal quality profiles", and result in one of four ratings: "non-satisfactory", "satisfactory", "good", and "very good". The process of teacher evaluation should involve six principles (FENPROF newspaper, N. 134, September 1996, pp. 10-15):

- It should focus on the quality of the teaching-learning process.

- It should be school-centered.

- It should assess performance of pedagogical functions and work performed in and out of the school.

- It should include internal and external evaluators.

- It should be linked to teacher in-service training and school improvement.

- It should take into account the number of years in teaching.

FENPROF proposed a teacher evaluation process that involved a continuing process of critical reflection, and therefore without specified dates. FENPROF opposed the involvement of any committee to evaluate teachers; teacher differentiation also met with FENPROF's objection, because it would lead to a pyramidal career structure, and

implied a "meritocratic rationale" (FENPROF newspaper, N. 134, September 1996, pp. 14-15).

FNE's proposals for teacher evaluation were similar to the ones defended in the late 1980s, namely: linking teacher evaluation to continuing education; relating teacher career progress to the evaluation of work performed in the school and community; beginning the evaluation process by presentation of a critical report; and applying the evaluation process once for each career level (FNE newspaper, *Notícias da Federação*, September 1996, p. 8)

SINDEP's opinions of 1998 were included in a general statement on school management:

> School leaders should be sufficiently distanced to appraise teachers. We proposed that the school's manager should be an individual, a teacher with specialized training in management .... If school leaders are elected, the director will perform the role of an unionist, that is, he will always defend teachers. We think that school directors should be appointed by national application .... This way, they would be management professionals, above his peers.... In our view, these managers should represent the state's authority.... This would allow for correct teacher evaluation .... Teachers would write their self-evaluation reports, this self-evaluation would be analyzed by the evaluation committee, and -- this is our basic issue -- the committee would recommend solutions for surpassing identified difficulties related to the system, so that the teacher might improve (interview with SINDEP's president, February 16, 2000).

Bargaining agreement issues. The bargaining process between the Ministry of Education and the teachers' unions evolved within a framework of initial positive expectations. FNE recognized that the Ministry of Education's team was composed of respected and competent members, who were trying to use dialogue to resolve disagreements.

This new ministerial team's initial work was accompanied by positive
expectations, because its members were known for their competence and
were linked to the concretization of the passion (for education) asserted by the
prime minister. After nine months, it is possible to confirm that the new team
has tried to reopen dialogue routes .... which may be considered as a positive
response to our initial expectations (FNE newspaper, *Notícias da Federação*,
April 98, p. 4).

Both the Ministry of Education and the unions agreed to base teacher evaluation on a

document of critical reflection. As explained by the Ministry representative, document-

writing would lead to reflection upon teachers' practices.

I think everything that makes teachers reflect upon their practices, question
themselves, is always positive. That is why I think this new policy, with
all its limitations, has potential to promote teachers' development ..... It is
now termed "document of critical reflection", rather than "critical report",
because we have evolved even in language and conceptual terms. It is no longer
an administrative document (interview with the Ministry representative,
February 9, 2000).

FENPROF understood this document to be a way of promoting a "reflective,

objective, and well-grounded self-evaluation" (FENPROF newspaper, N. 139, March

1997, p. 5). FNE argued for a succinct report, focused on the components defined in the

Teachers' Career Statute (FNE newspaper, *Notícias da Federação*, September 1991, p.

8). SINDEP defended a self-evaluation-based process, similar to the British teacher

evaluation model:

SINDEP used as guidelines the British model of teacher evaluation, based on
teachers' reflection upon their work and their work conditions (interview with
SINDEP's president, February 16, 2000).

Areas of disagreement. Four areas of disagreement might be identified in the

bargaining process. Those disagreements stemmed from different opinions regarding the

existence of evaluation dates; teachers' differentiation; the evaluation committee's composition; and mandatory in-service training.

Disagreement #1: evaluation dates. FENPROF did not initially agree on specific evaluation dates, arguing that teacher evaluation should be a formative process, with no repercussions for a teacher's career. No specific times should be established for evaluation purposes, FENPROF argued, because evaluation should be perceived as a continuing process of critical reflection (FENPROF newspaper, N. 134, September 1996, pp. 14-15). As the bargaining process evolved, however, this issue disappeared from FENPROF's newspapers, which may be understood as the union's acceptance of specific dates for evaluation.

Disagreement #2: teachers' differentiation. FENPROF did not agree with differentiating teachers according to their merit, because that would lead to a pyramidal career structure and implied a meritocratic rationale for career advancement (FENPROF newspaper, N. 134, September 1996, pp. 14-15).

> Most important is developing processes to improve all teachers' performance. We think that only two ratings are necessary: "good", for positive appraisals, and "non-satisfactory", for cases where teachers do not perform their professional duties (FENPROF newspaper, N. 137, January 1997, p. 6).

The FNE position was the one eventually adopted. After the "satisfactory" rating was given by the school's evaluation committee, the evaluated teacher might request his/her professional merit appraisal. This request should be considered by a committee formed of three teachers, one appointed by the evaluated teacher, the second appointed by

the school's pedagogical board, and the third appointed by the Regional Education

Direction (FNE newspaper, *Notícias da Federação*, September 1996, p. 8). It was

proposed, though not accepted during the bargaining process, that evaluation criteria and

"minimum quality profiles" should be centrally-defined by the Ministry of Education,

after consulting with the teachers' unions (FNE newspaper, *Notícias da Federação*,

February 1997, p. 2).

SINDEP's president explained that teachers should have their merit recognized, and

should be classified as "good" or "very good" by the school's evaluation committee. In

order to do so, however, the committee should base its evaluation on still-to-be-defined

criteria.

> SINDEP has always stated that it should not be up to the teacher to ask for
> a 'very good'. This does not make sense. But, for merit to be recognized, there
> should be criteria leading to 'satisfactory', 'non-satisfactory', 'good', and 'very
> good'. And those criteria do not exist (interview with SINDEP's president,
> February 16, 2000).

The Ministry of Education representative explained that the Ministry's initial

proposal had included teachers' differentiation according to merit, based on a request by

the teacher, the evaluation committee, or the school president. This proposal had been

refused, however, by most teachers' unions; according to the Ministry representative, the

unions tended to oppose positive differentiating and quality reinforcement, focusing

instead on working conditions such as wages and career advancement.

> This was one of the most delicate aspects of the bargaining process. The
> Ministry proposed that a "good" rating could stem from the teacher's initiative,
> the school director's initiative, or the school's initiative. As you know, teachers'
> unions by definition, particularly in Portugal, are completely opposed to positive
> differentiation among teachers, and quality reinforcement. They are concerned

with problems related to wages, they emphasize teachers' rights and tend to forget teachers' duties. Therefore, we had to negotiate in order to reach a certain consensus on this subject, which was not easy. That is why we have accepted a final draft in which a "good" rating must be requested by the teacher (interview with the Ministry representative, February 9, 2000).

Disagreement #3: evaluation committee's composition. The rationale for the initial proposal for the committee's composition was explained by the Ministry of Education representative in terms of a peer approach to evaluation, complemented by one committee member's particular responsibility for the appraisal.

The Ministry's rationale was that we had to make sure that schools' pedagogical boards would not be transformed into popular courts, such as after 1975, when no one took responsibility for their positions ....We have always linked this committee to a reporter who would assume responsibility for what was written. This way, any evaluated teacher has a right to ask the reporter why some assertions had been written, why the committee had voted the way it did .... This may favor a certain complicity, but it may also have the opposite effect. Members with assumed professionalism may say: "I am here to write a fair appraisal report, a report that would take into account what you have done. I cannot say that you have done things that you haven't. I am portraying what   I know about you, not only what you have written in your document"(interview   with the Ministry representative, February 9, 2000).

At first, FENPROF did not support the idea of an evaluation committee, no matter its composition: "We disagree with any committee or jury to evaluate teachers' performance" (FENPROF newspaper, N. 134, September 1996, pp. 14-15). FENPROF's position evolved over time, however, and in 1997 the union acknowledged that the evaluation might be performed by the school pedagogical board, as opposed to the executive board.

FENPROF is clearly opposed to the possibility of teacher evaluation being performed by the school executive board. This board may, at most, confirm the pedagogical board's decisions (FENPROF newspaper, N.137, January 1997, p. 6).

SINDEP's position about the evaluation committee's composition might be inferred from its overall position against peer-directed processes. The president explained that, in his opinion, teacher evaluation should be the responsibility of the school's director.

> We do not agree that teacher evaluation should be performed only by peers. We think that, besides peers, this committee should include individuals sufficiently distanced from the school to perform a correct evaluation. We think teacher evaluation should not be the result of what that committee writes. The school's director should be distanced enough to appraise the evaluation committee's report and the evaluated teacher's document, and then make an informed judgment about the teacher (interview with the SINDEP president, February 16, 2000).

Again, in this case, it was possible to infer that the *peer approach* proposed by the Ministry of Education and FENPROF succeeded over the *managerial approach* proposed by the SINDEP.

Disagreement #4: mandatory in-service training. The teachers' unions and the Ministry of Education seemed to agree on mandatory in-service training as a way to promote career progress. They disagreed, however, on the strategy for making this process mandatory, and on how to count the courses that teachers attended.

The official account was that mandatory in-service training was part of a comprehensive set of policies designed to promote schools' change by linking teacher

career advancement to professional development. Training should focus on school-centered and classroom activities, to impact on teachers' practices and school quality.

> Teachers' career progress should be related to professional development ....
> We have to be very careful, because this is a heavy system, and if we introduce
> many changes simultaneously, the process may break. Things take time to
> be absorbed. In-service training has a role to play in this process. The teacher
> evaluation policy does not exist by itself, it exists within a comprehensive set of
> policies which have a certain purpose .... We tried to invest in more interactive
> and school-centered activities, more focused on teachers' professional practices.
> That is why we have training such as study circles, projects and workshops
> .... We are now trying to promote a change in this model. Until now, its only
> focus has been teachers' individual needs. Organizational needs have not been
> satisfied (interview with the Ministry representative, February 9, 2000).

FENPROF argued that continuing education should be linked to teacher career progress within a developmental perspective, rather than a cumulative approach translated into credit units. In 1991, during the first round of collective bargaining, FENPROF wrote:

> It is consensual that regionally- or centrally-planned courses related to
> curriculum changes stemming from educational reform may be considered
> mandatory .... Regarding the accreditation issue, we refuse a 'credit units'
> philosophy .... It is necessary to promote school-centered continuing
> education, based on teachers' development plans (FENPROF newspaper,
> N. 75, February 1991, p.2).

During the second round of collective bargaining, FENPROF continued to defend the "abolition of the principle of quantity" in teacher continuing education, and its replacement by a developmental framework.

> Teacher continuing education is a professional right and a professional duty.
> It must be centered on schools and based on development plans .... The
> abolition of the principle of quantity in teacher continuing education, measured
> by the sum of credit units, is a primary goal (FENPROF newspaper, N. 135,
> November 1996, pp. 14-15).

While agreeing that teacher evaluation should be linked to teacher training, FNE argued against the inclusion of a development plan as an appendix to each teacher's document of critical reflection. FNE's argument was that, since the document formed a retrospective assessment of a teacher's work, it did not make sense to include in it what the teacher planned to do in the future (FNE newspaper, *Notícias da Federação*, September 1996, p. 7).

SINDEP agreed with development-focused continuing education. In this union's opinion, teacher continuing education should be mandatory regarding both disciplinary and cross-disciplinary contents:

> We always say that one of the main factors leading to students' successful learning is teachers' in-service training. This in-service training should be based on a number of principles. First, teachers' scientific shortcomings should be identified and included in an annual development plan. This training should be mandatory. Second, teacher in-service training should also include cross-disciplinary contents, such as citizenship skills, personal and social development, civic education... I think this material should be taught in each classroom, and it should be included in each school's development plan (interview with SINDEP's president, February 16, 2000).

Strategies in the bargaining process. The description of the bargaining process leading to the current Teacher Evaluation Act suggested that this process evolved within a strategic framework in which the Ministry of Education and the teachers' unions modified some of their initial positions in order to gain certain career perquisites, on the unions' part, and to arrive at a consensual evaluation policy within the context of searching for broader educational consensus, on the part of the Ministry of Education.

Exchange of some evaluation principles for career perquisites. The teachers'unions modified some of their initial positions to obtain the Ministry's agreement on issues considered more important in terms of Career Statute. The Ministry of Education representative explained that, during the first round of bargaining, in the late 1980s, the teachers' unions had allowed the formulation of a teacher evaluation policy, because they obtained, in exchange, a privileged position: while in other public sectors, civil servants had to wait for vacancies to open in order to advance in their careers, teachers' career advancement was not dependent on vacancies. During the second round of negotiations, in the late 1990s, the teachers' unions focused on obtaining a reduction of years of service for teachers' careers, and consequently were willing to accept the new teacher evaluation act.

> Teachers' unions have accepted the introduction of this general evaluation
> because they gained a set of conditions for career progress that do not
> exist in any other public administration sector. All other careers in public
> administration depend, in terms of progress, on the opening of vacancies ....
> For teachers' career, there is automatic progress .... In 1996-97, this issue was
> relatively secondary because the unions were not interested in teacher
> evaluation. They wanted to gain a reduction in the career's duration, and they
> understood that the Ministry of Education needed some quid pro quo. If you
> were willing to develop a content analysis of their documents at the time of this
> bargaining process, you would see that teacher evaluation occupied about two
> or three percent of the space. They did not even want to talk about it, because it
> was a very sensitive issue for them (interview with the Ministry representative,
> February 9, 2000).

Dilution of some principles in the name of consensus. The Ministry of Education was focused on developing a bargaining process that would not break social consensus regarding other educational policies such as the implementation of the new model of

school administration. This focus on consensus led to the abandonment of initial proposals, such as the evaluation committee's composition.

> At a certain stage of the negotiations, we even ran the risk of not having any committee, because the unions did not want it, they wanted the administrative machine of the Ministry to function, within a bureaucratic rationale. That would mean immediately killing any innovation .... You have to understand that the bargaining process is always very complicated. It is a process in which you are always measuring, step by step, your advance and your retreat. Sometimes, if we get too attached to a certain formulation that we find important, and if we do not try to understand the other side's positions, we run the risk of losing everything. This process could not go ahead in the midst of conflict, because we also wanted to implement the schools' autonomy policy. We could not risk reaching a stage of social conflict (interview with the Ministry representative, February 9, 2000).

SINDEP's president criticized the Ministry of Education's search for consensus, arguing that it led to incoherent policy: educational policies tended to include different positions to meet different constituencies; consequently, they were internally inconsistent and tended not to work.

> This government is a government of dialogue, the last government was a government of less dialogue. In both cases, when we negotiated the Teachers' Career Statute, there was an effort to please both Greeks and Trojans; there was an effort to reconcile those different ideologies, and the result does not work. There is no coherence (interview with the SINDEP's president, February 16, 2000).

Summary

The current teacher evaluation policy was composed of three elements: a document of critical reflection written by the teacher in evaluation; mandatory continuing

education, certified by accredited courses; and an appraisal by the evaluation committee. These components resulted from the bargaining process between the Ministry of Education and the teachers' unions, within a macro-context of a socialist government aiming at social consensus.

The bargaining process began with a general agreement about the requirement to write a document of critical reflection, which was perceived as a strategy to force teachers to think about their work. There was a disagreement regarding the introduction of specific evaluation dates, the possibility of differentiating teachers according to merit, the evaluation committee's composition, and the process of credit-counting in mandatory in-service training. These disagreements were resolved within a strategic framework in which both the Ministry of Education and the teachers' unions modified their initial positions in order to obtain certain career perquisites, on the unions' part, or to avoid risking a broad social consensus, on the part of the Ministry of Education.

CHAPTER 3

LITERATURE REVIEW

This literature review begins with the presentation of frameworks for understanding organizations and the significance of performance appraisal for each of them. An analysis of the literature on teacher evaluation's purposes and methods is also presented, and research on the relationship between the professionalization of teaching, standards and rewards is reviewed. Finally, studies on the relationship between educational policy and teaching practices are analyzed.

1. Organization Theories and the Role of Performance Appraisal

Teacher evaluation might be approached from diverse areas of knowledge. This study chose an organization theory approach, which assumed that "local variability is the rule and uniformity is the exception" (McLaughlin, 1991), that is, the same teacher evaluation policy might be implemented differently in schools due to their organizational characteristics. Organization theories explain organizational processes through lenses related to their epistemological framework. In order to guide the interpretation of this study's findings, Bolman and Deal's (1997) approach to organization theories was used, and the concept of "organizational frames" applied.

According to Bolman and Deal (1997), organizational frames are tools that help us understand organizational processes:

> Frames are both windows on the world and lenses that bring the world into focus. Frames filter out some things while allowing others to pass through easily. Frames help us order our experience and decide what to do (Bolman & Deal, 1997, p. 12).

Bolman and Deal (1997) divided organization theories into four frames, each using specific central concepts, metaphors, and leadership images: the structural frame, the human resource frame, the symbolic frame, and the political frame. These frames were not mutually exclusive, but might be used simultaneously to explain organizational processes. What follows is a presentation of each frame's basic principles, and how they relate to performance appraisal.

1.1. The Structural Frame

The structural frame is grounded in a number of assumptions: organizations exist to accomplish a set of clear goals previously established; organizations increase their productivity and their workers' performance through specialization; performance problems derive from structural deficiencies and can be solved through restructuring. This frame considers organizations to be machines; its central concepts are rules, roles, goals, policies, technology, and environment. Leadership is viewed as social architecture with the purpose of matching structure, task, technology, and environment (Bolman & Deal, 1997, pp. 15, 40).

The structural frame has its roots in two different branches of organization theories. One is the classical theory of management that emerged in the first decades of the twentieth century. Aiming to transform management into a true science, Taylor (1911) established principles of management by focusing on scientific methods, based on observation and analysis, in order to determine the best options for managers. Taylor's principles involved clear job specifications, systematic selection of workers to fit the job, workers' training according to the characteristics of the tasks to which they were assigned, and offers of incentives to improve performance. According to this perspective, the ultimate criteria of organization effectiveness are productivity and profit maximization (Quinn, Faerman, Thompson & McGrath, 1996).

Fayol (1949) refined the concept of scientific management through the formulation of a more structured theory in which management was conceptualized as a consistent set of functions: planning, organization, direction, coordination, and control. Fayol's principles included division of work, authority, responsibility, discipline, unity of command, unity of direction, subordination of personal to general interest, centralization, hierarchical chain, order, and stability of tenure of personnel (Quinn, Faerman, Thompson & McGrath, 1996).

The structural frame also traces its roots to Weber (1947) and his concept of bureaucracy as an ideal form of rational management. Characteristics of bureaucracy include division of labor with clearly-defined responsibilities, positions organized according to a hierarchy of authority, accurate job descriptions guided by a clear set of rules, separation of person and function, personnel selection and promotion based on technical qualifications, and standard rules and procedures applied uniformly to all. For a

bureaucratic organization, the ultimate criteria of effectiveness are stability and continuity (Quinn, Faerman, Thompson & McGrath, 1996).

According to the structural frame, organizations rely on authority and rules as primary mechanisms to assure coordination and efficiency. Performance appraisal plays an important control function by assessing the extent to which individuals and teams conformed to organizational rules and worked toward the accomplishment of defined goals. Mintzberg (1979) distinguished two approaches to organizational planning and control: performance control and action planning. Performance control imposed outcome goals without specifying how these outcomes were to be achieved. According to Mintzberg (1979), this approach served two purposes: it measured the extent to which goals had been accomplished, and it motivated workers by letting them decide how to pursue stated goals. The control approach was more effective when goals were clear, and less so when goals were ambiguous or hard to measure. The action planning approach specified goals and the actions to achieve them within a defined timeframe. Mintzberg (1979) argued that this approach worked better when it was easier to assess how a job was to be performed, than it did when measuring the extent to which its goals had been accomplished.

1.2. The Human Resource Frame

The human resource frame is based on the assumption that individuals and organizations existed for their mutual benefit: meaningful work for individuals and

increased productivity for organizations. This frame perceives organizations as families; its central concepts are needs, skills, relationships. Leadership is viewed as empowering individuals with the purpose of aligning organizational and human needs (Bolman & Deal, 1997, pp. 15, 102-103).

The human resource frame stresses commitment, cohesion, and morale as key factors for organizational effectiveness. Its key values are participation, conflict resolution, and consensus building (Quinn, Faerman, Thompson & McGrath, 1996). The work of two psychologists, Maslow (1954) and McGregor (1960) on the concept of human needs was crucial in the development of this framework. More recent developments included the work of Argyris (1982) and Argyris and Schon (1978, 1996) on the relationship between individual and organizational learning.

Maslow (1954) divided human needs into five groups, conceived as a continuum: physiological, safety, belongingness and love, self-esteem, and self-actualization. According to Maslow's findings, organizations should focus on satisfying the needs of belongingness, self-esteem and self-actualization, hence their emphasis on cohesion and participation.

McGregor (1960) formulated a Theory X and Theory Y hypothesis. Managers included in Theory X perceived workers as not wanting to perform their tasks: a number of rewards and punishments had to be established in order to force people to work. Managers included in Theory Y perceived workers as wanting to perform their tasks, if those tasks were meaningful. Their focus shifted from control and punishment to motivation and meaning.

Argyris (1982) studied how to increase the capacity of individuals and organizations to learn, solve problems, and change their basic values, policies, and practices. The author argued that, for organizations to go beyond single-loop learning, in which a problem was solved but the basic assumptions underlying organizational work were maintained, and become double-loop learning organizations, in which their basic values, assumptions, and practices were qualitatively changed, they would have to create learning conditions that would foster change at both the individual and organizational level. These conditions included creating a learning environment allowing for creative action, risk-taking, problem solving, action and reflection upon action, without having people's confidence and sense of competence threatened.

Argyris & Schon (1978, 1996) developed the theme of interpersonal effectiveness through the formulation of a model of personal theories for action. The authors distinguished between espoused theories and theories-in-use. Espoused theories were the explanations individuals gave for their actions. Theories-in-use were what individuals really did. Arguing that there was a high level of discrepancy between both theories in people in general and managers in particular, Argyris and Schon distinguished between Model I and Model II patterns of behavior. Managers included in the Model I pattern typically assumed that organizational problems were caused by someone else, tried to change the person or persons who were allegedly responsible for the problem, found these efforts unsuccessful, and thereby reinforced their previous diagnosis by concluding that the problem was caused by someone else who did not want to change. This situation was not conducive to individual and organizational learning. Managers included in the Model II pattern emphasized common goals, and openly discussed their assumptions and

beliefs. This pattern of behavior tended to expose people's theories-in-use and promote a better alignment with espoused theories and common goals.

Another approach may be included in this summary, given its impact on organizational development. Senge (1990) argued that any organization would have to master five disciplines to become a learning organization: 1) personal domain, that is, fostering a creative individual attitude toward change; 2) mental models, that is, values and principles framing organizational activity; 3) a shared vision of the organization's mission; 4) group learning through dialogue and discussion; and 5) systemic thinking, the fifth discipline: the assumption that organizations are complex systems in which all dimensions -- at the individual, group and team, organizational and context level -- were interrelated.

Organizations operating from the human resource frame tend to invest in people and their training, and promote diverse types of empowerment and shared decision-making (Bolman & Deal, 1997). This strategy is based on the assumption that people who are committed will work better, which will improve both morale and productivity. Performance evaluation tends to be treated as a reciprocal process of interaction between evaluator and those evaluated, with feedback discussion and goal-setting as basic strategies to improve individual performance. Peer review and the clinical process of supervision, composed of four stages -- preparation, observation, feedback, follow up -- are applied to monitor and develop workers and organization simultaneously (Harris, 1997).

1.3. The Political Frame

The political frame regards organizations as coalitions of individuals and groups, each trying to pursue their own interests. Goals and decisions emerge from negotiation and depend on the bargaining power of each group. The most important decisions deal with the allocation of scarce resources. This frame perceives organizations as jungles; its central concepts are power, conflict, competition, and organizational politics. Leadership is viewed as advocacy, intended to develop the power base necessary to support the leader's agenda. Conflict is considered natural and inevitable (Bolman & Deal, 1997, pp. 15, 163). From this perspective, the focuses of research are the strategies and tactics used in power games by different groups to defend their vested interests. Managers adhering to this framework are concerned with forming a power base and develop bargaining skills leading to political adaptation and the management of change (Murphy & Cleveland, 1995; Quinn, Faerman, Thompson & McGrath, 1996).

Relevant political theorists include Crozier and Friedberg (1977), Jackall (1988), and Pfeffer (1992). Crozier and Friedberg (1977) analyzed constraints on collective action. They argued that social actors were relatively free to pursue their own goals inside an organization. Organizational decisions were contingent, because they depended on a multitude of autonomous individual choices. Organizations might pursue collaboration and integration by using two strategies: affective or ideological manipulation, or negotiation and bargaining. According to Crozier and Friedberg (1977), power was always relational, and should not be perceived as negative and repressive, but rather as a mechanism of everyday life, used in everyone's relationships with friends, colleagues,

and family. Organizational change was perceived as a process of collective creation and learning.

Jackall (1988) focused on the "moral mazes" of corporate life, arguing that businesses were social and moral organizations where bureaucracy shaped moral consciousness. According to Jackall (1988), organizations were maintained because they allowed individuals to preserve their private interests and motivations for action as long as they adhered publicly to organizational rules. Bureaucracies led managers to set aside their own ethics in the workplace: large areas of managerial decision-making were routinized and devoid of critical evaluation. Managers were trained to avoid mention of values and ethics, and focus on tasks and decision-making. They perceived their work as contingent and failure as socially defined: personnel changes depended more on one's social relationships than on one's performamce. Compromise was regarded as an inevitable fact of organizational life.

Pfeffer (1992) developed a typology of sources of power, distinguishing among position, information/expertise, control of rewards, coercion, control of meanings and symbols, and personal power. According to Pfeffer (1992), the existence of multiple sources of power limited managers' capacity to make informed decisions. Conflict in organizations stemmed from different interests, needs, and perspectives among individuals and groups. Bargaining, coercion, compromise and coalition-forming were part of organizations' daily life.

Using the political frame, research focuses on the choice of strategies by individuals and groups to achieve their goals in the organizations. Although some actions -- both cooperative and conflictive -- may be consciously motivated, any action, even

unconsciously motivated, may have political significance (Blase, 1993). Research on performance appraisal studies bargaining strategies developed by evaluators and those evaluated to pursue their own interests. Power games, barriers to control, and conflict stemming from appraisal processes are relevant focuses of research (Murphy & Cleveland, 1995).

1.4. The Symbolic Frame

The symbolic frame assumes that what matters are not events *per se*, but what these events signify to participants. Decision-making, problem-solving, and rational analysis are impaired by high levels of uncertainty and ambiguity; people develop symbols to deal with uncertainty and increase predictability. These symbols embody and express the culture of each organization. This frame perceives organizations as theaters; its central concepts are culture, meaning, ritual. Leadership is viewed as inspiration with the purpose of creating meaning for organizational events (Bolman & Deal, 1997, pp. 15, 216-217).

Relevant symbolic theorists include Schein (1992), Meyer and Rowan (1978), and Weick (1976). Schein (1992) focused on organizational culture, defined as:

> a pattern of shared basic assumptions that a group learned as it solved its
> problems of external adaptation and integration, that has worked well enough to
> be considered valid and therefore to be taught to new members as the correct
> way to perceive, think, and feel in relation to those problems (Schein, 1992,
> p. 12).

According to Schein (1992), the concept of culture added to concepts like norms, behavior patterns, and climate because it implied long-range stability, emphasized conceptual sharing of perceptions, cognitions, and feelings, implied patterns of observed regularities, and involved all aspects of organizational life. Schein (1992) explained the learning process as beginning with beliefs and values about how to proceed. As the process evolved, beliefs and values were transformed cognitively into assumptions based on experience; the more these assumptions were validated, the more they came to be taken for granted. Organizational culture was manifested at three levels: artifacts -- visible organizational structures and processes; values -- espoused strategies, goals and philosophies; and underlying assumptions -- taken-for-granted beliefs, habits of perception, thought and feeling that constituted the ultimate source of values and action. Schein (1992) regarded change as a process of "unfreezing", of lessening the fear of risk by mobilizing factors leading to commitment and consensus to the changing process. Organizational leadership was defined in terms of cultural management.

Meyer and Rowan (1978) and Weick (1976) maintained that it was possible for organizations to make superficial changes while remaining fundamentally the same at their core, given their loosely-coupled structures. In the case of educational organizations, particularly, structure tended to be disconnected from technical activity, and activity disconnected from its effects. As educational bureaucracies emerged as personnel-certifying agencies, ritual classifications were tightly organized, while control of instructional activities was not applied, to avoid uncovering inconsistencies and inefficiencies. Schools functioned within a "logic of confidence". Performance evaluation processes were symbolic enactments of rituals to legitimize institutions that were not in

fact closely inspected. Teaching occurred in the isolation of the classroom, removed from organizational controls; teachers were not seriously inspected: superintendents did not evaluate teachers directly, principals and peers did not have the opportunity to inspect and discuss teachers' work, there was no interaction among teachers, and student achievement data was rarely used to evaluate the performance of teachers and schools (Meyer & Rowan, 1978, pp. 73-74).

Summary

This section presented four conceptual frameworks for understanding organizations, each using specific central concepts, metaphors, and leadership images. The structural frame focused on designing strategies leading to achieving established goals; the human resource frame focused on matching individual and organizational needs; the political frame focused on power games and bargaining strategies related to individuals and groups pursuing their own interests; the symbolic frame focused on the meaning that participants attributed to organizational processes.

These frames are not mutually exclusive: organizational processes may be interpreted through several lenses, some more relevant than others for each particular case. Understanding how these four frames interpret organizational processes related to performance appraisal may be relevant to explain how different schools implemented their teacher evaluation processes.

2. Teacher Evaluation: Concepts and Practices

In this section, historical perspectives on teacher evaluation are presented, and literature on the purposes, methods, and souces of teacher evaluation is reviewed. Finally, research on the relationship between the professionalization of teaching, standard-setting, and reward reformulation is analyzed.

2.1. Historical Perspectives on Teacher Evaluation

The first nationwide attempt to assess teachers and reward them accordingly occurred in England in the late nineteenth century (Shinkfield & Stufflebeam, 1995). This policy was called "payment by results" and provided that, if students in government-funded schools achieved stated educational goals, teachers' salaries would be increased. The process was coordinated by His Majesty's Inspectors until 1902, when the policy was terminated by Parliament, due to arguments that it was corrupting education.

During the first three decades of the twentieth century, there was an effort to apply in American schools the same management principles that were being used in industries. Words like efficiency, rationality, and impartiality were used regarding school management and instruction (Tyack, 1974). It was assumed that, with the application of those scientific management principles, schools would produce improved results. Two social trends -- industrialization and massive immigration -- had led educational reformers to promote an increased uniformity in school management, standardize

institutions and practices, and diversify the curriculum to cater to diversified interests (Tyack & Cuban, 1995). In this process, teachers had to be efficient, and administrators judged them by the extent to which designated goals of student achievement were attained (Shinkfield & Stufflebeam, 1995). Control over teachers' work and credentials was reinforced during this period through new rules and regulations, and teachers were increasingly alienated from any source of power -- control over curricula, textbook selection, or school leadership (Darling-Hammond, 1997).

From post-World War II until the 1980s, American teachers continued to be viewed as a source of problems rather than a source of solutions for promoting educational quality (Murphy, 1990). Literature on teacher evaluation focused mainly on designing evaluation instruments -- checklists -- through which independent observers would be able to monitor teacher practices. Literature on effective teaching (Brophy & Good, 1986) highlighted teacher behaviors presumed to promote better student outcomes, independent of context. From this perspective, linear causal models were employed in a search for teacher effectiveness, as measured by student achievement on standardized tests. Teaching practices were monitored by observers who noted the occurrence of various types of pre-determined teacher and student behaviors. This research assumed that teacher/student interactions in the classroom were a sum of discrete behaviors that could be independently separated and measured. Following this approach, teacher evaluation concentrated on the observation of classroom behaviors, and valid and reliable measurement of those behaviors (Duffy, 1997).

2.2. Teacher Evaluation in the 1990s: Purposes and Methods

Recent approaches to teacher evaluation. Since the late 1980s, research literature on teacher evaluation evolved from a focus on classroom observation and instrumentation design, to a focus on integrated programs of individual and organizational development (Cousins & Earl, 1995; Duke, 1995; Firth & Pajak, 1997; Millman & Darling-Hammond, 1990). Several authors within different conceptual frameworks identified a number of factors leading to teacher professional and school organizational development.

Literature on *school and classroom ecology* argued that the "product" approach of the effective teaching movement did not take into consideration the context of teaching and teachers' thinking, factors that influenced student outcomes (Clark & Peterson, 1986; Shulman, 1987). Clark and Peterson (1986) argued that thinking played an important part in teaching. Teachers planned in a variety of ways, made frequent decisions in interactive classroom contexts, and their theories and belief systems influenced their perceptions, plans, and actions. The authors classified as mature professionals teachers who had taken steps to make explicit their implicit theories and beliefs about learners, curriculum, subject matter, and teacher role. According to Clark and Peterson (1986), mature teachers reflected on the effects of their own teaching and applied the results of this reflection to future plans and actions, thus being researchers of their own effectiveness.

Shulman (1987) argued that one of the more important tasks for researchers was to work with practitioners in order to develop a codified representation of "the practical pedagogical wisdom of able teachers" (Shulman, 1987, p. 11). The author identified the following aspects of pedagogical reasoning: 1) comprehension -- of purposes, subject

matter, ideas inside and outside the discipline; 2) transformation of the knowledge in an instructional way -- including preparation: specification of purposes and interpretation of texts; representation: use of a repertoire for instruction, such as metaphors and analogies, and selection from this instructional repertoire to fit students' characteristics; 3) instruction; 4) evaluation of one's own performance and students' understanding; 5) reflection on practice; and 6) new comprehension of "purposes, subject matter, students, teaching, and self" (Shulman, 1987, p. 11).

From an *interpretive perspective* (Erickson, 1986; Waite, 1997), teacher effectiveness was a matter of the social organization of classroom life, whose construction was a product of the interaction between teacher and students, and the meaning attributed to such interaction. According to this approach, the core issues in teacher effectiveness concerned cultural congruence and meaningfulness -- the grounds for legitimacy and mutual consent between teacher and students.

Teacher evaluation: purposes and methods. A more specific literature on teacher evaluation suggested that teacher evaluation that involved them directly in the preparation, implementation and follow-up of their own evaluation process might be an important factor of teacher professional development and school improvement. Duke & Stiggins (1990) argued for the separation between evaluation for summative and formative purposes, and suggested that professional development should be the focus of teacher evaluation for "minimally competent teachers" (Duke & Stiggins, 1990, p. 117), capable of designing their own developmental goals. Iwanicki (1990, 1997) distinguished between the different purposes of teacher evaluation -- accountability, professional

growth, school improvement, and selection -- and suggested the integration of teacher evaluation and school improvement in schools that would use goal-setting models of teacher evaluation. Natriello (1990) studied the unintended consequences of teacher evaluation at the individual, organizational, and environmental level, and argued for a growing awareness of these consequences in the designing of improved evaluation models. McLaughlin (1990) suggested establishing a culture of teacher evaluation by embracing contraries such as accontability/improvement, bureaucratic control/professional autonomy, individual needs/institutional goals. Embracing contraries would mean understanding the roots of their friction and seeking ways to harmonize them in a culture of evaluation in which those contraries would become mutually reinforcing rather than competing goals.

The approach to a teacher development- and school improvement-related teacher evaluation argued for the use of diversified evaluation methods and sources, including self-evaluation and peer review. Holly (1989), Holly and McLoughlin (1989), and Kremer-Hayon (1993) regarded *self-evaluation* as a source of reflection upon teachers' practices that might lead to personal and professional development. Self-evaluation practices would be facilitated by a supportive school climate where teachers would not be afraid to take risks, with collaborative interpersonal relationships. Self-evaluation was dependent upon both environmental contexts -- sociopolitical and educational trends, the growth of the knowledge-base in teaching, and school climate -- and personal contexts -- teachers' perceptions of teaching as a profession and of their professional role, and teachers' career cycle. According to Holly (1989), Holly and McLoughlin (1989), and Kremer-Hayon (1993), the self-evaluation process called for reflection and clarification

of teachers' perceptions and orientations regarding educational goals and the cognitive, affective and didactic aspects of teaching. Personal documents, including journals, portfolios and other records, should be used to promote teachers' reflection upon critical incidents of their daily practices, and to transform their reflection-in-action into reflection-upon-reflection-in-action (Schon, 1978).

Barber (1990) included self-assessment in the context of formative evaluation, perceived as based upon three assumptions: professional teachers continually strove for improvement; given enough information, professional teachers would evaluate themselves as well or better than others; and evaluation procedures might provide feedback for teachers to improve. Effective self-assessment depended upon conditions, including: teachers' awareness of their classroom behaviors; identification of problem areas; and subjecting new behaviors to further evaluation. Self-assessment techniques were identified, including videotape or audiotape feedback, self-rating forms, self-reports, self-study materials, observation by an outsider, use of a consultant, expert, or peer, and comparison to standards. Peer-mediated self-appraisal was advocated on the grounds that it might satisfy board, district, and individual goals if clear objectives were in place, implementing teachers' protection mechanisms from biased evaluators. Barber (1990) identified limitations to the use of self-assessment, including lack of objectivity, accuracy and reliability; individuals' tendency to perceive themselves as efficient; evaluation becoming a form of self-justification; mediocre teachers' tendency to be less accurate in self-assessment than superior teachers; difficulty in quantifying the assessment; and potential for self-incrimination if results were used summatively. The author advised for

awareness of these shortcomings when implementing self-assessment and peer review techniques.

Peer review was advocated on the grounds that teaching as a profession called for the responsibility of the profession to monitor itself, and that teacher evaluation should reflect the complexity of teaching itself (Chism, 1999). Darling-Hammond and McLaughlin (1995) made the argument that peer review was a better way to judge the complexity of teaching, due to the multiplicy of roles teachers perform. Peer reviews of practice could afford occasions for deliberation about teaching and learning, and could occur in many forms, including examining certain aspects of the curriculum, looking at particular practices or problems within the school, or participating in peer coaching.

Chism (1999) identified several objections to peer review, including: 1) peer review would force teachers to open their classroom doors, thus violating the norms of privacy that had surrounded teaching in recent times; 2) lack of definition as to who might perform the role of peer: in the case of specialized disciplines, it was difficult to find colleagues who could provide insight about accuracy and currency of content; 3) peer bias: impartiality of peer review was difficult, due to departmental rivalries and divisiveness; 4) peer sensitive position, both when the advancement of a colleague was at stake, or when colleagues of different ranks were involved; 5) time constraints: peer review was a time-consuming activity; 6) lack of standards: there were no accepted standards to guide the evaluation of teaching; 7) validity and reliability issues: it was difficult to assess if peers were in fact measuring what they intended to measure; and to assess if peers were measuring consistently and accurately. Chism (1999) claimed that these objections might be superseded if peer review were implemented within formative

teacher evaluation processes, involving consensus on evaluation standards, multiple reviewers, multiple methods, and sustained engagement. Darling-Hammond and McLaughlin (1995) and Kremer-Hayon (1993) argued that positive peer review practices would be facilitated by a supportive school climate and collaborative interpersonal relationships among teachers.

Lieberman (1998) introduced a political-unionist argument in the debate on peer review, explaining that peer review was the most prominent feature of the new unionism that had been defended in collective bargaining by both the National Education Association and the American Federation of Teachers. The author defined peer review as

> understood to encompass various procedures by which teachers and their unions would exercise more responsibility for improving teacher performance, as well as for terminating the services of teachers who did not perform adequately after receiving assistance (Lieberman, 1998, p. 2).

Lieberman (1998) noted that no peer review procedures had been implemented outside of states and school districts in which teachers bargained collectively, and identified three purposes for the use of peer review: 1) decision-making leading to renewal or non-renewal of the contracts of first-year teachers; 2) decision-making on the poor performance of tenured teachers; and 3) assistance to teachers without implication of adverse action. It was remarked that, in a district where peer review procedures had been implemented, most of the resources of the peer review plan had been devoted to assisting and evaluating first-year teachers; no data had revealed whether peer review could make a significant difference in the quality of teaching staff; incompetent teachers had been kept in the classroom longer than by using conventional procedures. Consequently, Lieberman (1998) contested the theory that peer review might promote teacher accountability.

2.3. Professionalization of Teaching, Standards, and Rewards

Professionalization of teaching. The use of terms like profession, professionalism and professionalization as they relate to teaching calls for an explanation of these concepts. What is a *profession*? In the Anglo-American sociological literature, the term "professional" does not have the French or Portuguese definition of "something opposed to amateurism". It means being autonomously engaged in an activity that is socially recognized and has specific competencies, that is grounded in rational knowledge, recognized and legitimated by universities (Bourdoncle, 1991, 1993).

According to Le Boterf (1997), the term "profession" can be traced to the medieval professional guilds and orders, where members made a pledge (*profes* in Latin) to observe a set of rules, including professional secrets. In the Middle Ages, the term referred to intellectual knowledge; since then its meaning has been broadened to include the liberal professions. The literature on the theme evolved from a functionalist and static approach to an interactionist and evolutionary approach (Bourdoncle, 1993; MacDonald, 1995). Functionalists viewed professions as outcomes characterized by a set of features: a socially-recognized body of expert knowledge applied to a public service; a public image of expertise; a code of conduct assimilated in the process of professional training and controlled by professional associations. The interactionist and political approach viewed professions as a process in which professions were not an acquired and immutable

condition, but a condition always evolving toward development or regression. Eraut (1994) argued that the concept should be treated as an ideal type, toward which all the real professions would tend. In this process, some professionals (doctors, lawyers, engineers) would present characteristics placing them closer to that ideal. Thus, the *professionalization process* might be characterized as a process by which occupations strove to obtain the status and privileges characteristic of the stronger professions.

Authors like Darling-Hammond (1988, 1997), Eraut (1994), and Perrenoud (1994, 1996) noted that the professionalization of teaching had been constrained by several factors, namely their large number, low salaries and social status, control by the state and consequent lack of autonomy, difficulty in explicating what their specific knowledge-base really was, lack of control over who entered the profession, and lack of social recognition of the specific teaching competencies. These limitations led authors like Meyer & Rowan (1978) and Bourdoncle (1993) to refer to "the myth of teacher professionalism."

From the literature on professions and the construction of professional competence (Bourdoncle, 1991, 1993; Eraut, 1994; Le Boterf, 1997; MacDonald, 1995; Schon, 1978, 1991), it might be argued that, if teachers were professionals, they would have special responsibility to the public, and the nature of their professional practice would be knowledge-based and client-oriented, characterized by non-routine judgments and complex decisions. They should be initially prepared in higher education institutions; assume a collective responsibility for the definition, transmission and implementation of professional standards; be responsible for their own professional development; be controlled and supervised by peers; be autonomous, accountable to their clients and

conditioned by a code of ethics framing the aims and principles of their professional

practice. Their initial training should include contexts of organizational practice, in a

reflective practicum model (Schon, 1991) allowing for the interaction between applied

science and reflection-in-action, and for the initiation of future practitioners into the

problems inherent to organizational limitations and constraints. Their professional

identity should be fostered by a common culture, an *esprit de corps* and shared values and

attitudes.

Standards for teachers. A vast number of authors argued for the reinforcement of

these features in the teaching profession. A major factor in launching this movement was

the report *A Nation Prepared: Teachers for the 21st Century*, by the Carnegie Forum on

Education and the Economy (1986). This Forum, created in 1985 to draw attention to the

link between education and economic growth, focused on:

> pursuit of excellence (where) ... the key to success lies in creating a profession
> equal to the task -- a profession of well-educated teachers prepared to assume
> new powers and responsibilities to redesign schools for the future
> (Carnegie Forum, 1986, p. 2).

In order to accomplish this purpose, the Forum proposed eight goals: 1) creating a

National Board for Professional Standards, to establish high standards for what teachers

needed to know and be able to do, and to certify teachers who met the standards; 2)

restructuring schools to provide a professional environment for teaching, freeing them to

decide how best to meet state and local goals while holding them accountable for student

progress; 3) restructuring the teaching force, and introducing a new category of "lead

teachers"; 4) requiring a bachelor's degree in the arts and sciences as a prerequisite for the professional study of teaching; 5) developing a new professional curriculum in graduate schools of education leading to a master's of teaching degree, based on systematic knowledge of teaching, and including internships and residencies in schools; 6) mobilizing the nation's resources to prepare minorities for teaching careers; 7) relating incentives to schoolwide student performance; and 8) making teachers' salaries and career opportunities competitive with those in other professions (Carnegie Forum, 1986, p. 53).

Reacting against the customary response to teacher shortages -- lowering standards for entry into the profession -- the Forum argued for *raising the standards* for entering teachers, finding ways to retain the best teachers, and redesigning the system in order to take maximum advantage of the funds invested in preparing and retaining these highly-skilled professionals. Schools, as organizations employing professionals, should not be bureaucracies where rules made by others govern teachers' actions, but collegial organizations where decisions would be made cooperatively by empowered teachers.

The matter of initial teacher education to meet higher standards was a concern of this Forum, and of another group whose report was similarly influential at the time: the Holmes Group (1986). The Holmes Group was a consortium of education deans and chief academic officers from the major research universities in each of the fifty states. Its report, also published in 1986, outlined five goals for the reform of teacher education: 1) making the education of teachers intellectually more solid; 2) recognizing differences in teachers' knowledge, skill, and commitment, and in their education, certification, and work; and distinguishing between novices, competent teachers, and high-level

professional leaders; 3) creating standards of entry into the profession which would be professionally relevant and intellectually sensible; 4) connecting schools and universities; and 5) making schools better places for teachers to work and to learn, with less bureaucracy, more professional autonomy, and more leadership for teachers (The Holmes Group, 1986, p. 4).

Occupations regarded by the public as true professions codified their knowledge and the specific expertise required by their practitioners; they required that those who wished to practice the profession with the sanction of its members would demonstrate a command of the needed knowledge and the ability to apply it. Darling-Hammond, Wise, and Klein (1999) noted that accreditation, licensing, and advanced certification were the three major quality-control mechanisms for any profession. The authors explained that, historically, these mechanisms had been weak in the field of teaching, but this situation seemed to be gradually changing: in 1999, autonomous professional standards boards for teaching had been established in ten states, and more rigorous accreditation standards for teacher education had been implemented through the National Council for Accreditation of Teacher Education, which strengthened its standards in 1988. The authors argued that efforts to restructure America's schools to meet the demands of a knowledge-based economy led to the emergence of a new mission for teaching, requiring more knowledge and different skills. Hence the spread of the movement toward developing and implementing meaningful standards for teaching, led by professional bodies. Darling-Hammond, Wise and Klein (1999) proposed assessment practices through a careful and systematic review of on-the-job performance; outcomes-based teacher education programs; and a licensing system modeled after the licensing systems of other, more

established professions such as medicine, architecture, or engineering, that would include supervised internships, and pilot professional development schools within which these internships might occur.

The movement in teaching toward more professionally-grounded and performance-based standards, analogous to what has occurred in other professions, was based on an increasing consensus about what teachers should know and be able to do. Shulman (1986, 1987) identified the following elements of teaching knowledge: content knowledge; general pedagogical knowledge, including principles and strategies for classroom organization and management; curriculum knowledge, including materials and programs; pedagogical content knowledge; knowledge of learners and their characteristics; knowledge of educational contexts, including the characteristics of classrooms, communities, and cultures; knowledge of educational ends, purposes, and values, and their philosophical and historical grounds. According to this author, understanding how and why teachers plan for instruction, the explicit and implicit theories they bring to their work, and the concepts of subject matter that influence their explanations, directions, feedback, and corrections, should continue to be a central feature of research on teaching.

Studies of teacher in-service development emphasized the cultivation and exercise of judgment as an essential component of what teachers did, revealing that teachers had a type of practical knowledge stemming from their reflection on previous classroom experiences, and that their development improved when based on their own goals (Clark and Peterson, 1986; Duke, 1995; Lee, 1991; Stiggins & Duke, 1988). From this perspective, teacher evaluation should be integrated in a broader context of teacher

and school development, and be based on teachers' own developmental goals in order to have a positive impact on teachers' practices and students' outcomes.

Teacher professionalization and rewards. O'Day (1996) claimed that the implementation of a system of incentives and rewards based on the distinctive nature of teaching and learning was necessary to promote teacher professionalism. Literature on teacher motivation suggested that intrinsic rewards -- the intrinsic value ascribed to the work -- had a strong motivational effect on teachers' choosing and remaining in the profession (Huberman, 1989; Johnson, 1990; Sikes, 1985).

Darling-Hammond (1997) proposed a system of incentives based on teachers' working conditions, such as collective decision-making and peer review, shared governance, reduced student loads, time for shared work, support for individual projects, and internally-developed standards and assessments. Odden (1996) argued for intrinsic and extrinsic incentives and rewards for promoting teacher professional development. After explaining that in recent years attempts to reform teacher pay practices, such as merit pay and career-ladder experiments, had failed almost everywhere, the author suggested that fundamental changes in teacher compensation should reinforce rather than lead fundamental changes in schooling. The focus on teacher professional expertise should lead to compensation and incentive systems related to teacher involvement in governance decisions such as recruiting and budgeting, and in diverse functions such as curriculum design, professional development, and student counseling. This redesigned compensation system would provide incentives, through a skill-based pay structure, that

would motivate teachers to engage professionally in the multiple roles demanded by this reconceptualization of teachers as professionals.

Summary

This section began with a presentation of historical perspectives on teacher evaluation, and the identification of new approaches to relate it to professional development and school improvement. The advantages and shortcomings of using self-evaluation and peer review as sources of teacher evaluation were addressed. Literature on professions and the professionalization of teaching was presented, and related to research on the movement toward standard-definition and reward-reformulation.

3. Relationship Between Educational Policy and Practice

In this section, the relationship between educational policy and practice is addressed. Studies representing policy, organizational, and historical conceptual frameworks are reviewed, and conclusions are drawn regarding the conditions allowing for successful implementation of educational policy.

Policy implementation studies. Odden (1991) noted that, since the 1970s, research on school implementation of state and federal programs concluded that there was

no relationship between reform objectives and local educators' commitment to those objectives. Research on policy implementation evolved through three stages. Stage-one studies were based on late 1960s and early 1970s reform programs and focused on macro-implementation concerns -- whether or not reforms initiated at higher levels of the system were implemented at lower levels. These studies concluded that implementation at the lower level involved conflict between local orientations, values, and priorities, and federally- or state-initiated programs. Stage-two studies focused on program implementation at the local level. These studies were developed during the late 1970s and early 1980s, and concluded that implementation of programs initiated fifteen years ago had involved mutual adaptation: the initial conflict had been resolved through bargaining strategies to produce a program workable for both parties. Stage-three studies focused on micro-implementation issues of improving local school systems to make educational reform work. These studies were developed in the late 1980s and early 1990s, and concluded that, for local educational systems to be improved, efforts had to be made to improve the professional expertise of local educators. A major lesson drawn from these studies, Odden (1991, p. 4) argued, was that policy implementation issues were no longer addressed within a framework of "lack of capacity or will" of local educators to implement federally- or state-established goals, but rather aimed to understand the local conditions necessary to improve the overall education system through a focus on local practitioners.

Murphy (1991) studied implementation problems of Title I of the Elementary and

Secondary Education Act (ESEA)[1] of 1965 in Massachussetts, and concluded that the

limited capacity of federal and state agencies to carry through reform had been caused by

six major factors: 1) the reformers were not the implementors; 2) inadequate staff; 3) lack

of monitoring; 4) legislation and tradition favoring local control; 5) absence of pressure

from the poor; and 6) the federal system's dispersion of power, which encouraged

evasion and dilution of federal reform (Murphy, 1991, p. 35). Kirst and Jung (1991)

developed a thirteen-year longitudinal study of the implementation of Title I, and

concluded that initial vaguely-stated consensual goals had been incrementally formalized

over time through bargaining and compromise; the goal formalization's contents had

been influenced by both local constituencies' power balance and broader social

movements. McLaughlin (1991) reported the findings of a ten-year Rand Corporation

Change Study based on a sample of almost 300 local projects funded by ESEA Titles III

and VIII, the 1968 Vocational Education Act, and the Right-To-Read program. Major

conclusions of the Rand Change Study were: 1) it was extremely difficult for practices to

be changed by policy: the nature, amount, and pace of change were a product of local

factors largely beyong control of state or federal policymakers; 2) local choices of how to

put policy into practice were more important for policy outcomes than program design or

funding; 3) what mattered most to policy outcomes were local capacity and will, which

changed over time and were beyond the reach of policy; 4) local variability was the rule,

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[1]This act greatly expanded the federal role in education, and established federal responsibility for educational opportunity and quality. ESEA Title I, the largest elementary and secondary education program, provided funds for local school districts to meet the needs of educationally-disadvantaged children residing in high-poverty areas. Title I also contained provisional funds for handicapped children, children neglected or delinquent, and children of migratory workers.

and uniformity the exception; 5) initial commitment to policy implementation should not be overemphasized: there were instances where belief followed practice; 6) external technical assistance might be important to promote positive change, depending on the relationships technicians and experts established with local settings; 7) understanding factors affecting teacher behavior, either policy-influenced or unrelated to policy implementation, was essential to policy outcomes. As implications for policy, McLaughlin (1991) recommended: 1) maintaining a system -- non-categorical -- orientation to reform; 2) addressing both content and process, acknowledging the need for different types of expertise associated with the management of organizational change and improved content; 3) using natural networks of teachers, and looking beyond the formal policy structure for channels to promote improvement and change; 4) focusing on improving classroom practices.

After intensively studying the restructuring process in three schools, Elmore, Peterson & McCarthey (1996) concluded that, although for the past decade most efforts at educational reform had centered around restructuring schools, there was no necessary relationship between changes in structure and changes in teaching practice. The authors laid out some lessons for thinking about structural reform and teaching practice in the future, including: 1) attention to structural change often distracted from the fundamental problem of changing teaching practices; 2) no single set of structural changes led predicatbly to a particular kind of teaching practice; 3) transformation of teaching practices was fundamentally a problem of enhancing individual knowledge and skill; 4) practices were unlikely to change without some exposure to what teaching actually looked like when it was done differently. Elmore (1990, 1996) argued for the need to "get

to scale with successful educational practices", claiming that the connection between the macro-ideas of any reform and the micro-world of teaching was a fundamental pre-condition for any change in practice. Creating structures that promoted the learning of new practices, incentive systems that supported them, and connecting expert and committed practitioners with other teachers was an essential part of the effectiveness of any reform movement. If these pre-conditions were not in place, the symbolic enactment of rituals would replace a real analysis and changing of practices in teachers' everyday lives.

Organizational studies. Fullan (1982, 1991) wrote extensively about the stages of the educational change process and the conditions leading to successful change implementation. Three stages were identified in the process of change: 1) initiation -- the process leading to the decision to adopt and proceed with the change; 2) implementation -- usually the first two or three years, when the initial attempt was made to put the idea into practice; and 3) institutionalization -- when the change was built in as an ongoing part of the system. Factors considered to be influential in change implementation included (Fullan, 1992): 1) characteristics of the innovation -- clarity and complexity; consensus and conflict about the change; quality and practicality of the change; and 2) local conditions -- central office direction, commitment and support; process for implementation and institutionalization; professional development and assistance; implementation monitoring and problem-solving; principal's leadership; community support; and environmental stability. Analyzing the impact of three change strategies -- classroom innovation, schoolwide innovation, and institutional change -- Fullan (1990)

argued that the first type of strategy would not have much impact, because it did not address powerful organizational factors; the second type was more potent, but still tended to influence organizational factors only superficially, since it enhanced organizational strengths already in existence, while failing to overcome organizational weaknesses. Fullan (1990) argued for more powerful, multi-pronged strategies to directly address the culture of the organization, school restructuring, and the integration of teacher, principal, school, and student development and accountability.

Historical studies. In their historical study on the American reform movement, Tyack and Cuban (1995) identified six attributes of lasting reforms: 1) they were structural add-ons, generally not disturbing the standard operating structures of schools and not demanding fundamental change in teachers' behaviors; 2) they were non-controversial for lay people on school boards or in legislatures, and were adapted to local circumstances and values; 3) they had influential constituencies interested in their continuation; 4) they were required by law and easily monitored; 5) they were proposed and implemented by school administrators and teachers to make their work easier or more efficient, or to improve their educational status; and 6) they were supported by recognized education leaders.

Conclusion. This section ends with a summary of the conclusions drawn by Odden (1991) from a literature review of educational change and policy implementation studies. Odden (1991, pp. 305-307) identified eight factors associated with an effective local implementation change process: 1) ambitious efforts had more impact on classroom

change that narrowly-focused projects; 2) the micro-implementation process was key to change outcome: how the policy implementation was conducted was more important than the type of change pursued; 3) using proven effective programs worked better than creating new programs; 4) top-down initiation could work if a proven effective program was adopted; if adoption was followed by teacher involvement in designing implementation strategies; and if intensive assistance was provided for teachers and schools; 5) district and local administration support and commitment were needed; 6) teacher participation in designing implementation strategies mattered; 7) extensive ongoing training and classroom assistance for new instructional strategies was crucial; 8) teacher commitment was critical for successful change efforts.

Summary

This chapter began by presenting four conceptual frameworks for understanding organizations, each using specific central concepts, metaphors, and leadership images: the structural frame; the human resource frame; the political frame; and the symbolic frame. These frameworks were not mutually exclusive, and organizational processes might be interpreted through several lenses, some more relevant than others for each particular case.

A section on teacher evaluation followed, beginning with a presentation of historical perspectives on the issue. Recent approaches to teacher evaluation were then identified and related to professional development and school improvement. The

advantages and shortcomings of using self-evaluation and peer review as sources of teacher evaluation were addressed. Literature on professions and the professionalization of teaching was presented and related to research on the movement toward standard-definition and reward-reformulation.

Finally, the relationship between educational policy and practice was addressed. Studies included in policy, organizational, and historical conceptual frameworks were reviewed, and conclusions were drawn regarding the conditions allowing for successful implementation of educational policy.

CHAPTER 4

METHODOLOGY

This chapter is divided into six sections. The rationale for the research design is explained, and the methodology detailed. The process of sample selection is justified, and schools are described. Sources of data are identified, and data collection procedures explained. The issue "person as instrument" is addressed, and other sources of data, namely interviews, document analysis, and fieldwork mentioned. Methods of enhancing data quality and credibility are identified, and data analysis procedures explained. Finally, ethical issues related to the research design are addressed.

In the Appendices, the following elements are included: 1) initial letter of invitation to schools; 2) list of consulted documents in each school; 3) letter to the evaluated teachers, requesting their permission to analyze their documents of critical reflection; 4) interview protocols: 4.1) with schools' presidents of the executive boards; 4.2) with evaluation committees; 4.3) with evaluated teachers; 4.4) with the Ministry of Education's representative; 4.5) with the Regional Education Direction's representative; 4.6) with SINDEP (teachers' union) president; 5) examples of data displays: 5.1) within-case descriptive matrix; 5.2) case-ordered matrix display.

1. Rationale for the Research Design

This research was designed as a *qualitative cross-case study. Qualitative analysis* has its roots in a diversity of epistemological traditions and orientations that share a common set of non-positivist assumptions about reality and knowledge. There are multiple constructed realities that can only be studied holistically. Throughout the research process there exists an inevitable cross-influence between inquirer and participants. The purpose of the inquiry is to develop understanding about a particular case, described in an idiographic form. There is a systemic relationship between all components of a situation. Inquiry is value-bound and context-sensitive (Bogden & Biklen, 1991; Lincoln & Guba, 1985; Miles & Huberman, 1994).

Erickson (1986, pp. 121-122) presented five reasons for using "interpretive methods" -- the term he used to refer to qualitative approaches to educational research: the need to understand the patterns of people's actions as they performed them, the need for specific understanding through documentation of concrete details of practice, the need to consider the local meanings that events had for participants, the need for comparative understanding of different social settings, and the need for comparative understanding beyond the immediate circumstances of the local setting.

All these reasons might be applied to the present study, where a *qualitative approach* was chosen in order to allow for an in-depth and detailed study of the research topic: the implementation process of the Portuguese teacher evaluation policy in secondary schools, and participants' perceptions concerning the policy's design, implementation, and impact. Thus the "need to understand the patterns of people's

actions as they performed them, the need for specific understanding through documentation of concrete details of practice, and the need to consider the local meanings that events had for participants" were satisfied.

The *cross-case study* approach to qualitative research is a specific way of collecting, organizing, and analyzing data about a number of cases of interest (Patton, 1990, p. 384). Since this was an exploratory study, it was assumed that its scope would be broadened by studying the implementation of the same policy in different contexts, allowing for understanding of the uniqueness of each context, but also for identifying similarities across several cases. Thus the "need for comparative understanding of different social settings, and the need for comparative understanding beyond the immediate circumstances of the local setting" were satisfied.

The starting points for this cross-case analysis were three qualitative case studies. According to Yin (1994, p. 13), a case study approach is best suited to study the complexity of an organizational phenomenon, when the researcher believes that context is decisive to understanding the phenomenon. A *case study* is "an intensive, holistic description and analysis of a single instance, phenomenon, or social unit" (Merriam, 1988) or "the study of the particularity and complexity of a single case" (Stake, 1995). According to Merriam (1998, pp. 29-30), a case study has three characteristics: it is particularistic, since it focuses on a specific situation; it is descriptive, since its reporting mode is a complete and detailed description of the case; it was heuristic, since it allows the reader to have a new understanding of the case.

In his *Nine Theses on the Future of Sociology*, Giddens (1987) argued that:

> The social sciences operate within a double hermeneutic, involving two-way ties
> with the actions and institutions of those they study. Sociological observers
> depend upon lay concepts to generate accurate descriptions of social
> processes; and agents regularly appropriate these theories and concepts of
> social science within their behavior, thus potentially changing their
> character (Giddens, 1987, p. 30-31).

According to Giddens (1987), social phenomena exist not only in the mind but

also through social structures and regularities interpreted and acted upon by social actors.

The present study followed this conceptual framework, and consequently aimed at

portraying the organization of the teacher evaluation process in each school, assuming

that it underlay the words and interpretations of the participants: school presidents,

evaluation committees, and evaluated teachers.

This study included several of the characteristics of a qualitative design identified

by Miles and Huberman (1994). It was conducted as an intense contact with a "field"

situation: the implementation of the teacher evaluation policy in three Portuguese

secondary schools. The researcher attempted to understand how participants in each

context accounted for the evaluation process. It followed a pre-established framework of

analysis because the research sites (Portuguese secondary schools) were familiar, and a

range of well-defined concepts (related to teacher professional development and teacher

evaluation) were available to the researcher. The relative weight put on data collection

and on data analysis shifted as the research evolved: initially there was a primary focus

on data collection, at the end there was a primary focus on data analysis; throughout the

fieldwork data collection led to new questions and ideas, which were subsequently

addressed. Interview protocols were changed and new sources of data identified,

reflecting a better understanding both of problem and contexts. The research design had an iterative character, because patterns and themes emerged from data analysis, and verification of the emerging themes was sought deductively, which, in turn, led to further induction[1].

Wolcott (1994) established the following distinction between description, analysis, and interpretation:

> *Description* addresses the question, "What is going on here?". Data consist of observations made by the researcher and/or reported to the researcher by others.
> *Analysis* addresses the identification of essential features and the systematic description of interrelationships among them.
> *Interpretation* addresses processual questions of meanings and contexts: "How does it all mean?" (Wolcott, 1994, p. 12).

Accordingly, this study's chosen method might be characterized as "descriptive/interpretive" (Tesch 1991, p. 22), since its intent was "to gain insight into the human phenomenon or situation under study and provide a systematic and illuminating description of the phenomenon, not explicitly to generate theory".

2. Evolution of the Research Design

The presidents of the three schools participating in this study were first contacted in June-July 1999, when the researcher traveled to Portugal for the summer holidays[2]. All of the schools agreed to cooperate. The three schools' Development Plans and statistics

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[1] Please see Section 4.2 of this chapter for a better explanation of this process.
[2] Please see letter of invitation in Appendix A.

regarding teachers, students and their achievement then were consulted, in order to write the dissertation proposal; in exchange, the researcher volunteered to collaborate in any project the schools would find useful for improvement, after returning from the United States.

The second contact with the schools' presidents was made in December, 1999, when they were informed that it was expected that fieldwork would last throughout January and February, 2000. Again, they all agreed to collaborate. Fieldwork began in early January, 2000. The researcher presented a list of all documents to be consulted in each school[3] and the required number of letters inviting evaluated teachers to participate in the study by letting their documents of critical reflection be analyzed, together with the same number of declarations of consent[4]. Due to the confidentiality of the teacher evaluation process, both the distribution of letters and the reception of the consent declarations had to proceed through each school's president. Only in cases where this permission was given was the analysis of documents of critical reflection possible. Therefore, the number of documents analyzed in each school depended on teachers' availability to collaborate in this study, and each president's commitment to promote teachers' cooperation.

A rigorous discipline was necessary to conclude the fieldwork in the established timeframe. All fieldwork notes and document data were immediately translated into English. All interviews were directly transcribed into English, and returned to participants for member checking purposes. This process of immediately translating and transcribing

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[3]See Appendix B.
[4]See Appendix C.

proved to be very fruitful, because new ideas emerged concerning questions to ask, people to talk to, concepts to develop.

Peer debriefing also played an important role in identifying other issues to pursue, and new sources of information[5]. As a result, new participants were included in the research, namely those who joined in the collective bargaining process leading to the formulation of the Portuguese teacher evaluation policy, that is, the Ministry of Education and teachers' unions, and the representative of the Regional Education Direction primarily responsible for implementation of the policy. New interview protocols were developed for that purpose[6].

Data collection procedures -- interviewing and document collection -- took place during an introductory period in June and July, 1999, and in January and February, 2000, in Portugal. The process of data reporting led to the identification of some missing information from the schools. Their presidents were asked to fax these missing data in March, 2000.

3. Sample Selection and Description

Sampling was *purposeful* and *variation-oriented.* Purposive sampling was chosen as a strategy to safeguard the study's credibility by identifying information-rich cases for in-depth study. Among the different strategies for purposefully selecting a sample, a

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[5] Please see Section 5 of this chapter for a detailed description of the peer debriefing process.
[6] See Appendix D.

variation approach was adopted, which aimed at "identifying and describing the central themes that cut across different field sites" (Patton, 1990, p. 172). There are three types of Portuguese secondary schools, with different organizational histories and characteristics[7]: former high schools, created to prepare students for entering university; former technical schools, created to prepare students for technical, service, or blue-collar work; and new secondary schools, with no tradition toward either purpose. Accordingly, this study was designed as a qualitative cross-case analysis of the implementation of the teacher evaluation policy in three secondary schools in or near Lisbon, each corresponding to one of the three types of secondary schools.

The former high school, School L, was located in Lisbon, and in 1998-99 had 143 teachers and 1314 students. The former technical school, School T, was also located in Lisbon, and in 1998-99 had 130 teachers and 728 students. Both schools were created in the late nineteenth century. The comprehensive school, School C, was created in the 1990s. It was located in a Lisbon suburb, and in 1998-99 had 132 teachers and 771 students[8].

In each school, all evaluator participants in the teacher evaluation process -- the school president and evaluation committee -- were interviewed. All evaluated teachers were asked to collaborate by giving permission to have their documents of critical reflection analyzed. Five evaluated teachers were interviewed. It was assumed that these teachers would provide enough information to approach data saturation, that is, the point when little new information was forthcoming from new participants (Bogden & Biklen,

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[7]Please see Chapter 2, section 2, for a more comprehensive description of Portuguese secondary education.
[8]For a more detailed description of each school, please see Chapters 5, 6, and 7.

1991; Lincoln & Guba, 1985). The researcher asked each school's president to randomly select teachers from a list of evaluated teachers in 1998-99. However, teachers were mostly chosen by each school's president, according to their availability to be interviewed[9]. Aware that this universe of informants might lead to what Miles and Huberman (1994, p. 263) called "elite bias", that is, overweighing data from participants related to each school's president, triangulation procedures were implemented[10].

4. Data Collection Procedures

One of the main characteristics of a qualitative design was that the researcher was the principal source of data collection (Bogdan & Biklen, 1991; Lincoln & Guba, 1985; Merriam, 1998; Patton, 1990). This section began by presenting a summary of this researcher's personal and professional experiences that might have influenced this study's design, data collection and analysis, and conclusions. Other sources of data were then identified, the instrumentation described, and data collection procedures explained.

4.1. Person as Instrument

This study focused on teaching and its evaluation. It was therefore relevant to present a summary of the researcher's experiences both as a teacher and researcher on

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[9]Only one teacher in School L was interviewed because she volunteered to do so, not because she was asked to by the school's president.

teaching. As detailed in Chapter 1, Section 1, the researcher had a long relationship with teaching. During the thirteen years in which she was a secondary school teacher, she performed almost all possible non-teaching functions, including being a member of her school's directive and pedagogical board and supervising initial training of teachers. After leaving teaching to work for the Ministry of Education, first at the Central Planning Office, then at the Institute for Educational Innovation, the researcher was always included in teams studying teaching and school issues. She studied the specific issue of teacher evaluation for four years. All these experiences unavoidably impacted this study's design and development.

The teacher evaluation topic was chosen as a natural consequence of the researcher's professional route, and because she believed that the implementation of an evaluation policy promoting both accountability and professional development would enhance the negative image Portuguese teachers have among the public, the media, and even among themselves. When this study began, the researcher believed that the Portuguese teacher evaluation policy had positive aspects, including: 1) promoting self-evaluation of teachers' activity, through the writing of a "document of critical reflection" that might be used to plan future professional development, within a "reflective practitioner" (Schon, 1978) approach; 2) peer review, thus overcoming the usual top-down and individual evaluation performed by school presidents; 3) mandatory linking between career progress and in-service training, thus creating ways to promote professional development throughout teachers' careers.

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[10]Please see Section 5 of this chapter.

The researcher also believed, however, that this policy lacked two basic features: 1) it did not include class observation as a way of exchanging experiences, discussing new perspectives, and improving teaching practices; and 2) it did not explicitly promote teachers' analysis of their students' achievement. The Portuguese teacher evaluation policy claimed to promote teacher professional development and school improvement, yet lacked some of the most basic requirements to do so. The reasons for this paradox were considered worthwhile to study.

Given the researcher's long experience as a secondary education teacher, "going native", that is, "losing perspective and being co-opted into the perceptions and explanations of local informants" (Miles & Huberman, 1994, p. 262), was one of the possible shortcomings of this qualitative study. This possibility of a biased approach to fieldwork was dealt with by writing fieldnotes, including a purposeful reflection upon one's own subjectivity.

Another problem to be faced was negotiating entry into the field settings. A *known sponsor approach* (Patton, 1990, p. 254), that is, "the legitimacy and credibility of another person to establish the researcher's own legitimacy and credibility", was used. School L and School C were chosen because friends of the researcher acquainted with the two schools contacted their presidents beforehand. School T was chosen because the researcher had developed an earlier study with the collaboration of its president.

The collaboration of these three schools' presidents was essential for data collection during fieldwork. They were the focal informants (Erickson, 1986) in each school, and made available all the documentation necessary for the research. They arranged for five evaluated teachers to be interviewed in each school. They also arranged

for a group interview with their school's evaluation committee, and were themselves interviewed. The researcher attempted to promote friendly and respectful working relationships with these presidents. Gifts from the University of Virginia were given to them at the beginning of fieldwork, and as a way to acknowledge their cooperation, another University of Virginia gift was given to each president at the end of fieldwork.

Fieldwork notes portray the way the researcher was received in each school, and the way she perceived it affected the research process. Fieldwork was easier in Schools C and T than in School L:

> *School C: January 19, 2000*
> I interviewed one evaluated teacher and analyzed teachers' documents of critical reflection. In this school, I was able to analyze all but one document, whose teacher refused to give consent. The president really committed herself to giving me opportunities to observe the entire process. I also asked for the school's Development Plan, and it was promptly given to me.... I have always been very well received here, always offered coffee and mineral water. Today, as usual, when I arrived at the school, I asked one member of the staff to announce me to the direction board. When I entered their office, the president said: "You already belong here, you don't have to ask permission to come in".... When I finished my interview with this teacher, I felt really good (fieldnotes School C).

This excerpt reveals that the researcher's work was easy in School C, where the president's style was "open room", allowing the researcher to interact frequently with other teachers. School C's president was very committed to giving all the collaboration the researcher had requested. Fieldwork in School C was enjoyable and evolved easily.

School L fieldnotes revealed the opposite impression:

School L: January 27, 2000
I arrived at the school a half-hour late, and there was no teacher for me to interview. Teachers in the president's office told me that perhaps she was in the FOCO room (teacher center), and told me to go there, without accompanying me. I found the room, but the door was closed. I tried the resource center, but it was also closed. Therefore, I went downstairs again, to try to arrange for another interview. The president told me the second teacher I was supposed to interview was ill, and so I had to wait for her to recover. I asked her if there were other documents for me to analyze, but she replied that those I had already examined were the only ones whose teachers had agreed to collaborate. Therefore, in this school, I will have less than fifty percent of documents analyzed. One of the members of the direction went to the teachers' lounge, to ask if anyone was available to be interviewed, but no one volunteered (fieldnotes School L).

This excerpt conveys a general impression of uneasiness during fieldwork in School L. It was difficult to find five teachers to interview; it was impossible to analyze fifty percent of evaluated teachers' documents of critical reflection. These difficulties influenced fieldwork in School L, because the researcher never felt sufficiently at ease to establish an open relationship with any member of that school.

Fieldwork in School T was made easy by the researcher's earlier friendly relationship with the school's president.

School T: January 21, 2000
Arrived at school at 10:30 am to interview the two missing teachers, and to analyze more documents of critical reflection. I was again very well received by the president of the executive board. They offered me coffee and mineral water, and accompanied me to a room where I work, the boardroom. Again I noticed how this school is well-maintained .... I have interviewed two teachers, who were sent to me by the president, sometimes without knowing exactly what they were supposed to be interviewed about. I have analyzed five more documents of critical reflection. I have asked the president for more, so that I

may analyze more than fifty percent of this school's documents of critical reflection. I have also asked the president for statistics about students' achievement in national exams, and for the school's Development Plan. Both data were given to me promptly (fieldnotes School T).

In order to promote friendly relationships with the teachers who agreed to be interviewed, each was given a gift from the University of Virginia as a way of introducing them to the researcher's work in the United States. The researcher felt a particular need never to project an attitude that might be considered patronizing. During fieldwork, the researcher's intentions were revealed to the participants, and no covert observations were made. Interviewed participants were given an interview protocol, and later the interview transcript for member checking purposes. Participants were assured of anonymity and confidentiality throughout the process of data analysis and reporting.

Fieldwork was oriented by previously designed research instruments. Each visit to a school had a previously-defined agenda, and was accompanied by the necessary research instruments, either interview protocols or a list of topics to guide document analysis.

4.2. Other Sources of Data, Instrumentation, and Data Collection

Procedures

The process of data collection was guided by the need for triangulation: confronting diverse sources of data and different techniques of data collection, in order to

enhance the quality of the conclusions (Miles & Huberman, 1994). Data collection was based on document analysis, individual and focus group interviews, and fieldnotes.

Document analysis was applied to the study of legislation pertaining to secondary school administration and teacher evaluation policy in Portugal; teacher unions' documents about the teacher evaluation policy; schools' policy documents, including Development Plans and Internal Regulations; schools' minutes of the meetings regarding implementation of the teacher evaluation policy; evaluation committees' appraisal reports; and teachers' documents of critical reflection. In all cases, a content analysis was developed, which implied the identification of thematic categories, data displaying, and treatment of results (Miles & Huberman, 1994).

Individual interviews were conducted with: a representative of the Ministry of Education who had participated in the collective bargaining process leading to the Teacher Evaluation Act; a representative of the Regional Education Direction involved in implementation of the teacher evaluation policy; a president of a teachers' union (SINDEP), who declared it would be easier to explain the union's position on the teacher evaluation issue than to present all the union's documentation on the theme; the president and five evaluated teachers of each of the three schools.

Interviewing was used to collect descriptive data in participants' own words, thus allowing the researcher to develop an impression of how they interpreted the described events (Bogdan & Biklen, 1991). These interviews followed a protocol outlining a set of issues to be explored with each participant. Interview protocols[11] served as checklists, ensuring that all relevant topics had been covered, while being open enough to allow

other topics to be discussed. Protocols enabled data collection to be systematic for each respondent, though interviews remained conversational (Patton, 1990). Interview protocols were designed according to the research questions and legislative prescriptions, and aimed at collecting information about what school presidents and evaluated teachers thought about the evaluation policy's design, implementation, and impact. Participants were given an interview protocol at the beginning of each interview. Interviews lasted on average one hour each.

Focus group interviews were conducted with the evaluation committees of each of the three schools. A focus group interview was an interview with a small group of people on a specific topic, where participants heard each others' responses and made additional comments beyond their initial responses (Patton, 1990). The aim was to obtain data in a social context, where committee members would think about their own opinions in the context of other members' opinions. According to the literature, focus group interviews had the advantage of being time-saving: in a certain amount of time, the interviewer might obtain information from several people, instead of only one person. They also allowed for data control, because participants tended to provide checks and balances for each other's responses (Patton, 1990). In this particular case, a problem was identified in the use of focus groups interviews: participation from less articulate members of evaluation committees was difficult to promote.

Focus group interviews with each school's evaluation committee followed a protocol based on the research questions and legislative prescriptions. These interview

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[11]These interview protocols are in Appendix D.

protocols[12] were designed to collect information on evaluation committee members' perceptions of the evaluation policy's design, implementation, and impact. All group members received an interview protocol at the beginning of the interview. Interviews averaged ninety minutes in length. Both individual and group interviews were taped, transcribed and translated by the researcher, in a process that proved very fruitful, because it generated more questions to pursue in later fieldwork, conclusions to report, and recommendations to suggest.

Fieldnotes were written to account for what was seen, heard, experienced, and reflected upon by the researcher during the process of data collection (Bogdan & Biklen, 1991). Fieldnotes were composed of a descriptive part, in which the researcher purposefully detailed everything that occurred in fieldwork, and a reflective part, in which the researcher detailed her feelings, speculations, and ideas for further research. Fieldnotes were written directly in English, to make auditing easier.

5. Methods of Enhancing Data Quality and Credibility

The matter of *trustworthiness* (Lincoln & Guba, 1985) was crucial in this qualitative design because it assured its credibility (confidence in the relation between findings, participants and context), transferability (the degree to which the findings might have applicability in other contexts), dependability (determining whether the findings would be consistently repeated in the same or in a similar context), and

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[12]Please see Appendix D.

confirmability (establishing that the findings stemmed from characteristics of the participants and the context). In order to assure trustworthiness in this study, four techniques were applied: peer debriefing, member checking, triangulation, and audit trail.

The researcher's peer debriefer was a Portuguese secondary school teacher who was also president of the Association of Economic and Social Studies Teachers. She had a master's degree in human resources management, and several years of work experience in different departments of the Ministry of Education. *Peer debriefing* was carried out in two stages. In the first stage, the debriefer was asked to analyze the research proposal and the interview protocols, in order to check for researcher bias and make suggestions regarding the interviews' focus and research purposes. In the second stage, the researcher's fieldnotes and reflections on fieldwork were discussed, and the debriefer was asked to make suggestions regarding the presentation of the findings. As a result of this debriefing, some of the researcher's first reflections were corrected and others confirmed[13], and a new issue entered the researcher's agenda: studying the teacher evaluation policy's background by identifying the role played in its formulation by the National Council of Education, teacher unions, and the Ministry of Education[14].

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[13] As examples of confirmed impressions, both researcher and debriefer agreed that teachers in general thought evaluation committees focused only on the documents of critical reflection and teachers' real work was not fully appraised; and that evaluation by peers outside the disciplinary group and at lower career levels was questionable.

Some suggestions were not acted upon, such as a suggestion to address the issue of teacher evaluation in other countries.

Some suggestions were adopted, such as a suggestion to question the impact of the Portuguese teacher evaluation policy in terms of staff management, since in Portugal teachers were placed in schools regardless of their evaluation. This issue was addressed in Chapter 9.

[14] These contents were presented in Chapter 2, section 3.

Member checking was carried out by giving each participant the transcript of their interview, in order to detect discrepancies, inconsistencies, and mistakes. After reviewing their transcripts, two participants added new material[15].

Triangulation was carried out by confronting the data obtained from six different sources and two different techniques (Miles & Huberman, 1994): legal documents on Portuguese school administration and teacher evaluation policy; schools' documents pertaining to the implementation of the evaluation policy; teachers' documents of critical reflection; and interviews with school presidents, evaluation committees, and evaluated teachers. From triangulation, most data were corroborated. Any inconsistencies or conflicting interpretations were identified and reported[16]. Miles and Huberman (1994, p. 266) explained that one of the biases stemming from the effects of the site on the researcher was the "elite bias", which might be avoided by spreading out research participants. It may be argued that one of the methodological shortcomings of this study is its "elite bias", since most informants were chosen by each school's president. While triangulation methods have been applied to counterbalance bias, it is impossible to argue that this bias was completely eliminated.

An *audit trail* on the study's methods and procedures was carried out by a graduate student, who checked for clarity of research questions and the congruence

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[15]The Ministry of Education representative specified that "writing 'after hearing the teachers' unions' in several articles of the Teacher Evaluation Act served to reaffirm Constitutional principles" and that "regarding the 'non-satisfactory' rating, the reasons had to be fully justified".
School C's evaluation committee noted that each committee members' answers were not correctly identified in the transcript. It was explained that the purpose of the evaluation committee's interview was to obtain a group interpretation of the evaluation policy, and therefore individual answers had not been identified.

between questions and design; the consistency between findings and data; the accuracy of data quality checks; and the use of peer review suggestions and informants' feedback (Miles & Huberman, 1994, p. 278). The study was found to be lacking in considering competing conclusions, and in explicating personal assumptions which might eventually affect its results. As a result, a review was made of the final conclusions and the "person as instrument" section of the methodology chapter.

6. Data Analysis and Reporting

To avoid the criticism that "analytical processes (in qualitative studies) often were vague, intuitive, and personalistic" (LeCompte & Goetz, 1982, p. 40), a series of systematic procedures of data analysis was established, following Miles and Huberman's (1994) approach to qualitative data analysis. Data analysis involved three linked processes: data reduction, data display, and conclusion/verification. These processes occurred before, during, and after data collection, in an interactive process in which inductive and deductive analysis were mixed: after themes and patterns were identified inductively, the research entered into deductive mode to verify them, which in turn triggered a new inductive cycle[17].

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[16]An example of inconsistency: School C's teachers' and president's interpretations of commitment to educational projects. An example of conflicting interpretations: School L's declared reasons for not granting a request for a "good" rating (please see Chapters 5 and 7 for details).
[17]For instance, after the theme "teachers think that evaluation committees focus their appraisals solely on documents of critical reflection" was identified, the verification process was triggered in order to confirm this theme in the following interviews (please see Chapters 5, 6, and 7 for details).

Data reduction was the initial process by which the collected data were selected and condensed on the basis of the study's conceptual framework. Three techniques were applied: *summaries*, *coding* and *memoing,* and *review procedures.*

Summaries were used for information contained in legal documents on school administration and teacher evaluation; school documents on teacher evaluation policy implementation; teachers' documents of critical reflection; and fieldwork observations. They were coded and analyzed like other data.

Codes were categories drawn from the research questions, key concepts, or important topics. They were organizing tools, allowing for quick identification and regrouping of all the segments linked to a particular question, concept, or topic. In this study, coding was *thematic*, which allowed for reducing data into a small number of analytical units (Huberman & Miles, 1991). *Coding* involved two stages. An initial list of codes related to the conceptual purposes of the study was created prior to the fieldwork, to guide it. This initial list was provisional, open to change as the study proceeded[18]. First level coding was developed with descriptive codes, involving the process of naming and classifying data. Second-level coding aimed at organizing regularities in the data into patterns and themes.

Coding was combined with reflective comments, or *memos*, that aimed at making sense of the data. They were dated, labeled with relevant concepts, and linked to previous data and summaries.

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[18]As the study evolved, this initial list was in fact changed. For example, questions related to school departmental structure were introduced, as they were mentioned by participants as significant for understanding the teacher evaluation process (please see Chapters 5, 6, and 7 for details).

As the analysis developed, two *review strategies* were used in order to determine the quality of the data, and possible next steps: a compilation of statements pertaining to each theme in analysis; and data accounting, to identify data already collected, and missing data. A *general chronological log* was kept to document data collection and analysis; *specific chronological logs* were kept for each school's fieldwork, with the same purpose of documenting data collection and analysis.

Data display was used in both each within-case analysis and the cross-case analysis. Data was displayed in matrices (Miles & Huberman, 1994)[19]. Coded data segments were identified in the transcribed fieldnotes, and then condensed and summarized to enter the matrix. Cross-case data were made comparable by using common codes, common displays of data segments, and common reporting formats for each case. Metamatrices (Miles & Huberman, 1994, p. 178) assembled descriptive data from each case in a standard format, following the principle of inclusion of all relevant data in case-ordered matrix displays.

Verification, the third linked process of data analysis[20], involved triangulating sources and techniques, to get corroboration from the collected information, and identify inconsistencies; peer debriefing, to check for researcher effects; audit trail, which involved looking for exceptions to mainstream explanations, looking for negative evidence, and checking for rival explanations; and member checking, to obtain participants' feedback.

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[19]Please see Appendix E for examples of data displays.
[20]This process was described in Section 5 of this chapter: "Methods for enhancing data quality".

Data reporting. The reporting mode was subdivided into four sections: one case study for each of three schools, to reveal its uniqueness, and a cross-case analysis in which the three case studies were compared and contrasted. Description and quotation were essential reporting ingredients (Erickson, 1986; Patton, 1990; Wolcott, 1994), to allow the reader to enter into the situation and words of participants in the study, and to make sure that the description included detail necessary for subsequent analysis and interpretation. "Thick description" (Geertz, 1973) was provided, in order to allow the reader to understand context and meaning. Analysis was approached by highlighting and displaying the study's findings, identifying pattern regularities in the data, and comparing and contrasting (Miles & Huberman, 1994; Wolcott, 1994). The purpose of analysis was to organize the description to contextualize individual cases in a broader interpretive framework. Interpretation was approached by integrating data analysis in the study's conceptual framework, which provided a way to link each case study to larger research issues (Wolcott, 1994).

7. Ethical Issues

This study adopted *relational ethics* (Miles & Huberman, 1994, p. 289), stressing an equal-status collaboration, and emphasizing issues of caring and respect in the creation of agreements for fieldwork, data collection, treatment, and reporting. This ethics observed the following principles (Miles & Huberman, 1994, pp. 290-291): *mutual respect* -- protection of participants' autonomy; *non-manipulation* -- not leading others to

cooperate where cooperation acted against their interests; *democratic values --* commitment to equality and liberty.

All participants in this research had the opportunity to *freely give informed consent* to their collaboration, that is, they were provided with full information about the study, its purposes, methods of data collection, and reporting mode. Participants' *confidentiality* and *anonymity* rights were protected at all times.

Attending to Stake's (1995, p. 12) words: "good case study is patient, reflective, willing to see another view", an "ethic of caution" was used in all stages of data analysis and reporting, in order to avoid hasty and groundless conclusions.

CHAPTER 5

CASE STUDY 1

SCHOOL C: A CONSTRUCTIVE APPROACH TO THE EVALUATION

PROCESS

This case study is presented in a three-part format. First, the school's organizational characteristics are described, including context, background, and physical space; structure and organization; policy guidelines; curriculum and student achievement; students, and teaching staff. Second, the school's implementation of the teacher evaluation policy is presented, including the evaluation committee's composition and decisions; teachers' documents of critical reflection's components; requests for "good" ratings; and conflicts related to the implementation of the teacher evaluation policy. Finally, participants' opinions regarding the policy's components -- mandatory teacher training; document of critical reflection; and evaluation committee's appraisal -- and other evaluation issues -- the lack of class observation; policy's fairness; and the need for teacher evaluation -- are addressed.

1. Description of the School

School C was located in a district belonging to the metropolitan area of Lisbon. This district grew steadily due to its accessibility to the capital, and was regarded as a Lisbon suburb. The District Development Plan aimed at attracting high-quality services, developing institutions of higher education, and establishing the district as a quality residential space.

This school was created in 1993, as a result of the unification of two sections of two other secondary schools. Its teaching staff was composed partly of teachers from the two former schools. Although they were at this school for six years -- the number of years School C had been functioning -- many teachers were already acquainted with each other from work at their previous schools. The president explained that the process of joining two schools with two different cultures had been difficult, but successful. School C now had a "human face" as its main characteristic, defined as friendly relationships among all its constituencies, and an inviting environment:

> This school was founded in 1993, from the union of two previous schools that were terminated, and that were themselves branches of other main secondary schools. Then, two different kinds of teachers were put together, with different organizational backgrounds; also two types of different students, one group coming from a more disadvantaged area, the other group coming from better SES areas. As a new school, we have tried, right from the beginning, to take special care with this new space, and to create more human relationships among all the participants. And in fact, after all these years, I think this goal has been accomplished. I mean, we managed to create more familiar relationships among everyone in the school; the spaces are also humanized.That is our main identity, those warmer relationships among students and teachers, this more human space. We were very careful to design the spaces and gardens in a pleasant way. We also have lots of extracurricular activities (interview with the president, January 7, 2000).

The school was very well-maintained, with its three two-floor pavilions painted light pink. Pavilion A contained the teachers' room, class directors' room, administrative offices, library/resource center, copyroom, audiovisual room, study hall, and seven classrooms. In Pavilion B, there were physics and chemistry laboratories, art rooms, an art workshop room, clubs, and twenty classrooms. In Pavilion C were located a sciences laboratory, computer rooms, and ten classrooms. The dining hall and gymnasium were shared with a nearby basic school.

School C was very spacious, with lawns and landscaped open spaces. In the entrance hall, there was a tree and a bird in a big cage. The interior space was as well-tended as the exterior, with white walls and large halls. From the outside, it was possible to see the Atlantic Ocean.

1. 1. Structure and Organization

School C's structure and organization conformed to the elements specified in the Portuguese legislation concerning the administration of secondary schools: collegiate bodies; educational structures and specialized services; and projects of educational development[1].

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[1]Please see Chapter 2, Section 3, for a description of the Portuguese model of secondary school administration.

Collegiate bodies. As a result of the 1998 School Administration Act (Decree-Law 115-A/98, of May 4th), Portuguese secondary schools are composed of an *assembly,* an *executive board,* a *pedagogical board,* and an *administrative board.*

In School C's case, the *assembly* was composed of twenty members, including ten teachers, three student representatives, two non-teaching staff representatives, two parent representatives, one district representative, and two representatives of the community. Teacher, student, and non-teaching staff representatives were elected; the other members were nominated by the appropriate institutions (Internal Regulations, D1: 2).

School C chose to have an *executive board* instead of a director. School C's executive board was composed of a president and two vice-presidents. Its Internal Regulations specified that the members of the executive board must be tenured teachers with at least five years of service, and qualifications for or experience in school administration (Internal Regulations, D 2: 1, 8). School C's president and vice-presidents had been part of the school's board since its creation in 1993.

The *pedagogical board* was composed of sixteen members, including the president of the executive board, six representatives of the curriculum departments, two representatives of the special education services, one coordinator of the class directors, one coordinator of the school's projects, one representative of the teacher initial training departments, two student representatives, one representative of the non-teaching staff, and one parents' association representative (Internal Regulations, D 3: 2). The president of the executive board was also elected president of the pedagogical board. The requirements of the position called for "being a tenured teacher, chosen by her pedagogical experience, with interpersonal skills, and leadership" (Internal Regulations, D 3: 6).

The *administrative board* was composed of the president and one of the vice-presidents of the executive board, and the chief registrar (Internal Regulations, D: 4, 2).

Educational structures and specialized services. According to the Portuguese model of school administration (Decree-Law 115-A/98), secondary school structures were composed of *curriculum departments*, formed by groupings of disciplines, *class directors*, *teacher-tutors*, and *grade, cycle,* or *course coordinators* (Articles 35, 36, 37). Specialized services were composed of *psychology and counseling services*, a *special education team*, and other services organized by the school (Article 38).

In School C, it was decided to create *six curriculum departments*. Table 4 presents the name of each department and the disciplinary groups comprised within it.

Table 4

School C's Curriculum Departments

Department	Disciplinary groups
languages	English, French, German
humanities	Portuguese, history, philosophy, psychology, moral and religious education
exact and technology sciences	mathematics, computers
physical and natural sciences	physics, chemistry, natural sciences, biology, physical education, design
social sciences	geography, introduction to economic and social development, economics, sociology, law
expressions	visual education, expression technologies

Each curriculum department was expected to build team spirit, reinforce interdisciplinary cooperation, and improve educational efficacy and quality. Department coordinators were elected for three years and received a teaching reduction of four hours per week. They must be tenured teachers, chosen for their pedagogical and scientific

competency, interpersonal skills, and leadership (Internal Regulations, D21: 3, 4, 9, 11, 12).

Disciplinary groups were a substructure of curriculum departments, composed of teachers of the same discipline. Each disciplinary group elected a three-year representative to work with the coordinator of the curriculum department. These representatives were chosen for their academic and pedagogical competence, as well as their interpersonal skills and leadership. Each group representative received a reduced teaching load of four, three, or two hours per week, for groups containing respectively ten or more teachers, five to nine teachers, or four or fewer teachers (Internal Regulations, D22: 2, 4, 7, 8). Five of School C's disciplinary groups -- Portuguese, English, history, mathematics, and physical education -- had partnerships with teacher education institutions, and provided classroom practice for student teachers.

The *class council* was composed of all the class teachers, a student representative, and a parent representative. It was coordinated by a class director appointed by the executive board (Internal Regulations, D22: 1, 2, 3). The council of class directors elected a *coordinator* to participate in the pedagogical board. This coordinator was supported in his/her work by grade coordinators (Internal Regulations, D22: 2, 3, 6).

Specialized services. School C provided services in the areas of psychology and counseling, special education, study hall[2], individual tutoring, and library/ resources center (Internal Regulations, D3: 3).

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[2]The function of this service was to promote student achievement. It was provided by the teachers of the disciplines that had a higher level of failure, and coordinated by a teacher appointed by the executive board (Internal Regulations, D3:3).

Projects of educational development. This area was coordinated by a teacher, appointed by the executive board, who was expected to manifest "dynamism, leadership capacity, and understanding of the school". This coordinator's teaching load was reduced three hours a week (Internal Regulations, D6). In 1998-99, School C developed several projects, including Intercultures; Socrates[3]; health education; newspaper; school radio; math laboratory; Photography Club; African Club; and school sports.

1. 2. School Policy Guidelines

School C's policy guidelines were specified in its Development Plan and Internal Regulations. According to School C's *Internal Regulations*, its formative goals aimed at promoting students' development, better and more humanized spaces, and interpersonal relationships (p. 3). Pedagogical relationships should be grounded in values of competency and attitudes of availability and respect for others. Classroom rules should embody principles of firmness, respect, and maintenance of a good work environment. Students should participate in the organization and evaluation of their learning activities, and develop autonomous work habits (p. 3). One of the school's priorities was school staff's continued training (p. 6). Students' exceptional merit was annually recognized and publicized (pp. 6-7). Disciplinary proceedings should be formative, aiming at improving students' behavior and defending the rights of the more responsible students (p. 8).

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[3]These were projects developed in partnership with schools of other European Community countries.

School C's *Development Plan* for 1999-2002 established institutional guidelines using initiative, imagination, and responsible solutions for concrete problems, valuing scientific and pedagogical criteria over administrative criteria, and promoting clarity and efficacy through communication and information. As educational guidelines, School C's Development Plan called for promoting quality education by developing curriculum activities and broad-based skills, and by promoting partnerships with the local community (p. 5). School C's identity was grounded in citizenship values and in the development of quality teaching (p. 6).

School C's president emphasized the school's commitment to the development of educational projects and extra-curricular activities. When asked if the restriction of credit hours[4] had decreased the number of school projects, she explained that School C teachers were committed to developing educational projects regardless of teaching load reduction:

> In fact, the total credit hours we have are very few for the many projects
> we want to develop. But we always had a special dynamic, and several
> teachers promote projects without consideration of the credit hours to which they
> should be entitled. I do think that, if people work, they should have some kind of
> reward, but unfortunately there is no merit system for teachers; everybody gains
> equally, whether they work a lot or nothing at all. This is wrong, I think. Here in
> the school, all the projects we were used to continued, they did not stop just
> because people didn't get credit hours. Our pedagogical board has analyzed
> the criteria to allocate those extra hours, and we have decided that they should
> mainly go to educational support for students. That is why the hours for
> project development were very limited. But our projects go on, and our students
> participate a lot: educational sports, photography, multimedia workshop, Socrates
> projects. Our library has new spaces and is adapted for students to have their
> spaces for informal reading, production of materials.... The extracurricular
> component played an important role in students' learning to preserve the school
> that belongs to them (interview with the president, January 7, 2000).

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[4]The Ministry of Education allocated each year a number of hours, called "credit hours", to each secondary school. These hours were then allotted by each school to the development of activities considered important.

This enthusiasm was not completely shared by teachers who were interviewed. They seemed to mix pride for the school's projects with a weariness caused by too many hours invested in non-teaching activities, within an organization in which some teachers seemed to be called on to perform multiple functions, while others were left alone. The school project coordinator expressed this mixture of pride and weariness in the following terms:

> I give to the school many more hours than the ones requested, I do drama with students within my classes. I do it because it gives me pleasure. I feel that, if I do not do this, my teaching activity would be incomplete .... I am also a member of the pedagogical board, elected for three years. This is heavy .... In our school, we see certain people elected or appointed to every function, whereas others are completely left alone .... If you ask me if I greatly like these functions, I will tell you I don't, I prefer teaching activities with my students. And sometimes the performance of those non-teaching functions harms my teaching activities, because they rob me of time (interview with Teacher C3, January 19, 2000).

Other teachers expressed similar views:

> My teaching schedule is twenty-two hours, and everyone knows I don't give less than forty hours per week to this school, because I work with secondary grade students, I support theater projects, and all this cannot be done in twenty-two hours. I stay here many hours, in the weekends, at night, sometimes inconveniencing my family (interview with Teacher C1, January 18, 2000).

> This school has a lighter structure, easier to change. When we want to do something, we propose it and it is rapidly done .... Of course, there is also the other side of the coin. The school has so many projects, so many activities, that we are always being asked to do something else. The process is eventually very tiresome (interview with Teacher C5, January 20, 2000).

1. 3. Students and Curriculum

School C was a mixed basic and secondary school. When asked which dimension most characterized the school's identity, the president answered that they had tried to balance both, to continue the school's tradition of teaching grades seven through twelve:

> We try to get a balance, and it has been a struggle. Contrary to other schools that decided to go completely secondary, we have been totally opposed to that idea from the beginning. We don't agree with this new trend that tends to separate basic grades from secondary grades. When it was founded, this school had students from the seventh grade until the twelfth grade, and that is how we want it to remain. We have many tenured teachers, which means that there is no staff rotation, and our teachers decided to keep on teaching basic and secondary grades. This means that there is much diversity in their work, many strategies to implement, because we cannot teach the seventh and the twelfth grades in the same way (interview with the president, January 7, 2000).

Table 5 presents School C's almost even distribution of students among basic and secondary education tracks:

Table 5

School C's Students' Distribution by Grade Level

Grade	Number of classes	Number of students
Basic education, 3d cycle:	20	365
7th grade	6	129
8th grade	7	121
9th grade	7	115
Secondary education:	17	406
10th grade	5	125
11th grade	5	106
12th grade	7	175
Total (basic and secondary):	37	771

School C did not offer night courses. In secondary education, the school's curriculum was composed of courses leading to higher education, not technology courses[5]. Table 6 presents School C's secondary education students' distribution by areas of specialization.

Table 6

School C's Secondary Education Students' Distribution by Areas of Specialization

Groupings	Grade	Number of students
1 - exact and technology sciences	10	57
	11	44
	12	84
Total		185
2 - arts	10	17
	11	19
	12	20
Total		56
3 - economic and social sciences	10	25
	11	22
	12	30
Total		77
4 - humanities	10	26
	11	21
	12	41
Total		88

Tables 5 and 6 suggest that School C's secondary education students expected to enter higher education institutions that provided scientific-technology courses (45.6 percent of the students), humanities courses (21.7 percent), economic and social courses (19.0 percent), and arts (13.8 percent).

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[5]Please see Chapter 2, section 2, about the organization of Portuguese secondary education.

School C did not seem to have any problem attracting students. As explained by the president of the executive board, the school received public school students from two districts:

> We have excess demand for our curricular offerings. We receive students from two districts, and there is also demand from students coming from particular schools, whose parents heard that this school has a more familiar climate than others. We have to refuse lots of students in the beginning of each school year. In the secondary grades, we have only one class in each grouping. As we have to accept all our students from the ninth grade, that means we do not have many vacancies. Besides, our curriculum is composed of only the four groupings leading to higher education. That is why we have to refuse many students, which is a very difficult situation (interview with the president, January 7, 2000).

The student body had few cultural groups[6]. There were seventeen students from Angola (six students in basic education, eleven students in secondary education); five students from Mozambique (three students in basic education, two students in secondary education); ten Brazilian students (five students in basic education, five students in secondary education); and ten students from the European Community (four students in basic education, six students in secondary education).

1.4. Student Achievement

The characteristics of School C's students were captured in this excerpt from an evaluated teacher's document of critical reflection:

The students who attend this school, particularly the ones in the secondary grades, come mostly from a high SES, and that factor, whether we want it or not, has a direct impact on their interests and their empathy for the school and its teachers. On the other hand, as this school promotes multiple extracurricular activities, most students feel very well here, sometimes better than at home (document of critical reflection #18).

Table 7 presents School C's achievement rate, measured by the percentage of students who were promoted from one grade to the next in 1998-99:

Table 7

School C's Student Achievement Rate in 1998-99

Grade	N. students	N. students who failed	N. students who dropped out	Achievement rate (%)
7th	129	6	-	95.3
8th	121	10	2	90.1
9th	115	10	-	91.3
10th	125	23	1	80.8
11th	106	9	1	90.6
12th	175	74	-	57.7

These data suggest that in 1998-99 School C had a very high achievement rate (exceeding ninety percent) in its seventh, eighth, ninth, and eleventh grades. The number of dropouts was very low (1.7 percent at the most, in eighth grade). The decrease in achievement in the twelfth grade was due mostly to group one courses (exact and technology sciences), where the number of students who failed (43) exceeded the number of students who passed (41), and to group three courses (economic and social sciences),

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[6]In Portugal, the term "ethnic group" was not used, being replaced in Ministry of Education documents by

where the number of students who failed (15) nearly reached the number of students who passed (16).

Student admission to higher education courses. Another indicator of student achievement is the percentage of students admitted to higher education courses. According to data from the Committee for the Secondary Education National Exams, of the ninety-six students that applied to higher education in 1998-99, seventy-four (77%) were admitted in the first phase[7]. They were placed primarily in law, management, biology/geology, economics, and agronomic engineering courses. Their institutions of choice were the School of Sciences, the Technical Higher Institute, the Law School, the Agronomy Higher Institute, and the Higher Institute of Economics and Management, all located at the University of Lisbon, a highly competitive institution. These data indicate a high level of performance on the national exams.

1. 5. Teaching Staff

In 1998-99 School C had 102 tenured teachers out of a total faculty of 132. Thirty-three teachers (25%) taught only basic education, fifty-five (41.7%) taught only

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the term "cultural group".

[7]In Portugal, the vacancies for each public higher education course were established every year by each institution. Applicants to public higher education courses must comply with three requirements: 1) possession of a secondary education diploma; 2) passage of the national examination for the basic course for which they hold a diploma; 3) in examinations held at the national level, the minimum grades in the specific subjects determined by the establishment/course. Each applicant might indicate six options in terms of establishment/course. Access to public higher education was publicized in two phases. Applicants who did not obtain access in the first phase might still be placed in the second.

secondary education, and forty-four (33.3%) taught both basic and secondary education.

Table 8 presents School C's faculty by gender and disciplinary group.

Table 8

Distribution of School C's Teachers by Gender and Disciplinary Group

Disciplinary Group	Male	Female	Number of teachers	Number of tenured teachers	% tenured teachers
Mathematics	3	13	16	10	62.5
Physics	-	14	14	11	78.6
Visual arts	3	4	7	7	100.0
Economics	-	2	2	2	100.0
Portuguese/ Latin	1	7	8	5	62.5
Portuguese/ French	1	7	8	8	100.0
English/ German	2	12	14	13	92.9
history	2	10	12	9	75.0
philosophy	-	4	4	2	50.0
geography	1	5	6	6	100.0
biology/ geology	-	11	11	8	72.7
mechanics	1	-	1	1	100.0
electrotech.	1	-	1	1	100.0
tissues	-	6	6	6	100.0
building and woodwork	2	-	2	2	100.0
physical education	9	6	15	9	60.0
computers	1	1	2	1	50.0
moral and religious education	1	-	1	-	0.0
special techniques	-	2	2	1	50.0
TOTAL	**28**	**104**	**132**	**102**	**77.3**

These data indicate that School C had a high percentage of tenured teachers, a relatively small number of teachers from technology areas, and a high percentage of women (78.8%). School C's teachers' average age was in the thirty-five-forty-nine range (eighty-one teachers, 60.9%), with sixty-nine teachers (51.9%) more than forty years of age, and twenty-four teachers (18.0%) more than fifty years of age.

2. Implementation of the Teacher Evaluation Policy

The Portuguese teacher evaluation policy is based on three components: a document of critical reflection written by the evaluated teacher; mandatory in-service training; and an appraisal report written by the school's evaluation committee[8].

This section reports on how the teacher evaluation policy was implemented in School C. First, the number of evaluated teachers and their distribution by disciplinary group are detailed. Second, the composition, criteria, leadership, number of meetings, and decisions of the evaluation committee are described, and the committee's appraisal reports are analyzed. Third, teachers' documents of critical reflection are reviewed according to their structure and level of reflection. Fourth, the process of requesting a "good" rating is described, and School C's evaluation parameters are identified. Finally, conflicts related to the teacher evaluation policy are presented.

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[8]Please see Chapter 2, Section 4, for a description of Portuguese teacher evaluation policy.

2.1. Number of Evaluated Teachers by Gender and Group

The evaluation period coincides with the point at which the tenured teacher is scheduled to go up one career level. In School C, twenty teachers out of 102 were evaluated for promotion in 1998-99. The distribution of evaluated teachers did not reflect the school teaching staff in general, since no teachers of economics, English/German, philosophy, computers, and special techniques were involved. Table 9 presents the distribution of School C's evaluated teachers.

Table 9
Distribution of School C's Evaluated Teachers by Disciplinary Group

Group	N. Evaluated Teachers	N. Tenured Teachers	% Evaluated Teachers
mathematics	1	10	10.0
physics	1	11	9.1
visual arts	2	7	28.6
economics	-	2	0.0
Portuguese/Latin	3	5	60.0
English/German	-	13	0.0
Port/French	1	8	12.5
history	1	9	11.1
philosophy	-	2	0.0
geography	1	6	16.7
biology/geology	3	8	37.5
mechanics	1	1	100.0
electrotechnics	1	1	100.0
tissues	2	6	33.3
building/woodwork	1	2	50.0
computers	-	1	0.0
special techniques	-	1	0.0
physical education	2	9	22.2
TOTAL	**20**	**102**	**19.6**

Table 9 indicates that in 1998-99 some disciplinary groups with fewer tenured teachers, such as mechanics, electrotechnics, Portuguese/Latin, and building and woodwork, had a higher percentage of evaluated teachers than groups with a higher number of tenured teachers, such as physics and history.

2.2. School C's Evaluation Committee

The evaluation committee is a special committee formed within schools' pedagogical boards. Its role is to write an appraisal report for each evaluated teacher. The president of the pedagogical board appoints a committee member -- the reporter -- who is responsible for writing the appraisal report's proposal. To write this proposal, the reporter must take into consideration activities developed by the evaluated teacher during the evaluation period (Teacher Evaluation Act, Articles 8 and 9).

Evaluation committee: composition and leadership. School C's evaluation committee was formed of five members. Three of these members constituted its core: the president of the pedagogical board, who was also president of the executive board, the coordinator of the class directors, and the representative of teacher training departments. The other two members were department representatives of the evaluated teachers, and, if necessary, another member of the pedagogical board, selected on a rotating basis. The whole board took responsibility for the teacher evaluation process. A particular

responsibility was assumed by the department representative for each evaluated teacher, who served as the committee's reporter, and was responsible for the appraisal's proposal.

As explained by the president:

> The composition criteria were defined by the pedagogical board. It was composed of me, because I was the president of the pedagogical board, the representative of teacher training activities, the representative of the class directors, and two rotating members. One was the group representative of the evaluated teacher; the other rotated among the members of the pedagogical board. When the committee met, it normally analyzed more than one document of critical reflection, which meant that we always had the five necessary elements. This process continues this year. We have six department coordinators, and therefore everyone will be integrated in the evaluation process.... We have decided in our committee that its reporter should always be the group representative of the evaluated teacher .... As the reporter is not always the same, and it is the evaluated teacher's group representative, I think the committee's leadership tends to rotate, at least formally. We always write the appraisal in common, and therefore the existence of a reporter is more formal than anything. But it is the reporter who begins the discussion of each teacher (interview with the president, January 7, 2000).

In School C, the evaluation committee's formal leadership was distributed among each of the evaluated teachers' department representatives, since he/she assumed the role of committee reporter. The committee avoided concentrating leadership in the school president.

Evaluation committee's meetings and decisions. School C's evaluation committee met as often as required to appraise all the teachers who were scheduled to change career level. Table 10 presents the dates and purpose of each meeting.

Table 10

School C's Evaluation Committee's Meetings

Dates	Purpose
September 16, 1998	To analyze 3 documents of critical reflection
September 18, 1998	To analyze 1 document of critical reflection
September 21, 1998	To analyze 1 document of critical reflection
November 11, 1998	To analyze 1 document of critical reflection
November 16, 1998	To analyze 3 documents of critical reflection
November 23, 1998	To analyze 5 documents of critical reflection
December 18, 1998	To analyze 1 document of critical reflection
March 22, 1999	To analyze 1 document of critical reflection
April 26, 1999	To analyze 2 documents of critical reflection
July 2, 1999	To analyze 2 documents of critical reflection
Total meetings: 10	Total of analyzed documents: 20

These data indicate that the evaluation committee met ten times from September 1998 until July 1999, with the sole purpose of analyzing teachers' documents of critical reflection.

To guide the evaluation process, School C's pedagogical board developed an administrative form composed of six parts. The first part documented that the teacher was progressing to another career level, and had presented his/her document of critical reflection on a particular date. The second part announced the appointment of the committee's reporter. The third part recorded the reporter's certification that the teacher's document met legal requirements, and that the three items leading to a "non satisfactory" rating did not apply. The fourth part, signed by all committee members, reported the committee's acceptance of the reporter's appraisal proposal. The fifth part recorded the

executive board president's agreement with the appraisal. The sixth part, signed by the evaluated teacher, recorded his/her acknowledgement of the evaluation.

Besides this administrative form, each evaluated teacher received a confidential appraisal report, containing the committee's opinions regarding his/her most distinctive teaching practices. School C's president explained that the contents of each appraisal report were very succinct because the committee decided that it would not be worthwhile to write extensively. The writing of a positive appraisal was perceived to contribute to teachers' self-esteem.

> We do not give advice, because we thought that it was not worthwhile. Our report is very succinct, and in time it tends to be more and more simple, but we always put a paragraph which is different from teacher to teacher, where we put something relevant about the teacher.... If what we write is positive, it is good for the good teachers'ego, and functions as an incentive for them to keep on with the good work (interview with the president, January 7, 2000).

Other members of the evaluation committee expressed similar opinions. They agreed that each report should be different and related to positive aspects of the evaluated teachers' practices.

> A1: We think that a case is a case. Each teacher has his/her own route, and writes his/her document of critical reflection accordingly. So, we have decided that it is necessary to personalize this appraisal report, to benefit the teacher.
> A2: Our analysis focuses more on the positive aspects of the teacher's activity, but it is different from teacher to teacher.
> A3: I do think that in this school, we have been particularly careful to function in a moralizing way, trying to differentiate each teacher according to his/her qualities (interview with the evaluation committee, January 17, 2000).

From these assertions it was possible to infer that in School C each evaluated teacher received a distinctive and confidential evaluation report, containing what the

evaluation committee considered to be the most important features of his/her teaching practices.

Content analysis of the appraisal reports. To understand how the committee dealt with the delicate issue of differentiating between more-competent and less-competent teachers, the committee's appraisal reports were analyzed according to their purpose and the criteria used in the appraisal process, measured by the number of references made in the reports.

The reports' purpose was subdivided into two subcategories: praise and criticism. These subcategories stemmed directly from interviews with the school's president and the evaluation committee (excerpts cited above). In these interviews, differentiating teachers according to their individual work was repeatedly mentioned as a way to acknowledge the work of the most competent and committed teachers.

The criteria used in the appraisal process were subdivided into professional and administrative. Administrative criteria involved the use of legislation as a basis for the appraisal of teachers; for example, the verification of items included in the Statute of Teachers' Career, Article 44, leading to a "non-satisfactory" rating, e.g.: 1) the continuing education credits requirement; 2) proof of poor relationship with students; 3) refusing non-teaching functions.

Professional criteria derived from what Darling-Hammond (1997, pp. 294-297) identified as the ground on which the teaching profession was being built, that is, the "growing consensus about what teachers should be able to do". Among these components, Darling-Hammond (1997) included subject matter and pedagogical content knowledge; knowledge of student development; understanding of student differences and

motivation; knowledge about learning, assessing, and teaching strategies; knowledge about curriculum resources and technologies; collaboration skills; and reflection on practices. Table 11 presents an analysis of School C's evaluation committee's appraisal reports.

It may be inferred from this content analysis that the committee used professional criteria (Darling-Hammond, 1997) to appraise teachers, rather than administrative criteria. Pedagogical criteria used by the committee included pedagogical quality, commitment to the school and to professional development, and critical reflection as expressed by teachers' documents. Administrative criteria were used to propose the "satisfactory" rating for teachers whose documents revealed little reflection, while meeting legal requirements (see example of criticism #3 in Table 11).

It may also be inferred that the committee did not focus solely on teachers' documents of critical reflection, but analyzed the whole of each teacher's work according to professional criteria. Teachers' reflections upon their practices, as expressed in their documents, was taken into account in the committee's appraisal reports (see examples of praise #1 and criticism # 3 in Table 11).

Table 11

Content Analysis of School C's Evaluation Committee's Appraisal Reports

Number of teachers with written praise: 14	*Number of teachers who received criticism: 6*
Three examples of praise:	Three examples of criticism:
1. September 16, 1998 "The report expresses the teacher's high level of performance and pedagogical quality. It also reveals deep reflection and commitment to professional improvement. The committee concluded the teacher should undoubtedly be rated as 'satisfactory'" (appraisal report # 1).	1. November 16, 1998 "The teacher performs reasonably well in terms of program accomplishment. He could, however, reveal more commitment to extracurricular activities. The committee concluded the teacher should have a 'satisfactory' rating" (appraisal report # 6).
2. November 23, 1998 "The report reflects a careful analysis of the teaching work in all its dimensions. The teacher is very competent in all functions she performs. The quality of her classroom work and her contribution to the implementation of the school Development Plan is evident. The committee concluded that the teacher should undoubtedly be given a 'satisfactory' rating" (appraisal report # 13).	2. November 23, 1998 "The report reveals some missing aspects in some areas, namely program accomplishment and participation in projects. The teacher reveals poor performance as teacher trainer and alternative curricula manager. The committee concluded, however, the teacher should be given a 'satisfactory' rating" (appraisal report # 10).
3. April 26, 1999 "The work developed for different projects was very positive for implementation of the school Development Plan. The teacher's availability and commitment to his professional practice should be emphasized. The committee concluded the teacher should undoubtedly be given a 'satisfactory' rating" (appraisal report # 18).	3. November 23, 1998 "After analyzing the teacher's document, the committee has considered it clearly weak and of little reflection, although observing the legal requirements. The committee concluded the teacher should be given a 'satisfactory' rating" (appraisal report # 12).
Appraisal criteria emphasized by the evaluation committee (number of references):	
1. Pedagogical quality	15 references (75% of the total reports)
2. Commitment to the school: participation in projects and other extracurricular activities	14 references (70% of the total reports)
3. Critical reflection expressed in the document	8 references (40% of the total reports)
4. Commitment to professional development	3 references (15% of the total reports)

The distribution of praise and criticism in the reports (fourteen teachers were praised, and six received some form of criticism, as indicated in Table 11) was explained by the president as a strategy to identify the most positive dimensions of each teacher's work, and avoid conflicts related to the committee's findings[9].

> (Now) we are very concise in our appraisal report, and try to
> say politely, almost unnoticeably, that we do not agree with what is said in the
> document, in case of exaggeration. In the paragraph we always write at the
> end, we say things such as: "the committee has no doubt in giving the
> 'satisfactory' rating"-- in the cases where teachers worked well; and when
> they did not work so well, we put: "the committee proposes the 'satisfactory'
> rating". So, you see, it is almost unnoticeable .... This committee has only
> the power to write "satisfactory", and that is it. When the three items in
> the Statute are not applied, the teacher receives "satisfactory". ... But, you see,
> if what we write is positive, it is good for the good teachers' ego, and works
> as an incentive for them to keeping the good work (interview with the
> president, January 7, 2000).

2.3. Teachers' Documents of Critical Reflection

According to the Teacher Evaluation Act (Regulatory-Decree 11/98, of May 15), the evaluation process begins with a presentation by the teacher to the president of the executive board of a document of critical reflection on activities developed during the evaluation period, accompanied by a certification of all completed training courses (Article 5). The document of critical reflection must be succinct and include an assessment of activities developed both in- and out-of-classroom. It must consider the

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[9]Please see section 2.5 of this chapter for a description of the conflicts related to implementation of the teacher evaluation policy in School C.

following components: a) teaching schedule; b) pedagogical relationship with students; c) accomplishment of core curricula; d) performance of other non-teaching functions, namely in school administration and management, counseling, and pedagogical supervision; e) participation in school projects; f) in-service training courses completed and certified; and g) developed and published studies (Article 6).

School C's documents of critical reflection were analyzed on the basis of these components. This content analysis appears in two tables. Table 12 presents the distribution of School C's documents according to the components specified in the Teacher Evaluation Act. This analysis aimed at establishing which components were most mentioned by evaluated teachers. It might be assumed that the most mentioned components were the ones teachers most emphasized for evaluation purposes.

Mentioning a particular component, however, did not mean that teachers had reflected upon it. Table 13 presents a content analysis of the components written in a "reflective mode". This analysis was based on an adaptation of the categories developed by Holly and McLoughlin (1989) for their analysis of teachers' journals:

Descriptive -- a mere presentation/summary of activities developed during the evaluation period.
Analytical -- writing used to examine some of the developed activities.
Reflective -- writing included description, analysis, and judgment
      (Holly & McLoughlin, 1989, pp. 264-265, adapted).

Table 12

Content Analysis of School C's Documents of Critical Reflection
-- Documents' Components

Documents' components	Number of references
1. teaching schedule	15 references (83.3% of the total analyzed documents).
2. pedagogical relationship	15 references (83.3% of the total analyzed documents).
3. program accomplishment	14 references (77.8% of the total analyzed documents).
4. performance of non-teaching functions	14 references (77.8% of the total analyzed documents).
5. participation in projects	16 references (88.9% of the total analyzed documents).
6. teacher training courses	17 references (94.4% of the total analyzed documents).
7. attendance	15 references (83.3% of the total analyzed documents).
8. developed and published studies	5 references (27.8% of the total analyzed documents).
Appendices	• 15 documents with certification of completed training courses • 1 document with student projects • 1 document with educational strategies developed by the teacher in her projects • 1 document with field trips' guidelines
Number of analyzed documents of critical reflection	**18 (90% of the 20 documents written in 1998-99)**

In School C, ninety percent of the evaluated teachers' documents of critical reflection were analyzed. From the analysis of Table 12 it might be inferred that most teachers followed the guidelines established in the Teacher Evaluation Act.

Applying the distinction between administrative criteria and professional criteria (explained in section 2.2) to the content analysis of the evaluated teachers' documents of critical reflection revealed that two of the most mentioned components -- "training

courses" and "attendance"-- had administrative purposes. The component of "training courses" was the most mentioned, presumably because it was one that might lead directly to a "non satisfactory" rating, according to the Teachers' Career Statute, Article 44. The frequency of references to "attendance" might be interpreted as a result of the former Teacher Evaluation Act (Regulatory-Decree 14/92, of July 4), whose Article 6.3 established that "teachers' critical reports should include indicators of their attendance".

The frequency of references to "participation in projects" seemed to confirm the impression of this school as a learning environment where many educational projects were developed in 1998-99[10]. Participating in projects, however, did not seem to be understood as participating in any form of research. That might be the reason why only twenty-eight percent of the analyzed documents made reference to any particular study or published work by a teacher.

A content analysis of the appendices revealed that teachers did not document their reports. Most teachers concentrated on certifying their training courses; two teachers included documentation on educational projects developed with students; and another teacher included guidelines for field trips.

Level of description, analysis, and reflection. Documents of critical reflection were supposed to include "the assessment of activities developed in and out of class" (Teacher Evaluation Act, Article 6). In many cases, however, the documents did not appear particularly "critical" or "reflective". Table 13 presents a content analysis of the documents according to their level of reflection. This analysis was based on an adaptation

of the categories identified by Holly and McLoughlin (1989) for their analysis of journals

written by teachers.

Table 13

**Content Analysis of School C's Documents of Critical Reflection
-- Level of Reflection**

Number of documents purely descriptive: 3
Example: Pedagogical relationship: "Individual, group, and project work were used, with individualized pedagogical support to the most needy students" (document # 3).
Number of documents including description, explanation, some reflection: 8
Example: Pedagogical relationship: "The methodology of project work that I used whenever it was possible promoted a good relationship with students, not only in projects implying a greater creativity, such as the ones developed in visual education, but also in more technical disciplines. In all of them I appealed to research methods and the use of images through audiovisual tools" (document # 10).
Number of reports including critical reflection: 6
Example: Pedagogical relationship: "I have always tried to show my students, who often lacked motivation for physics and chemistry, how interesting it was to apply these disciplines in the resolution of concrete daily problems. I have always tried to understand the reasons leading to disinterest on the part of students, in order to try and overcome this barrier. I tried not to forget that only if you want to learn you will learn, and that sometimes it is enough to pay a little more attention to the students to overcome barriers, and make the process of teaching and learning more effective" (document # 18).

Components with reflection	
1. Teaching schedule	2 references (this component should be associated with the "program accomplishment" component).
2. Pedagogical relationship	13 references (72.2% of the analyzed documents).
3. Program accomplishment	7 references (38.9% of the analyzed documents).
4. Performance of non-teaching functions	7 references (38.9% of the analyzed documents).
5. Participation in projects	5 references (27.8% of the analyzed documents).
6. Teacher training courses	2 references (11.1% of the analyzed documents).

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[10]For an account of School C's educational projects, please see section 1.1 of this chapter.

A content analysis of the components written in a "reflective mode" revealed that teachers did not attribute the same relevance to all components specified in the legislation. The components directly related to teaching practices and student achievement -- "pedagogical relationship with the students" and "program accomplishment" -- were the ones on which teachers tended to reflect most. The level of reflection upon "performance of non-teaching functions" and "participation in projects" seemed to confirm that in this school teachers were committed to the development of several educational projects in 1998-99.

While the component "teacher training courses" was the most frequently mentioned in teachers' documents (see Table 12), only two teachers reflected upon it in writing. Eighty-nine percent of the evaluated teachers limited themselves to summarizing their attended courses, inserting in appendices their respective proof of attendance. It might be inferred that School C's teachers did not include their continuing education in a comprehensive professional development program, since they did not mention such a program in their documents. Tables 12 and 13 suggested the components teachers most emphasized for evaluation purposes -- "completed training courses" and "participation in projects" -- did not correspond to the ones they most reflected upon -- "pedagogical relationship with the students", "program accomplishment", and "performance of other non-teaching functions".

2.4. Requests for a "Good" Rating

As determined by the Teacher Evaluation Act, a school's evaluation committee only can give a "satisfactory" rating. If teachers think they deserve better, it is up to them to make a formal request for a "good" rating. In order to review this request, a special committee, composed of the president of the school pedagogical board, a teacher from outside the school appointed by the pedagogical board, and a teacher or an individual of recognized merit in education, appointed by the teacher being evaluated, must be formed (Articles 10, 13). In School C, two teachers requested a "good" rating, one in 1998-99, and the other in 1999-2000. Both were granted it.

School C's president associated this dearth of requests for a "good" rating, understood as a right to which teachers were entitled, to its lack of benefits in terms of career progress.

> We have other colleagues who are very committed to the school and work hard, but do not request this "good" rating, because they think that it is not worthwhile ... I would never request it. But I think teachers who do it have this right and do very well in exercising it. Last year we had one such case, and it was granted. We had another case this year, which was also granted .... I think more and more teachers will tend to question if they will request it or not. In this school, those two cases were different, but I think what motivated them both to request a "good" rating was neither mad ambition, nor wanting to be particularly ... it was a right they felt they had and were willing to exercise (interview with the president, January 7, 2000).

The teacher who requested a "good" rating in 1998-99 claimed that she had exercised her right to have her merit recognized. She asserted, however, that no benefits had resulted from her new rating.

Right now, I still don't know what advantages I may have because of this 'good'. I asked for "good" because I talked with the president of the school, and she suggested I do it .... We could infer from the reading of my appraisal report that I could ask for "good". So I thought about it, and I was pulled in two directions. On the one hand, in terms of practical effects, I still haven't seen any, I only had more work to justify this request. On the other hand, I thought, if I can do it, why not do it? And I did it (interview with Teacher C5, January 20, 2000).

School C's special committee's composition. In 1998-99, the special committee formed in School C to review one teacher's request for a "good" rating was composed of the president of the pedagogical board, the director of the teacher center, appointed by the school pedagogical board, and a colleague from the same discipline, appointed by the teacher being evaluated. The president explained that this committee had worked hard to interpret the legislation and develop evaluation criteria. The special committee's composition had to change in 1999-2000, to guarantee the credibility of the evaluation process, since the director of the teacher center was a good friend of the second teacher who requested a "good" rating.

In our first case, I proposed to the pedagogical board the director of our teacher center, a teacher who is related to the school, but does not teach here. I had thought this teacher could be used in all our processes, because we had a lot of work to begin with, read the legislation, interpret it, write an evaluation form that I will show you later.... But in the second case, as this director was very friendly with the evaluated teacher, I decided not to propose her, to safeguard the evaluated teacher's interests against eventual claims of favoritism; so I proposed a teacher from another school, who had invited me to be part of an external committee in her school. It was a kind of return .... The teachers'representatives were other teachers of the school, of the same disciplinary group. Colleagues of "recognized value", as the legislation says. In one case, the teacher had published books (interview with the president, January 7, 2000).

The special committee formed in School C to review teachers' requests for a "good" rating developed a set of criteria to guide this review. These criteria are presented in Box 1.

Box 1

School C's Criteria/Guidelines for "Good" Ratings

- <u>Teaching-learning process</u>: scientific and pedagogical rigor; curriculum knowledge;   teaching practice; student monitoring; cooperation with other teachers in the disciplinary group.
- <u>School work</u>: development of projects; integration in school development plan; organization of field trips; participation in conferences, seminars ...
- <u>Performance of non-teaching functions</u>: management; pedagogical supervision; educational guidance; group representation; class direction; coordination of class directors; facilities management ...
- <u>Teacher training/professional development</u>: attitude toward teacher training/professional development; accredited and non-accredited training courses.
- <u>Other items</u>: attendance; punctuality; availability; commitment;community integration ...

Applying the distinction between <u>administrative criteria</u> and <u>professional criteria</u>[11] to the analysis of School C's guidelines to review teachers' requests for a "good" rating suggested that professional criteria -- for example, scientific and pedagogical rigor, commitment to extra-curricular activities, performance of non-teaching functions, commitment to professional development -- were developed to guide School C's special review committee.

The process of requesting a "good" rating. In School C, teachers who requested a "good" rating were required to write a new and more detailed document of critical reflection, together with a justification for requesting "good". The reason for this requirement, which was contested by some teachers, was explained by the president as a strategy to make teachers reflect more upon their practices.

> In our school, the process goes like this: the teachers write to explain why they think they deserve to receive "good". Here is a question I would like to see clarified. One of the colleagues gave me only the request to be rated "good", without any added document of critical reflection. I told him that the document was missing, and the justification for "good" was also missing. Then the colleague gave me his former document of critical reflection, without any change, and I told him that I thought the teacher had to write something else, besides what he had written to receive "satisfactory". I phoned the Education Direction for clarification, and from my interpretation the request for "good" should be accompanied by another document of critical reflection and the justification for "good". The arguments to ask for "good" should be integrated in the document, I think. That is how the process is done in our school. I think the requirement to this added document and justification makes sense, because they make teachers reflect a little more upon their practices (interview with the president, January 7, 2000).

Some teachers did not agree with this requirement, claiming that it only added to their paperwork. Teachers also thought that this requirement did not make sense, since what they had to report in both cases was the same: their work during the evaluation period.

> Q. Have you thought about asking for "good"?
> A. You know, I cannot be bothered to begin the process again, having to write a new document of critical reflection, having to justify why I should have "good"... I do not agree with the way this process is organized. I do not think the evaluation should focus only on the teacher's document of reflection. Most of the times these

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[11]These criteria were first presented in section 2.2. of this chapter, and again in section 2.3.

documents do not correspond to the real activity of the teacher in the school .... I think that this role of asking for "good" should not be mine, that is, it should not be the teacher who asks to be recognized. The evaluators should be the ones to recognize the merit of some teachers' work (interview with Teacher C1, January 18, 2000).

Yes, I thought so, but then, when I found out that I had to write another document, I gave up. I think this is illogical: if we have to say the same thing, why write another document? I think that the school and its evaluators should be the ones to say if a teacher is good or bad. It should not be necessary to arrange for people from outside to evaluate teachers' work.... And why do we have to write another document? This is not logical. I would agree with an introductory explanation of the request for "good", but not with having to write another document. We are going to say the same thing, we are not going to invent things, so why repeat it? We already have so much paperwork to do, why complicate things even more? Besides, I don't see any advantage in having "good" or "very good" (interview with Teacher C2, January 18, 2000).

The teacher who asked for a "good" rating in 1998-99 also questioned the requirement of a new document of critical reflection:

I think this is questionable. In the end, that new document was the same as my former one, where I have described what I have done. What we have to do is to justify why we think we deserve "good", why we didn't think "satisfactory" was enough. The question is, they give "satisfactory" to everybody, therefore if we think that we deserve better, why not do it? (interview with Teacher C5, January 20, 2000).

Appraisal report of the special committee formed to review the "good" request.

Box 2 presents the appraisal report written by School C's special committee to justify its decision to grant a "good" rating.

Box 2

School C's Special Committee: Appraisal Report

" The evaluation committee thinks the teacher emphasizes in her work classroom context and development of curriculum contents. This does not exhaust a teacher's work, but it is admissible in the case of secondary school teachers. The teacher reveals correct scientific knowledge and is sure and efficient in its application. She reveals a high capacity for adapting the teaching-learning process to diverse situations. She seems to constantly reflect upon her work, in a way that is enriching both for herself and her students. In activities developed in the school, while not a pioneer, the teacher participates in those proposed to her, and formulates pertinent suggestions for their development. The teacher has always performed correctly all the non-teaching functions allotted to her. She has attended training courses, either accredited or non-accredited, always in her disciplinary area, that is, sciences. Her attendance is praiseworthy. Therefore, the committee has decided to grant her the qualitative rating of 'good'".

An analysis of this report confirms that the criteria developed by School C's special evaluation committee to guide its appraisal (see Box 1) were applied: commitment to the teaching-learning process, development of projects and other extracurricular activities, performance of non-teaching functions, and commitment to professional development.

2.5. Conflicts Related to Implementation of the Teacher Evaluation Policy

In School C, conflicts related to implementation of the teacher evaluation policy arose in two instances: one conflict resulted from the contents of the appraisal report; another conflict stemmed from the process of requesting a "good" rating.

Conflict case #1: the contents of the appraisal report. One conflict stemmed from the words used by the evaluation committee in its appraisal report. School C's president explained that a teacher had contested the language, and had questioned the committee's right to appraise her. According to the president, the strategy used by the committee to manage this conflict was to write a reply to the teacher's complaints, justifying the legitimacy of its report.

> One of our colleagues questioned the contents of her appraisal report; she did not agree with a certain judgment made by the committee .... The committee found a lack of information in the teacher's document, because some of the items indicated in the legislation had not been addressed, which meant that the teacher had not reflected upon them, or at least that this reflection had not been written. So, our report found that, in the areas x and z, her document could reveal more reflection. The teacher questioned these terms, and decided to write me about it. I told her that she would have to address this letter to the committee, not to me, and she did it, she wrote her arguments. We met in committee, and the committee has written a reply to this colleague .... She protested because she thought that we were not entitled to make any type of comment about her document (interview with the president, January 7, 2000).

Conflict case # 2: the process of requesting a "good" rating. One conflict arose in consequence to requesting a "good" rating by a teacher who, according to the evaluation committee, barely met the requirements to be given a "satisfactory" rating, and had written an overstated version of his practices. In this case, the conflict was managed first by writing, and then by omission: the teacher was transferred to another school, and School C's evaluation committee did not have to pursue the case.

The president explained how the process evolved:

> I am going to give you a concrete example of a teacher who fantasized in his report. We were succinct in our appraisal, as usual. But this case did not stop

there, because the teacher requested a "good" rating. We were lucky, because he left the school, and so we did not have to participate in the "good" process, but I know that the teacher did not get it.... He said things that were completely unfounded, such as the fact that he had received a praise. The committee responded that he had not received such a praise. Then the teacher questioned our response, and the committee met again and wrote him another reply (interview with the president, January 7, 2000).

Some members of the evaluation committee explained that conflicts involving

dubious assertions and overstated versions of facts were very difficult to manage.

A1: In our report, we wrote that some assertions in the teacher's document did not correspond totally to the truth, and we invited him to meet to confront his assertions with our proofs. He responded to us by writing.
A2: This process was even more serious because this teacher asked for 'good'. The case did not involve lies, but some dubious assertions and some exaggerated versions of facts. These processes involving misinterpretations of facts are difficult to solve. This evaluation process is full of difficulties (interview with the evaluation committee, January 17, 2000).

3. Opinions about the teacher evaluation policy

This section addresses the opinions of School C's participants regarding each of

the components of Portuguese teacher evaluation policy: document of critical reflection,

mandatory teacher training, and evaluation committee's appraisal. Opinions are also

presented about other evaluation issues, including the lack of class observation, the

fairness of the policy, and the need for teacher evaluation.

3.1. The Writing of a Document of Critical Reflection

It was evident from the interviews that all teachers knew how to write this document and which components were important. They mentioned the pertinent legislation, and the fact that it was placed on a placard for everyone to see.

> Everybody knew the legislation, it was in a placard in the executive board office. I copied it, and then followed what was written there (interview with Teacher C1, January 18, 2000).

> We all knew the legislation. I was the group representative, so I belonged to the school's pedagogical board. When the legislation came up, it was discussed by the pedagogical board, and then group representatives took it to their groups, to inform other teachers. When the time came to be evaluated, we followed the instructions (interview with Teacher C2, January 18, 2000).

The writing of a critical document was perceived by the participants to have some positive and some negative aspects. Most positive opinions related document-writing to a time in which teachers had to stop and think about their practices during the evaluation period. There was also an opinion that these documents' analysis might impact on the teacher center's programming[12], making it more aligned to teachers' training needs.

Positive opinion #1: promoting reflection on teachers' practices. Most teachers claimed that writing their documents had made them think about their work during the evaluation period.

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[12]As a result of the Teacher In-Service Training Act of 1992 (Decree-Law 249/92, of November 9), teacher centers were created, each including an association of schools within the same pedagogical area. Their purpose was to satisfy teacher training needs defined at the national, local, and individual level (Article 20).

It made me more conscious of my teaching, it reminded me of some things that
I should have done better ... I think it was positive (interview with Teacher
C2, January 18, 2000).

It makes us systematize things and reflect upon what we have done and what
remains to be done. From this perspective, it is positive, because it promotes an
examination of conscience (interview with Teacher C4, January 20, 2000).

"I think the obligation to look back on what we have done is positive. We
are always running against time, and if we are not required to do it, with a
deadline, we won't do it. We say, I will do it tomorrow, and tomorrow
never comes. This is a way to discipline ourselves" (interview with Teacher
C5, January 20, 2000).

Positive opinion #2: impacting positively on teacher center programming. A
member of the evaluation committee explained that documents' analysis might lead to a
better match between the training provided by the teacher center and School C's teachers'
training needs.

"If schools define their staff's training needs, then teacher centers may work
better. Schools may do this as a consequence of analyzing teachers' documents
of critical reflection.Therefore, I think there are still many things to be
improved" (interview with the evaluation committee, January 17, 2000).

Teachers verbalized two negative opinions regarding documents of critical
reflection. These opinions might be termed "the writing issue" and "the overstatement
issue", and stemmed from the perception that what teachers wrote did not necessarily
correspond to what they had really done.

Negative opinion #1 : the writing issue. Some teachers thought that the evaluation
committee based its appraisals on their documents of critical reflection, and not on the

whole of their work in the school. They argued that teachers who wrote better were automatically at an advantage:

> I do not agree with the way this process is organized. I do not think the evaluation should focus only on the teacher's document of reflection. Often these documents do not correspond to the real activity of the teacher in the school.... I know there were teachers who presented their documents at the same time I did; perhaps their documents were better written because they were humanities teachers, for instance, and everybody had the same rating.... So, what I say is, in any evaluation process, we have to be very rigorous and very careful, so that unjust situations do not happen (interview with Teacher C1, January 18, 2000).

> I tried to put on paper what I have done and my experiences, but it depends a lot on the way each teacher writes. There are people who, with an activity, embellish it, while others limit themselves to describing it (interview with Teacher C5, January 20, 2000).

Negative opinion #2: the overstatement issue. Some teachers argued that the documents of critical reflection did not always correspond to teachers' real performance, because some colleagues tended to overstate and embellish what they had done.

> The writing is also questionable, because there are teachers who in fact exaggerate everything they do. Quantity is not quality, and sometimes the document is not reflective, only descriptive (interview with Teacher C3, January 19, 2000).

The evaluation committee denied that its appraisal reports focused solely on what teachers wrote in their documents:

> Of course we know the teachers, and our appraisal focuses not only on their documents, but also on their work in the school (interview with the evaluation committee, January 17, 2000).

3.2. Mandatory In-Service Training[13]

The mandatory in-service training was perceived by participants as having some positive consequences, but also some problems. The positive consequences were related to requiring that all teachers attend continuing education courses. These courses were believed to have a positive impact on professional development and school performance. The perceived problems stemmed from the lack of diversity of course offerings, and the lack of correspondence between training and practice. Some teachers contested the mandatory requirement of in-service training to promote career progress, and mentioned its negative consequences for their private lives.

Positive consequence #1: making all teachers attend continuing education courses. Most participants agreed that mandatory training was positive, otherwise many teachers would never attend any courses.

> If there was no such requirement, many teachers would not attend any training course, so I think this is positive. We know that most teachers wouldn't do it by themselves, and this is a way of promoting teachers' continuing education (interview with Teacher C4, January 20, 2000).

> There are some teachers who would do in-service training anyway, but there are other teachers who, if not required to do it, would never do it. That is why I think this requirement is important (interview with the evaluation commitee, January 17, 2000).

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[13]The Teachers Career Statute determined a career ladder of ten levels. In order to progress from one level to the next, teachers were required to complete a minimum of in-service training credits, equal to the number of years in each career level.

Positive consequence #2: promoting teachers' professional development.
Teachers claimed that required in-service training had a positive impact on their own professional development, because they had attended courses related to their training needs and interests.

> In my case, I tried to choose courses that meant something to me. As I was in special education, I chose one course related to this theme, and another, very interesting, called 'the teacher as a health agent', which did not deal with health care, but rather with the ecological dimension of the school. This was very interesting, I learned a lot, I learned how to do class projects, the trainer was very good .... Then I applied what I had learned ..... I proposed a project called "Toward an inclusive school". Its purpose was to diminish the exclusion, by presenting methodological alternatives to avoid dropouts (interview with Teacher C4, January 20, 2000).

Positive consequence #3: improving schools' quality. One teacher claimed that Portuguese schools were currently better because of required continuing education and the teacher evaluation policy.

> I think some interesting work has been done, and schools today are undoubedly different. I don't think this would happen if there were no such evaluation. Therefore, I think it had positive consequences, although many teachers protest against the requirement to attending courses. The ones who protest most are exactly the ones who wouldn't attend in-service training if they didn't have to. This is a way to advance, if you choose what you like. It is important that teachers are motivated to attend these courses (interview with Teacher C4, January 20, 2000).

Problem #1: lack of diversity of course offerings. Two teachers complained that they had to attend courses that did not correspond to their training needs or interests, because their teacher center lacked diversity in course offerings, and courses that interested them were not accredited.

We in physical education have lots of training courses that are important to us
but are not accredited. And so we attend them because they are important, and
then we have to attend the training courses given by accredited entities.
That is absolutely wrong .... Sometimes there are courses in these centers
that really interest us. However, as teachers who are going to change level are
given priority in registration, we cannot attend them. And then, when our time
comes, perhaps there is no training that really interests us, and we have to attend
training that does not mean anything to us (interview with Teacher C2,
January 18, 2000).

I would prefer to have training courses directly related to my discipline, but
I cannot attend them because they are far away, or their schedule does not fit
mine. Therefore, I was led to attend courses that did not interest me, because
I felt pressured (interview with Teacher C3, January 19, 2000).

Problem #2: the mandatory requirement. Two teachers complained that this

requirement had made them attend training courses just to change career level. These

teachers argued that training without motivation was meaningless.

We know that often teachers attend courses that do not correspond to their
real needs, they attend them just because they have to (interview with
Teacher C1, January 18, 2000).

In my case, for instance, I need to have credits for my transition this year,
therefore I have to attend training courses. I would like to do training related to
teaching and communication, but there is no such course at my teacher center. I
tried to find this course somewhere else, but if I cannot find it, I will have to
attend another course, whatever it is. I find this horrible. We should attend
courses because we want to, not because of this pressure (interview with
Teacher C3, January 19, 2000).

Problem #3: lack of relationship between training and practice. Some teachers

and members of the evaluation committee complained that the mandatory training

requirement had led them to attend courses with no relationship to their practice. These

teachers claimed that the mandatory training had had no impact on their practice.

> I think it is positive that teachers have training courses, but not this type of
> training course. I think teachers should have to attend training courses within
> their area of expertise (interview with Teacher C2, January 18, 2000).

> In impact, it depends on the training courses teachers attend. We know that
> teachers may attend training courses absolutely unrelated to their work. For
> instance, I attended one about "radical sports" or "open air activities".... We are
> now in an absurd situation in which attending "open air activities" is accredited
> as in-service training (interview with the evaluation committee, January 17,
> 2000).

Problem #4: negative consequences for teachers' private lives. One teacher

complained that the pressure to complete required training credits to change career level

led her to attend evening courses for six months, with negative consequences for her

family life.

> Throughout the years, I have applied for all courses that interested me, and I
> was never called. Last year, when I was about to change level, I was called to
> three, so I was training from November until April, every day, all evenings,
> with negative repercussions for my family life, of course (interview with
> Teacher C1, January 18, 2000).

3.3. The Evaluation Committee

Members of the evaluation committee complained that their appraisals had no

practical impact on teachers' practices, and that their role was limited by the school's lack

of autonomy, which prevented them from taking action against less-accomplished teachers.

> A1. As far as the committee's appraisal report, its contribution is virtually none, its role is zero. Even the way we do it in our school, in teachers' changing attitudes and behaviors, in impact, it is virtually zero.
> A2: This has to do with schools' lack of autonomy, their inability to really take action. We know there are colleagues who, if we followed this process to its end, would not even receive "satisfactory". We have our work restricted because, in order to give "non-satisfactory", we have to limit ourselves to those items in the legislation.
> A3: I think we have virtually no power, because the legislation limits our activity. Any negative appraisal is limited (interview with the evaluation committee, January 17, 2000).

While identifying constraints on the role performed by schools in the evaluation process, some teachers were reticent about proposing a more active role for schools, arguing that it would increase their level of conflict and might lead to unjust situations. They argued that some evaluation criteria should be established centrally, to guarantee equity of the evaluation process.

> I think some basic rules should be defined centrally, after a debate in which teachers would participate. If this process were more teacher-based, it would work better .... I think they (the rules) should be central. There are local and regional differences that should be taken into account, but a set of standards should be common, because teachers may transfer from one school to other (interview with the evaluation committee, January 17, 2000).

> I am not sure if the school should have autonomy to differentiate between "satisfactory" and "good", because this would mean an increase in conflict in the school. I think the Ministry should legislate in terms of establishing the parameters and criteria to differentiate from grades one to five. Although all schools are different, there are some basic things in common (interview with Teacher C3, January 19, 2000).

The bias of committee members against some teachers was perceived as a problem by one teacher, as it might lead to a negative appraisal.

> Let's suppose that the committee has a bad opinion about a teacher....
> The ambiguity remains. If we have a good relationship with people involved
> in the process, things are easier. But it is the same in life. There is
> always this eventual problem: if in the committee there is one teacher
> who detests the evaluated teacher, this may have a negative consequence in
> the appraisal, because the committee should be impartial. But we know that
> there is nothing ideal (interview with Teacher C5, January 20, 2000).

When compared to the former teacher evaluation policy, where evaluation was performed by the school's president, this committee was perceived by the president as being more comprehensive and fair in its appraisals.

> I find it very positive, very positive. Because when I was the only one to read the
> reports, I had my opinion; I tried to listen to the opinions of other members of
> the executive board, we talked about it, but the process was very centered on this
> directive body. Now things are much broader, it is good for the committee itself
> .... What we find very positive in our school is the addition of the evaluated
> teachers' group representatives to the evaluation process. I think this is
> important, because they are the ones closest to teachers' work, they may
> intervene directly (interview with the president, January 7, 2000).

3.4. The Class Observation Issue

On this issue, the prevailing opinion was that there was no prospect of such a policy being adopted in Portugal, due to a teachers' culture of isolation and closed doors,

as well as financial problems. One teacher argued that, before implementing such policy, some issues had to be addressed, namely who would perform the appraisal function. Introducing an external evaluator in teachers' classrooms was perceived as problematic, since external evaluators had no knowledge of classroom conditions.

> I am not sure that class observation is the right thing to do, teachers' classes vary a lot from year to year .... Who would do it? Some external element, with not enough information? ... Perhaps someone from the group... But in this case, do you see the representative's responsibility? .... Teachers are not used to it. It is a question of mentalities .... Teachers are not at ease in exposing themselves (interview with Teacher C3, January 19, 2000).

Another teacher completely opposed introducing an external evaluator in classrooms, claiming that there should be no one but the teacher and his/her students. She suggested collecting students' opinions to assess what happened in each classroom.

> I don't see that, if you observe one class, you may infer anything about a teacher's work. What I think is that we could question the students. I think that, in a classroom, there should not be anybody else besides the teacher and her students. Perhaps we could collect the students' opinions at the end of the year. If the process was effective, nobody better than the students to confirm this (interview with Teacher C5, January 20, 2000).

School C's president presented financial and cultural reasons to explain the lack of a classroom observation policy. She argued that teachers' "closed doors" and "departmental divisions" acted against such a policy.

> Here teachers are very separate from one another. There is also the question of money, but the main thing is this departmental division we have, that causes teachers to be completely separate from one another. And there is also the problem of our mentality: this is my class, the door is closed, I do what I think is best (interview with the president, January 7, 2000).

A physical education teacher, accustomed to having her classes observed by everyone, since they were often held outside, was the only one who argued for an evaluation based partly on classroom observation. In her opinion, implementing that policy would require developing class observation criteria. The observation function should be performed by a teacher from the school, as opposed to an outside inspector. Its results should be considered as another component of teacher evaluation.

> I think evaluation should be based upon what goes on in the classroom.
> You see, we in physical education teach classes outside, so everybody sees
> us, for us this is not a problem .... Even for other teachers, I think
> there should be a way of observing classes. Of course, just one class
> observation would not be enough, because some situations may seem
> unsuccessful from an external observant's perspective, but may be very
> successful for someone who knows the background of that particular class.
> I know that it is not easy to find class observation criteria, but it would
> be important. It should function as another component of this evaluation
> process. It could be performed by teachers of the same discipline, or
> something that would not imply the presence of an inspector. But there should
> be an evaluation of the teaching-learning process, which is the basis of
> teachers' daily work (interview with Teacher C2, January 18, 2000).

3.5. Policy's Fairness

According to School C's participants, the teacher evaluation policy was not fair because it did not recognize teachers' merit: everyone received a "satisfactory" rating, regardless of their performance. Participants argued that such a policy promoted unfair situations in schools, where the most competent and committed teachers did not request a

"good" rating, while others requested and were granted it. The evaluation policy was also perceived as not allowing action to be taken against the least competent teachers.

Problem #1: not recognizing teachers' merit. Three teachers complained that this evaluation policy did not recognize their merit, since everyone was granted a "satisfactory" rating. These teachers did not agree that it should be up to them to request a "good" rating, if they perceived they deserved it, claiming that this should be the role of the evaluation committee.

> I stay here many hours on weekends, at night, sometimes with negative consequences for my family. I do not do this for a better rating than other teachers, but I do not agree with a process that gives the same "satisfactory" to teachers who do not give any extra time to the school .... We are in fact different. That is why I don't agree that, in the end, everybody should receive "satisfactory".... I find this very unfair, an injustice. This is really the main shortcoming of this model (interview with Teacher C1, January 18, 2000).

> If the evaluation committee is honest, if teachers evaluate students and are also trainers of teachers, why can't they distinguish between "satisfactory", "good", and "very good"? I don't know why there is such a problem. Is an external committee more neutral, more objective, perhaps? Maybe it is because of this, to prevent people closer to the committee to be favored... I don't see any problem in the school's evaluation committee differentiating teachers, it would make the process less bureaucratic. That we are all equal, I don't agree very much with that (interview with Teacher C4, January 20, 2000).

The opposite argument, that the policy should continue as it was, was based on the goal of *avoiding conflict* in the school.

> I think this would create very serious conflicts within a school. Even now these conflicts arise, because of what the committee writes in each appraisal report. We try to be the most objective and transparent we can, but conflicts always

arise, people feel hurt … Therefore, the attribution of a "good" rating would be much worse, it would create a terrible uneasiness, and we do not want this …. We try to avoid conflicts (interview with Teacher C3, January 19, 2000).

Problem #2: not allowing action to be taken against the least competent teachers.

Participants argued that, besides not recognizing the merit of the most competent and committed teachers, this evaluation policy also failed to take action against the least competent teachers. This problem was related to schools' lack of autonomy, and the constraints imposed by the Teacher Career Statute[14].

> We have had other cases of teachers who are in fact very bad, who write very badly… But, as I said, if they do not do anything related to those three items in the Statute, they will get "satisfactory", so why bother? That is why we write less and less. What we can do in the school, we do …. More than that, in what concerns this appraisal report, we cannot do anything else, there is not much to improve (interview with the president, January 7, 2000).

> We in the school know exactly the human resources we have, because our staff has been here for a long time, but we have no autonomy to resolve serious human resources problems. Sometimes, when we have big pedagogical problems, we try to resolve them in the group, but it is always a halfway solution. In extreme cases, we can promote disciplinary sanctions, but this is always the Ministry's responsibility, never the schools' (interview with Teacher C3, January 19, 2000).

Problem #3: creating unfair situations in schools. A third problem identified by participants was that the evaluation policy created unfair situations in schools, when average teachers requested a "good" rating and were granted it, whereas other teachers, much more competent or committed to the school, did not request it, and consequently were given merely a "satisfactory" rating.

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[14]Article 44 of the Teacher Career Statute determined that the "non-satisfactory" rating might only be given in fully proven cases of poor relationship with students, poor performance of non-teaching functions, and lack of the required training credits.

We know teachers who are really excellent in their work, and they don't ask for "good". Other teachers, on the other hand, whose performance is only average, dare to ask for "good". This creates unfair situations (interview with the evaluation committee, January 17, 2000).

3.6. Reasons for Teacher Evaluation

In School C, all participants agreed on the need to have some type of teacher evaluation. This evaluation was related to accountability purposes at the professional, organizational, and policy implementation level.

Evaluation reasons at the professional level. Two teachers related evaluation to professionalism. Teachers, as professionals, should be evaluated, they contended.

There should be an evaluation of everything, so why not for teachers? But I think there should be another type of evaluation, an evaluation that in fact might recognize the merit of our performance (interview with Teacher C1, January 18, 2000).

I think all professionals should be evaluated (interview with Teacher C4, January 20, 2000).

Evaluation reasons at the organizational level. According to School C's president, teacher evaluation might reinforce accountability otherwise lacking in Portuguese schools. The president argued that school managers were viewed by other teachers merely as peers, and therefore lacked authority to criticize them. An evaluation

policy that would transfer the appraisal role to a committee might promote teachers' accountability.

> Yes, I agree with teacher evaluation, because the time when everybody could do as they wanted without being accountable is now gone. Besides, our school management system, while having great advantages, also has its shortcomings; that is, the executive board is not seen by other teachers as having any kind of special authority. It is not that I want people to have special consideration for the executive board, the issue is that teachers only see us as peers, and do not recognize in us the right to alert them when something is wrong .... As the system is now, with an evaluation committee, it has many positive aspects. Teachers tend to be more careful in what they say, because they know five people are going to read what they have written (interview with the president, January 7, 2000).

Evaluation reasons at the policy implementation level. One participant related teacher evaluation to system monitoring, and understood it as a strategy to assess the extent to which educational reforms were being implemented.

> To have a way of seeing how education is practiced in schools. It is a way of diagnosiing the situation. Perhaps the goal of rating teachers is not the most important, but the goal of painting a portrait of the situation. To see the extent to which the legislation is being implemented in secondary schools (interview with Teacher C2, January 18, 2000).

Case study 1: Conclusion

School C was a recently-created school, with a stable and mostly female teaching staff, and a motivated and high-achieving student body. In secondary education, School C offered courses leading to higher education, not technology courses. School C's policy guidelines focused on quality teaching, extracurricular activities, partnerships with the community, and commitment to interpersonal relationships. The leadership of School C seemed to be people-oriented, committed to developing educational projects and promoting caring relationships. Teachers responded with a mixture of pride and weariness to this commitment to non-teaching activities.

School C's implementation of the teacher evaluation policy might be characterized as constructive, since it adapted the centralized legislation -- the Teacher Evaluation Act -- to its particular circumstances, and added to what was centrally determined. An example of this constructive approach was the evaluation committee's decision to write different appraisal reports for each evaluated teacher, differentiating among them according to their work. Another example was School C's composition of the evaluation committee, in which a core of three members -- the president of the pedagogical board, the coordinator of the class directors, and the representative of teacher training departments -- was complemented by two other members -- the department representatives of the evaluated teachers, and, if necessary, another member of the pedagogical board, selected on a rotating basis -- thus guaranteeing that the whole pedagogical board was involved in the evaluation process. A third example of School C's constructive approach to the implementation of the teacher evaluation policy was its

organization of requests for a "good" rating: teachers were asked to write a new and more detailed document of critical reflection, and the special committee formed to review these requests developed evaluation criteria on which to base its decisions.

Teachers' documents of critical reflection revealed that the components directly related to teaching practices and student achievement were the ones on which they tended to reflect most. The level of reflection upon "performance of non-teaching functions" and "participation in projects" reinforced the image of this school as a learning environment with teachers committed to the development of educational projects.

Participants suggested considering multiple sources of evaluation, instead of concentrating on teachers' documents of critical reflection. These documents were perceived as having some positive consequences, mostly related to the implied reflection on practices, and some negative aspects, mostly related to a lack of correspondence between written statements and actual practice. The mandatory in-service training issue was controversial: some teachers agreed with it, arguing that otherwise some of them would never attend a training course; others did not, arguing that only when motivated would teachers profit from continuing education.

The role of the evaluation committee was perceived as constrained by the school's lack of autonomy in taking action against less-accomplished teachers. There was reticence in proposing a more active role for schools in the evaluation process because it would imply increased conflict. It was understood that some rules should be centrally defined in order to promote equity in the evaluation process.

All participants agreed on the need to have some type of teacher evaluation related to accountability purposes, at the professional, organizational, and policy implementation

level. This particular evaluation policy, however, was mostly perceived as unfair, because it did not differentiate among teachers according to their merit.

CHAPTER 6

CASE STUDY 2

SCHOOL T: AN ADMINISTRATIVE APPROACH TO THE EVALUATION

PROCESS

This case study is presented in three sections. First, the school's organizational

characteristics are described, including context, background, and physical space; structure

and organization; policy guidelines; curriculum and student achievement; students, and

teaching staff. Second, the school's implementation of the teacher evaluation policy is

presented. Finally, participants' opinions regarding the policy's components -- mandatory

teacher training; document of critical reflection; and evaluation committee's appraisal --

and other evaluation issues -- the lack of class observation; policy's fairness; and the need

for teacher evaluation -- are addressed.

1. Description of the School

School T was created in 1884 as one of the first technical schools in Portugal, and

it remained an industrial school until 1980, when secondary education was unified[1].

School T's traditions were mentioned in its Internal Regulations:

> School T is an honorary member of the public instruction order, and an heir to an historical and sociopedagogical tradition with roots in the beginning of our first technology education system.... School T remains faithful to its origins (Internal Regulations, preamble).

School T was very well-tended and spacious, with pavilions painted white and light pink. It had large laboratories and workshops equipped to offer technical courses, a technical library, and large open spaces and flowers in the open air hallways. In the main building, the first floor was composed of six classrooms, two technology rooms, mechanics laboratory, three rooms for tutoring, two locker rooms, the students' association room, the alumni room, non-teaching staff room, night courses' coordination room, copyroom, cafeteria, dining hall, and kitchen. The second floor was composed of three classrooms, registrar's offices, executive board office, a gymnasium, physical education department room, one art room, two department rooms, resource center, boardroom, teacher's center, medical office, and counseling room. School T's third floor was composed of three classrooms, class directors' room, teachers' lounge, biology and physics laboratories, nine department rooms, audiovisual room, teachers' union room, boardroom, and table-tennis room. The fourth floor was composed of eight classrooms, library, languages room, two art rooms, museum, chemistry laboratory, gymnasium, and chapel. In the vast entrance hall, there were placards with notices for teachers, students, parents, and the educational community, and placards with cards and other recreational items.

The school was located in an historic district of Lisbon, site of many monuments dating from the sixteenth century, such as the Jeronimos Monastery, the Ajuda Palace,

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[1]Please see Chapter 2, Section 2, for a description of the evolution of Portuguese secondary education.

and the Bethlehem Tower. At the end of the nineteenth century, and during the first three-quarters of the twentieth century, many manufacturers were located in this district, and School T offered a variety of technical courses. During the last quarter of the twentieth century, however, most manufacturers were relocated to Lisbon's suburbs, resulting in a general aging of the population served by the school. Both factors had negative repercussions on School T's student population.

School T's president explained the decreased demand for technical education as a consequence of both the district's aging population, and the creation of secondary schools in districts that formerly provided School T's students.

> This school is located in a district where the population is, on average, more than fifty years old. On the other hand, districts that traditionally provided students for our school have built their own schools. These are the reasons for such a decrease in School T's students (interview with the president, January 5, 2000).

1. 1. School T structure and organization

School T's structure and organization are described according to the elements specified in Portuguese legislation concerning the administration of secondary schools: collegiate bodies; educational structures and specialized services; and projects of educational development[2].

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[2]Please see Chapter 2, Section 3, for a description of the Portuguese model of secondary school administration.

Collegiate bodies. As a result of the 1998 School Administration Act (Decree-Law 115-A/98, of May 4th), Portuguese secondary schools are composed of an *assembly,* an *executive direction*, a *pedagogical board*, and an *administrative board.*

School T had an *executive board* composed of a president and two vice-presidents (Internal Regulations, 6:3). School T's president had been part of the school's board since 1977. The *assembly* was composed of twenty members, including ten teachers, three student representatives, two non-teaching staff representatives, two parent representatives, one district representative, and two representatives of the community (Internal Regulations, 6:1).

According to the School Administration Act, Article 8:1, school policy guidelines should be developed by the assembly. In School T, however, it was decided that the assembly would confirm what was proposed by the executive board. The assembly's president explained that this decision had been made to avoid conflict between the two school administration bodies.

> Here in the school we have decided that the direction body should be the executive board. This means that we only confirm executive board's decisions. We do not approve them, because we thought that this might lead to conflicts between the two administration bodies .... In practice, people from outside are not very knowledgeable with regard to how schools function (interview with Teacher T3, January 13, 2000).

School T's *pedagogical board* was composed of twenty members, including the president of the executive board, nine representatives of the curriculum departments, two representatives of the special education services, one coordinator of the class directors, one coordinator of the school's Development Plan, two student representatives, two representatives of the non-teaching staff, and two parents' association representatives

(Internal Regulations, 6:2). The president of the executive board was not the president of the pedagogical board.

The *administrative board* was composed of the president and one of the vice-presidents of the executive board, and the chief registrar (Internal Regulations, 6:5).

Educational structures and specialized services. According to the Portuguese model of school administration (Decree-Law 115-A/98), secondary school structures were composed of *curriculum departments*, formed by groupings of disciplines, *class directors*, and *grade, cycle,* or *course coordinators* (Articles 35, 36, 37). Specialized services were composed of *psychology and counseling services*, a *special education team*, and other services organized by the school (Article 38).

In School T, it was decided to create nine *curriculum departments*. Table 14 presents the name of each department and the disciplinary groups within it.

Table 14
School T's Curriculum Departments

Department	Disciplinary groups
Portuguese language and culture	Portuguese
foreign languages and cultures	English, French, German
social sciences and humanities	history, philosophy, psychology, geography, economics
mathematics	mathematics
fundamental and applied sciences	physics, chemistry, natural sciences, biology
visual education	visual education, design, geometry
techniques and technologies	mechanics, electrotechnics, building and woodwork, tissues
information and communication technologies	computers, communication
physical education and sports	physical education

Disciplinary groups are sub-units of curriculum departments, composed of teachers of the same discipline. Each disciplinary group elected a representative for a three-year term to work with the coordinator of the curriculum department. Each group representative received a reduced teaching load.

The *class council* was composed of all class teachers, a student representative, and a parent representative. It was coordinated by a class director appointed by the executive board. The council of class directors elected a *coordinator* to participate in the pedagogical board. This coordinator was supported in his/her work by grade coordinators (Internal Regulations, 7: 6).

Two of School T's disciplinary groups -- history and philosophy -- shared partnerships with teacher education institutions, and provided classroom practice for four student teachers.

Specialized services. School T provided services in the areas of psychology and counseling, special education, and individual tutoring (Internal Regulations, 7: 8,9).

Projects of educational development. In 1998-99, School T developed fifteen projects, including folk dancing; electricity museum; cinema; science; African week; multicultural club; contemporary music; health education; and European Club. The number of projects decreased in 1999-2000. The president attributed the decreased number of school projects to a dearth of credit hours to develop them[3], due to a lack of school autonomy. The following excerpt revealed School T's president's criticism of

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[3]The Ministry of Education allocated each year a number of hours, called "credit hours", to each secondary school. These were then allotted by each school to the development of activities considered important.

centralized legislation that, claiming to promote a school's autonomy, actually constrained its management.

> As far as the item "participation in school projects", virtually all projects we had in the school were terminated since new legislation has limited the number of credit hours teachers were given to develop projects. Teachers were not willing to volunteer hours without receiving a teaching load reduction. We have some credit hours, but they are almost all allotted to pedagogical functions and to individual and group tutoring to promote students' achievement....Therefore, we don't have hours left to give to projects. We still have school sports, but cinema and music projects are gone, because teachers did not propose them, although students were interested.... We don't have any autonomy. The Ministry has five or six "autonomy cabinets", and each says something different. We now have a limited credit hours, which we did not have before this so-called autonomy was implemented (interview with the president, January 5, 2000).

1. 2. School Policy Guidelines

School T's policy guidelines were specified in its Development Plan and Internal Regulations. According to School T's *Internal Regulations*, the school's formative goals aimed to perpetuate its tradition as a technically-oriented learning environment and promote a climate of freedom, enjoyment, solidarity, respect, and achievement. Teaching quality, participatory management, and a culture of critical and functional learning were emphasized as main goals to be pursued (Internal Regulations, preamble).

School T's *Development Plan* established guidelines to promote strategies leading to organizational improvement and shared goals. School T's president believed that two problems characterized the school: student demand and excess teaching staff.

> This is a technical school, a model for all technical-vocational schools in the country. Our curriculum is strong in electrotechnics and mechanics, construction and computers. More recently, we have also focused on communication's courses .... Students who apply here mostly want technical-professional training. But attendance has decreased dramatically .... and the number of tenured teachers is innordinate ....We have teachers who, in practice, do nothing (interview with the school president, January 5, 2000).

One of the interviewed teachers attributed School T's particular problems to a lack of rotation in teaching staff and twenty years of the same leadership:

> Most teachers have been here for more than fifteen years. Of course, our capacity to change is exhausted. There is no energy to support change. In order to reform, this school should transfer some of its teachers. Otherwise, it has no energy to change. The same happens with our president, who has performed the same role for twenty years (interview with Teacher T1, January 13, 2000).

An excerpt from a document of critical reflection revealed additional criticism of the school's leadership, characterizing it as too administration-oriented. In this document, School T's policy was described as undefined, and its culture as non-participatory.

> Our executive board is task-oriented, it organizes, it coordinates. It is administratively efficient, but permissive in human resource management. It does not use its authority, and maybe it should. We do not see satisfied teachers in our school. Our culture does not allow us to act cohesively; it does not promote better work. Our Development Plan is wordy, impractical, inefficient, a mere declaration of intent. It leads to generalized apathy, because we do not know where we are going (document of critical reflection # 10).

Another teacher referred to School T as "dying", and related this condition to teachers' unwillingness to change and a lack of school mission:

This school had a very powerful teaching staff, but then it began to lose students; some teachers also left, and now the school is dying, I think. It is a very bad situation, a situation which lacks definition. This year, I have noticed some change; there seems to be a will to change, but it is very difficult to change teachers' attitudes (interview with Teacher T2, January 13, 2000).

While aware of School T's problems, some teachers expressed pride in teaching its technology courses, considered to be very well organized and praised by international visitors:

Our courses are very well organized, we have been visited by international experts who praised our work. We have few students in technical areas, but we teach quality courses, I have no doubt about it (interview with Teacher T3, January 13, 2000).

School T was perceived by its techical teachers as providing good working conditions for their groups:

In my disciplinary group, mechanics engineering, we don't have many schools to teach. We teach only technology courses, we need laboratories and technical facilities. New schools don't have this equipment .... I am used to this school. We have good work conditions, a technical library, our rooms are located in a space with flowers; we have a special place here, and we work relatively well (interview with Teacher T1, January 13, 2000).

1. 3. Students and Curriculum

School T was a mixed basic and secondary school. The president explained that including basic education (grades seven, eight, and nine) was intended to counterbalance

the decrease in secondary education students. This strategy was questioned by some

teachers, who believed it would lead to a gradual disappearance of School T's identity as

a technical school.

> I think schools should have a special identity, a special face. I don't agree with
> all schools looking and doing the same. They should reflect the effort of
> people working there. I would rather this school were more technology than
> it is, a decidedly technology school, with no general courses, where we would
> be committed to technology training and offer courses characterized by
> technology innovation. I think there should be some public schools with
> this character, not only professional schools (interview with Teacher T1,
> January 13, 2000).

Other teachers claimed that School T should create a new identity by giving up its

technical orientation and concentrating on strategies for low socioeconomic status'

students:

> This school's culture has been essentially technological. It cannot return to
> those times, or it would be a professional school. Now, it seems oriented
> toward a culture of fighting exclusion, which I find very positive: it does not
> select its students, it works mostly with poorly-integrated students; it is
> changing from a technocratic school to a formative and inclusive school
> (document of critical reflection #10).

Table 15 presents School T's distribution of students by basic and secondary

education:

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> changing from a technocratic school to a formative and inclusive school
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Table 15 presents School T's distribution of students by basic and secondary

education:

Table 15

School T's Students' Distribution by Grade Level

Grade	Number of classes	Number of students
Basic education, 3^d cycle:	8	144
7th grade	2	40
8th grade	2	40
9th grade	4	64
Secondary education:	25	584
10th grade	9	207
11th grade	8	160
12th grade	7	217
Total (basic and secondary):	37	728

School T also offered night courses in secondary education. Its curriculum was composed of technology courses and courses leading to higher education, in groupings 1 (scientific and natural sciences) and 4 (humanities). There were no courses in groupings 2 (arts) and 3 (economic and social sciences).[4]

School T received students not only from its own district (12%), but also from other Lisbon districts (55%), and twelve suburban districts. School T's student body came mostly from low socioeconomic status' families. In 1998-99, thirty-seven percent of students' parents had only completed the fourth grade, eleven percent had completed the sixth grade, and sixteen percent had completed the ninth grade. Twenty-two percent of parents were manufacturing workers, and twenty-one percent were employed in services. Twenty-six percent of the student body was composed of cultural groups[5] other than Portuguese. There were twenty students from Angola, 115 students from Cape

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[4]Please see Chapter 2, section 2, about the organization of Portuguese secondary education.
[5]In Portugal, the term "ethnic group" was not used, being replaced in Ministry of Education documents by the term "cultural group".

Verde Islands, eight students from Guinea, two students from Mozambique, twelve

students from the European Community, and twelve students from other countries.

1.4. Student Achievement

School T's student characteristics resulted in low expectations from their teachers,

who tended to disagree with school rankings and comparisons.

> A1. Our school receives students from low socioeconomic areas, who were
> not accepted in other schools. We are proud of this policy. It means, however,
> that our students' cognitive and methodological skills are less developed than
> other schools' students. Therefore, in a ranking, our school would fare worse.
> But anyone who analyzed our real work with these students would see that
> it was harder than in other schools. This has to do with teachers' performance
> and the issue of how to evaluate it. It is an extremely complex issue, and the
> same happens with school evaluation.
> A2. We would have to present data comparing their initial and final condition,
> to identify progress. We are required to do the same work with different
> students, and that is impossible. Our commitment to changing their
> attitudes and behaviors -- sitting straight, not spitting, etc. -- has to be given
> weight, even if their achievement is poor (interview with the evaluation
> committee, January 11, 2000).

This excerpt reveals that the low socioeconomic status of School T's students

affected teachers' expectations of academic achievement. These low expectations seemed

to be confirmed by data on School T's student achievement.

Table 16 presents School T's achievement rate, measured by the percentage of

students who passed from one grade to the next in 1998-99:

Table 16

School T's Student Achievement Rate in 1998-99

Grade	N. students	N. students who failed	N. students who dropped out	Achievement rate (%)
7th	43	11	1	72.1
8th	41	17	-	74.4
9th	53	11	-	79.3
10th	219	101	6	51.1
11th	191	69	4	61.8

These data indicate that, in 1998-99, School T's students had a medium achievement rate (between fifty and eighty percent) in all grades. The number of dropouts, however, was very low, with a maximum of three percent in tenth grade.

Student admission to higher education courses. Another indicator of student achievement is the percentage of students admitted to higher education courses. According to data from the Committee for the Secondary Education National Exams, from the fifty-seven students who applied to higher education in 1999, twenty-eight (49%) were admitted in the first phase[6]. They were placed primarily in civil and mechanical engineering, publicity and marketing, law, and biotechnical engineering. Their institutions of entry were the Setubal Polytechnical Institute, School of Technology; Lisbon University, Humanities School; School Technical University,

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[6]In Portugal, the vacancies for public higher education courses were established every year by each institution. Applicants to public higher education courses must comply with three requirements: 1) possession of a secondary education diploma; 2) passage of the national examination for the basic course for which they hold a diploma; 3) in examinations held at the national level, the minimum grades in the specific subjects determined by the establishment/course. Each applicant might indicate six options in

Technical Higher Institute; Lisbon Polytechnic Institute, School of Media; and the University of Algarve. These data indicate a moderate level of performance on the national exams, since students were placed in higher education institutions other than universities (polytechnical institutes).

1. 5. Teaching Staff

In 1998-99 School T had 157 tenured teachers out of a total of 186 teaching staff. Twenty-seven of the tenured teachers did not teach, and had other jobs outside the school. Table 17 presents School T's teachers' distribution by gender and disciplinary group.

These data indicate that School T had a high percentage of tenured teachers, a high percentage of teachers from technology areas (fifty-nine teachers, 35%), and a low percentage of women (46.5%). The average age of School T's tenured teachers was forty-seven years; non-tenured teachers' average age was thirty-one years.

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terms of establishment/course. Access to public higher education was publicized in two phases. Applicants who did not obtain access in the first phase might still be placed in the second.

Table 17

Distribution of School T's Teachers by Gender and Disciplinary Group

Disciplinary group	Male	Female	Number of teachers	Number of tenured teachers (a)	% tenured teachers
mathematics	5	8	13	11	84.6
mechanics engineering	11	2	13	13	100.0
electrotech. engineering	13	1	14	14	100.0
building	4	3	7	7	100.0
physics	4	6	10	10	100.0
chemistry	1	4	5	5	100.0
visual arts	2	1	3	3	100.0
economics	1	-	1	1	100.0
Portuguese/ Latin	2	5	7	6	85.7
Portuguese/ French	1	14	15	10	66.7
English/ German	-	11	11	8	72.7
history	4	5	9	5	55.6
philosophy	7	3	10	7	70.0
geography	1	2	3	1	33.3
biology/ geology	2	4	6	4	66.7
mechanics	4	-	4	4	100.0
electrotech.	9	-	9	9	100.0
tissues	-	1	1	1	100.0
building and woodwork	2	-	2	2	100.0
physical education.	5	10	15	9	60.0
computers	6	-	6	-	0.0
TOTAL	**85**	**74**	**159**	**130(a)**	**81.8**

a) Only teachers working in School T were considered.

2. Implementation of the Teacher Evaluation Policy

Portuguese teacher evaluation policy is based on three components: a document of critical reflection written by the evaluated teacher, mandatory in-service training, and an appraisal report written by the school's evaluation committee[7].This section reports on how the teacher evaluation policy was implemented in School T. First, the number of evaluated teachers is identified, and their distribution by disciplinary group is specified. Second, the composition, criteria, leadership, number of meetings, and decisions of the evaluation committee are described, and the committee's appraisal reports are analyzed. Third, teachers' documents of critical reflection are analyzed according to their structure and level of reflection. Fourth, issues related to the process of requesting a "good" rating are addressed, and School T's lack of requests is explained.

2.1. Number of Evaluated Teachers by Gender and Group

The evaluation period coincides with the point at which the tenured teacher is scheduled to go up one career level. In School T, forty-three out of 130 teachers were evaluated in 1998-99. Table 18 presents the evaluated teachers' distribution by disciplinary group.

Table 18

Distribution of School T's Evaluated Teachers by Disciplinary Group

Group	N. Evaluated Teachers	N. Tenured Teachers (a)	% Evaluated Teachers
mathematics	2	11	18.2
mechanics engineering	6	13	46.2
electrotechnics engineering	6	14	42.9
building	4	7	57.1
physics	4	10	40.0
chemistry	3	5	60.0
visual arts	1	3	33.3
economics	-	1	0.0
Portuguese/Latin	-	6	0.0
Portuguese/French	3	10	30.0
English/German	1	8	12.5
history	3	5	60.0
philosophy	2	7	28.6
geography	1	1	100.0
biology/geology	2	4	50.0
mechanics	1	4	25.0
electrotechnics	3	9	33.3
tissues	-	1	0.0
woodwork	-	2	0.0
physical education	1	9	11.1
TOTAL	**43**	**130 (a)**	**33.1**

(a) Only teachers working in School T were considered.

Table 18 indicates that, in 1998-99, thirty-three percent of the tenured teachers at School T were evaluated. In disciplinary groups such as economics, Portuguese/Latin, and tissues, there were no evaluated teachers. Some disciplinary groups with fewer tenured teachers, such as geography, history, and chemistry, had a higher percentage of

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[7]Please see Chapter 2, Section 4, for a description of Portuguese teacher evaluation policy.

evaluated teachers than groups with a greater number of tenured teachers, such as physical education or English/German.

2.2. School T's Evaluation Committee

The evaluation committee is a special committee formed within schools' pedagogical boards. Its role is to write an appraisal report for each evaluated teacher. The president of the pedagogical board appoints a committee member -- the reporter -- who is responsible for writing the appraisal report's proposal. To write this proposal, the reporter must take into consideration activities developed by the evaluated teacher during the evaluation period (Teacher Evaluation Act, Articles 8 and 9).

This section describes the composition of School T's evaluation committee and the functions performed by its teachers. The committee's activities and decisions are reported. Leadership roles are identified, and the committee's reports are analyzed according to the criteria used in the appraisal process.

Evaluation committee: composition and leadership. School T's evaluation committee consisted of five permanent members. There were substitute members, in case one of the permanent members was subject to evaluation. Its president was also president of the pedagogical board. In School T, this individual was not president of the executive board.

The president of the executive board explained that committee members had been appointed because they represented diverse knowledge areas. Articles 8 and 9 of the Teacher Evaluation Act had been interpreted as requiring a permanent composition of the committee.

> This year's committee has an English teacher, a Portuguese teacher, a physical education teacher, and a visual education teacher. The president of the pedagogical board is a mechanics teacher.... We wanted a great diversity of knowledge areas. We also have two substitutes, in case one of the permanent members is to be evaluated .... The way we interpreted the legislation, this committee should be permanent (interview with the president, January 5, 2000).

Not all committee members agreed with its composition. One argued that it often led to a situation in which no one knew any details of a particular evaluated teacher's work. Teachers' department representatives should be included on the committee, this member averred, to provide more data about each teacher's work.

> I have to say that I don't agree much with this work, because we in the committee often don't even know the teachers whose documents we are analyzing, so… I think it would be much better if the evaluated teacher's group representative were included on this committee, because he is the only one with information about the teacher, besides the school's president (interview with the evaluation committee, January 11, 2000).

While School T's president and some of its committee members explained the committee's composition on grounds of knowledge diversity, this criterion was not a part of the pedagogical board's regulations. Box 3 presents School T's pedagogical board's regulations regarding the evaluation committee's composition and decisions.

Box 3

School T's Evaluation Committee: Composition and Procedural Rules

1. Composition – The evaluation committee is composed of the president of the pedagogical board, who presides, as established in the Teacher Evaluation Act, Article 9; four permanent members; and four substitute members, all appointed by the pedagogical board. All these members are appointed for a three-year period.
2. Procedural rules
   2.1. According to the legislation -- Teachers' Career Statute, Article 39 -- this committee must confirm if teachers' documents of critical reflection mention the following items: teaching schedule; pedagogical relationship with the students; accomplishment of core curricula; performance of non-teaching functions; participation in projects; in-service training courses; developed and published studies.
   2.2. According to the legislation -- Teachers' Career Statute, Article 43 -- a "satisfactory" rating will be given if none of the following situations apply: poor relationships with the students; refusal to perform non-teaching functions, or poor performance of those functions; lack of the required teacher training credits.
   2.3. According to the legislation -- Teachers' Career Statute, Article 44 -- the "non-satisfactory" rating will be given if any of the situations cited above apply.
3. Complementary rules
   3.1. The committee reporter, appointed to meet the requirements established in the Teacher Evaluation Act, Article 9, will be the teacher with the highest professional rating[8], excluding its president.
   3.2. If any of the committee members documents of critical reflection are to be appraised, those members will be replaced by substitute members.
   3.3. If the committee reporter's document of critical reflection is to be appraised, his/her functions will be performed by the member with the highest professional rating.

The criteria used in the appraisal process were subdivided into professional and administrative. Administrative criteria involved the use of legislation to appraise teachers; for example, the verification of items included in the Statute of Teachers' Career, Article 44, leading to "non-satisfactory", e.g.: 1) the continuing education credits requirement; 2) proof of poor relationship with students; 3) refusal to perform non-teaching functions. Professional criteria referred to what Darling-Hammond (1997, pp.

294-297) identified as the ground on which the teaching profession was built, that is, the "growing consensus about what teachers should be able to do". Among these components, Darling-Hammond (1997) included subject matter and pedagogical content knowledge; knowledge of student development; understanding of student differences and motivation; knowledge about learning, assessing, and teaching strategies; knowledge about curriculum resources and technologies; collaboration skills; and reflection on practices.

When applied to the evaluation committee's composition and proceedings, as defined by its pedagogical board, it might be inferred that only administrative criteria were used: its reporter was appointed on the basis of seniority; his/her substitutes were appointed on the basis of seniority; and all rules were grounded in provisions established by the Teachers' Career Statute and the Teacher Evaluation Act. When applied to the president's explanation for the committee's composition, one professional criterion was used, related to subject matter and pedagogical content knowledge.

Formal and informal leadership. Evaluation committees' formal leadership is a function to be performed by its reporter, since he/she must start the appraisal process by proposing an appraisal report for each evaluated teacher (Teacher Evaluation Act, Article 9). In School T, a seniority criterion was used to appoint the committee reporter. School T's reporter explained that he had performed no leadership role, since all decisions had been made by the committee as a whole.

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[8]Teachers' professional rating was calculated by adding their initial training grade (ten through twenty) to their years of service.

Q. What were the functions of the reporter?
A. I had to write the appraisal decided by the committee.
Q. Didn't you propose it beforehand?
A. No, everything was done in committee. Afterwards, I wrote the appraisal
report and gave it to the school's president.
Q. What were the criteria for your appointment?
A. I think I was chosen because I was the teacher with the most years of service
on the committee (interview with the evaluation committee, January 11, 2000).

Some of the evaluation committee members identified the school's president as its

informal leader, since he introduced each teacher's document to be appraised and initiated

discussion. Other members, however, claimed that there was no such leadership, since

everything was decided by consensus.

Q. Who was the committee leader?
A1. It was the president.
A2. I don't think there was a real leader, we decided things in common.
A3. But the president presented the documents, initiated their discussion ... He
was the leader (interview with the evaluation committee, January 11, 2000).

School T's president confirmed his leadership role on the committee, which he

defined as arranging meetings, introducing documents to appraise, and developing an

administrative form for recording the appraisal report.

In practice, what happened was that I arranged for a meeting of the four
committee members, and told them: we have those documents to analyze, please
read them. They glanced at them, and then we wrote "satisfactory".
The reporter already had a form for the proposal's report, and the appraisal
was just that. Our report's proposal was always the same, without
differentiation .... I am now doing something that I don't find particularly
correct, that is, I am designing a form for them to fill out in order to write their
evaluation reports. It is a very descriptive form, in which the committee
reporter has only to write the evaluated teacher's name, evaluation period,

and then the "satisfactory" rating (interview with the president, January 5, 2000).

Evaluation committee's meetings: frequency, decisions. School T's evaluation committee met a few times to appraise all the documents of the teachers who were scheduled to change career level. According to the president, it met "once or twice" in 1998-99, with the sole purpose of appraising teachers' documents of critical reflection.

> If I remember correctly, the committee met once or twice, just to analyze the documents. The main meeting was in January, to appraise all the teachers who were to go up one career level by that time. The committee did not meet with any other purpose.... Last year, about thirty teachers were evaluated. All of them had the same "satisfactory" rating (interview with the president, January 5, 2000).

According to its members, the committee met as often as necessary to appraise teachers' documents. Documents were divided among them. Committee members worked in teams of two.

> Q. How many times did the committee meet last year?
> A. Oh, I don't know, whenever it was necessary to evaluate teacher's documents of critical reflection.
> Q. Did the committee meet with other purposes? How did you decide your work methodology?
> A1. The committee only met with this purpose. Our methodology was defined in our first meeting. We decided to divide work and analyze the documents in pairs (interview with the evaluation committee, January 11, 2000).

Content analysis of the appraisal reports. To accompany the evaluation process, School T's president developed a form which was divided into two parts. The first part contained the appraisal report written by the evaluation committee. The second part

informed the evaluated teacher of the appraisal. This form's contents were identical for all evaluated teachers. Box 4 presents the contents of School T's appraisal reports.

Box 4

School T's Appraisal Reports

1. <u>Appraisal report by the evaluation committee</u>: "After analyzing the Document of Critical Reflection presented by Teacher X, it was confirmed that all items determined by legislation were mentioned, and none of the situations established in the Teachers' Career Statute, article 44, applied. Therefore, the committee reporter proposed a 'satisfactory' rating." 2. <u>Information to the teacher</u>: "After reviewing Teacher X's Document of Critical Reflection and other documents that accompanied it, the evaluation committee confirmed that it met the requirements established by law. None of the situations determined in the Teachers' Career Statute, article 44, applied. It was concluded that it met all the legal requirements. Hence, Teacher X receives a 'satisfactory' rating."

A content analysis of School T's appraisal reports reveals that no effort was made to deal with the issue of differentiating between competent and incompetent teachers. School T's appraisal reports were identical for every teacher.

Applying the distinction between <u>professional</u> and <u>administrative</u> criteria to School T's appraisal reports, it might be inferred that the committee relied exclusively on <u>administrative criteria</u> to appraise teachers, since its reports focused on the match between teachers' documents and legislative provisions included in the Teacher Evaluation Act and the Teachers' Career Statute. While the Teacher Evaluation Act determined that teachers' documents should "include the assessment of the activities developed both in and out of classroom" (Article 6), those activities were not considered in the appraisals. Although these documents were supposed to reveal some "critical reflection", this factor was also not considered.

School T's president explained that the evaluation policy was merely an administrative process. As it had been interpreted in School T, the evaluation committee's role was limited to confirming that teachers' documents of critical reflection met the legal requirements, and writing a "satisfactory" rating. The president argued that, in order to be other than an administrative process, the evaluation committee should be able to monitor teachers' work throughout the evaluation period.

> I think the evaluation committee should be able to monitor the work of teachers who are scheduled to be evaluated, in order to have enough information about them....With the current legislation, the committee has no such capacity. What the legislation says explicitly is that this committee has to read teachers' documents of critical reflection and give them a "satisfactory" or a "non-satisfactory" rating . If teachers complete their training credits, they will receive a "satisfactory" rating, and this happens almost always, because here we have a training center, and we are flexible. If a teacher does not complete his/her required credits until, for instance, October 30, and does it by November 15, I accept it. It is easier this way. I am not going to give a "non-satisfactory" rating just because a teacher has not completed all the required credits in time, because I know I will have to meet later with a representative of the Regional Education Direction to alter the rating, after the teacher has achieved them.... I had one or two of these cases....This year, we also had several cases -- about ten -- of teachers who were late in presenting their documents of critical reflection....Teachers do not value writing these documents, they know it is something they write that and an evaluation committee will glance at to give them a "satisfactory", no matter how late they are.... Such as it is, this evaluation policy makes teachers view this process as merely administrative (interview with the president, January 5, 2000).

School T's evaluation committee justified giving the same appraisal to each evaluated teacher on the grounds that differentiating among teachers would mean an increase in conflict in the school. They did not perceive themselves as possessing the authority required to criticize the contents of teachers' documents of critical reflection.

According to them, this evaluation policy accomplished very little other than enabling teachers to advance in their careers.

> A1. I think we do not have much room to do anything other than attribute "satisfactory", according to the legislation. This committee does not have much room to evaluate.
> A2. The committee is not even allowed to propose a "good" rating, this has to come from the teachers themselves.
> A3. We just check if the documents are as according to the legislation, and we give a "satisfactory" rating. I doubt we have the pedagogical authority to talk to teachers about the contents of their reports.
> A4. I don't think we should give different ratings, because it would have a destabilizing effect.
> A5. This model accomplishes very few objectives, mostly to enable teachers to go up one career level (interview with the evaluation committee, January 11, 2000).

These excerpts suggest that School T's evaluation committee perceived its work to be limited by the legal framework surrounding Portuguese teacher evaluation policy[9]. Teachers' opinions about the evaluation committee's work reflected criticism for a situation that served no tangible purpose due to its legal constraints, and for the committee's apparent unwillingness to differentiate teachers by writing individualized appraisal reports. A teacher who was a member of the committee in 1999-2000 regarded his work as absurd, due to its lack of impact on teacher improvement. He felt that the developmental purpose of teacher evaluation should supersede the administrative purpose of career progress.

> I think the committee does not function well because we are just reading teachers' documents for nothing, to read them or not to read them has the same consequence, therefore it would be better if we didn't read them. We are just

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[9]For an account of the participants' opinions about the role of the evaluation committee, please see section 3.3 of this chapter.

doing work that serves no purpose, which is absurd. I think that the goal of
teacher evaluation should be to appraise professional development. Such
as it is, it only serves to go up one level and gain more money (interview
with Teacher T1, January 13, 2000).

Another teacher criticized the committee's decision to write the same appraisal

report for all evaluated teachers, arguing that teachers' work should be distinguished,

since it was by nature different. For teachers who worked hard, recognition should be

provided.

Perhaps a more individualized report would be better, although in the end
everybody will receive a "satisfactory" rating. I think it is fair to distinguish
between teachers' work, because it is necessarily different.... Sometimes we
feel unmotivated, we want to do the best we can, and in the end it would be
nice to see a word of recognition for our work (interview with Teacher T5,
January 21, 2000).

2.3. Teachers' Documents of Critical Reflection

According to the Teacher Evaluation Act (Regulatory-Decree 11/98, of May 15),

the evaluation process begins with a presentation by the teacher to the president of the

executive board of a document of critical reflection on activities developed during the

evaluation period, accompanied by certification of all completed training courses (Article

5). The document of critical reflection must be succinct and include an assessment of

activities developed both in and out of classroom. It must consider the following

components: a) teaching schedule; b) pedagogical relationship with students; c)

accomplishment of core curricula; d) performance of other non-teaching functions,

namely in school administration and management, counseling, and pedagogical supervision; e) participation in school projects; f) in-service training courses completed and certified; g) developed and published studies (Article 6).

School T's documents of critical reflection were analyzed on the basis of these components. This content analysis is presented in two tables. Table 19 presents the distribution of School C's documents according to the components specified in the Teacher Evaluation Act. This analysis aimed at establishing which of the components were most frequently mentioned by evaluated teachers, as it might be assumed that the most frequently mentioned were the ones teachers most emphasized for evaluation purposes.

Mentioning a particular component, however, does not mean that teachers have reflected upon it. Table 20 presents a content analysis of the components written in a "reflective mode". This analysis was based on an adaptation of the categories developed by Holly and McLoughlin (1989) for their analysis of teachers' journals:

> Descriptive -- a mere presentation/summary of the activities developed during the evaluation period.
> Analytical -- writing was used to examine some of the developed activities.
> Reflective -- writing included description, analysis, and judgement (Holly & McLoughlin, 1989, pp. 264-265, adapted).

The purpose of this second analysis was to complement the inferences drawn from Table 19, as it might be assumed that the components upon which teachers most reflected in their documents of critical reflection were the ones they most emphasized in their professional practices.

Table 19

Content Analysis of School T's Documents of Critical Reflection
-- Documents' Components

Documents' components	Number of references
1. teaching schedule	22 references (91.7% of the total analyzed documents).
2. pedagogical relationship	23 references (95.8% of the total analyzed documents).
3. program accomplishment	21 references (87.5% of the total analyzed documents).
4. performance of non-teaching functions	19 references (79.2% of the total analyzed documents).
5. participation in projects	17 references (70.8% of the total analyzed documents).
6. teacher training courses	21 references (87.5% of the total analyzed documents).
7. attendance	13 references (54.2% of the total analyzed documents).
8. developed and published studies	6 references (25.0% of the total analyzed documents).
appendices	• 23 documents with certification of completed training courses • 1 document with pedagogical materials • 2 document with educational strategies developed by the teacher in her projects • 1 document with field trips' guidelines
Number of analyzed documents of critical reflection	**24 (55.8% of the 20 documents written in 1998-99)**

In School T, fifty-six percent of the evaluated teachers' documents of critical reflection were analyzed, which meant that fifty-six percent of the evaluated teachers were willing to cooperate with this researcher. From the analysis of Table 19 it might be inferred that most teachers followed the guidelines established in the Teacher Evaluation Act.

As explained in section 2.2, administrative criteria pertained to the use of legislation as a basis for the evaluation process; professional criteria referred to what Darling-Hammond (1997, pp. 294-297) identified as the ground on which the teaching profession was built. Applying this distinction to the content analysis of the evaluated teachers' documents of critical reflection revealed that two of the components -- "training courses" and "attendance"-- represented administrative topics. The component "training courses" was mentioned in eighty-eight percent of the documents, presumably because it was the one that might lead directly to a "non satisfactory" rating, according to the Teachers' Career Statute, Article 44. One document did not present verification of the credited courses attended, but only a justification for non-attendance, together with a declaration by the school's executive board accepting "the teacher's justification and proof of not having had access to training courses in any area related to his work" (document of critical reflection # 15). The frequency of references to "attendance" might be interpreted as a consequence of the former Teacher Evaluation Act (Regulatory-Decree 14/92, of July 4), whose Article 6.3 established that "teachers' critical reports should include indicators of their attendance".

School T's president claimed that, due to the reduction of credit hours allocated to project development, there were almost no educational projects remaining in the school[10]. Seventy-one percent of the evaluated teachers, however, mentioned developing educational projects in 1998-99. Some of them were not educational projects, but rather "non-teaching functions". For example: "I was included in the exam supervision team" (document of critical reflection #3). A similar misunderstanding characterized

"innovative contributions for the teaching-learning process", where some of the cited activities bore no relation to educational innovation. "I divided my students in groups" (document of critical reflection # 7); and "I gave timely and quality information to my students" (document of critical reflection #10) were two examples of inappropriate responses. Teachers who mentioned having developed educational projects did not seem to consider having participated in any form of research. That might be the reason why only twenty-five percent of the total analyzed documents made reference to any particular study or published work.

An analysis of the appendices revealed that teachers did not document their reports. Most teachers concentrated on certifying their training courses; four teachers included documentation on educational projects developed with students, guidelines for field trips, and a compilation of pedagogical materials.

Document's level of description, analysis, and reflection. Documents of critical reflection were supposed to include "the assessment of the activities developed in and out of class" (Teacher Evaluation Act, Article 6). Several teachers, however, tended to write solely about the positive aspects of their work, without alluding to any less positive result. Representative comments included the following: "My work with students has always evolved in a respectful and calm climate, allowing for mutual support and friendship" (document of critical reflection #12), and "I have volunteered to tutor my students whenever necessary" (document of critical reflection # 11). The "assessment" dimension of their documents thus seemed to be missing.

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[10]Please see Section 1.1 of this chapter for a more detailed account of this issue.

Table 20 presents a content analysis of the documents according to their level of reflection. This analysis was based on an adaptation of the categories developed by Holly and McLoughlin (1989, pp. 264-265) for their analysis of journals written by teachers.

An analysis of the components written in a "reflective mode" reveals that teachers did not attribute the same relevance to all the components specified in the legislation. The components directly related to teaching practices and student achievement, that is, "pedagogical relationship with the students" and "program accomplishment", were the ones upon which teachers tended to focus the most. While the component "teacher training courses" had been one of the most mentioned in teachers' documents (see Table 19), only two teachers reflected upon it. Ninety-two percent of the evaluated teachers limited themselves to summarizing their attended courses, inserting in appendices the proof of attendance. School T's teachers did not seem to include continuing education in a comprehensive professional development program, since they did not mention such a program in their documents.

Table 20

Content Analysis of School T's Documents of Critical Reflection
-- Level of Reflection

Number of documents purely descriptive: 7
Example: Teaching schedule: " I have always accomplished the professional duties inherent to my condition of public servant, and the specific duties related to my teacher condition (document # 8).
Number of documents including description, explanation, and some reflection: 6
Example: Pedagogical relationship: "The programs are too ambitious, lacking consistency and disciplinary coherence. Generally, the textbooks are also too analytical, and often use methodology and language unfit to students' age levels. They are consequently un-motivating and leading to frustration and student failure" (document # 15).
Number of documents including critical reflection: 11
Example: Program accomplishment: "It is true that the new night courses are not able to motivate either students or teachers (it is enough to analyze their failure rate). It is true that textbooks edited by the Ministry of Education include serious errors, either scientific or related to the use of the Portuguese language. It is true that, whether we want it or not, this lack of rigor from above invites an even greater lack of rigor on the part of the ones who observe it -- teachers and students. It is true that the very low number of students and their very high absenteeism rate makes normal development of the teaching-learning process very difficult" (document # 17).

Components with reflection	
1. Teaching schedule	4 references (this component should be associated with the "program accomplishment" component).
2. Pedagogical relationship	9 references (37.5% of the analyzed documents).
3. Program accomplishment	7 references (29.2% of the analyzed documents).
4. Performance of non-teaching functions	7 references (29.2% of the analyzed documents).
5. Participation in projects	5 references (20.8% of the analyzed documents).
6. Teacher training courses	2 references (8.3% of the analyzed documents).

2.4. Requests for "Good" Ratings

As determined by the Teacher Evaluation Act, schools' evaluation committees can only give a "satisfactory" rating. If teachers think they deserve better, it is up to them to make a formal request for a "good" rating. In order to review this request, a special committee must be formed, composed of the president of the school pedagogical board, a teacher from outside the school appointed by the pedagogical board, and a teacher or an individual of recognized merit in education, appointed by the teacher being evaluated (Articles 10, 13).

In School T, no teacher requested a "good" rating in either 1998-99 or in 1999-2000. School T's president explained this lack of requests in terms of the culture of teaching. The president argued that a "good" rating should be given by the evaluation committee, instead of being proposed by the teacher.

> I think it is not part of our culture. You see, I sometimes give written praise
> to teachers, and publish it in the official journal. Why don't these teachers ask
> immediately for a "good" rating? I really don't know, perhaps it is because it
> is not part of our culture. But I also think that it should not be up to the teachers
> to ask to be recognized, it should be up to the evaluators to take the initiative
> (interview with the president, January 5, 2000).

Members of the evaluation committee explained this lack of requests for "good" ratings as part of a teachers' culture of "not wanting to be better than the others". Some related this belief to a collective memory of the autocratic past; others felt that professionals' good work should not be rewarded, since it was merely part of their duty.

The "good" rating's lack of impact in terms of career progress was also mentioned as a

reason for no requests.

> Q. Why do you think teachers don't ask for a "good" rating?
> A1. I think that it is mostly a question of reticence, of not wanting to be better
> than the others .... We don't have an individualist culture; a number of
> factors included in our collective memory prevent our individualizing things.
> That is why there exists this almost shame, this caution against trying to be
> recognized as better than others, even to criticize the ones who try. Nobody
> supports them.
> A2. Teachers who think they have worked well, with good standards of
> pedagogical and scientific performance, think they have done nothing more
> than their job, what was expected of them. It is in fact a cultural question.
> A3. Teachers think that it will not be very important for their careers.
> A4. Exactly because I see teaching as a profession, I do not agree with asking
> to be rated as "good", because we are always learning. Only at the end of the
> career, maybe. We have good years, years that are not so good, and asking for
> a "good" rating would not mean anything to me. I don't need to be recognized,
> it is enough that I feel at peace with my conscience. I would never ask for it, I
> don't agree with it.... If some teachers are really committed to the school,
> they do it because they chose to do it, it is nothing to be recognized for
> (interview with the evaluation committee, January 11, 2000).

Some teachers agreed that it should not be up to them to request a "good" rating.

They invoked issues of "good taste" and "a sense of ridicule" to support their opinion.

According to them, a "good" rating should be initiated by the evaluation committee.

> You know, my wife is also a teacher, and I think that she is in fact
> extraordinary in her commitment. However, she does not ask for a "good"
> rating, because there is a factor of embarrassment in that. I would never ask
> for it, because I don't think I deserve it. I do my job well, I try to perform
> my duties, have a good relationship with my students, but I am not innovative.
> But even if I were, I would not ask for a "good" rating, I would be ashamed to
> take that initiative. I think this appraisal should come from the people who
> are doing the evaluation, not the evaluated teacher. I am not against
> differentiation, I don't agree with this policy in which everybody is equal.
> I think there should be several grades, "non-satisfactory", "satisfactory",
> "good", and "very good", that would make perfect sense. But that should
> be a consequence of an evaluation. I would never propose myself for

a "good" rating. It is not a question of modesty, it is a question of a sense of ridicule (interview with Teacher T1, January 13, 2000).

What I find rather ridiculous is this rule that says the teacher has to ask to be rated as "good". The recognition should come from the school community, and not from the teacher. I don't think that it is in good taste to make teachers say that they are better than others; the community should be able to recognize those who deserve it (interview with Teacher T3, January 13, 2000).

Another participant completely opposed differentiation between teachers according to their merit, claiming that it would undermine the culture of equality among teachers and would only increase school conflict. According to her, teachers' intrinsic satisfaction in seeing their students grow should be their only reward.

A. I do think that in our case as teachers, we should have only these grades, otherwise there would be even more conflict. I think that it is positive that we are all in the same circumstances. We are all equal, and therefore we don't compete with each other, which I find very positive.
Q. That is one dimension of the problem. But on the other hand, we don't have a way to motivate and reward teachers who work harder than others.
A. There is always the personal satisfaction, that is enough, a good relationship with our students, the fact that we can make our students grow, that is very good.... For me, personal satisfaction is all, that is why I have never thought to request a "good" rating (interview with Teacher T4, January 21, 2000).

2.5. Conflicts Related to the Implementation of the Teacher Evaluation

Policy

In School T, no conflicts related to the implementation of the evaluation policy were reported.

3. Opinions About the Teacher Evaluation Policy

Portuguese teacher evaluation policy is composed of three elements: a document of critical reflection, mandatory teacher training, and appraisal by each school's evaluation committee. This section presents opinions of School T's participants regarding each of these three components, along with their opinions about the class observation issue, the fairness of the evaluation policy, and the need for teacher evaluation.

3.1. The Writing of a Document of Critical Reflection

It was evident from the interviews that all teachers knew how to write this document and which components were important. They all mentioned the pertinent legislation.

> You see, the legislation established the items to focus on, so I wrote my document accordingly. The legislation also specifies the items leading to "non-satisfactory", and if those items do not apply, we receive "satisfactory" (interview with Teacher T3, January 13, 2000).

> I knew how to structure it, because I knew the legislation (interview with Teacher C4, January 21, 2000).

The writing of a critical document was perceived by the participants to have both positive and negative aspects. Most positive opinions related the benefits of document-

writing to the opportunity for teachers to stop and think about their practices during the evaluation period. One member of the evaluation committee alluded to positive consequences for schools' leadership bodies, as a consequence of criticisms read in teachers' documents.

Positive opinion #1: promoting reflection on teachers' practices. Two participants explained that document-writing made them think about their work during the evaluation period.

> In fact, writing this document made me think about what I had done. When I was collecting my materials, there were some aspects that led to my self-examination. But it was an examination between me and myself, it was not between me and the institution (interview with Teacher T1, January 13, 2000).

> It makes us think about what we have done, makes us look for our papers, have a certain method. When we write, we tend to think about what we have and we have not done (interview with Teacher T2, January 13, 2000).

Other participant claimed that document writing might have had a positive impact on other teachers' professional development, but such an impact had been absent for him.

> You see, if a teacher thinks about his work only if he is required to write such a document, perhaps it would be beneficial for him. But I do not function like this. I have a notebook in which I write everything I do. Therefore, I only had to check my records. It did not mean much work. This document corresponded to the implementation of these new technical courses, so I had a lot to write, new activities to report. For other teachers with nothing new to report, this period would have been perfectly normal, such as it always was (interview with Teacher T3, January 13, 2000).

Positive opinion #2: impacting schools' collegiate bodies. One member of the evaluation committee mentioned a positive consequence that stemmed from reading criticisms in teachers' documents: the impact on school collegiate bodies.

> I would like to mention another positive aspect. These documents included often reflections not only about the teacher's activities, but also about the school's functioning, its climate, work conditions, students, forms of evaluation, leadership ... Therefore, this reflection on the documents was transformed into a reflection on our school's functioning. This was important, because everyone on the committee performed leadership functions as members of the pedagogical board and president of the executive board. This reflection had repercussions in other places, such as the pedagogical and the executive board. This was an interesting aspect of this process (interview with the evaluation committee, January 11, 2000).

Participants verbalized three negative opinions regarding the document of critical reflection. Two of these opinions might be termed "the writing issue" and "the overstatement issue", and stemmed from the perception that what teachers wrote did not necessarily correspond to what they had really done. A third negative opinion stemmed form the perception that writing such a document was a mere administrative procedure, since all teachers received a "satisfactory" rating.

Negative opinion #1 : the writing issue. Two teachers criticized the evaluation committee for basing its appraisals on their documents of critical reflection, and not on the whole of their work. They argued that teachers who wrote better were automatically at an advantage, and that, for some colleagues, having to write a document was perceived as a very difficult task.

> Even this need to write a document represents a drama for many teachers. I use as an example my sister, who is also a teacher, and who has had an enormous

difficulty in writing her document (interview with Teacher T2, January 13, 2000).

I did not find this worthwhile at all, because these documents are solely our writing, they may not coincide with what we do (interview with Teacher T4, January 21, 2000).

Negative opinion #2: the overstatement issue. Participants argued that the documents of critical reflection did not correspond to teachers' real performance because some teachers tended to overstate what they had done. Members of the evaluation committee claimed that teachers' documents included mostly positive aspects of their teaching activities; negative aspects were not mentioned. Thus, teachers' documents did not portray the reality of teaching practices.

When we write, we tend to think about what we have and what we have not done. But there is a problem here: what teachers write may not correspond to the reality of what they do. You may read the best document, with the most beautiful assertions, and this may not correspond to the reality.... Sometimes this document corresponds to what teachers would like to have done, not what they in fact did (interview with Teacher T2, January 13, 2000).

What we see is an emphasis on the positive activities teachers performed. For example, if a teacher has a poor relationship with his students, he is not going to write it in his document. Therefore, some documents do not reflect reality (interview with the evaluation committee, January 11, 2000).

Negative opinion #3: document writing as a pro forma activity. Several participants perceived the writing of a document as a hollow gesture, since in the end all teachers received a "satisfactory" rating. They claimed teachers only wrote their documents to rise one career level, without any intention actually to improve performance.

I knew that teachers had to write a document of critical reflection, and that this document would be subjected to an appraisal, but I always felt that it was just a pro forma requirement. Nobody would question what I had written, which I think is wrong. But this does not depend on the school, it is so legislated. A teacher may write that he is excellent; although the committee knows he is not, there is no concrete proof. As the legislation mandates that everything must be proven, the committee accepts what the teacher says, even if it is known that it does not correspond to reality. I think this is absurd. There should be a way of disproving what it is said (interview with Teacher T1, January 13, 2000).

The problem is, teachers think: "I have to write this to change career level", and that is all. It is a perfectly administrative function (interview with Teacher T2, January 13, 2000).

3.2. Mandatory In-Service Training[11]

Mandatory in-service training was perceived by participants as having some benefits, but mostly costs. Positive consequences were related to opportunities for professional development. Perceived problems stemmed from the lack of diversity of course offerings, and the lack of correspondence between training and practice. Some teachers contested the mandatory requirement of in-service training for career advancement, and mentioned its negative consequences for their private lives. Other participants maintained that in-service training robbed teachers of time to prepare for class.

Positive consequence: promoting teachers' professional development. One teacher claimed that required in-service training had had a positive impact on her professional development because she had attended courses related to her training needs and interests. She contested, however, the "homework" teachers had to complete after school.

> I chose courses as a function of my professional needs, and they have been helpful....As we don't have any other kind of incentive, we tend to go to these courses to get some help. I think that, from this point of view, the courses are helpful. What I think is that they should be more adapted to our needs and our schedules, more flexible, and we should not have to do work at home because of them (interview with Teacher T4, January 21, 2000).

Problem #1: lack of diversity of course offerings. Technology teachers complained that they were forced to attend courses that did not correspond to their training needs or interests because their teacher center lacked diversity in course offerings, and courses that interested them were not credited.

> We teachers of technical courses have to work many more hours than others, because we have to do lots and lots of self-training, which is not at all included in the credits that we need to progress. Teacher centers focus their activities on the whole teaching staff, and do not pay attention to our differences .... There is this trend to accredit only courses designed and taught by higher education institutions, and they are not automatically the best .... And we have another problem: we technical teachers are very few, our number is not enough to fill a class. Therefore, we do not have courses designed just for us (interview with Teacher T3, January 13, 2000).

> We in technical groups have to teach course content that we did not learn in University .... Therefore, I should attend courses on that subject matter. But

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[11]The Teachers' Career Statute determined a career ladder of ten levels. In order to progress from one level to the next, teachers were required to complete a minimum of in-service training credits, equal to the number of years in each career level.

we are too few, and accredited courses must have at least fifteen, twenty trainees. So the system is absurd. I can have an accredited training course in tennis, but I have no access to courses in my specific area. What I have done was attend courses that, while not related to my teaching practice, were related to the development of other personal skills (interview with Teacher T1, January 13, 2000).

Problem #2: the mandatory provision. Several participants argued that this requirement had made them attend training courses just to change level, thus transforming training into an administrative task, rather than a meaningful professional experience.

I think it would be important to eliminate this requirement of training credits. Teachers who think they must attend training courses will do it, the others will not do it. Let us be free to decide. At a given time, a teacher is bound to feel the need for training. If not, the school could say in their report: "this teacher has not kept up with the evolution of his area of knowledge" (interview with Teacher T3, January 13, 2000).

It is a purely administrative model with which I do not agree. I don't agree with the requirement of attending training courses to advance in one's career. I think that, if it were optional, teachers would be much more available to do this training.... Teachers take courses just to present credits: fire-regulations, handcrafts... (interview with the president, January 5, 2000).

Many teachers attended these courses just as a pro forma matter, they were bored, there was little participation on their part....You see, if teachers were not required to attend these courses, the evaluation would be much more honest, because we would see exactly who was really interested. Such as it is, everyone must attend them, and it becomes a bureaucratic imposition (interview with the evaluation committee, January 11, 2000).

Problem #3: lack of relationship between training and practice. Some teachers complained that the mandatory training led them to attend courses with no relationship to

their teaching practice. These teachers claimed that the mandatory training had had no

impact on their work.

> The problem is that teachers are attending courses that fit their schedules and
> give them quicker and easier credits, not the ones they really need.... It should
> not be possible is to attend accredited courses with no relationship with our
> practices (interview with Teacher T2, January 13, 2000).

Problem #4: negative consequences for teaching practices. Two participants

argued that the mandatory in-service training robbed teachers of time to prepare for class,

thus negatively affecting their teaching.

> Since all this training is done after work, and we have to prepare for our
> classes, what eventually happens is that teachers take intensive courses, while
> maintaining their private lives, and having to teach. As they have to work for
> their mandatory courses, they are going to pay less attention to their classes
> (interview with Teacher T2, January 13, 2000).

> Sometimes the requirement of training courses makes teachers pay less
> attention to their classes, because of all the work we have to do for those
> courses.I think they are positive, because we always learn something. The
> problem is that, in order to attend them, we have to sacrifice our family life
> and our schoolwork (interview with Teacher T4, January 21, 2000).

Problem #5: negative consequences for teachers' private lives. One participant

complained that the pressure to complete required training credits to change career level

resulted in negative consequences for their family life.

> This requirement is very burdensome for teachers, because those courses are
> taught during non-teaching hours, and this is very hard. I remember the first
> course I had to attend, in the beginning of this process: we had to go to the
> teacher center even on weekends. I found this very disruptive (interview
> with Teacher T5, January 21, 2000).

3.3. The Evaluation Committee

Most participants perceived the evaluation committee's role as constrained by legislation that did not allow it to take any action other than rating teachers' documents as "satisfactory". According to School T's president, the evaluation committee should be allowed to monitor teachers during their evaluation period, otherwise committee members might not know enough about activities performed by such teachers.

> What do these teachers know about the evaluated teachers' activity? Nothing, they only know them from the teachers' lounge, or class meetings.... I think the school's pedagogical board should be much more committed to the teacher evaluation process. There should be a permanent committee to monitor teachers scheduled to be evaluated, so that at any given moment the committee might be able to obain information about a teacher's work .... Such as it is, the process is too bureaucratic (interview with the president, January 5, 2000)

One member of this year's evaluation committee complained that its appraisals had no impact on teachers' practices.

> In the end, everybody will receive "satisfactory". What we write has no influence on the final rating.... We are doing work that serves no purpose (interview with Teacher T1, January 13, 2000).

Another committee member considered that more efficient processes could be implemented, such as including teachers' group representatives on the committee, thus adding to its credibility in appraising teachers.

We cannot give advice in terms of professional development. This should

be the group representatives' role, because we on the committee have no knowledge of teachers' practices. That is why I think the teacher's group representative should be included on this committee. He and the president could talk to teachers, and make them see that some of the attended training courses were irrelevant to their work. The mechanisms we have could be more efficient. Such as it is now, is just a pro forma approval (interview with the evaluation committee, January 11, 2000).

One teacher questioned the legitimacy of School T's evaluation committee to appraise teachers, since its composition had been decided on without any professional criteria. According to her, bureaucratic functions were taking teachers from their pedagogical duties. School T's committee lacked courage to do what it was supposed to do: review the whole of teachers' work, and differentiate teachers accordingly. In School T there was an evident misunderstanding of the meaning of democracy: there, democracy was understood as "giving the same to everyone", as opposed to "receiving according to one's capabilities and responsibilities".

> The problem is: who is this evaluation committee? How was it formed? What is its credibility and the credibility of the people who form it? We need to define the required skills of people who comprise this evaluation committee. What I feel is that there is no such thing as an authoritative face. What we see is confusion, bureaucratic work. This bureaucratic work is dragging teachers away from their pedagogical work....I do not agree with writing the same report for everyone. Once again, it would need some courage, because things are written, but others may be observed daily in teachers' work. The committee should have the courage to portray these observations. I had never discussed this with anyone, but this is my position. It is not fair that everyone receives the same rating. The committee has enough information to differentiate among teachers' work, what it is required is some courage. Here again, we are dealing with the issue, "what is meant by democracy". It is not "everything is the same for everyone", but rather "one should receive according to one's responsibility, weighing what is right and what is wrong". We know that evaluation is difficult, we feel this with our students. Evaluating adults is even more difficult, but we have to do it; we have to think about the best way to be just (interview with Teacher T2, January 13, 2000).

3.4. The Class Observation Issue

School T's teachers believed that there was no prospect of a class observation policy in Portugal due to a professional culture characterized as resistant to change and fearing to express doubts.

> Perhaps new teachers may eventually change our schools. I don't see any possibility of such a change in our older teachers, who have deep rooted practices resistant to change.... Whenever anyone wants to do something new, that is immediately greeted with much criticism and cynicism, and is defeated from the start (interview with Teacher T5, January 21, 2000).

While agreeing with this characterization of the culture of teaching, some participants questioned a teacher evaluation policy that did not consider classroom observation as one source of data. According to one participant, teacher evaluation should have formative purposes and be based on class observation and peer review.

> That's another thing that is absolutely ridiculous in this process: where can you see if a teacher is good or bad? In his classroom. But we cannot look into teachers' classes. Class observation should be an element of this process. The best way to improve is through discussing what happens in the classroom. It is a very important component, missing in our model. Of course, class observation should be done with a formative and constructive purpose, not punitively. Teachers see evaluation as a way of gaining more money and going up in their careers, and the evaluation process should be seen as improving our practices. We should create peer evaluation processes, where teachers would join teams to see what has succeeded and what has failed in their classes, in a really formative process (interview with Teacher T1, January 13, 2000).

Another teacher expressed a similar opinion, considering that exchanging experiences would be fruitful for professional improvement. It was perceived, however,

that such a policy was impossible to implement, due to lack of political will to do so, and to teachers' fear of revealing their shortcomings.

> It should be assumed that, even in terms of solidarity, each of us is able to learn with others, and this exchange of experiences would be extremely fruitful.... But there is no political courage to do that....Teachers don't have working relationships that allow for expressing doubts .... There is no teamwork (interview with teacher T2, January 13, 2000).

3.5. Policy's Fairness

Some teachers argued that this evaluation policy *did not recognize their merit*, since everyone was granted a "satisfactory" rating. These teachers did not agree that it should be up to them to request a "good" rating, claiming that this initiative should be taken by the evaluation committee.

> I am absolutely against this idea that we are all equal. It is profoundly unfair to those who have more merit, who are really committed to innovation, who are committed to their students and their schools. It is not fair that those teachers may not advance faster in their careers (interview with Teacher T1, January 13, 2000).

> The legislation is quite constraining. For instance, the "good" rating does not depend on the school .... It should not be up to the teacher to request it, but the school to propose it .... If it were in consequence of an appraisal made by the school itself, I would agree with a "good" rating. People from outside should not appraise teachers' performance. What can they do? There are aspects of teachers' work that cannot be observed by an outsider (interview with Teacher T3, January 13, 2000).

The opposite argument, that the policy should continue, was based on the goals of *avoiding conflict* in schools and *maintaining equity* among teachers.

> I agree that we should have only these two grades, otherwise there would be even more conflict. I think it is positive that we are all in the same circumstances. We are all equal, and therefore we don't compete with each other, which I find very positive (interview with Teacher T4, January 21, 2000).

> I agree basically with our system of appointing teachers to schools by national application. It is the only way to establish the necessary equity and prevent favoritism.... If we let schools' direction teams hire teachers, I'm afraid a group attached to the power elite would be formed and would dominate schools (interview with the evaluation committee, January 11, 2000).

While agreeing that schools should have more power to differentiate among teachers, some participants believed that *school ratings should be based on national parameters*, to maintain the equity of the teacher evaluation process.

> The committee must have clear parameters to act from, otherwise we might have a discretionary model. We have a national system in which teachers move from one school to another. Therefore, things should not be done differently in each school (interview with Teacher T3, January 13, 2000).

> There should be some criteria centrally defined, and other criteria internally defined, in a constructive process involving the whole school (interview with the evaluation committee, January 11, 2000).

One teacher argued that the evaluation policy *failed to take action against the least competent teachers,* relating this problem to the process of collective bargaining and the role of teacher unions in that bargaining. Teacher unions tended to emphasize equity in order to avoid unfair situations. As a consequence, the teacher evaluation policy was so restrictive regarding "non-satisfactory" ratings as to make it virtually impossible to give

them. It was argued that schools' lack of autonomy in terms of human resource management led to an evaluation policy without consequences. This policy was perceived as serving teachers' interests, since most teachers did not want to be pressured to improve.

> This process was negotiated by the unions, and the unions are defensive. In order to avoid favoritism and arbitrary dispositions, they have negotiated with the Ministry such that everything must be objective. Therefore, if there are no such records, nothing can be done .... Most of teachers' work is not recorded, therefore there is no way of evaluating it .... In practice, unions express teachers' corporate will. This model serves teachers' interests, you see, because in reality teachers do not want to be pressured to be more committed to their work. And staff stability promotes schools' stagnation .... In fact, the so-called autonomy does not exist; schools have no autonomy in what is most important, staff management. Schools have to live with the teachers they've got, good or bad. That is why there has never been an effort to create evaluation mechanisms of any kind, because they know that evaluation has no consequences (interview with Teacher T1, January 13, 2000).

3.6. Reasons for Teacher Evaluation

Most participants in School T did not see any reason for teacher evaluation. Teachers and members of the evaluation committee explained that teacher evaluation might lead to favoritism. School T's particular characteristic as a school with low socioeconomic status' students was mentioned as an argument for caution in any evaluation process.

> Many of us think that teacher evaluation may not have the formative character it should have, and may lead to favoritism, in which teachers more distant from the power base might be punished for that .... Our school receives students from low socioeconomic areas.... Therefore, in a ranking, our school would fare worse than others, but if we really assess the

work that has been done with our students, it may have been harder than in
other schools. This also has to do with teacher performance and how to
evaluate it. It is an extremely complex issue (interview with the evaluation
committee, January 11, 2000).

I think any teacher evaluation policy is very complex. For instance, we
cannot compare students' achievement, because there are schools where
students' SES makes teaching much easier than in others (interview with
Teacher T4, January 21, 2000).

Other participants argued that teacher evaluation was useless, since committed

and competent teachers would always be so, and less-competent teachers were not likely

to improve merely because of an evaluation policy.

I think teachers who are really committed would have the same performance,
either with or without evaluation (interview with Teacher T4, January 21,
2000).

You know, teacher improvement depends mostly on each teacher. Each teacher
has to change his attitudes according to his school and his students
(interview with Teacher T5, January 21, 2000).

One participant, however, argued that there should be some kind of teacher

evaluation, and the most-competent teachers should advance faster in their careers.

Evaluation should value teachers' merit. I think that career progress should
differ from teacher to teacher, such as in other non-teaching jobs. In
any other job, people progress when they are found excellent. With teachers,
this does not happen. Even the functions that teachers perform, such as class
director or group representative, are seen as a burden, something that is going
to weigh on some poor colleague's shoulders, not something to be performed
by the best.... This does not make sense. As a result, we have no leaders
(interview with Teacher T1, January 13, 2000).

Case Study 2: Conclusion

School T was a school more than a century old, with a strong tradition of technogical education, a stable and mostly male teaching staff, and a moderately-achieving student body. School T offered some courses leading to higher education, but mostly technology courses. School policy guidelines focused on solidarity, revealing the school's concern with low socioeconomic status' students. Teachers expressed concern for the vagueness of School T's mission and the staff's lack of commitment. They were proud, though, of its technology tradition. School T's leadership was criticized by some of the participants for being too task-oriented.

School T's implementation of the teacher evaluation policy might be characterized as <u>administrative</u>, since it relied on the provisions determined by law -- the Teacher Evaluation Act and the Teachers' Career Statute -- as the sole criteria for appraising teachers. An example of this administrative orientation was the evaluation committee's decision to write the same appraisal report for each evaluated teacher, focusing merely on the items established by law. Another example was the committee's decision to merely review teachers' documents of critical reflection, without reference to teachers' work during the evaluation period. A third example of School T's administrative approach to teacher evaluation was the composition of the evaluation committee. The school interpreted the Teacher Evaluation Act as requiring that the committee members must be permanent, thus preventing the inclusion of group representatives of the teachers to-be-evaluated. A fourth example was the choice of the committee's reporter, appointed on the basis of seniority.

In School T, there were no requests for "good" ratings, and no conflicts stemmed from the implementation of the evaluation policy. Many participants questioned the need for any type of teacher evaluation. Some argued that evaluation was useless because it did not improve less-competent teachers, while competent teachers would perform well even without an evaluation policy. Others argued that evaluation might benefit teachers who were closer to school leaders, or favor schools with students from more well-to-do families. Some participants believed that teacher evaluation should lead to rewards for the most capable teachers. The current policy, however, was perceived as being a purely administrative process leading to career advancement.

Mandatory in-service training was perceived as mostly problematic, due to the lack of diversity of course offerings and lack of correspondence between training and practice. The requirement of in-service training for promotion was questioned, and its negative consequences for teachers' private lives and teaching practices were mentioned. The role of the evaluation committee was perceived to be constrained by its inability to take action against the least accomplished teachers. Participants were reluctant to propose a more active role for schools in the evaluation process, since it might lead to increased conflict and undermine the equity of the evaluation process.

Some participants claimed that the teacher evaluation policy was unfair because it allowed everyone to receive a "satisfactory" rating, and it did not permit action to be taken against less-competent teachers. These participants argued that evaluation committees should differentiate teachers according to merit. Other participants, however, believed that teachers should not be differentiated, to avoid competition and conflict in schools.

CHAPTER 7

CASE STUDY 3

SCHOOL L: A CAUTIOUS APPROACH TO THE EVALUATION PROCESS

This case study is presented in three sections. First, the school's organizational characteristics are described, including context, background, and physical space; structure and organization; policy guidelines; curriculum and student achievement; students, and teaching staff. Second, the school's implementation of the teacher evaluation policy is presented. Finally, participants' opinions regarding the policy's components -- mandatory teacher training; document of critical reflection; and evaluation committee's appraisal -- and other evaluation issues -- the lack of class observation; policy's fairness; and the need for teacher evaluation -- are addressed.

1. Description of the School

School L was located in a central Lisbon district that mixed office and apartment buildings. This school was created in 1885 as an all-girls' school. At the time, it was not a high school, and its goal was "to promote women's emancipation through instruction". In 1906, a royal decree transformed it into one of the first high schools for girls in Portugal. As a result of the democratic revolution of 1974, School L's first mixed-gender classes

were created in 1975-76. Teaching and non-teaching staff, until then exclusively female, began to include male faculty. After the unification of secondary education, as with all former high schools and technical schools, School L was named a secondary school[1].

The school was in poor condition. There were holes in the walls of each of its three floors, and their paint was ripped off. The first floor was composed of thirteen classrooms, three department rooms, a gymnasium, the students' association room, the class directors' room, teachers' lounge, direction room, copyroom, chapel, registrar's offices, cafeteria, dining hall, and kitchen. The second floor was composed of eighteen classrooms, a gymnasium, biology and physics laboratories and department rooms, five other department rooms, library, resource center, art room, boardroom, teacher's center, and non-teaching staff room. School L's third floor was composed of fourteen classrooms, chemistry laboratory and department room, counseling room, and three art rooms.

1. 1. School L Structure and Organization

School L's structure and organization are described according to the elements specified in Portuguese legislation concerning the administration of secondary schools: collegiate bodies; educational structures and specialized services; projects of educational development[2].

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[1]Please see Chapter 2, Section 2, for a description of the evolution of Portuguese secondary education.
[2]Please see Chapter 2, Section 3, for a description of the Portuguese model of secondary school administration.

Collegiate bodies. As a result of the 1998 School Administration Act (Decree-Law 115-A/98, of May 4th), Portuguese secondary schools must be composed of an *assembly,* an *executive direction*, a *pedagogical board*, and an *administrative board.* In School L's case, the *assembly* was composed of eighteen members, including nine teachers, three student representatives, two non-teaching staff representatives, two parents' association representatives, one district representative, and one representative of the community. Teacher, student, and non-teaching staff representatives were elected (Internal Regulations, II:1). Each teacher received a reduction of one teaching hour per week. Its president received a three-hour reduction (Internal Regulations: II, 5:17).

School L had an *executive board* composed of a president and two vice-presidents (Internal Regulations, II:2). School L's president had been part of the school board for twenty years.

The *pedagogical board* was composed of nineteen members, including the president of the executive board, four representatives of the curriculum departments, five group representatives, one representative of the psychology and counseling services, one coordinator of the class directors, one representative of the night courses, one coordinator of the school development plan, one representative of the teacher initial training departments, two student representatives, one representative of the non-teaching staff, and one parents' association representative (Internal Regulations, II:3). The president of the executive board was also elected president of the pedagogical board.

The *administrative board* was composed of the president and one of the vice-presidents of the executive board, and the chief registrar (Internal Regulations, II:4).

Educational structures and specialized services. According to the Portuguese model of school administration (Decree-Law 115-A/98), secondary school structures are composed of *curriculum departments*, formed by groupings of disciplines, *class directors*, *teacher-tutors*, and *grade, cycle*, or *course coordinators* (Articles 35, 36, 37). Specialized services are composed of *psychology and counseling services*, a *special education team*, and other services organized by the school (Article 38).

In School L, it was decided to create four *curriculum departments*. Table 21 presents the name of each department and the disciplinary groups within it.

Table 21

School L's Curriculum Departments

Department	Disciplinary groups
languages	Portuguese, Latin, English, French, German
social sciences and humanities	history, philosophy, psychology, moral and religious education, geography, economics, law, sociology, introduction to economic and social development, social sciences, and civic education
exact, natural, and technology sciences	mathematics, quantitative methods, environmental sciences, natural sciences, biology, physics, chemistry, accounting, computers
expressions and special techniques	design, geometry, visual arts, drawing, expression technologies, physical education, art history, drama workshop

Each curriculum department was expected to coordinate teachers' pedagogical practices, discuss the use of pedagogical models, teaching methods, learning materials, and assessment strategies, and develop educational projects aiming to promote school-

community relationships. Its coordinator was elected for three years and received a teaching reduction of four hours per week (International Regulations, II: 5: 1, 2).

Disciplinary groups are a substructure of curriculum departments, composed of teachers of the same discipline or disciplinary group. Each disciplinary group elected a representative for three years to work with the coordinator of the curriculum department. Each group representative received a reduced teaching load of four to six hours per week, depending on the number of teachers in the group (Internal Regulations, II: 5: 3, 4).

The *class council* was composed of all class teachers, a student representative, and a parent representative. It was coordinated by a class director appointed by the executive board (Internal Regulations, II: 5: 5, 6). Each class director had a two-hour reduction of teaching load (Internal Regulations, II: 5: 17). The council of class directors elected a *coordinator* to participate on the pedagogical board. This coordinator was supported in his/her work by course coordinators (Internal Regulations, II: 5: 7, 9). Night courses were coordinated by a teacher included in the pedagogical board. The night courses coordinator received a five-hour reduction of teaching load (Internal Regulations, II: 8, 17).

Some of School L's disciplinary groups had partnerships with teacher education institutions, and provided classroom practice for student-teachers (Internal Regulations, II: 5: 14).

Specialized services. School L provided services in the areas of psychology and counseling, special education, and study hall (Internal Regulations, II: 5: 16).

1. 2. School Policy Guidelines

School L's policy guidelines were specified in its Development Plan and Internal Regulations. According to School L's *Internal Regulations*, the school's guidelines were based on the Portuguese Constitution, namely Articles 1, 37, and 43; School L's formative goals aimed at promoting students' development and commitment to the construction of a "free, just, and supportive society" (Portuguese Constitution, Article 1); School L allowed for "freedom of speech" (Portuguese Constitution, Article 37), by allocating specific spaces for diverse organizations after previous authorization by the executive board; School L defined itself as a public and non-denominational school whose practices were guided by "freedom of teaching and learning, not religious-oriented" (Portuguese Constitution, Article 43).

School L's preparatory documents for the design of its *Development Plan* identified the school's main problems according to each of its constituencies. To its students, School L's main problems stemmed from students' and teachers' lack of motivation, school safety, and poor space management. To its teachers, School L's main problems resulted from poor communication and information, lack of non-teaching activities such as clubs and other projects, and the non-teaching staff's poor training. To parents, School L's main problems were related to a lack of committed teachers, poor curriculum management, and poor human and material resources management. Summarizing these findings, School L's Development Plan identified "teachers' and students' lack of motivation" as the school's main problem, since it led to the others.

Accordingly, School L's organizational goals were defined as changing the school by changing social relationships and commitment within it.

> It is necessary to change the school by changing not only the physical spaces but also the relationships between teachers, students, and non-teaching staff. Efforts should be made to promote closer relationships, more parent involvement, students' change of attitudes, and teachers' enthusiasm and commitment   (School L Development Plan, preparatory documents).

School L's president defined the school's culture as grounded in values such as discipline and high standards of excellence.

> This is a school with certain values that arise from its long tradition as one of the first all-girls' high schools created in Portugal. Both teachers and students participate in this culture, that may be characterized as a "former high school culture", with discipline and high standards of excellence (interview with the president, January 4, 2000).

Some teachers conveyed a moderate appreciation for School L's characteristics, including location and organizational climate[3]:

> I have been in this school for five years. It is not that I prefer this school to others; frankly, I like this school as much as I like the others. I only chose this one because it was more convenient (interview with Teacher L1, January 18, 2000).

> At first, I did not choose this school, I was placed here by the Ministry to do my initial training. But then I began enjoying the school's climate, its students.... Now I don't even think about moving, I have formed roots in this school (interview with Teacher L2, January 18, 2000).

School L's "high school culture" was criticized by one teacher belonging to a technology group who, while a tenured teacher of the school, taught no classes because

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[3]The term "organizational climate" was used here to mean "the total environmental quality within an organization, including physical and material aspects of the school, individual student and teacher

the school did not offer any technology courses. This teacher worked in the library, and complained of not being treated as an equal by other teachers. She characterized School L as being "full of doctors":

> When I arrived here I was very young, and this was an high school with many "doctors". I think sometimes younger teachers are not very welcome here. I have talked with many colleagues who have done their training here, but leave immediately after, because they get the idea that this is a school with many "doctors", and they are not given many opportunities....People in this school think that only teachers with a B.A. are really teachers, and others are not.... When I came here, in the beginning, I was very young, about twenty-three or twenty-four years old, and people said I talked too much... Of course, it was normal, my personality was like that .... What I think is that there is a lack of communication. I feel completely apart, because I don't have meetings with anyone here.... As I am not teaching any class, they say that I don't have to attend their meetings. I think that one of the serious problems here is that I am a teacher and I am not treated as such. I am now in the library; I like this work, I think it is useful to the school, but I should know what is going on in the school (interview with Teacher L4, January 27, 2000).

School L's lack of communication, identified in its Development Plan as one of its main problems, was mentioned by this teacher as an important shortcoming of this school.

1. 3. Students and Curriculum

School L was an exclusively secondary school. Its Internal Regulations specified that the school had functioned in three shifts, with general and technical courses. Because of the constraints of the physical facilities, however, it was decided to limit the school's

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characteristics, patterned relationships among role groups, and belief systems, values, cognitive structures and meanings of people within a school" (adapted from Husen & Postlethwaite, 1994, pp. 5206-5211).

offerings to general secondary courses. Therefore, School L's curriculum was now composed exclusively of secondary courses leading to higher education. As a result of this decision, some tenured technology teachers taught no classes. One of them questioned School L's policy:

> What happens in other schools is that teachers in my situation are teaching "art workshops". Here they have not given me a chance to teach anything else, and they won't meet with me. I have training to teach "personal and social development", but this school's pedagogical board has decided that students should attend religion and moral classes, arguing that there is no program for such a discipline (interview with Teacher L4, January 27, 2000).

School L also offered night courses, both basic and secondary. Table 22 presents School L's distribution of students by grade level.

Table 22

School L's Students' Distribution by Grade Level

Courses	Number of students
Secondary education (day courses):	
10th grade	252
11th grade	226
12th grade	436
Total	914
Night courses:	
Basic education	102
Secondary education	160
12th grade	138
Total	400
Total students (day + night)	1314

In secondary education, School L's curriculum (day courses) was exclusively composed of courses leading to higher education; the school did not offer any technology

courses[4]. Table 23 presents School L's secondary education students' distribution by areas of specialization.

Table 23

School L's Secondary Education Students' Distribution by Areas of Specialization

Groupings	Grade	Number of students
1 - exact and technology sciences	10	89
	11	71
	12	213
Total		373
2 - arts	10	43
	11	36
	12	36
Total		115
3 - economic and social sciences	10	37
	11	47
	12	38
Total		122
4 - humanities	10	83
	11	72
	12	149
Total		304

School L's secondary education students expected to enter higher education institutions providing scientific-technology courses (41% percent of students), humanities courses (33%), economic and social courses, and arts (13% each). The school did not seem to have a problem attracting students. As explained by its president, School L did not select its students; on the contrary, its students selected School L:

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[4]Please see Chapter 2, Section 2, about the organization of Portuguese secondary education.

Our students come from various districts, even from out of Lisbon. Of course, the main core belongs to this area, but there are also many students from other areas .... As we are an exclusively secondary school, we don't have problems of excess students. We may say that we do not select our students, our students select us (interview with the president, January 4, 2000).

1.4. Student Achievement

School L's students' characteristics were captured in an excerpt from an interview with a teacher:

Our students are generally very nice.... I find them motivated, although not as much as we were in our time (interview with Teacher L5, February 1, 2000).

Student admission to higher education courses. One indicator of student achievement is the percentage of students admitted to higher education courses. According to School L's data from the Committee for the Secondary Education National Exams, of the 177 students who applied to higher education in 1998-99, 120 (68%) were admitted in the first phase[5]. They were placed primarily in law, management, economics, medicine, and architecture courses. Their higher education institutions of choice were the Technical Higher Institute, School of Economics, School of Humanities, School of Science and Technology, and Law School, all located either at the University of Lisbon or

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[5]In Portugal, vacancies for public higher education courses were established every year by each institution. Applicants to public higher education courses had to comply with three conditions: 1) holding a diploma of a secondary education course; 2) having taken the national examination for the basic subject of the course for which they hold a diploma; 3) having obtained in examinations held at national level the minimum grades in the specific subjects determined by the pair establishment/course. Each applicant might indicate six options in terms of pair establishment/course. Access to public higher education was publicized in two phases. Applicants who did not obtain access in the first phase might still be placed in the second.

the New University of Lisbon, two highly competitive institutions. These data indicate a high level of performance on the national exams.

1. 5. Teaching Staff

In 1998-99 School L had 143 tenured teachers out of a total of 169 teaching staff. Table 24 presents School L's teacher distribution by gender and disciplinary group. These data indicate that School L had a high percentage of tenured teachers, no teachers related to technology areas, and a high percentage of women faculty (75.3 percent).

Table 24

Distribution of School L's Teachers by Gender and Disciplinary Group

Disciplinary group	Male	Female	Number of teachers	Number of tenured teachers	% tenured teachers
mathematics	6	14	20	15	75.0
physics	1	16	17	16	94.1
visual arts	2	3	5	5	100.0
accounting	3	3	6	3	50.0
economics	2	5	7	5	71.4
Portuguese/ Latin	2	9	11	8	72.7
Portuguese/ French	1	22	23	21	91.3
English/ German	4	17	21	19	90.5
history	5	7	12	11	91.7
philosophy	5	7	12	11	91.7
geography	2	6	8	8	100.0
biology/ geology	-	12	12	11	91.7
physical education	5	5	10	9	90.0
tissues	-	1	1	1	100.0
computers	3	1	4	1	25.0
moral and religious education	1	-	1	-	0.0
TOTAL	**42**	**128**	**170**	**144**	**84.7**

2. Implementation of the Teacher Evaluation Policy

The Portuguese teacher evaluation policy is based on three components: a document of critical reflection written by the evaluated teacher; mandatory in-service training; and an appraisal report written by the school's evaluation committee[6]. This section reports on how the teacher evaluation policy was implemented in School L. First, the number of evaluated teachers is identified, and their distribution by disciplinary group was specified. Second, the composition, criteria, leadership, number of meetings, and decisions of the evaluation committee are described, and the committee's appraisal reports were analyzed. Third, teachers' documents of critical reflection are analyzed according to their structure and level of reflection. Fourth, the process of requesting a "good" rating is described. Finally, conflicts related to the teacher evaluation policy are explained.

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[6]Please see Chapter 2, Section 4, for a description of Portuguese teacher evaluation policy.

2.1. Number of Evaluated Teachers

The evaluation period coincides with the point at which the tenured teacher is scheduled to go up one career level. In School L, thirty-one teachers out of 143 were evaluated in 1998-99. The distribution of evaluated teachers differed from the school teaching staff distribution, since in disciplinary groups such as arts, Portuguese/Latin, and computers there were no evaluated teachers. Table 25 presents the distribution of School L evaluated teachers by disciplinary group.

Table 25

Distribution of School L's Evaluated Teachers by Disciplinary Group

Group	N. Evaluated Teachers	N. Tenured Teachers	% Evaluated Teachers
mathematics	2	15	13.3
physics	4	16	25.0
arts	-	5	0.0
accounting	1	3	33.3
economics	3	5	60.0
Portuguese/Latin	-	-	-
Portuguese/French	9	21	42.9
English/German	4	19	21.1
history	1	11	9.1
philosophy	2	11	18.2
geography	2	8	25.0
biology/geology	1	11	9.1
tissues	1	1	100.0
computers	-	1	0.0
physical education	1	9	11.1
TOTAL	**26**	**144**	**18.1**

Table 25 indicates that, in 1998-99, most of School L's disciplinary groups had between nine and twenty-five percent of their tenured teachers evaluated.

2.2. School L's Evaluation Committee

The evaluation committee is a special committee formed within schools' pedagogical boards. Its role is to write an appraisal report for each evaluated teacher. The president of the pedagogical board appoints a committee member -- the reporter -- who is responsible for writing the appraisal report's proposal. To write this proposal, the reporter must take into consideration activities developed by the evaluated teacher during the evaluation period (Teacher Evaluation Act, Articles 8 and 9).

This section describes School L's evaluation committee according to its composition, that is, the number and functions performed by its teachers. The committee's activities are identified according to the frequency of meetings, and its decisions are reported. Leadership roles are identified, and the committee's appraisal reports are analyzed according to the main criteria used in the appraisal process, measured by the number of references made in the evaluation reports.

Evaluation committee: composition and leadership. School L's evaluation committee consisted of five permanent members: the president of the executive board, who was also president of the pedagogical board; one vice-president of the executive

board, who coordinated the night courses; a representative of the teacher training department; and two department coordinators, languages and mathematics, chosen to represent the departments with the greatest number of teachers.

The president explained that committee members had been appointed because they represented a diversity of scientific areas. Articles 8 and 9 of the Teacher Evaluation Act were interpreted in School L as requiring the committee's permanent composition.

> We have decided to choose the coordinators of departments that have more teachers, and also that correspond to different kinds of knowledge; that is why we have chosen the languages coordinator and the mathematics coordinator. This way, the committee will have a varied composition, to attend to different interests. All those criteria were defined by the school's pedagogical board (interview with the president, January 4, 2000).

School L's evaluation committee members did not perceive as useful the inclusion of the department representative of the teacher in evaluation, since teachers' documents of critical reflection were not related to teachers' disciplinary activities. It was argued that department representatives did not have more information on teachers' practices than other faculty, since even representatives were not allowed classroom observation.

> A1. I don't think it is relevant to include the department representatives, because the criteria are equal for everyone, independently of each disciplinary group. The document teachers have to write, its items, are not related to teachers' disciplinary activity.
> A2. As the group representative does not observe teachers' classes, he would not have more information than anyone else (interview with the evaluation committee, January 18, 2000).

In School L, the evaluation committee's reporter position was given to the representative of the teacher training department, due to her experience of evaluating teachers. In practice, both this member and the president worked together to write each appraisal proposal. The president explained that the amount of work was enormous; therefore, when many documents were scheduled to be appraised, help from other committee members was requested.

> In our first meeting, we decided to appoint as reporter the teacher who was more used to evaluate other teachers, besides myself: the representative of the teacher training departments. We work together to accomplish that function. We appraise in detail teachers' documents of critical reflection, and propose to the committee their appraisal item by item. In order to do that, we have an enormous amount of work, because both of us have to read all the documents and propose their appraisal. When we have many documents to appraise, we request help from other committee members.... When we meet in committee, all proposals are read and discussed. We have a form to help us write the appraisals, with the items established by the legislation (interview with the president, January 4, 2000).

The president emphasized that, while leading the school for more than twenty years might imply that she tended to concentrate on leadership functions, in School L all was decided by consensus:

> In our school, we are used to arriving by consensus at all our main decisions. We know that this committee has a delicate mission, and teachers don't like to do it, but they know that it has to be done, so it is done.... I may have formal leadership, because of my functions in the school, but I think we can say that in the committee everyone is equal, everyone works at the same level (interview with the president, January 4, 2000).

Evaluation committee's meetings: frequency, decisions. School L's evaluation committee met as often as required to appraise all teachers who were scheduled to change career level. Table 26 presents the date and purpose of each meeting.

Table 26

School L's Evaluation Committee's Meetings

Dates	Purpose
July 21, 1998	To define the methodology to use in the appraisal process.
July 28, 1998	To analyze three documents of critical reflection.
October 20, 1998	To analyze eight documents of critical reflection.
December 17, 1998	To analyze fifteen documents of critical reflection.
July 15, 1999	To analyze five documents of critical reflection, including the document of one teacher who did not teach, but instead worked in the library.
Total meetings: 5	Total analyzed documents: 31

These data indicate that the evaluation committee met five times, first with the purpose of defining the methodology to use in the appraisal process, and then with the purpose of analyzing teachers' documents of critical reflection.

Summary of the committee's decisions. The committee decided to make a group appraisal of the documents, with the final appraisal report written by one teacher who declared her availability to do so. The appraisal would follow the items established in the Teacher Evaluation Act. The analyzed documents were rated as "satisfactory" because legislation leading to "non-satisfactory" -- Teachers' Career Statute, Article 44 -- did not

apply. Two teachers, however, were asked to reformulate their documents, because "their organization did not correspond to the items determined by law" (minutes of meeting, December 17, 1998). With regard to the document of critical reflection of the teacher working in the library, the committee "noted that it included pedagogical inconsistencies and unfounded assertions. It was decided, however, to rate it 'satisfactory', because Article 44 of the Teachers' Career Statute did not apply" (minutes of meeting, December 17, 1998). The committee noted that, in general, teachers did not follow the legislated criteria as they wrote, which made their documents' appraisal difficult. Consequently, the committee informed all teachers that they must present a correctly-structured document of critical reflection, including the items established by legislation (minutes of meeting, December 17, 1998). In their last meeting, the committee decided to ask for reformulation of the library teacher's document. This teacher was asked to clarify the following aspects of her work: 1) activities in the library; 2) participation in school projects; 3) cultural activities outside the school with impact on school's activities. The teacher received a "satisfactory" rating, because the items a), b) and c) of the Article 44 of the Teachers' Career Statute did not apply (minutes of meeting, July 15, 1999).

In School L, some teachers were asked to reformulate their documents of critical reflection in order to adapt them to the items determined by the Teacher Evaluation Act. One teacher was asked to clarify aspects that the committee considered to be unfounded. School L's president explained that the reformulation request happened mostly at the beginning of the process, when teachers were not yet familiar with the evaluation policy's requirements.

There were obviously some incomplete documents, and we have asked
some teachers, not many, to reformulate them, when they did not follow
the structure defined by legislation, when something was missing. It only
happened two or three times, mainly in the beginning of the process, when
teachers mixed all information, and it made it difficult for us to analyze
them item by item. In those cases, teachers accepted our request,
and reformulated their documents (interview with the president, January 4,
2000).

Asking teachers to reformulate their documents, however, did not mean

suggesting recommendations for improvement. The president explained that the school's

interpretation of the evaluation committee's role had been to appraise teachers'

documents item by item and look for a match between those documents and what the

legislation required. Consequently, they had not gone "further than the legislation told

them to go". The evaluation policy had been interpreted as applying to teachers career

advancement, not to promoting their professional development.

We just analyze the documents according to those items established by law,
we appraise them item by item, and that is all. We don't go further than the
legislation tells us to go. Why? Because we think it is not our function, at
least for now; we did not interpret the legislation as allowing us to do that ....
I think professional development is not evaluation's purpose, according to
the legislation .... You see, we are not accustomed to a concrete evaluation
with defined goals. For now, the goal is career progress, and that is all.
Therefore, what we do is analyze teachers' documents and, if they meet
the items in the legislation, they are okay (interview with the president,
January 4, 2000).

Content analysis of the appraisal reports. In this section an effort is made to

explain how the committee dealt with the delicate issue of differentiating between

competent teachers and incompetent teachers. The committee's appraisal reports are

analyzed according to the criteria used in the appraisal process, measured by the number of references made in the reports.

The criteria used in the appraisal process were subdivided into professional and administrative. Administrative criteria involved the use of legislation to appraise teachers; for example, the verification of items included in the Statute of Teachers' Career, Article 44, leading to a "non-satisfactory" rating, e.g.: 1) the continuing education credits requirement; 2) proof of poor relationship with students; 3) refusal of non-teaching functions. Professional criteria represented what Darling-Hammond (1997, pp. 294-297) identified as the ground on which the teaching profession was built, that is, the "growing consensus about what teachers should be able to do". Among these components, Darling-Hammond (1997) included subject matter and pedagogical content knowledge; knowledge of student development; understanding of student differences and motivation; knowledge about learning, assessing, and teaching strategies; knowledge about curriculum resources and technologies; collaboration skills; and reflection on practices. Box 5 presents a summary of conclusions drawn from an analysis of the evaluation committee's appraisal reports.

Box 5
School L's Evaluation Committee's Appraisal Reports: Conclusions

- Appraisal reports were individualized -- they differed teacher by teacher.
- Each appraisal report was organized according to the items determined in the legislation, and analyzed item by item, e.g., 1) teaching schedule; 2) pedagogical relationship with students; 3) accomplishment of core curricula; 4) performance of non-teaching functions; 5) participation in school projects; 6) completed and accredited teacher training courses; 7) developed and published studies. There was also a constant reference to teachers' attendance rate.
- Item 1 noted if teachers had or had not described their classes.
- Appraisal reports mentioned the items teachers had included in their documents; there was no mention of omitted items.
- Some appraisal reports were more succinct; others more explicit.
- Examples of succinct reports:
- Pedagogical relationship: "It was considered good, within a climate of cooperation with students, grounded in teacher's requests, and leading to positive results" (report # 4).
- Accomplishement of core curricula: "The integral accomplishment of all programs is mentioned" (report #7)
- Examples of more explicit reports:
- Pedagogical relationship: "Considered by the teacher as being respectful and friendly. Classes taught during these two years were correctly described in socioeconomic, behavioral, and academic achievement terms. Pedagogical relationship was also described, and the teacher emphasized motivation strategies adapted to diverse learning rhythms, in order to promote student achievement within a healthy climate of work, discipline, and interest for academic and cultural contents. The teacher's concern for teaching 'ethics and good social behaviors' should also be emphasized" (report #1).
- Accomplishment of core curricula: "The teacher's concern for adapting the programs' goals, contents and teaching strategies to her students, in theoretical and practical terms, was mentioned. The core contents of all programs were integrally accomplished. Successful extracurricular activities were also mentioned (study visits, participation in conferences, and public sessions of Parliament). Cases of program incompletion were critically justified in reviewing pedagogical options, based on her teaching experience" (report #10).
- All reports mentioned that which was written in teachers' documents of critical reflection. There was no inclusion of opinion on the part of the evaluation committee. The final appraisal was the same for all teachers: "Following the analysis of the teacher's document of critical reflection, it was confirmed that Article 44, items a), b) and c) of the Teachers' Career Statute did not apply, and the number of training credits legally required had been completed. Consequently, the 'satisfactory' rating was proposed."

This summary suggests that the committee used <u>administrative criteria</u> to write their appraisal reports, since they focused on the match between teachers' documents and the legislative provisions included in the Teacher Evaluation Act and the Teachers' Career Statute. The issue of differentiating between more-accomplished and less-accomplished teachers was not dealt with in School L, since the committee's appraisal reports focused soley on what teachers had written in their own documents. The committee focused solely on teachers' documents of critical reflection; the whole of each teacher's work was not appraised. Teachers' reflections upon their practices, as expressed in their documents, were not taken into account in the committee's appraisal reports. When a document's reformulation was requested, the purpose of reformulation was generally better alignment with what the legislation required. There was a reformulation request regarding the clarity of some assertions in a teacher's document (meeting of July 15, 1999). It may be inferred that School L's evaluation committee interpreted its role as aimed at assessing the extent to which teachers' documents met the legal requirements, and preventing groundless assertions.

Members of the evaluation committee explained that they had decided to abstain from expressing any opinion about teachers in evaluation because they considered it useless and questionable, due to the final "satisfactory" rating granted to all.

> A1. We don't have to give any opinion about teachers' work. If their documents are within the "satisfactory" framework, we give "satisfactory".
> A2. Why would we give any opinion? What for? If we did it, the final "satisfactory" rating might be even more questionable.

A3. If we could distinguish between "good" and "satisfactory', then giving an opinion would make sense. Such as it is, it does not make sense (interview with the evaluation committee).

School L's president explained that every decision was made consensually by applying the items determined by legislation to every teacher, in order to guarantee the equity of the evaluation process.

As I have told you, everything is consensual, and the criteria used by this committee are the ones established by legislation. They are always the same, in order to guarantee a certain equity (interview with the president, January 4, 2000).

2.3. Teachers' documents of critical reflection

According to the Teacher Evaluation Act, the evaluation process begins with a presentation by the teacher to the president of the executive board of a document of critical reflection on activities developed during the evaluation period, accompanied by certification of all completed training courses (Article 5). The document of critical reflection must be succinct and include an assessment of activities developed both in and out of classroom. It must consider the following components: a) teaching schedule; b) pedagogical relationship with students; c) accomplishment of core curricula; d) performance of other non-teaching functions, namely in school administration and management, counseling, and pedagogical supervision; e) participation in school projects; f) in-service training courses completed and certified; g) developed and published studies (Article 6).

School L's documents of critical reflection were analyzed on the basis of these components. This content analysis is presented in two tables. Table 27 presents the distribution of School L's documents according to the components specified in the Teacher Evaluation Act. This analysis aimed at establishing which components were most mentioned by evaluated teachers, as it might be assumed that the most mentioned were the ones teachers most emphasized for evaluation purposes.

Mentioning a particular component, however, does not mean that teachers reflected upon it. Table 28 presents a content analysis of the components written in a "reflective mode". This analysis was based on an adaptation of the categories identified by Holly and McLoughlin (1989) for their analysis of teachers' journals:

> <u>Descriptive</u> -- a mere presentation/summary of activities developed during the evaluation period.
> <u>Analytical</u> -- writing was used to examine some of the developed activities.
> <u>Reflective</u> -- writing included description, analysis, and judgement (Holly & McLoughlin, 1989, pp. 264-265, adapted).

The purpose of this second analysis was to complement the inferences drawn from Table 27, as it might be assumed that the components most reflected upon by teachers in their documents of critical reflection were the ones most emphasized in their professional practice.

Table 27

Content Analysis of School L's Documents of Critical Reflection
-- Documents' Components

Documents' components	Number of references
1. teaching schedule	12 references (100% of the total analyzed documents).
2. pedagogical relationship	11 references (91.7% of the total analyzed documents).
3. program accomplishment	10 references (83.3% of the total analyzed documents).
4. performance of non-teaching functions	10 references (83.3% of the total analyzed documents).
5. participation in projects	5 references (41.7% of the total analyzed documents).
6. teacher training courses	11 references (91.7% of the total analyzed documents).
7. attendance	5 references (41.7% of the total analyzed documents).
8. developed and published studies	1 reference (8.3% of the total analyzed documents).
Appendices	• 10 documents with certification of completed training courses • 1 document with students' evaluation of the teacher
Number of analyzed documents of critical reflection	**12 (38% of the 31 documents written in 1998-99)**

In School L, thirty-eight percent of the evaluated teachers' documents of critical reflection were analyzed, which meant that only thirty-eight percent of the evaluated teachers were willing to collaborate on this study. From the analysis of Table 27, it might be inferred that most teachers followed the guidelines established in the Teacher Evaluation Act. As explained in the former section, when teachers' documents did not match legal requirements, they were asked to reformulate them.

The dearth of references to "participation in projects" seemed to confirm one of School L's problems, as identified by its teachers in the preparatory documents for the school's Development Plan's formulation[7]. The number of references to teachers' attendance may be interpreted as a consequence of the former Teacher Evaluation Act (Regulatory-Decree 14/92, of July 4), whose Article 6.3 specified that "teachers' critical reports should include indicators of their attendance". It was possible to identify some misunderstandings regarding the mention of "innovative contributions to the teaching-learning process" (for example: "I have designed and applied diagnostic tests at the beginning of each year" -- document #3) and "developed and published studies" (for example: "I have consulted scientific books to make my knowledge more current" -- document #5).

A content analysis of the appendices revealed that teachers did not document their reports. Most teachers concentrated on certifying their training courses; only one teacher included documentation of her students' evaluation of her classes. For example, one entry stated, "I found it beautiful. Attending these Portuguese classes was a great pleasure. Thank you for your shining eyes. Thank you for the passion of your message" (document #9).

Level of description, analysis, and reflection. Documents of critical reflection were supposed to include "the assessment of activities developed in and out of class"

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[7]In section 1.2, it was mentioned that School L's teachers had identified the school's lack of clubs and other projects as one of its problems.

(Teacher Evaluation Act, Article 6). Some teachers, however, tended to write solely about

the positive aspects of their work, without alluding to any concerns. For example:

> From this critical analysis it may be inferred that I have accomplished all the
> main goals of the programs; I have used strategies leading to student
> achievement, I have never given up research; I have maintained a positive
> relationship with my students, and I have tried to never miss a class
> (document #9).

In such cases, the "assessment" dimension of their documents seemed to be

missing. One teacher explained that it was difficult to try to identify less positive aspects

of one's work. She had done an item-by-item analysis of her activities, but School L did

not contain many examples of lack of student discipline, and students were motivated.

> I have made a real effort to put in negative aspects, but it was not easy. I have
> thought about the scientific dimension of my teaching, and I think I have not
> made any scientific mistakes. Then I have thought about my relationship with
> the students, and we know that there are days and classes better than others.
> And then I have focused on that dimension I think is always present, that
> is, program accomplishment. Sometimes I feel that I have really had a very
> good class, but then I see that, while we were talking about other themes,
> which I find very important, my program accomplishment was delayed. Then
> I tell them: next class will focus only on the program. For instance,
> this happened today. We have seen a film, and it was so interesting,
> it promoted so much debate, that what I had planned for one class
> lasted two. Now, I will have to manage my time very well, not to become
> delayed. Of course, this pressure prevents me being in every class a teacher
> as complete and flexible as I think I should be. This is one of the least
> positive aspects of my work. So, returning to the writing of the document
> of critical reflection, I have had difficulty in finding negative things to write
> about, I had to think: "What happened?" But it is not common to find
> bad situations. I had a case years before, with a very undisciplined class,
> but that was an exception. Of course, in 120 or 130 classes, there must be
> some worse than others. Sometimes I think: "I have merely lectured in this
> class, poor students", but it was necessary for program accomplishment
> (interview with Teacher L5, February 1, 2000).

Table 28 presents a content analysis of the documents according to their level of reflection. This analysis was based on an adaptation of the categories identified by Holly and McLoughlin (1989, pp. 264-265) for their analysis of journals written by teachers.

Table 28
Content Analysis of School L's Documents of Critical Reflection
-- Level of Reflection

Number of documents purely descriptive: 1
Example: Performance of non-teaching functions: "I was a member of the school assembly, and as such I have performed all the tasks related to that function" (document # 4).
Number of documents including description, explanation, some reflection: 4
Example: Performance of teaching functions: "I tutored students of other classes. There was improvement, which resulted in their passing the subject I taught" (document # 6).
Number of reports including critical reflection: 7
Example: Pedagogical relationship: "Considering that science teaching should provide students with the required scientific knowledge to enter university, I have tried to convey scientific knowledge in a rigorous way, using diverse strategies to motivate my students. Eleventh grade students usually start with serious problems in the following areas: work habits, knowledge of mathematics, understanding of written texts, textbook consultation, rigor in scientific discourse. I have implemented the following strategies that have been rigorously observed: precise time management, textbook use as a classroom tool, blackboard recording, evaluation criteria divulged in the classroom. This work has taken some time to have positive consequences" (document # 8).

Components with reflection	
1. Teaching schedule	1 reference (this component should be associated with the "program accomplishment" component).
2. Pedagogical relationship	7 references (58.3% of the analyzed documents).
3. Program accomplishment	4 references (33.3% of the analyzed documents).
4. Performance of non-teaching functions	1 references (8.3% of the analyzed documents).
5. Participation in projects	1 references (8.3% of the analyzed documents).
6. Teacher training courses	1 references (8.3% of the analyzed documents).

A content analysis of the documents of critical reflection suggests that, in School L, most of the analyzed documents (seven out of twelve, 58%) were written in "reflective mode", although teachers did not attribute the same relevance to all components specified in the legislation. The components directly related to teaching practices and student achievement, that is, "pedagogical relationship with the students" and "program accomplishment", were the ones on which teachers tended to reflect most. The level of reflection upon any other component -- "performance of non-teaching functions", "participation in projects", and "teacher training courses"-- was extremely low, which might reveal that, in School L, teachers were mostly concerned with teaching to prepare students for exams. It might be inferred that School L's teachers did not include their continuing education in a comprehensive professional development program, since they did not mention such a program in their documents.

By comparing data presented in Tables 27 and 28, it might be inferred that some of the components teachers most emphasized for evaluation purposes did not correspond to the ones upon which they most reflected, and presumably most emphasized in their professional practices. For evaluation purposes, teachers focused on "completed training courses" and "performance of non-teaching functions". The only components they reflected upon were "pedagogical relationship with the students" and "program accomplishment".

2.4. Requests for a "Good" Rating

As determined by the Teacher Evaluation Act, schools' evaluation committees can only give the "satisfactory" rating. If teachers think they deserve better, it is up to them to make a formal request for a "good" rating. In order to review this request, a special committee must be formed, composed of the president of the school pedagogical board, a teacher from outside the school appointed by the pedagogical board, and a teacher or an individual of recognized merit in education, appointed by the teacher being evaluated (Articles 10, 13).

In School L, three teachers requested a "good" rating in 1998-99. Two were granted it; one was denied. The president related this dearth of requests for a "good" rating to teachers' seldom asking to be recognized, and the rating's lack of benefits in terms of career progress.

> This school has some really committed teachers, but they do not request a "good" rating because they think it is not worthwhile, it does not bring them any advantage.... Besides, teachers do not have that habit, they limit themselves to accomplishing what the legislation establishes for career progress, and that is all (interview with the president, January 4, 2000).

A similar opinion was expressed by two teachers:

> I do not agree with teachers asking for a "good". I do what I have to do; I am not saying I am the best, but I try to do things the best I can, and so "satisfactory" is enough. Having "good" for what? To say I am better? To progress in my career? I don't even know how this progression is going to happen. If I have to write a document, I do it, but I won't ask for more (interview with Teacher L2, January 18, 2000).

You see, I was not particularly concerned with receiving a "good" or a "very good", because in practice those ratings have no consequence. It was not something that interested me (interview with Teacher L3, January 26, 2000).

Another teacher explained she had not asked for a "good" rating because it would mean arranging for a special evaluation committee, a process with which she did not agree. She claimed that it should be up to the school's evaluation committee to give a "good" rating to teachers who deserved it.

If I want to receive a "good", I will have to ask for a special evaluation. I don't agree with that. I think that, if a teacher has worked hard in her school, she should receive a 'good'.... I have been thinking about requesting a "good", but perhaps I won't do it because it would mean more work (interview with Teacher L5, February 1, 2000).

The teacher whose request for a "good" rating was denied in 1998-99 explained that she had asked for it because she did not agree with a culture that placed everyone at the same level.

I decided to do it because I think all teachers should have incentive to request a "good" rating. A "satisfactory" teacher is a teacher who does not work hard; a teacher who wants to receive a "good" is a teacher who wants to go up, who wants to work harder. That is why I think teachers should ask for a "good". I did not ask for a "very good", but I think I deserve a "good".... What we see in other careers in the Ministry is that workers are rated as "good" and "very good". Here, we have only "satisfactory", everyone receives the same. I don't agree with that (interview with Teacher L4, January 27, 2000).

School L's special committees' composition. In 1998-99, the special committees formed in School L to review three teachers' requests for a "good" rating were composed

of the president of the pedagogical board, a secondary school teacher with a master's degree appointed by the school pedagogical board, and a college professor appointed by one of the teachers being evaluated. The president explained that the teacher appointed by the pedagogical board had been proposed by her through an acquaintance process. One teacher in evaluation had appointed college professors to vouch for her. The special committees used one main criterion to decide to grant or deny "good" ratings: teachers' added work, and its impact on School L and its students.

> We had three teachers who requested that rating, and we granted it to two of them. In these cases, it is another committee that gives this rating, an external committee .... The school's pedagogical board has appointed a teacher with a master's degree, who does not belong to this school, of course. This teacher was chosen through a process of acquaintance: I knew her, I proposed her name to the pedagogical board, and it was accepted. A teacher in evaluation proposed a college professor .... Teachers who have asked for this "good" rating based their request on their added work, on their added training, above what was legally required ....We have granted two 'good' ratings to teachers who not only met all legal requirements, but also had used their added training and all their studies and projects to improve their work in the school and with their students. If a teacher takes many courses, or develops many studies and projects, but her work does not impact on the school, we do not grant her a "good" rating. This is our main criterion, and it was this criterion that we have used to refuse this rating to one teacher who asked for it (interview with the president, January 4, 2000).

Appraisal reports of the special committees formed to review the "good" requests. The special committees formed in School L to review teachers' requests for a "good" rating met three times. Box 6 presents these meetings' decisions.

Box 6

School L's Special Committee: Decisions on "Good" Requests

Meeting # 1: April 15, 1999
Agenda: review the request for "good" presented by teacher I.
Committee's composition: president -- school's president of the executive board; a college professor appointed by the teacher in evaluation; a secondary school teacher appointed by the pedagogical board.
Criteria: teacher's participation in school projects; publications; innovative activities within the teaching-learning process.
Decision: maintaining the "satisfactory" rating.

Meeting # 2: May 26, 1999
Agenda: review the request for "good" presented by teacher II
Committee's composition: president -- school's president of the executive board; a secondary school teacher, appointed by the pedagogical board.
Criteria: teacher's performance in all functions; pedagogical relationship with students; program accomplishment; performance of non-teaching activities; teacher training credits; extra work with impact on school and class activities.
Evaluation appraisal: teacher II has performed all his functions well; he has a good pedagogical relationship with his students; teacher II was committed to accomplishing all his classes' programs; he performed other non-teaching activities wel; all training credits were presented; the extra work developed by teacher II had a positive impact on the school and on his classes.
Decision: after having reviewed the whole of teacher II's activities, it was decided to grant him a "good" rating.

Meeting # 3: May 26, 1999
Agenda: review the request for "good" presented by teacher III
Committee's composition: president -- school's president of the executive board; a secondary school teacher, appointed by the pedagogical board.
Criteria: teacher's performance in all functions; pedagogical relationship with students; program accomplishment; performance of non-teaching activities; teacher training credits; extra work with impact on school and class activities.
Evaluation appraisal: teacher III has performed all her functions well; she has a good pedagogical relationship with her students; teacher III was committed to accomplishing her classes' programs; she performed other non-teaching activities well; all training credits were presented; the extra work developed by teacher III had a positive impact on the school and on her classes.
Decision: after having reviewed the whole of teacher III's activities, it was decided to grant her a "good" rating.

Note: reports #2 and #3 were identical (agreement to grant a "good" rating).

To analyze School L's special committee's decisions, the category <u>administrative</u> <u>criteria</u> was applied to the use of legislation as a basis for the evaluation process; the category <u>professional criteria</u> was applied to the use of what Darling-Hammond (1997, pp. 294-297) identified as the ground on which the teaching profession was built[8]. Applying this distinction to the analysis of the criteria used in School L to review teachers' requests for a "good" rating revealed that some professional criteria were used to guide committee's decisions, including level of performance of teaching and non-teaching functions, professional development activities, teachers' impact on school improvement and students' achievement.

2.5. Conflicts Related to Implementation of the Teacher Evaluation Policy

The last section on implementation of the teacher evaluation policy in School L concerns a conflict related to the process of requesting a "good" rating. Although the president denied the existence of any conflict (interview with the president, January 6, 2000), one teacher who requested a "good" rating and whose request was denied decided to appeal to the Regional Education Direction to have her request granted. Her main argument was that, in this case of conflict between a school's president and a teacher in evaluation, the appraisal process was biased from the start, since one of the members of the special evaluation committee formed to review the "good" requests was linked to the

school's president. It was argued that the committee had not produced any criteria to

guide its appraisal, which made the process unclear and subject to favoritism.

> This special committed is biased from the start, in a two-on-one situation;
> in case of conflict, the president is obviously going to choose someone she
> trusts. The same happens to our representatives, we are going to
> choose someone we trust .... There should not be situations of special
> friendship and favoritism .... I think that, when a teacher works hard, the
> members of that committee should know what the teacher has done ....
> The legislation says that, when there are unclear questions to clarify, the
> teacher in evaluation should be called. I was never called. What my
> representative told me was that it was a two-on-one situation, with two
> members against me, the president and the other lady, who is married
> to a colleague of the school, which makes the process biased .... They have
> not presented any guidelines, or parameters, to guide this evaluation
> process (interview with Teacher T4, January 27, 2000) .

This teacher attributed the committee's refusal to grant her a "good" rating to a

bias in School L against technology teachers, and a particular bias against her, which

prevented her from attending any meetings and resulted in her isolation.

> I have made a plan for "personal and social development" that I think is
> innovative, because no one has done this before, and no one has used this
> methodology with students. However, as I never attend any meetings in the
> school, I always feel apart here .... What happens in this school is that they
> don't want to recognize technology teachers' merit, because they don't have a
> B.A .... I think the work of someone who has been committed to her
> professional development, who has invested in education to rise in her
> career, who does research work, should be recognized .... So, my problem in
> this school is not meeting with other teachers, to be able to express my ideas. I
> feel very sad about this situation (interview with Teacher T4, January
> 27, 2000).

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[8]These criteria were first presented in Section 2.2. of this chapter, and again in Section 2.3.

3. Opinions About the Teacher Evaluation Policy

This section presents opinions of School L's participants regarding each of the components of Portuguese teacher evaluation policy -- document of critical reflection, mandatory teacher training, and evaluation committee's appraisal -- and also about other evaluation issues, including the lack of class observation, the fairness of the evaluation policy, and the need for teacher evaluation.

3.1. The Writing of a Document of Critical Reflection

It was evident from the interviews that all teachers knew how to write the document of critical reflection, and which components were important: they all mentioned the pertinent legislation.

> I knew what to write, because we all had access to the legislation, it was divulged in the school (interview with Teacher L2, January 18, 2000).

> I knew the legislation. I had already written another document when I went up to the eighth level, and it was similar (interview with Teacher L3, January 26, 2000).

The writing of a critical document was perceived by participants to have some positive and some negative aspects. Some positive opinions related document-writing to a time in which teachers had to stop and think about their practices during the evaluation period. One participant claimed that document analysis by the Ministry of Education's

representatives might lead to the reformulation of some educational policies. Most negative opinions stemmed from the perception that document-writing was an administrative task performed to advance in one's career, a mere listing of activities developed in school without any reflection.

Positive opinion #1: promoting reflection on teachers' practices. Some teachers claimed that writing their documents had made them think about their work during the evaluation period. One participant argued that this reflection should be done annually, not merely every four years. Another teacher believed that, contrary to what was common practice, this reflection should focus both on the positive and negative aspects of one's work.

> I think it is positive, because we are reflecting on what we have done, and that is positive. But I think the evaluation should be annual .... We should write our activity report each year (interview with Teacher L2, January 18, 2000).

> It may have some positive aspects, namely making teachers think about what they have done. I don't read those documents because I don't belong to the committee, but I think that teachers tend to focus only on the positive aspects. Of course, it is very complicated to do any kind of self-evaluation. How do I distance myself from myself and try to be objective about my work? It is difficult. This model of evaluation leads us to distance ourselves from our work, and this is positive. I think we should include in our documents both the positive and the less positive aspects of our work (interview with Teacher L5, February 1, 2000).

Positive opinion #2: impacting on the Ministry of Education's decisions. One participant believed that document analysis might improve policy formulation at the central level.

> I think it is positive, because we reflect upon our activity. And this document
> may be analyzed by anyone who wants to see what a teacher has been doing,
> what may have failed. We are always complaining that our programs are too
> long, and perhaps, if the Ministry sees our complaints, this may help change
> policy. We also write about the extensive class schedule of our students, and
> this may be analyzed, perhaps changed (interview with Teacher T3, January
> 26, 2000).

Some participants perceived document-writing as a *mere administrative task* performed to advance in one's career. According to one teacher, these documents did not contain any type of reflection upon teachers' practices.

> I don't think the requirement to write a document of critical reflection is
> positive, because it is just a list of the work we have done, nothing else.
> Although it is called a critical document, the legislation is very specific, we
> have to write about the items they have established, and that is all .... I don't
> think this has any meaning, it has no use in practice (interview with Teacher
> L1, January 18, 2000).

Members of the evaluation committee believed that the required reflection for document writing had positive consequences for teachers who were already reflective, while having no impact for other, less-reflective teachers.

> A1. It is a reflection on what they have done, so I think it is positive.
> A2. It is the most responsible teachers who profit most from this reflection. I
> am not sure there is much profit in other teachers' cases (interview with
> the evaluation committee, January 18, 2000).

3.2. Mandatory in-service training[9]

Mandatory in-service training was perceived by participants as having some positive consequences, but also some problems. The positive consequences were related to requiring that all teachers attend continuing education courses, with positive impact on professional development and schools' quality. The perceived problems stemmed from the lack of diversity of course offerings, and the lack of correspondence between training and practice.

Positive consequence #1: making all teachers attend continuing education courses. Participants argued that mandatory training was helpful, otherwise many teachers would never attend courses.

> I agree with the requirement to attend training courses. I think there should be general training courses, and also courses in disciplinary areas. I think this is very useful. We concluded our initial training twenty years ago, and there are always new things to learn, new methodologies, new scientific knowledge (interview with Teacher L3, January 26, 2000).

> I think this requirement to complete training courses should continue, because the worst thing that happens in this profession is inertia. And I recognize that, for some teachers, if they were not pushed, they would not do any in-service training. Sometimes we hear those teachers say: "That course has moved something inside me". Therefore, this requirement is positive, mostly for those teachers who tend to inertia (interview with Teacher L5, February 1, 2000).

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[9]The Teachers Career Statute determined a career ladder of ten levels. In order to progress from one level to the next, teachers were required to complete a minimum of in-service training credits, equal to the number of years in each career level.

Positive consequence # 2: promoting teachers' professional development. Two teachers claimed that required in-service training had a positive impact on their own professional development. They had attended courses related to their training needs and interests, and they met other teachers and exchanged experiences

> I have attended courses I really enjoyed. For instance, I attended one at the School of Education that gave me a large number of credits, about several themes such as school management, administration... (interview with Teacher L3, January 26, 2000).

> I find another advantage in these courses: we meet people from many different areas, we talk with one another, we exchange experiences, we talk about our problems, we see that our problems are not ours alone ... In my case, I would have attended most of the courses I did attend, even if it were not required. But the fact that we have these offerings, which are free, is very positive. I am sure that, if we had to pay for them, even very little, some teachers would not attend. I find this a privilege, and it is a shame that people sometimes don't give it all the credit it deserves (interview with Teacher L5, February 1, 2000).

Positive consequence # 3: improving schools' quality. One teacher claimed that Portuguese schools were currently better because of required continuing education.

> I think the positive impact of these courses may be seen in schools. There are teachers who have been attending training courses even without needing them to rise in their careers, such as is my case. Teachers cannot come to school just to lecture, they have to be in in-service training (interview with Teacher L3, January 26, 2000).

Mandatory in-service training was contested by some participants due to problems related to the lack of diversity of course offerings and lack of correspondence between training and practice.

Problem # 1: lack of diversity of course offerings. Some participants claimed that teacher centers lacked diversity in course offerings, and courses that interested them were not accredited.

> Sometimes teachers attend courses that do not correspond to their needs, but only because they are held nearby, and they have to have the credits. Not that I have done that. I attended a course in the School of Economics, to improve and deepen my knowledge of economics. It was very useful. It was heavy, but very interesting. Then I attended another one, in a teacher center, about school development projects, but I did not like it much, because of the trainers. It was too related to basic schools, and they are very different from secondary schools. That is the problem with these teachers' centers, they mix everyone, and that is not very helpful. Then I did computer courses, which is always helpful.... I would like to attend an English course, but they are not accredited (interview with Teacher L2, January 18, 2000).

Other participants revealed positive opinions about teacher centers. One teacher argued that their center programmed its activities according to teachers' needs, and therefore it was very well organized. A member of the evaluation committee explained that their center was organizing "study circles", a training methodology aimed at relating training to practice.

> This center functions very well ....We were careful to make a diagnosis of the situation, through questionnaires where we asked teachers about their training needs. Now, I do not work in the center, but I think it plans its activities according to teachers' suggestions; that is, whenever some course is demanded by teachers, the center tries to organize it. That was what happened with the organization of computer courses, that everyone wanted to attend, because it is such an important area. Since teachers have to attend one course each year, they organize their attendance accordingly. They may also attend more courses than the ones required to progress in their careers (interview with Teacher L5, February 1, 2000).

We have a teacher center in our school, and we try to promote training courses adapted to our teachers.... We know that changing teaching practices is a very difficult process. That is why we are developing a training methodology called "study circles", with the purpose of relating in-service training to teaching practices (interview with the evaluation committee, January 18, 2000).

Problem # 2: the mandatory requirement. One teacher argued that training without motivation was meaningless.

Before this policy was implemented, I already attended training courses. Therefore, for me, it was not at all useful, it was just a negative requirement. I do not agree with the requirement to attend them (interview with Teacher L1, January 18, 2000).

Problem #3: lack of relationship between training and practice. Some participants claimed that the mandatory training requirement led teachers to attend courses with no relationship to their work.

On the whole, I don't think these courses contribute to teacher quality, because most teachers attend them just to get the required credits toward career progress. They don't have any impact upon their practices (interview with Teacher L2, January 18, 2000).

3.3. The Evaluation Committee

Members of the evaluation committee perceived their activity as merely administrative, aimed at checking that teachers' documents conformed to the legislation.

A1. We don't have an active role in this process. If teachers attend their
training courses and write their documents according to the established criteria,
they receive a "satisfactory".
A2. There is not much relation to the work teachers do in school.
A3. You see, we don't have to agree or to disagree with the process. At this
moment, it exists, and we have to do it. But perhaps to evaluate teachers based
on only one document is not the best way to do it.
A4. Such as it is, we don't have much else we can do. If a teacher's document
meets the items in the legislation, we have to accept it and
give "satisfactory".
A5. The problem is, we cannot recognize teachers' merit (interview with the
evaluation committee, January 18, 2000).

One teacher verbalized a similar opinion:

From what I have seen until now, this process makes absolutely no sense to
me. It is just a *pro forma* task for teachers' career progress, nothing else
(interview with Teacher L1, January 18, 2000).

One teacher claimed that teacher evaluation should be based on a portfolio and

performed by both internal and external evaluators.

Teacher evaluation should not be based on these documents. Evaluation is
difficult; to evaluate a collection of teachers of such diverse disciplinary
areas is complicated. But I think it would be more useful if we were asked
to show every year, or every two years, what we have really done, with
lesson plans, tests, student achievement strategies, a real portfolio with all
our curricular and extracurricular activities. We would periodically show all
these materials to an inspector ....The school committee could also
see it, but I think there should be an external element who would have a
more comprehensive perspective to use in evaluating teachers (interview
with Teacher L2, January 18, 2000).

Another teacher questioned the committee's authority to appraise teachers,

arguing that its members had no special training to evaluate teachers, were not acquainted

with teachers' work, and were sometimes at a lower career level than teachers in evaluation.

> The committee that evaluates these documents, I don't know to what extent
> they are knowlegeable about the critical dimension of each class, each
> discipline. They belong to the pedagogical board, but they don't know
> those details.... You see, the evaluation committee is composed of people
> similar to any teacher, they are not specially prepared to do that work. We have
> a teacher trainer on the committtee, and she is in fact prepared to do this job,
> but the others are just teachers like us, some of them even at a lower career
> level. That is why I don't see how they give recommendations. I am not saying
> that this committee has no credibility, because it has, because they belong to
> the pedagogical board, but they are teachers that *a priori* don't have
> specific training to really evaluate a critical document. Of course, they apply
> common sense, and the last word I suppose belongs to the president of the
> executive board, because she knows, more or less, the work each of us has
> done (interview with Teacher L3, January 26, 2000).

3.4. The Class Observation Issue

On this issue, participants' opinions were divided. Some argued that, at present, there was no prospect of such a policy in Portugal, due to experiences of teachers in the past. Others argued that class observation was necessary, but that, before implementing such a policy, at least one issue had to be addressed, namely, who would perform the appraisal function.

One teacher believed that class observation would be a way to promote teachers' development. She suggested this function should be performed by teachers of the same group.

I think that, from time to time, teachers should have their classes observed,
this would be a way to improve. I am not sure how to do it, I think it
should be done by teachers of the same group (interview with Teacher
L1, January 18, 2000).

Another teacher claimed that class observation should be part of teacher
evaluation, and that it should complement a comprehensive evaluation performed both
by internal and external evaluators.

I think class observation should be an element of a teacher evaluation policy,
where we would be asked to show every year, or every two years, what
we have really done ... to show all our materials to an inspector (interview with
Teacher L2, January 18, 2000).

Members of the evaluation committee agreed on the relevance of class
observation, but questioned who should conduct it.

A1. If this were done in a constructive way, I would agree. It would depend
on the person who observed those classes ...
A2. Of course, everything is relative, but we have to agree that class
observation would be really important (interview with the evaluation
committee, January 18, 2000).

Another teacher argued that, due to past experiences, class observation would be
difficult to implement for older teachers. She suggested such a policy might be
implemented for beginning teachers to help form their practices, and that it should be
designed initially as a voluntary experiment for older teachers.

Class observation has a very bad reputation in our culture....There are
colleagues who have been very traumatized, because their trainers were lousy.
I think, if there were such a requirement, observation should be understood

as a constructive process, not destructive. But there is one question we have
to ask: who will observe our classes? ... I think, if a class observation policy were
implemented, it should apply to teachers now beginning their careers, and then
continue through them. Teachers after the seventh career level, people age forty
or more, have been very traumatized, therefore they should be spared I
think the exchange of experiences could be very interesting, but I believe that,
at this stage, it should be voluntary for older teachers. It could be done as a
project, and then related to students' achievement in global tests and exams.
We could do it as an experiment, beginning with the right teachers, and
showing others the results. Of course, in order to have good results,
this would have to be done by really motivated teachers (interview with
Teacher L5, February 1, 2000).

3.5. Policy's Fairness

Participants tended to perceive the teacher evaluation policy as unfair because it

did not recognize teachers' merit, since everyone was granted a "satisfactory" rating.

Some teachers did not agree that it should be up to them to request a "good" rating,

claiming that this should be the role of the evaluation committee.

> There are good and bad teachers, such as there are other good and bad
> professionals. We should not be afraid of evaluation. Evaluation should be fair
> for the ones who are hard-working. If teachers are really committed to their
> schools, and if their commitment is visible, I don't see why there is any
> problem in giving them a "good" rating, if schools have autonomy
> (interview with Teacher L5, February 1, 2000).

> I think that, if the committee knows a teacher's work, they should be able to
> propose a "good" rating. In our case, one of the members of the committee is
> president of the executive board; she has been president for many years,
> she knows the teachers and their work in and out of their classrooom,
> therefore she could perfectly well give a "good" rating.... With our present
> model, everybody receives a "satisfactory". Only in very serious cases do
> teachers receive a "non-satisfactory". And we are all put in the same bag....
> From this perspective, the process is not right (interview with Teacher C4,
> January 27, 2000).

This type of evaluation does not give incentive to teachers who work hard. It is not possible to recognize their merit (interview with the evaluation committee, January 18, 2000).

The opposite argument, that the current policy should continue, was based on the desire to *avoid conflict* in the school.

I don't see any other way of rating. I am afraid if schools wanted to differentiate teachers, some conflicts would arise. Even from the evaluators' point of view, maybe they prefer to give a "satisfactory" to a teacher who barely accomplishes his work and writes a poor document, than to promote conflict. As this evaluation has impact on career progress, I think it becomes difficult for the evaluators to differentiate teachers, because it might cause conflict (interview with Teacher L2, January 18, 2000).

3.6. Reasons for Teacher Evaluation

In School L, participants agreed on the need to have some type of teacher evaluation related to professional development and accountability purposes. Participants perceived the current teacher evaluation policy as too administratively-oriented, and consequently incapable of accomplishing any of these purposes.

Teacher evaluation with professional development purposes. School L's president argued that developmental purposes should supersede administrative purposes in teacher evaluation. To the extent that the current policy forced teachers to reflect upon their

practices and attend training courses, it impacted on their development as well as school

quality.

> I think it is necessary to evaluate teachers, as it is necessary to evaluate all
> the other staff in the school. What I think is necessary in this process
> is that teachers may reflect on their practices. Even if it is not a
> permanent reflection, it is necessary that teachers at least reflect upon it from
> time in time. It is expected that, with this reflection, whose contents are
> in the document of critical reflection, teachers may see that some of the things
> they have done have had good results, and some things have had poorer
> results. I think this should be the evaluation's goal, and if this goal
> were accomplished, even if it were only this one, it would be enough for
> me. Because I think that career progress is perfectly secondary.
> The main goal should be to make teachers reflect on their professional
> activity. And this reflection is always positive.... What I doubt is that,
> as things are now, teachers write this documents in order to improve
> their practices. But we are still in the beginning of the process, perhaps this
> habit will develop in time, when teachers become used to this activity.
> As long as this activity is seen only as a way to advance one's career, I am
> not sure that all teachers use this document to really reflect on their activity.
> But at least some of them do. When they have to collect data about their
> activity, there is no doubt that at least some reflection is done, and this is
> always positive.... For now, the trend is more administrative than
> developmental, but it may change (interview with the president,
> January 4, 2000).

Another teacher expressed a similar opinion.

> I think evaluation is necessary, because we know there are teachers who,
> in time, would tend to a certain inertia, if there were nothing to make them
> move ... I think this model has brought something new. In the past, teachers
> went up through seniority, and now things have changed. I don't know if
> this is an ideal model, but things have improved a little, because it makes
> teachers think about what they have done, it makes them attend training
> courses (interview with Teacher L3, January 26, 2000).

Teacher evaluation for accountability. For evaluation committee members, teacher evaluation should accomplish accountability purposes.

> I think it is important to evaluate teachers, because it is a form of accountability. We have gone through a period in which there was no accountability at all, and this had a negative impact on schools. This accountability is necessary (interview with the evaluation committee, January 18, 2000).

Some teachers also considered accountability when they talked about evaluation:

> I think evaluation is necessary to verify the work that has been done, and each teacher's level of accomplishment. Perhaps this could be done with a model such as the American one, but not with the Portuguese model. This is only a listing of activities (interview with Teacher L1, January 18, 2000).

> I think it is necessary to evaluate teachers in order to see what they have been doing. We should not rise solely by years of service (interview with Teacher L2, January 18, 2000).

Case study 3: Conclusion

School L was a school more than a century old, with a stable and mostly female teaching staff, and a motivated and achieving student body. In secondary education, School L offered courses leading to higher education, not technology courses. The school's Development Plan identified students' and teachers' lack of motivation as its main problem, and focused on creating closer relationships among school constituencies, and increasing their commitment.

School L's implementation of the teacher evaluation policy might be characterized as <u>cautious</u>, since it applied the centralized legislation -- the Teacher Evaluation Act -- while avoiding any judgment about evaluated teachers' work. An example of this cautious approach was the evaluation committee's decision to write different appraisal reports for each evaluated teacher, without giving any opinion about the evaluated teacher's work. Another example was School L's composition of the evaluation committee, in which an administrative interpretation of the law -- that the committee should be permanent -- prevented the inclusion of the evaluated teachers' department representatives, while simultaneously revealing a concern to include the teachers best suited to perform that role: the representative of the teacher training department, accustomed to evaluate teachers, and the representatives of the two departments with the greatest number of teachers. A third example of School L's cautious approach to the implementation of the teacher evaluation policy was its request for document reformulation in cases where teachers had not written their documents according to the items established by law, or to clarify certain unfounded assertions.

Teachers' documents of critical reflection revealed that the components directly related to teaching practices and student achievement were the ones on which they tended to reflect most. The lack of reflection upon "performance of non-teaching functions" and "participation in projects" conveyed the portrait of a school mostly concerned with teaching and preparing students for exam achievement.

Participants suggested considering multiple sources of evaluation, instead of concentrating on teachers' documents of critical reflection. These documents were perceived as having some positive consequences, mostly related to the implied reflection

on practices, and some negative aspects, mostly related to their perception as administrative tasks necessary to career progress, consequently lacking impact on improvement.

The mandatory in-service training issue was controversial: some teachers agreed with it, arguing that otherwise some of them would never attend a training course; others did not, arguing that only when motivated would teachers profit from continuing education.

The role of the evaluation committee was perceived as constrained by the school's lack of autonomy in rewarding teachers' merit. There was reluctance to propose a more active role for schools in the evaluation process, because it would imply an increase of conflict. The only conflict caused by implementation of the teacher evaluation policy in School L stemmed from the refusal to grant a "good" rating to a technology teacher, who claimed she had been ostracized in the school.

All participants agreed on the need to have some type of teacher evaluation for professional development and accountability purposes. This particular evaluation policy, however, was mostly perceived as too administratively-oriented, thus failing to accomplish any of these purposes.

CHAPTER 8

CROSS-CASE ANALYSIS

This research was designed as a set of qualitative case studies, an approach chosen in order to allow for in-depth and detailed study of the implementation process of the Portuguese teacher evaluation policy in three secondary schools. Accordingly, three qualitative case-studies were presented. They were the starting points for a cross-case analysis, whose purpose is to identify patterns and regularities across cases, and interpret differences within a conceptual framework of organization theories.

For the first three sections -- schools' description, policy implementation, and opinions on the policy -- a case-ordered matrix is displayed, presenting basic data regarding each of the three case studies, followed by an analysis of their major similarities and differences. In the fourth section, conclusions regarding the relationship between each school's characteristics, their implementation of the teacher evaluation policy, and their participants' opinions on the policy, are drawn and inserted within the conceptual framework of the research. Organizational frames (Bolman & Deal, 1997) are used to understand the three schools' approach to the implementation of the teacher evaluation policy.

1. Schools' Organizational Characteristics:

Similarities and Differences

In this section, a case-ordered matrix is presented, displaying basic descriptive information about each school, including context and background, structure and organization, policy guidelines, teachers, students, and curriculum. At the end, conclusions are drawn about the schools' major similarities and differences.

Table 29

Schools' Description -- Cross-Case Analysis

	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
Context	Lisbon suburb. Services area. Medium-high SES.	Western Lisbon. Former industrial. area. Low SES.	Lisbon center. Office area. Medium- high SES.
Background	Created in 1993. Comprehensive school (grades 7-12).	Created in the 1880s. Former technical school.	Created in the 1880s. Former all-girl high school.
Collegiate bodies	Assembly (twenty members). Executive board (part of school's direction since 1993). Pedagogical board (sixteen members). Administrative board. Professional criteria defined for performance of non-teaching functions.	Assembly (twenty members). Executive board, whose president has been part of school's direction team since the late 1970s. Pedagogical board (twenty members). Administrative board. Assembly only confirms executive board's decisions.	Assembly (eighteen members). Executive board, whose president has been part of school's direction team since the late 1970s. Pedagogical board (nineteen members), including group representatives. Administrative board.

(cont.)

Table 29

Schools' Description -- Cross-Case Analysis (continued)

	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
Curriculum departments	Six curriculum departments. Professional criteria defined for department coordination.	Nine curriculum departments.	Four curriculum departments. Five disciplinary groups also represented on the pedagogical board.
Educational projects	Several projects, developed by many teachers. Projects coordinated by one teacher.	Decrease of extracurricular activities, due to lack of credit hours.	Few extracurricular activities, identified as one of the school's problems.
Policy guidelines	Warm interpersonal relationships; humanized spaces; extracurricular activities.	Solidarity. Student achievement and integration. Valuing technology resources. Teachers concerned with policy un-definition.	Improving communication, relationships, and commitment in the school.
Leadership	Committed to teacher empowerment, warm relationships, and development of extra-curricular projects.	Recognized for commitment to the school. Criticized for being too task-oriented.	Recognized for knowing everyone's work in the school. Focused on consensus.
Curriculum	Mixed basic and secondary education. Secondary education leading to higher education, four groupings. Comprehensive education tradition.	Mixed basic and secondary education. Technology courses in secondary education, two groupings. Technology tradition.	Exclusively secondary education leading to higher education; four groupings. High school tradition.

(cont.)

Table 29

Schools' Description -- Cross-Case Analysis (continued)

	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
Students	Medium-high SES. Motivated. Achieving.	Low SES. Medium achieving. Focused on getting a professional education. Decreased enrollment.	Medium-high SES. Motivated, achieving. Focused on admission to higher education.
Teachers	Commitment to school and extra-curricular activities. 77% tenured teachers. Average age around 40s. High feminization rate (79%). Few related to technology areas.	Low academic expectations for students. Lack of motivation perceived as a problem. Low feminization rate (47%). Average age around late 40s. 81% tenured teachers. 35 % related to technology areas.	Lack of motivation perceived as a problem. 85% tenured teachers. High feminization rate (75%). No technology areas.

From the analysis of Table 29, it is possible to infer that the three schools had very different traditions and backgrounds: School L was a former all-girls high school created in the late 1800s; School T was a former technical school created in the late 1880s; School C was created in the 1990s as a comprehensive school. While all three schools maintained a high percentage of tenured teachers, School T's staff was composed of mainly male teachers, with a large proportion in technology areas; School L's and School C's teaching staffs were composed mostly of women, with few technology areas. School T primarily served low socioeconomic-status students; its teachers were concerned about decreased enrollment and the lack of school policy. Expectations for

students were low. School L and School C served mostly medium-high socioeconomic-status students; its teachers revealed high expectations for student academic achievement, measured in terms of admission to institutions of higher education. In School L and School T, most teachers did not commit themselves to extracurricular activities. In School C, on the contrary, there was a constant reference to project development -- its emphasis on extracurricular activities was formally translated in the function of project coordinator, represented on the pedagogical board.

The three schools possessed similar administrative bodies: an assembly, an executive board, a pedagogical board, and an administrative board. School T's assembly had decided to duly confirm the executive board's decisions, in order to avoid conflict between the two bodies. This decision, and the number of curriculum departments created in the school -- nine -- suggested that School T's administrative units followed a pattern similar to the former secondary schools' administrative model[1]. School L seemed to have made an effort to distance itself from the former administrative model, since it had created only four curriculum departments. Its pedagogical board composition, however, included five disciplinary groups besides the four curricular departments, which seemed to reveal that group predominance was preferred to cross-disciplinary predominance in pedagogical bodies. School C seemed to have built new management bodies free from traces of the past. Only in School C were professional criteria -- scientific competency, pedagogical experience, interpersonal skills, leadership -- developed to guide school's administration members' election or appointment.

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[1]Please see Chapter 2, Section 3, for a description of the former model of Portuguese secondary school administration.

School C's policy guidelines focused on promoting extra-curricular activities within humanized spaces and warm relationships, thus portraying a school where people were viewed as the primary focus of concern and commitment. School T's policy guidelines focused on valuing technology resources and student integration, thus portraying a school mostly concerned with its technology tradition and the achievement of low socioeconomic-status' students. School L's policy guidelines emphasized improving communication and commitment in a school where teachers and students were mostly focused on classroom work.

2. Implementation of the Teacher Evaluation Policy:
Similarities and Differences

In this section, a case-ordered matrix is presented, displaying information about each school's implementation of the teacher evaluation policy. The matrix includes the number of evaluated teachers; the evaluation committee's composition, operating rules and decisions; teachers' documents of critical reflection; the process for requesting "good" ratings; and conflicts related to policy implementation. At the end, conclusions are drawn about the schools' similarities and differences regarding implementation of the teacher evaluation policy.

Table 30

Implementation of the Teacher Evaluation Policy -- Cross-Case Analysis

	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
Evaluated teachers in 1998-99	Twenty (25% of the tenured teachers).	Forty-three (33% of the tenured teachers).	Twenty-six (18% of the tenured teachers).
Evaluation committee: composition	Three core members: school president, representative of teacher training departments, class directors' coordinator; two rotating members -- department representatives of evaluated teachers. Evaluation responsibility distributed among all members of pedagogical board.	Five permanent members: school president and four other teachers, representing diverse areas of knowledge; two substitute members.	Five permanent members: school president, night courses' coordinator, representative of teacher training departments, mathematics and languages departments' representatives. Criteria: 1. diversity of knowledge areas; 2. representing most teachers.
Evaluation committee: reporter	Evaluated teacher's department representative. Criterion: knowledge of teacher's work.	The teacher with the highest professional rating. Criterion: seniority.	Representative of teacher training departments. Criterion: experience in evaluating teachers.
Evaluation committee: meetings and decisions	Ten meetings. Purpose: analyzing teachers' documents of critical reflection and work during evaluation period.	Two meetings. Purpose: analyzing teachers' documents of critical reflection.	Five meetings. Purpose: defining work methodology and analyzing teachers' documents of critical reflection.
Evaluation committee: appraisal reports	Different for each teacher, reflecting committee's opinion on the whole of teacher's work (praise or criticism). Use of professional criteria to appraise documents. Documents' level of reflection considered.	Identical for each evaluated teacher. No judgment on teachers' work. No consideration of documents' level of reflection. Use of administrative criteria to appraise teachers' documents.	Different for each teacher, reflecting what each teacher had written. No judgment on teachers' work. No consideration of documents' level of reflection. Use of administrative criteria.

(cont).

Table 30

Implementation of the Teacher Evaluation Policy -- Cross-Case Analysis

(continued)

	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
Evaluation committee: recommendations/ reformulation requests	No recommendations. No reformulation requests.	No recommendations. No reformulation requests.	No recommendations. Reformulation requests: 1. To better align documents to legal requirements; 2. To clarify unfounded assertions.
Documents of critical reflection analyzed	Eighteen (90% total).	Twenty-four (56% total).	Twelve (38% total).
Documents of critical reflection: components	Most mentioned: 1. Training courses 2. Project participation 3.Teaching schedule/ pedagogical relationship/ attendance.	Most mentioned: 1. Pedagogical relationship 2. Teaching schedule 3. Program accomplishment/ training courses.	Most mentioned: 1. Teaching schedule 2. Pedagogical relationship/ training courses 3. Program accomplishment/ performance of non-teaching functions.
Documents of critical reflection: level of reflection	Descriptive: 17% Analytical: 44% Reflective: 33%	Descriptive: 29% Analytical: 25% Reflective: 46%	Descriptive: 8% Analytical: 33% Reflective: 58%
Documents of critical reflection: items most reflected upon	1. Pedagogical relationship 2. Program accomplishment/ performance non-teaching functions 3. Project participation.	1. Pedagogical relationship 2. Program accomplishment/ performance of non-teaching functions 3. Project participation.	1. Pedagogical relationship 2. Program accomplishment.
Requests for "good" ratings	One requested: one granted.	No requests.	Three requested: two granted; one denied.
Request process	New document, more detailed, justifying request.	---	No additional document required.

Table 30

Implementation of the Teacher Evaluation Policy -- Cross-Case Analysis

(continued)

	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
Specialized committee: composition	School president; teachers' center's director; one secondary school teacher.	---	School president; one secondary school teacher; one higher education teacher.
Specialized committee: appraisal criteria	Developed specially to appraise "good" requests: teaching-learning process; project development; performance of non-teaching functions; professional development; attendance.	---	Recorded in the committees' meetings: level of performance of teaching and non-teaching functions; professional development activities; impact on school improvement and student achievement.
Conflicts related to the teacher evaluation process	1. Related to the contents of the appraisal report. 2. Related to the process of requesting a "good" rating.	No conflicts.	Related to the process of requesting a "good" rating.

An analysis of Table 30 suggests the following similarities and differences among the three schools, regarding the implementation of the teacher evaluation policy:

- Evaluation committee's composition: School L and School T interpreted the legislation as requiring a permanent composition of the committee; therefore, evaluated teachers' group representatives were not included. In order to make the committee more knowledgeable about each evaluated teacher's work, School L

included the representatives of the disciplinary groups with most teachers -- mathematics and languages; to resolve the problem of how to appraise teachers, School L included the representative of teacher training departments, who was more accustomed to teacher evaluation procedures. School T was mostly concerned with having diverse knowledge areas represented on the committee. School C was the only school to include evaluated teachers' group representatives on the committee, thus making it more knowledgeable of teachers' work. In this school, through a rotating process, all pedagogical board members were involved in teacher evaluation.

- <u>Committee reporter</u>: School L and School C used professional criteria to appoint the committee reporter: experience in teacher evaluation, in the first case; knowledge of teachers' work, in the second case. School T used an administrative criterion -- seniority -- to appoint the committee reporter.

- <u>Evaluation committee's decisions</u>: School C's committee decided to write an individualized appraisal report for every teacher, conveying the committee's opinion about the whole of the teacher's work. The level of reflection of each teacher's document was considered in the appraisal report. Giving praise to the more committed teachers was perceived as a way to reward their work. School L's committee decided to write an individualized appraisal report for each teacher, describing what was written in the documents of critical reflection; no judgment was made regarding their work. Some documents had to be reformulated to better fit the items established by law; one document had to be reformulated in order to clarify some assertions which the committee considered unfounded. In School T, all appraisal reports were similar,

regardless of what teachers had written in their documents, and regardless of teachers' work. School T and School L used administrative criteria to appraise teachers' documents of critical reflection: assessing the extent to which they met legal requirements. School C used professional criteria to appraise teachers' documents and teachers' work: pedagogical quality; commitment to school and to professional development; critical reflection as expressed in their documents.

- In all three schools, teachers knew which items to focus on to write their documents of critical reflection: they all mentioned the pertinent legislation. The items upon which teachers tended to reflect most -- "pedagogical relationship" and "program accomplishment" -- were similar in the three schools, which may indicate that in all schools those were the components teachers most emphasized in their work. In School C, the frequency of references to the item "participation in projects" confirmed the school's characteristic as a learning environment where many educational projects were developed.

- In all three schools, teachers did not seem to include their training courses in a program of individual development: no mention of such program was made in their documents of critical reflection.

- In School L and School C, respectively, three teachers and one teacher requested to be rated as "good". School C's teacher's request was granted; in School L, two requests were granted, and one was denied. In School C, the teacher was asked to write a new and more detailed document of critical reflection to support her request; in School L, no additional requirements were formulated. In both School L and School C, the

specialized committee formed to review the "good" rating requests used professional criteria to guide their appraisal: commitment to the teaching-learning process; development of educational projects; commitment to professional development; performance of non-teaching functions; impact of teachers' added training and projects to school improvement and student achievement. In School T, there were no requests for "good" ratings.

- Conflicts related to implementation of the teacher evaluation policy arose in School C due to appraisal reports' contents, and the process of requesting a "good" rating. This process also led to a conflict in School L, where one of the technology teachers was not granted her requested rating. In School T, there were no conflicts related to implementation of the teacher evaluation policy.

- The three schools' approach to policy implementation were characterized as constructive (School C), administrative (School T), and cautious (School L). School C's approach was characterized as constructive, because the school adapted centralized legislation to its particular circumstances, and added to it in order to differentiate teachers according to their work, thus using teacher evaluation to praise or criticize teachers' commitment. School T's approach was characterized as administrative, since the school applied centralized legislation without consideration of teachers' work, level of reflection and/or accuracy in document-writing, thus transforming the evaluation process into an administrative task. School L's approach was characterized as cautious, because the school applied the legislation without giving any opinion on evaluated teachers' work; there was concern to make the process legally and ethically

correct -- only in this school were teachers were asked to reformulate their documents in case they did not meet legal requirements, or made assertions considered unfounded.

3. Opinions on the Teacher Evaluation Policy

In this section, two case-ordered matrices are presented, displaying information about each school's participants' positive and negative opinions about the teacher evaluation policy, including opinions on the policy's fairness and its main components -- teachers' documents of critical reflection, mandatory teacher training, and evaluation committee's appraisal. A third case-ordered matrix displays each school's participants' opinions on reasons for teacher evaluation, and suggestions for teacher evaluation policy improvement. At the end, conclusions are drawn regarding schools' similarities and differences concerning participants' opinions on the teacher evaluation policy.

Table 31

Positive Opinions on the Teacher Evaluation Policy -- Cross-Case Analysis

Opinions	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
The writing of a document of critical reflection	1. Promoting reflection on teachers' practices. 2. Impacting teachers' center programming.	1. Promoting reflection on teachers' practices. 2. Impacting school's collegiate bodies.	1. Promoting reflection on teachers' practices. 2. Impacting Ministry of Education's decisions.
Mandatory continuing training	1. Making all teachers attend continuing education: combating inertia. 2. Promoting teachers' professional development. 3. Improving schools' quality.	1. Promoting teachers' professional development.	1. Making all teachers attend continuing education: combating inertia. 2. Promoting teachers' professional development. 3. Improving schools' quality.
Evaluation committee's role	1. More just and comprehensive than an individual evaluation. 2. To be maintained, to avoid conflict.	To be maintained, to avoid conflict.	To be maintained, to avoid conflict.
Evaluation criteria	Partly centralized, to guarantee equity.	National, to guarantee equity	National, to guarantee equity.

An analysis of Table 31 suggests that, in all three schools, the teacher evaluation policy's components were perceived as having some positive aspects.

- Document of critical reflection: positive opinions in all schools related document-writing to promoting reflection on teachers' practices. Other positive opinions stemmed from the perception that these documents might be used to improve schools' collegiate bodies' work, teachers' centers' planning, and the Ministry of Education's policy decisions.

- Mandatory continuing training: participants in all schools mentioned it promoted teachers' development, since it made them overcome inertia and attend continuing education. Consequently, this requirement might also positively impact schools' quality.

- Evaluation committee's role: participants perceived it as more just than an evaluation performed by just one person. While most participants perceived the committee's role to be constrained by legal requirements, some argued that its role should not be enhanced, to avoid conflict in schools.

- There was a prevailing opinion that at least some evaluation criteria should be centrally- defined, to guarantee equity in the teacher evaluation process.

Table 32 presents a cross-case display of participants' negative opinions on the three components of the teacher evaluation policy.

Table 32

Negative Opinions on the Teacher Evaluation Policy -- Cross-Case Analysis

Opinions	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
The writing of a document of critical reflection	1. The writing problem: those who write better have an advantage. 2. The overstatement issue: documents may not portray teachers' work.	1. The writing problem: teachers' may have difficulty in portraying their work. 2. The overstatement problem: documents may exaggerate teachers' work. 3. *Pro forma* task, performed to advance careers.	1. A mere administrative task, performed to advance careers. 2. No impact for less-reflective teachers; only those already reflective reveal reflection in their documents.
Mandatory continuing training	1. Lack of diversity of course offerings. 2. The mandatory requirement: training without motivation is meaningless. 3. Lack of relationship between training and practice.	1. Lack of diversity of course offerings. 2. The mandatory requirement: training transformed into an administrative task. 3. Lack of relationship between training and practice. 4. Negative consequences for teachers' private lives. 5. Negative consequences for classroom practice.	1. Lack of diversity of course offerings. 2. Mandatory requirement: training without motivation was meaningless. 3. Lack of relationship between training and practice. 4. Negative consequences for teachers' private lives.

Table 32

Negative Opinions on the Teacher Evaluation Policy -- Cross-Case Analysis
(continued)

Opinions	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
The evaluation committee's role	1. Lack of ability to take action against bad teachers. 2. No impact on teachers' practices. 2. Lack of ability to reward teachers' merit.	1.Constrained by legislation to rate everyone as "satisfactory": bureaucratic functions superseding formative functions. 2. No impact on teachers' practices. 3. Questionable legitimacy: composition decided with no professional criteria. 4. No knowledge of teachers' work.	1. A mere administrative task, performed to assess whether teachers' documents met legal requirements. 2. Lack of ability to reward teachers' merit. 3. Questionable legitimacy to appraise teachers: formed by other teachers, some at a lower career level, with no knowledge of teachers' work nor of how to evaluate teachers.
Policy's fairness	1. Perceived as unfair, because: 1.1. It did not recognize teachers' merit: it placed everyone at the same level. 1.2. Good teachers should not be required to ask to be rated as "good". 1.3. It did not allow action to be taken against bad teachers. 1.4. It created unfair situations in schools.	1. Perceived as unfair, because it did not recognize teachers' merit. 2. Perceived as mostly administrative, not formative.	1. Perceived as unfair, because: 1.1. It did not recognize teachers' merit: it placed everyone at the same level. 1.2. Good teachers should not be required to ask to be rated as "good". 2. Perceived as mostly administrative, not formative.

An analysis of Table 32 reveals that many negative opinions regarding the teacher evaluation policy were common to the three schools. There were, nonetheless, several negative opinions stemming from the particular characteristics of each school's implementation of the teacher evaluation process.

- The writing problem. Participants in Schools C and T consistently mentioned that teachers who wrote better were automatically at an advantage, because evaluation committees tended to focus their appraisal on teachers' documents, not on teachers' work.

- The overstatement problem. Participants in Schools C and T tended to criticize this policy, arguing that it did not allow action to be taken against teachers who wrote in their documents exaggerated versions of facts, or groundless assertions. This was not a problem alluded to in School L, perhaps because in this school action was in fact taken against dubious or unfounded assertions: teachers were asked to reformulate their documents.

- Document-writing as an administrative task. Participants in Schools T and L tended to refer to document writing as a mere *pro forma* task, performed to advance in their careers. It was argued that teachers tended to write their documents with a bureaucratic intent, without any formative goal.

- Document-writing as a descriptive sum of activities. There was a prevailing opinion that teachers' documents were mainly descriptive, with little reflection. Participants argued that already-reflective teachers were the ones who tended to reflect upon their work in order to write their documents; less-reflective teachers did not do so.

- <u>Mandatory continuing training</u>. Participants in all three schools complained about teachers' centers' <u>lack of diversity</u> of course offerings, which forced teachers to attend courses that did not interest them, just to obtain credits, thus transforming continuing training into an administrative activity. In all schools, the <u>lack of relationship between training and teaching practice</u> was perceived as a problem. In all schools, several participants argued against the mandatory requirement, claiming that <u>training without motivation</u> was meaningless. Participants in Schools C and T also mentioned negative repercussions for both teachers' private lives and their classroom work, since it robbed them of time to prepare for class.

- <u>Evaluation committee's role</u>. Participants perceived the evaluation committee's role as constrained by legislation to rate everyone as "satisfactory". There was a prevailing opinion that the committee served little or no purpose. In School C, the committee's legal constraints were related to its lack of ability to take action against bad teachers and to reward good teachers' merit. In School T, the committee's bureaucratic functions -- assessing whether teachers' documents met legal requirements -- were constantly mentioned, together with its members lack of knowledge of the evaluated teachers' work. Some participants in School T and School L questioned the committee's authority to evaluate teachers, given its peer composition, with committee members sometimes at a lower career level than the teachers in evaluation.

- In all schools, the teacher evaluation policy was perceived as unfair because it gave all teachers the same "satisfactory" rating, and did not recognize teachers' merit, nor allowed for action to be taken against less-competent teachers. It was argued that good

teachers should not be required to ask for "good" ratings. In School C, participants claimed that this requirement created unfair situations in schools, where average teachers requested "good" ratings and were granted them, whereas genuinely committed and competent teachers did not request them, and therefore received merely a "satisfactory" rating. In Schools T and L, the teacher evaluation policy was perceived mostly as administrative, not formative.

Table 33 presents a cross-case display of participants' suggestions for improving the teacher evaluation policy, and their reasons for having such a policy.

Table 33

Suggestions for Improving the Teacher Evaluation Policy/Reasons for Teacher Evaluation -- Cross-Case Analysis

Opinions	School C: a constructive approach to teacher evaluation	School T: an administrative approach to teacher evaluation	School L: a cautious approach to teacher evaluation
Suggestions for improvement	1. Using multiple sources of evaluation. 2. Appraising teachers' work, not teachers' documents. 3. Basing evaluation partly on classroom observation. 4. Developing class observation criteria. 5. Allowing the evaluation committee to recognize teachers' merit. 6. Using peer review.	1. Allowing the evaluation committee to monitor evaluated teachers' work. 2. Appraising teachers' work, not their documents. 3. Including teachers' department representatives on the evaluation committee. 4. Distinguishing teachers according to merit. 5. Basing evaluation on class observation and peer review.	1. Using multiple sources of evaluation, including class observation. 2. Appraising teachers' work, not their documents. 3. Complementing internal evaluation with external evaluation. 4. Transforming evaluation policy: from administrative-oriented to improvement-oriented.
Reasons for teacher evaluation	1. To promote teacher professionalism through individual accountability. 2. To improve school quality. 3. To assess policy implementation.	1. No need for teacher evaluation, because: 1.1. Good teachers would always be committed; bad teachers will not improve due to evaluation. 1.2. Evaluation might lead to favoritism and unjust comparisons. 2. Reasons for evaluation: 2.1. Allowing better teachers to advance faster. 2.2. Recognizing merit.	1. To promote professional development and combat inertia. 2. To implement accountability mechanisms.

An analysis of Table 33 suggests that participants in the three schools had diverse opinions on the maintenance and improvement of teacher evaluation policy. These opinions might be related to each school's particular form of policy implementation.

- A prevailing opinion in all three schools was that teacher evaluation should not focus solely on teachers' documents of critical reflection, but should use multiple sources of information. It was suggested that the evaluation committee should be allowed to monitor teachers' work throughout the evaluation period, in order to have data upon which to base its evaluation. Complementing internal with external evaluation, and using peer review were also suggested. The class observation issue seemed to be a source of contention among participants. Several argued that such a policy would be impossible to implement, due to reasons related to teachers' past traumatic experiences, culture of departmental isolation and "closed door" classrooms, and fear of expressing doubts and exposing themselves to criticism. There was also an argument that such a policy would be contested by teachers' unions, which were perceived as representing teachers' corporate interest in resistance to added work and commitment. Other participants, however, claimed that political courage was needed to implement such a policy, without which any form of teacher evaluation was meaningless.

- Another common suggestion was to transform this evaluation policy, perceived as being too administratively-oriented, into a formative evaluation process designed to promote teachers' professional development.

- Participants in School T suggested using already available mechanisms to improve teacher evaluation, such as including evaluated teachers' department representatives on the evaluation committee, and distinguishing teachers according to their merit.

- School L's and School C's participants agreed upon the need to perform teacher evaluation, understood as a way to promote professional development and combat inertia, implement accountability mechanisms, improve school quality, and assess policy implementation. Opinions in School T were divided: some participants argued for teacher evaluation mechanisms to allow better teachers to advance faster in their careers, while other participants did not believe that teacher evaluation served any positive purpose, since it might lead to favoritism for teachers closer to power structures, and it would not improve bad teachers' performance, while good teachers would always be committed, regardless of evaluation mechanisms.

- In all three schools, participants approached the issue of how to reward good teachers from two different perspectives: one side tended to emphasize intrinsic rewards, including personal satisfaction in seeing one's students grow, or students' and parents' recognition of one's good work; the other side tended to argue that, while these intrinsic rewards were important, extrinsic recognition mechanisms should be implemented to formally acknowledge and reward excellent teaching work.

- Throughout the three case studies, it was possible to identify two conceptions of teaching: teachers as professionals, committed to their students, their schools, and their professional development, reflecting upon their practices in order to improve them, actively engaged in their schools' policy and functioning, striving for more autonomy

for their schools, and claiming that their merit should be recognized; and teachers as

public servants, also committed to their students, but dependent upon centralized

legislation to run their schools, complying to centralized rules and regulations in the

name of equity, refusing competition and emulation in their schools, and using

administrative criteria to appraise performance.

4. Schools' Implementation of the Teacher Evaluation Policy Through

Various Organization Theory Frames

Bolman and Deal (1997) divided organization theories into four frames. The

structural frame characterized organizations as existing to accomplish a set of clear goals.

Performance problems could be traced to structural deficiencies, which then could be

corrected through restructuring. The human resource frame held that organizations

consisted of individuals, whose performance would be increased if there was a close fit

between their interests and organizational interests. This frame stressed commitment,

cohesion, and morale as key factors for organizational effectiveness. The political frame

described organizations as coalitions of individuals and groups, each trying to pursue

their own interests. This frame focused on the strategies and tactics used in power games

by different stakeholders to defend their vested interests. The symbolic frame assumed

that it was possible for organizations to make superficial changes while remaining

fundamentally the same at their core. According to this frame, what mattered was the

meaning people attributed to organizational events. Decision-making and rational

analysis were impaired by high levels of uncertainty, and people developed symbols to deal with ambiguity. These symbols embodied the culture of each organization.

According to Bolman and Deal (1997), these frames were not mutually exclusive. Each might be applied in order to understand how organizations responded to change, since "organizational life is always full of simultaneous events that can be interpreted in a variety of ways" (Bolman & Deal, 1997, p. 266). One of the frames, however, might be more appropriate than the others to understand a particular event. This last section presented an analysis of the three schools' implementation of the teacher evaluation policy according to the four frames identified by Bolman and Deal.

A <u>human resource frame</u> seemed to be the best suited to explaining <u>School C's</u> implementation of the teacher evaluation policy, since this process was characterized by: 1) planning and goal-setting based on open communication; 2) open decision making aiming at promoting commitment; 3) implementation aimed at maintaining the balance between human needs and formal roles; 4) evaluation aimed at helping teachers grow and improve; and 5) an approach to conflict based on the development of processes to manage and confront it (Bolman & Deal, 1997, pp. 267-268).

In School C, teachers seemed committed to the learning process inside and outside the classroom. Leadership was characterized by warm interpersonal relationships and a focus on creativity instead of rules and regulations. School C's policy guidelines focused on using initiative and imagination, valuing scientific and pedagogical criteria over administrative criteria, promoting transparency and efficacy through communication and information mechanisms, and valuing both curricular and extracurricular activities. The president distributed power instead of concentrating it, promoted involvement,

commitment, and rigor in the teacher evaluation process, and did not avoid conflicts. Professional criteria were developed to appraise teachers' documents and work. The evaluation committee differentiated teachers according to their commitment. Its composition led to several focuses of leadership. Through a rotating process, all elements of the pedagogical board were involved in the evaluation process.

It would be reasonable to assume that the school's organizational climate[2] influenced teachers' opinions of their evaluation policy. No suggestion was made not to evaluate teachers. Where the authority of the evaluation committee was questioned, the conflict was dealt with in committee. All interviewed teachers agreed that the evaluation appraisals should be differentiated, and their main objection was that this system did not recognize teachers' merit, understood as an extraordinary commitment to the school.

While the human resource frame might be used as the primary basis for understanding School C's implementation process of the teacher evaluation policy, other frames might help explain certain aspects of the implementation process. The structural frame might be useful to understand how the school developed strategies, set objectives and coordinated resources in order to organize the evaluation process according to legal guidelines. Teachers' documents were analyzed according to legislatively established items; the evaluation committee's composition met legal requirements; mandatory continuing training credits were accomplished. The symbolic frame might be useful to understand a part of the evaluation committee's role in the evaluation process. While its

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[2]The term "organizational climate" was used here to mean "the total environmental quality within an organization, including physical and material aspects of the school, individual student and teacher characteristics, patterned relationships among role groups, and belief systems, values, cognitive structures and meanings of people within a school" (adapted from Husen & Postlethwaite, 1994, pp. 5206-5211).

members perceived their work as having few practical implications for teaching practices, they continued to perform it, thus enacting a ritual to "signal responsibility and produce symbols" (Bolman & Deal, pp. 267). The political frame might be useful to interpret some of the criticisms aired regarding the evaluation committee's bias against teachers who were not particularly close to its members.

A symbolic frame seemed to be well suited to understanding School T's implementation of the teacher evaluation policy, since this process was characterized by: 1) planning and goal-setting rituals to signal responsibility; 2) ritual decision-making to confirm values; 3) implementation aimed at maintaining an image of accountability and responsiveness (Bolman & Deal, 1997, pp. 267).

In School T, teachers' lack of commitment was perceived as a problem. Leadership was criticized for being too task-oriented. School T's policy guidelines were criticized for being too ambiguous and wordy, with no practical implications. The president revealed his lack of delegation, and tended to perform on his own all the necessary administrative tasks, including developing forms for the evaluation process and informing teachers of their evaluation dates. The teacher evaluation process was organized as a ritual in which people met for no other purpose than to maintain an image of obeying policy guidelines, since the end result was always an appraisal report identical to every other. Administrative criteria were used to write this report. The evaluation committee's composition did not allow for knowledge of the evaluated teachers' work. The committee reporter accomplished no function, since all work was done in committee:

he was appointed in a ritual that used administrative criteria to maintain an appearance of compliance with centrally-established legal requirements.

Many participants suggested that teachers should not be evaluated, since it might lead to favoritism and would serve no purpose, as incompetent teachers were not likely to improve through evaluation. The evaluation committee's authority was questioned not only by evaluated teachers but also by its own members, who did not perceive themselves as possessing sufficient authority to appraise other teachers. Due to School T's particular way of approaching the evaluation issue -- giving the same appraisal for everyone -- no conflicts arose as a result of the evaluation process. Some participants agreed that teachers should not be differentiated, in order to avoid conflict and competition in schools.

While the symbolic frame might be used as the main interpretation for School T's organizational process of implementing the teacher evaluation policy, other frames might explain certain aspects of the implementation process. The structural frame might be useful in understanding how the school organized the evaluation process according to legal guidelines: teachers' documents were analyzed according to legally established items; the evaluation committee's composition met legal requirements; mandatory continuing training credits were accomplished. The political frame might be useful to interpret several criticisms aired against the school's policy guidelines, where two primary trends seemed to conflict: one trend focused on enhancing School T's historical tradition as a technical school; another trend focused on enhancing School T's inclusive character as a school that received students refused by other schools. The human resource frame did not contribute to explain any organizational process in School T, since it was

not possible to identify, in the implementation process of the teacher evaluation policy, any instances where the process encouraged commitment, participation, empowerment, or professional development. Conflict was consistently avoided by avoiding situations that might lead to it, such as differentiating teachers according to their merit, or writing different appraisal reports.

A structural frame seemed to be the best-suited to understand School L's implementation of the teacher evaluation policy, since this process was characterized by: 1) rational decision-making aimed at producing the right decision; 2) roles and responsibilities realigned to fit new tasks; 3) conflict resolved through the use of authority (Bolman & Deal, 1997, pp. 267-268).

In School L, strategies were developed, objectives were set, and resources were coordinated in order to organize the evaluation process according to legal guidelines: teachers' documents were analyzed according to legally established items; the evaluation committee's composition met legal requirements; mandatory continuing training credits were accomplished. The school's leadership was acknowledged to be familiar with every teacher's work and seemed to focus on consensus. School L's policy guidelines focused on improving efficiency through better communication and greater commitment. The president promoted rigor in the teacher evaluation process by defining roles and responsibilities aligned to the evaluation policy's formal goals. The evaluation committee differentiated teachers according to what they had written in their documents, and did not provide any judgment on their work. Where documents did not meet legal requirements, or where they were considered to contain unfounded assertions, teachers were asked to

reformulate them. The committee reporter was appointed through the professional criterion of experience in evaluating teachers. When a conflict arose, authority mechanisms were implemented to resolve it, by forming a specialized committee according to legal requirements.

In School L, no suggestion was made not to evaluate teachers, although participants seemed to perceive this evaluation policy as mostly administrative, a *pro forma* task to be performed in order to advance in their careers. The authority of the evaluation committee was questioned on administrative grounds: its members might be at a lower career level than some teachers in evaluation.

While the <u>structural frame</u> seemed most appropriate for understanding School L's implemention of the teacher evaluation policy, other frames might help explain certain aspects of the implementation process. The <u>human resource frame</u> might be useful for understanding School L's Development Plan's focus on promoting teachers' and students' commitment, and improving communication mechanisms in the school. The <u>symbolic frame</u> might be useful to understand part of the evaluation committee's role in the evaluation process: while its members perceived their work as having few practical implications for teaching practices, they continued to perform it, thus enacting a ritual to "maintain an image of accountability and responsiveness" (Bolman & Deal, pp. 267). The <u>political frame</u> might be helpful to interpret criticisms of the school's executive board and evaluation committee by one technology teacher, who perceived herself as isolated in a school "full of doctors".

In sum, it may be argued that Schools C, T, and L used three very different organizational processes to implement their teacher evaluation policy, while keeping two common core characteristics: designing strategies to comply with legal requirements (structural approach to policy implementation), and performing certain roles and functions perceived as meaningless, solely to produce an image of responsiveness to requirements established by law (symbolic approach to policy implementation).

CHAPTER 9

CONCLUSIONS AND RECOMMENDATIONS

The purpose of this dissertation was to study the implementation process of the Portuguese policy of teacher evaluation in secondary schools. To achieve this purpose, the collective bargaining process leading to formulation of the teacher evaluation policy was investigated, and three case studies, based on three secondary schools with different traditions, were developed. In this chapter, a summary of this study's findings regarding teacher evaluation policy formulation and implementation is presented. From these conclusions, recommendations are suggested in terms of policy reformulation and implementation. Finally, issues for further research are addressed.

1. Conclusions

This study's conclusions address two topics: the collective bargaining process leading to teacher evaluation policy formulation; and the process of implementing the policy in three different secondary schools.

1.1. Policy Formulation

In Portugal, the teacher evaluation policy, as with any policy concerning teachers' working conditions, was a result of the collective bargaining process between the Ministry of Education and teachers' unions. The teacher evaluation issue surfaced in the late 1980s, when Portugal was run by a social-democrat government, and it was embedded in a broader discussion of the Statute of Teachers' Career. Until then, only one administrative criterion -- seniority -- counted toward teacher career advancement. A teacher evaluation policy was implemented in 1992, together with a new policy on school administration, as part of a centralized effort aimed at reinforcing schools' autonomy and promoting teacher professional development. The first Teacher Evaluation Act established a policy based on a self-evaluation report regarding work performed during the evaluation period and on proof that required continuing education credits had been completed.

In the late 1990s, within a macro-context of a socialist government aiming at social consensus, a new Teachers' Career Statute was enacted, and teacher evaluation re-appeared on the educational policy agenda. The Ministry of Education's justification for the introduction of a new teacher evaluation policy was the perception that the former policy had been transformed into an administrative task. The bargaining process began with a general agreement about the requirement of a document of critical reflection, regarded as a strategy to make teachers think about their work. There were disagreements concerning the introduction of specific evaluation dates, the possibility of differentiating among teachers according to merit, the evaluation committee's composition, and the

process of credit-counting the mandatory in-service training. These disagreements were resolved within a strategic framework in which both the Ministry of Education and the teachers' unions modified part of their initial position in order to obtain certain career perquisites, on the part of the unions, or not to risk a broad social consensus, on the part of the Ministry of Education.

Policy components. As a result of the collective bargaining process, the current teacher evaluation policy is composed of three elements: a document of critical reflection written by the teacher in evaluation; mandatory continuing education, certified by accredited courses; and an appraisal report by the school's evaluation committee.

Policy's potentialities. Literature on teacher evaluation suggests that teacher evaluation practices that involve teachers directly in the preparation, implementation and follow-up of the evaluation process may be an important factor in teacher professional development and school improvement (Darling-Hammond, 1997; Duke & Stiggins, 1990; Iwanicki, 1990, 1997; Natriello, 1990). The approach to a teacher development and school improvement-related teacher evaluation argues for the use of diversified evaluation methods and data sources, including self-evaluation and peer review (Barber, 1990; Holly & McLoughlin, 1989; Kremer-Hayon, 1993). Self-evaluation is regarded as a source of reflection on teachers' practices that may lead to professional development if clarification of teachers' perceptions and orientations regarding educational goals and the cognitive, affective, and didactic aspects of teaching occur. Peer reviews of practice (Chism, 1999; Darling-Hammond & McLaughlin, 1995) are advocated to afford occasions for deliberation about teaching and learning. Lieberman (1998) explains that peer review is a prominent feature of teacher union strategies in collective bargaining

processes, where unions strive for more responsibility for both improving teacher performance and terminating the services of poorly-performing teachers, after receiving assistance.

A description of the components of the Portuguese teacher evaluation policy suggests that it is embedded in a conceptual framework that relates teacher evaluation to teacher development and school improvement. The Teacher Evaluation Act of 1988 states in its preamble that the purpose of evaluation is to reward teachers' merit and promote their professional development. The policy's three components seem to reflect this purpose:

- The evaluation role is to be performed by a committee of peers, who must appraise teachers' documents of critical reflection. This requirement may be understood as a way to promote collegial and collaborative forms of teacher evaluation.

- In their documents of critical reflection, teachers must review their work during the evaluation period. This requirement may be understood as a way of promoting the reflective practice (Schon, 1978) necessary for professional development.

- Teachers must offer proof that mandatory training courses have been attended. This requirement may be understood as a way to promote both professional development and school improvement.

Policy's shortcomings. While containing the potential for promoting both teacher and school improvement, the Portuguese teacher evaluation policy lacks some major features that literature on teacher evaluation (Duke, 1995; Millman & Darling-Hammond, 1990), teachers at work (Johnson, 1990; Little & McLaughlin, 1993), education policy

implementation (Odden, 1991) and educational change (Fullan, 1991, 1992) deem pivotal to accomplish the policy's stated purposes. These omitted features are described below.

- Class observation is not considered in the teacher evaluation process. The link, therefore, between "the macro-world of ideas and micro-world of teaching" (Elmore, 1996) is lost.

- Teacher evaluation is not based on multiple sources of data (Lee, 1991; Millman & Darling-Hammond, 1990), but focuses solely on teachers' documents of critical reflection. Teachers are not required to prove their written assertions, nor to reflect on their students' achievement.

- Peer review practices are not occasions for deliberation on teaching and learning, nor do they occur in many forms (Darling-Hammond & McLaughlin, 1995). Peers on evaluation committees are not allowed to appraise or discuss teachers' classroom practices, nor to perform any other activity but the appraisal of teachers' documents of critical reflection.

- Evaluation comittees are not allowed to differentiate among teachers according to merit; legally, they can merely give a "satisfactory" rating to all teachers. Teachers who believe they deserve a "good" rating are forced to request a special evaluation. Research findings suggest that such an initiative goes against the grain of teacher culture (Johnson, 1990; McLaughlin, Talbert, & Brascia, 1990). Consequently, excellent teachers do not see their merit recognized by this evaluation policy.

- Mandatory in-service training is not required to be related either to teachers' or to schools' development plans. Consequently the goal-oriented purpose (Duke &

Stiggins, 1990) or the school-improvement purpose (Iwanicki, 1990, 1997) of formative teacher evaluation are not pursued.

- No follow-up systems are to be implemented as a result of evaluation procedures (Lee, 1991; Millman & Darling-Hammond, 1990). Consequently, the policy is perceived by teachers, evaluation committees, and school presidents as serving no other purpose than allowing for teacher career advancement.

- Schools have no incentive to build supportive organizational conditions leading to open teacher evaluation processes (Darling-Hammond, 1997; Holly & McLaughlin, 1989). Teacher evaluation is conceived as confidential, thus preventing discussion of evaluation criteria and methods.

- External technical assistance is not provided to facilitate evaluation implementation. There is no training for either management of the organizational change processes related to teacher evaluation or for teacher evaluation criteria and methods (Fullan, 1991, 1992; Lee, 1991; McLaughlin, 1991). No training is provided on writing "reflective" documents of critical reflection (Holly & McLaughlin, 1989; Kremer-Hayon, 1993).

- Teacher commitment to policy implementation is not promoted, since teachers are not called on to design implementation strategies for the evaluation policy (Odden, 1991).

- No standards are defined to guide teacher evaluation processes (Darling-Hammond, Wise, & Klein, 1999).

- No reward system is designed to accompany the teacher evaluation policy (O'Day, 1996). Consequently, teachers' commitment to their multiple roles -- related to the concept of teachers as professionals -- is not promoted.

- The teacher evaluation policy has no impact on schools' staff management. Portuguese teachers continue to be placed in schools regardless of their rating, thus adding to the prevalent feeling that teacher evaluation serves no purpose but that of career advancement.

1.2. Policy Implementation

The Teacher Evaluation Act of 1998 was included in a comprehensive educational policy allegedly aimed at promoting schools' autonomy. Schools were supposed to organize their evaluation processes according to the guidelines their governing bodies deemed best. Both of the Ministry of Education representatives interviewed by the researcher stressed that schools now possessed more mechanisms to implement rigorous teacher evaluation than before.

The cross-case analysis of the implementation process of the teacher evaluation policy in three secondary schools revealed different approaches to policy implementation. One approach was characterized as <u>constructive</u> because the school adapted centralized legislation to its particular circumstances, and added to it in order to differentiate among teachers according to their work, thereby using teacher evaluation to praise or criticize teachers' competence and commitment. A second approach was characterized as <u>administrative</u> because the school applied the policy without consideration either of the evaluated teachers' work nor of their level of reflection and/or accuracy in document-writing, thus reducing the evaluation process to an administrative task. A third approach

was characterized as <u>cautious</u>, because the school applied policy without judging the evaluated teachers' work, but developed mechanisms to make the process legally and ethically correct.

The three schools' differences in teacher evaluation policy implementation were related to their different organizational characteristics, including different contexts, backgrounds, policy guidelines, approaches to extracurricular activities, leadership, student bodies, and faculty expectations regarding student achievement. Organizational frames (Bolman & Deal, 1997) were used to understand each school's approach to policy implementation. The human resource frame, focused on people commitment, cohesion, and morale, seemed more appropriate to interpret the organizational processes in the "constructive-approach" school; the symbolic frame, focusing on enacting rituals to maintain an image of accountability, seemed more fitted to explain the "administrative-approach" school; and the structural frame, focusing on accomplishing goals previously established, explained most of the "cautious-approach" school's organizational processes. Teacher evaluation policy implementation in the three schools varied in terms of the evaluation committee's composition, role, and decisions; the process of requesting "good" ratings; conflicts related to the evaluation process; and participants' opinions regarding teacher evaluation.

<u>Evaluation committee's composition and attributions</u>: The schools with an "administrative" and "cautious" approach to teacher evaluation interpreted the policy as requiring a permanent composition of the committee. Consequently, their evaluation committees did not include the group representatives of teachers in evaluation. This decision led teachers and evaluation committee members to question the committee's

authority to appraise teachers, due to lack of knowledge of their work. Only the "constructive-approach" school included the group representatives of the teachers in evaluation on the committee, thus making it more knowledgeable of teachers' work. In this school, through a rotating process, all pedagogical board members were involved in teacher evaluation.

Committee reporter: The Ministry of Education's representative justified this legal requirement as a way for someone to be responsible for the committee's decisions, of whom evaluated teachers might ask questions regarding their rating and the contents of their appraisal reports. The "cautious-" and "constructive-" approach schools used professional criteria to appoint the committee reporter: experience in teacher evaluation, and knowledge of teachers' work. The "administrative-approach" school used an administrative criterion -- seniority.

Evaluation committee's decisions: Only in the "constructive-approach" school did the committee decide to write an individualized appraisal report for every teacher, conveying the committee's opinion about the whole of the teacher's work. In this school, the level of reflection of each teacher's document was also considered in the appraisal report. Giving praise to the more competent and committed teachers was perceived as a way to reward their work. Only in this school were professional criteria used to appraise teachers' documents and teachers' work: pedagogical quality; commitment to school and to professional development; critical reflection as expressed in their documents. In the other two schools, no judgment was made about the evaluated teachers' work. In the "cautious-approach" school, the committee decided to write an individualized report for each teacher, describing what was written in their documents of critical reflection. In the

"administrative-approach" school, all appraisal reports were similar, regardless of what teachers had written in their documents, and regardless of their work. Both the "cautious-" and the "administrative-" approach schools used administrative criteria to appraise teachers' documents of critical reflection: assessing the extent to which they met legal requirements.

Requests for "good" ratings: Very few requests were dealt with in each school, which was explained in terms of the culture of teaching -- focused on equality and equity, refusing competition -- and in terms of the rating's lack of impact on career advancement. Teachers also claimed that merit recognition should be a consequence of the evaluation committee's appraisal.

Conflicts related to implementation of the teacher evaluation policy arose in the "cautious-" and "constructive-" approach schools, due to the contents of some appraisal reports and the process of requesting "good" ratings. In the "administrative-approach" school, since there were no requests for "good" ratings and all appraisal reports were identical, there were no conflicts stemming from teacher evaluation.

In all schools, some common opinions -- both positive and negative -- about the teacher evaluation policy were identified:

Positive opinions. Participants in all schools related *document-writing* to promoting reflection on teachers' practices. There was a general agreement that *mandatory training* might promote teachers' development, since it forced them to overcome inertia and attend continuing education. It was perceived that *evaluation committees* performed more just evaluations than would one person. There was a

prevailing opinion that at least some *evaluation criteria* should be centrally-defined, to guarantee equity in the teacher evaluation process.

Negative opinions. Participants consistently mentioned that teachers who wrote with more skill or exaggerated what they had done in their *documents of critical reflection* were at an advantage because evaluation committees tended to focus on teachers' documents, not on teachers' work. Several participants referred to document-writing as a mere *pro forma* task, performed to advance their careers. It was argued that teachers tended to write their documents with bureaucratic intent, without any formative goal. There was a prevailing opinion that teachers' documents were mainly descriptive, with little reflection. In all three schools, teachers' centers' lack of diversity of course offerings was a source of complaint. Teachers were forced to attend courses that did not interest them, just to obtain credits. Thus *in-service training was transformed into an administrative activity.* In all schools, the lack of relationship between training and teaching practice was perceived as a problem. The evaluation committee's role was perceived as constrained by legislation to rate every teacher as "satisfactory". There was a prevailing opinion that the committee served little or no purpose. Some participants questioned the committee's authority to evaluate teachers, given its peer composition, with committee members sometimes at a lower career level than the teachers in evaluation.

Professional ethics. In each school, several teachers and evaluators seemed to put aside their own professional ethics to perform their respective roles, perceived as being mostly or totally bureaucratic. Examples of professional ethics put aside included, on the part of evaluation committees, not taking action against assertions considered to be

exaggerated or untrue; and, on the part of evaluated teachers, summarizing their activities during the evaluation period with no effort to reflect upon less-accomplished dimensions of their work. Since no consequences stemmed from teacher evaluation but a "satisfactory" rating for everyone, the process tended to occur in a web of half-truths, overstatements, and a perception that little could or should be done to improve it.

Conceptions of teaching. In each school it was possible to identify two conceptions of teaching: 1) a "professional" view of teaching, in which teachers were committed to their students, their schools, and their professional development; to reflecting upon their practices in order to improve them; to being actively engaged in their schools' policy and functioning; to striving for more autonomy for their schools; and to arguing that extrinsic recognition mechanisms should be implemented to formally acknowledge and reward excellent teaching work; and 2) a "bureaucratic" view of teaching, in which teachers were public servants, also committed to their students, but dependent upon government policies to run their schools, complying with centralized rules and regulations in the name of equity, rejecting competition and emulation in their schools, emphasizing intrinsic rewards of their work, and using administrative criteria to appraise performance.

In sum, it may be argued that the teacher evaluation policy was designed as a political assertion (Sousa Santos, 1985) to confirm policy and social goals of promoting consensus and improving education quality. Its effectiveness, however, has been impaired by the absence of several components that the literature suggested were necessary for teacher and school improvement. Depending on schools' organizational characteristics,

teacher evaluation was implemented in a bureaucratic fashion, only to meet legal requirements, within a context of task-oriented leadership; or with the intention of recognizing differences, within a context of people-oriented leadership, focused on promoting caring relationships. Portuguese teacher evaluation policy was perceived by participants as a tool to career advancement, not as a way to promote teacher and school improvement.

2. Recommendations

This study's recommendations stem directly from the conclusions drawn in the preceding section. Recommendations are subdivided into two subsections: policy reformulation and mechanisms to improve current policy implementation.

2.1. Recommendations for Policy Reformulation

One major component lacking in current Portuguese teacher evaluation is the development of standards that may guide teachers' practices and evaluation. It is therefore suggested that professional standards for teaching be defined. Without such standards, teacher education institutions cannot prepare future teachers for agreed-upon minimally-competent and excellent teaching practices; experienced teachers cannot improve their practices according to agreed-upon standards of excellence; and teacher

evaluation committees have no criteria to guide their assessments. Given the Portuguese tradition of social participation in education policy formulation at the central level, the definition of standards should be the result of a collective effort developed by the Ministry of Education, teacher education institutions, teachers' professional organizations, teachers' unions, and school leaders' organizations. These standards should be based on the elements research has identified as components of teacher knowledge, including content knowledge; general pedagogical knowledge; curriculum knowledge; pedagogical content knowledge; knowledge of learners and their characteristics; knowledge of educational contexts; knowledge of educational ends, purposes, and values, and their philosophical and historical grounds (Shulman, 1986, 1987).

Another major component lacking in the current Portuguese teacher evaluation policy is the requirement that <u>several sources of data</u> be used as the basis for assessing teachers' work. It is suggested that teacher evaluation be based on multiple sources of data, including teachers' self-evaluation reports or documents of critical reflection, peer reviews, and classroom observation. These different sources of data might give information about teachers' performance in each of previously established professional standards.

<u>Teachers' self-evaluation reports</u> should include evidence of "pedagogical reasoning" (Shulman, 1987) such as comprehension of subject matter; how subject matter was transformed in an instructional way; teaching strategies; and evaluation of the teacher's performance and student learning. Teachers' reports should be accompanied by <u>documentation</u> verifying written assertions.

Peer review of practices should be negotiated between teachers and their evaluators, and be based on professional standards. Peer review might take several forms, but should always integrate class observation and discussion. These reviews should include a preparatory phase, to negotiate evaluation goals and processes; implementation of the agreed-upon review processes; and a third phase to discuss the findings of the review, establish new developmental goals, and program follow-up activities. Mandatory in-service training should be related to teachers' development plans, agreed upon in negotiation with peer reviewers. Thus the goal-oriented purpose of formative teacher evaluation would be pursued.

Evaluation committees, under pedagogical boards' supervision, should be allowed to differentiate among teachers according to merit, based on agreed-upon standards of competence and excellence. The requirement that teachers request a special evaluation to receive a "good" rating should be eliminated, since research suggests that this policy may not be compatible with teacher culture, and it may lead to unfair evaluation consequences in schools.

Schools should create incentives to build supportive organizational conditions leading to more open teacher evaluation processes. This would mean providing external technical assistance and training -- possibly in partnership with teacher centers and teacher education institutions -- to facilitate evaluation implementation. Training on the management of organizational change processes related to teacher evaluation and on teacher evaluation goals, criteria, and processes should be provided.

A system of incentives should be designed to accompany teacher evaluation. Rewards might include reduced student loads; time for shared work; support for

individual projects; different compensation related to teacher involvement in different non-teaching activities, such as student instruction and tutoring; peer-coaching and teacher supervision; school-community liaison; and project development and coordination. Thus, teachers' careers would be differentiated, providing alternative paths to performing different functions. This provision would mean that teacher evaluation would impact on school staffing, and schools' executive boards would be allowed to make decisions regarding their school's faculty job placement.

The regulations regarding "non-satisfactory" ratings (Teachers' Career Statute, Article 44) should be reviewed. A "non-satisfactory" rating should stem from evaluation based on previously-defined professional standards. Mechanisms for addressing poor performance, such as plans of assistance and intervention teams, should be created. Evaluated teachers and their evaluators also should negotiate developmental goals based on professional standards and program follow-up activities, including mandatory in-service training.

2.2. Recommendation for Improving Current Policy Implementation

This study's findings suggest that, depending on schools' organizational characteristics, teacher evaluation may be implemented in a bureaucratic fashion, only to meet legal requirements; or with the intention of recognizing differences in teacher competence and commitment. What follows are recommendations regarding the implementation of each component of the current teacher evaluation policy -- teachers'

documents of critical reflection; mandatory in-service training; and the evaluation committee's appraisal -- stemming from those conclusions.

Schools should make explicit what they understand by "critical reflection", and organize training on how to write "reflective" documents. The criteria specified in the Teacher Evaluation Act -- e.g., "pedagogical relationship with students"; "innovative strategies in the teaching-learning process"; "project development"; and "developed and published studies" -- should be discussed and clarified, to avoid erroneous interpretations. Evaluation criteria leading to "non-satisfactory", "satisfactory" and "good" ratings should be discussed and agreed upon by faculty and school leaders. If teachers participate in developing strategies for policy implementation, the evaluation process may be more meaningful.

School executive and pedagogical boards should analyze teachers' documents of critical reflection in order to draw conclusions regarding their own organizational shortcomings and the development of teacher training activities that might be useful for both teacher and school improvement. This strategy might promote teachers' commitment to accurate and reflective document-writing, since the impact of such reflection would affect the entire school community.

School development plans and internal regulations should include provisions ensuring that accredited teacher training is related to teacher professional development and school improvement. Policy guidelines should encourage teachers to conclude their documents of critical reflection with a section on "developmental goals for the next evaluation period".

In order to ground the evaluation in concrete data and allow for discussion of dubious or unfounded assertions, teachers should be required to document their self-evaluation reports. School executive boards also should document all events that might lead to proposals of "non-satisfactory" ratings.

Evaluation committees should be composed of teachers acquainted with the work of teachers undergoing evaluation, including department representatives, project coordinators, and class directors' coordinators. Representatives of teacher training departments should also be included, given their experience in teacher evaluation.

Evaluation committees should write appraisal reports that reflect each teacher's work, rather than generic evaluations. They should check for inconsistencies between what was written and their understanding of the evaluated teacher's work, thereby enhancing the credibility of the evaluation process. Evaluation committees' functions should be discussed by school faculty and leaders, and their focus on the whole of teachers' work, not just teachers' documents of critical reflection, should be made clear.

Schools, in partnership with their teacher centers, should organize training in major teacher evaluation topics such as "professional standards in teaching", "reflection on practice", "class observation and discussion", "purposes and methods of teacher evaluation", "document-writing", and "peer-review of practices". Thus teachers and evaluators would be provided with tools to understand each others' expectations and perform their roles accordingly.

Innovative experiments with teacher evaluation, such as peer review of teaching practices, might be developed as school projects, with teachers receiving a reduction of teaching load in order to implement and assess these experiments. School districts and

regional education departments should organize teacher evaluation meetings, allowing schools to exchange experiences and reveal better practices. Pilot evaluation projects including peer review of practices and class observation and discussion also should be promoted by the Ministry of Education in a restrict number of schools, in order to provide data on the advantages and shortcomings of implementing such processes in Portuguese schools.

Implementation of these recommendations will contribute to a less bureaucratic and more meaningful teacher evaluation policy. Teachers should consider the benefits of the evaluation process to extend beyond career advancement. Schools would profit by improving their organizational processes.

3. Issues for Further Research

This was an exploratory study, focusing on the first implementation year of the new Portuguese teacher evaluation policy. Research on policy implementation (Odden, 1991) and educational change (Fullan, 1991, 1992) suggests that short-term studies should be complemented or revised by longitudinal or follow-up studies of policy institutionalization. Further long-term research -- either longitudinal or middle- and long-term impact studies -- is needed to determine the impact of the Portuguese teacher evaluation policy on student achievement and teacher and school improvement.

The study was based on three secondary schools. It is necessary to confirm if the findings apply to other sub-units of the Portuguese educational system. A survey based on a representative sample of basic (grades one to nine) and secondary (grades ten to twelve) schools would be a pertinent follow-up to this study. Such a study would consider approaches to policy implementation, and teachers' and evaluators' opinions about the policy's advantages and shortcomings.

Various dimensions of the teacher evaluation policy, such as student perceptions of the impact of teacher evaluation on teachers' practices, and parents' opinions about the need for and efficacy of the current teacher evaluation policy, were not addressed. Studies focusing on these issues -- either qualitative case studies or quantitative surveys -- would be required to draw a comprehensive picture of the teacher evaluation policy. Studies focusing primarily on teachers' self-evaluation reports and peer review practices are also required to understand the extent to which the particular advantages and shortcomings of these sources of data for teacher evaluation purposes identified by American literature[1] apply to the Portuguese context.

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[1]Please see Chapter 3, Section 2.2 for a detailed reference to these topics.

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APPENDIX A

INITIAL LETTER OF INVITATION TO SCHOOL PRESIDENTS

From: Ana Paula Curado, secondary education teacher, 7th group, currently completing her Ph.D. at the University of Virginia, USA.

Topic: Invitation to participate in a study focusing on the implementation of the teacher evaluation policy.

Dear President of the Executive Board,

I am a 7th group teacher of the S. João do Estoril Secondary School, currently completing my Ph. D. at the University of Virginia, United States of America. For several years I have worked at the Office for Studies and Planning and the Institute for Educational Innovation, studying issues concerning teachers and their professionalism.

I am planning to develop three case studies on how the teacher evaluation policy was implemented in three types of secondary schools: a former high school, a former technical school, and a school with no prior traditions. I am writing to invite you to participate in this study, because I have been told of your availability to participate in educational research studies, and your school might be included in the first/second/third category.

Your school's participation would mean having your permission for:

- interviewing the president of the executive board, and any other board member related to the teacher evaluation process;

- interviewing the teachers belonging to the evaluation committee;

- interviewing some of the evaluated teachers;

- analyzing some of the evaluated teachers' documents of critical reflection;

- analyzing the evaluation committee's appraisal reports.

I am now at the stage of consulting schools about their eventual participation in this study, because I have to present a detailed dissertation proposal next semester, at the University of Virginia. In case you decide to collaborate, I would need some data about your school, namely student and faculty description, school curriculum, and a brief description of the community to which the school belongs. I suppose these data are part of the school's Development Plan; therefore, I would appreciate be given access to it, and to the school's Internal Regulations.

I would be very pleased if you would decide to participate in this study. In case you accept, please let me know until July 15, 1999, so that I will have time to collect the data I need for my dissertation proposal.

I assure you all participants' anonymity will be maintained, as is the norm in any research project.

In case your school accepts participation in this study, I declare my availability to develop any type of activity that you will eventually consider of interest for school improvement.

I thank you in advance for your collaboration.

Respectfully,

Parede, June 21, 1999

Ana Paula Curado

APPENDIX B

LIST OF CONSULTED DOCUMENTS IN EACH SCHOOL

- School Development Plan

- School Internal Regulations

- School curriculum

- Student description: age, gender, cultural background

- Student achievement

- Faculty description: age, qualifications, years of service, disciplinary groups

- Minutes of pedagogical board's and evaluation committee's meetings pertaining to teacher evaluation

- Evaluation committee's appraisal reports

- Teachers' documents of critical reflection

- Requests for "good" ratings: teachers' justifications, evaluation committee's decisions, appraisal criteria

- Other documents regarding each school's evaluation process

APPENDIX C

LETTER TO THE EVALUATED TEACHERS

From: Ana Paula Curado, secondary education teacher, 7th group, currently completing her Ph.D. at the University of Virginia, USA.

Topic: Request to consult your document of critical reflection

Dear Colleague,

I am a 7th group teacher of the S. João do Estoril Secondary School, currently completing my Ph. D. at the University of Virginia, United States of America. For several years I have worked at the Office for Studies and Planning and the Institute for Educational Innovation, studying issues concerning teachers and their professionalism.

For my Ph.D. dissertation, I am planning to develop an exploratory study on the implementation of the teacher evaluation policy in three secondary schools in the Lisbon region. Since you were evaluated last year, I am requesting your permission to analyze the contents of your document of critical reflection. My goal is to portray comprehensively all components of the evaluation process.

Due to the confidentiality of the evaluation process, you are receiving this request through your school's president. During the document's analysis, your name will be concealed.

In case you accept collaboration in this study, please sign the declaration in the appendix and return it to your school's president.

I thank you in advance for your collaboration, without which this study will be necessarily incomplete.

Respectfully,

Parede, January 3, 2000

Ana Paula Curado

DECLARATION

I authorize **Ana Paula Curado** to access my document of critical reflection for research purposes. This document will not leave the school. I have been promised confidentiality and anonymity throughout the whole process of data collection and treatment.

School and date _____

Teacher (name and signature) _____

Please give this declaration to the president of the executive board, so that the content analysis of your document of critical reflection may be initiated.

APPENDIX D

INTERVIEW PROTOCOLS

D.1. INTERVIEW PROTOCOL WITH SCHOOLS' PRESIDENTS

1. Implementation of the teacher evaluation policy

- Who formed the evaluation committee last year? What were the criteria for this composition? Who defined those criteria? Were there any cases of teachers refusing to participate on such a committee?

- Who was the leader of this committee? Was it a formal or informal leadership?

- Who was the committee's reporter? What were the criteria for this appointment? Who defined those criteria? Were there cases of teachers refusing to perform this function?

- How many times did the committee meet last year? Did the committee meet for purposes other than appraising teachers?

- How many teachers were rated last year as "satisfactory", "non-satisfactory", and "good"?

- In case of "good" or "non-satisfactory" ratings, please identify the reasons for those ratings, and the members appointed by the Regional Education Direction, the school pedagogical board, and the teacher, to form the specialized evaluation committee.

- Did the evaluation committee give recommendations for teacher improvement in its appraisal reports? If so, please give examples; if not, please explain why.

- Regarding the committee's functioning, did disagreements and conflicts arise? What were their causes? How were they resolved?

- What criteria were used to appraise teachers? Who defined them? Were the criteria applied consistently for all teachers? If not, how were they applied differentially?

2. Opinions on the teacher evaluation policy

- Do you think teacher evaluation is necessary?

- Do you think this teacher evaluation policy has any impact on teacher professional development?

- In your opinion, which component(s) of this evaluation policy is (are) most relevant to teacher development: the document of critical reflection, the evaluation committee's appraisal report, and/or the mandatory training credits?

- All things considered, do you think this policy is effective in promoting quality teaching? What are its main advantages and shortcomings?

- Do you have any suggestions for improvement, alteration, or termination of this teacher evaluation policy?

D.2. INTERVIEW PROTOCOL WITH SCHOOLS' EVALUATION COMMITTEES

1. Implementation of the teacher evaluation policy

- Who formed the evaluation committee last year? What were the criteria for this composition? Who defined those criteria? Were there any cases of teachers refusing to participate on such committee?

- Who was the leader of this committee? Was it a formal or informal leadership?

- Who was the committee's reporter? What were the criteria for this appointment? Who defined those criteria? Were there any cases of teachers refusing to perform this function?

- How many times did the committee meet last year? Did the committee meet for purposes other than appraising teachers?

- How many teachers were rated last year as "satisfactory", "non-satisfactory", and "good"?

- In case of "good" or "non-satisfactory" ratings, please identify the reasons for those ratings, and the members appointed, by the Regional Education Direction, the school pedagogical board, and the teacher, to form the specialized evaluation committee.

- Did the evaluation committee give recommendations for teacher improvement in its appraisal reports? If so, please give exemples; if not, please explain why.

- Regarding the committee's functioning, did disagreements and conflicts arise? What were their causes? How were they resolved?

- What criteria were used to appraise teachers? Who defined them? Were the criteria applied consistently for all teachers? If not, how were they applied differentially?

2. Opinions on the teacher evaluation policy

- Do you think teacher evaluation is necessary?

- Do you think this teacher evaluation policy has any impact on teacher professional development?

- In your opinion, which component(s) of this evaluation policy is (are) most relevant to teacher development: the document of critical reflection, the evaluation committee's appraisal report, and/or the mandatory training credits?

- All things considered, do you think this policy is effective in promoting quality teaching? What are its main advantages and shortcomings?

- Do you have any suggestions for improvement, alteration, or termination of this teacher evaluation policy?

D.3. INTERVIEW PROTOCOL WITH EVALUATED TEACHERS

1. Implementation of the teacher evaluation policy

- Do you know who formed the evaluation committee last year, and the criteria for this composition? Do you agree with those criteria?

- Do you agree with your evaluation?

- In case of "good" or "non-satisfactory" ratings: please identify the reasons for these ratings, and the external members appointed by you and the school pedagogical board to form the specialized evaluation committee. What were the reasons for your choice?

- Did the evaluation committee give recommendations for your professional development? If so, please give exemples; do you agree with them? If not, do you agree with that?

- Do you know the criteria used by the committee to appraise teachers? Who defined them? Are they equal for all teachers? Do you agree with those criteria?

2. Opinions on the teacher evaluation policy

- Do you think teacher evaluation is necessary?

- Do you think this teacher evaluation policy has any impact on your professional development?

- In your opinion, which component(s) of this evaluation policy is (are) most relevant to teacher development: the document of critical reflection, the evaluation committee's appraisal report, and/or the mandatory training credits?

- All things considered, do you think this policy is effective in promoting quality teaching? What are its main advantages and shortcomings?

- Do you have any suggestions for improvement, alteration, or termination of this teacher evaluation policy?

D.4. INTERVIEW PROTOCOL WITH THE MINISTRY OF EDUCATION REPRESENTATIVE

1. Policy formulation

- What reasons caused the change of the former teacher evaluation policy to this new policy?

- How did the collective bargaining process evolve?

2. Policy implementation

- Do you know of any conflicts in schools which are related to this policy?

- Regarding the "good" ratings, what proceedings are foreseen in terms of career progress?

3. Policy justification

- Do you think this policy improves the quality of teaching?

- What is this policy's main purpose: career progress or professional development?

- Do you think accountability is satisfied by this policy?

- What are the reasons that schools' evaluation committees may give only "satisfactory" ratings? Why not differentiate teachers according to their merit?

- What reasons explain the items resulting in "non-satisfactory" ratings? Why are they centrally defined?

- Why isn't the item "student achievement" considered in the structure of teachers' documents of critical reflection?

- How do you relate this centralized legislation to schools' autonomy?

- How do you justify a teacher evaluation policy that does not appraise teachers' classroom practices?

- Is any alteration of this policy foreseen?

D.5. INTERVIEW PROTOCOL WITH THE REGIONAL EDUCATION DIRECTION REPRESENTATIVE (DREL)

1. Policy implementation

- What questions do schools ask most frequently about this policy's implementation? What are your answers?

- Do you know of any conflicts in schools which are related to this policy? Please give examples.

- In what concerns "good" and "non-satisfactory" proposals, what have been DREL's proceedings?

2. Opinions about the teacher evaluation policy

- Do you think this policy improves the quality of teaching?

- What is this policy's main purpose: career progress or professional development?

- Do you think accountability is satisfied by this policy?

- Do you agree that schools' evaluation committees may give only "satisfactory" ratings? Why not differentiate teachers according to their merit?

- Do you agree with the items resulting in 'non-satisfactory'? Do you think they should be centrally defined?

- Do you agree with the items established in the legislation for teachers to reflect upon in their documents of critical reflection?

- How do you relate this centralized legislation to school autonomy?

- Do you have any suggestions for improving this policy?

D.6. INTERVIEW PROTOCOL WITH SINDEP PRESIDENT

(Teachers' Union)

1. Policy formulation

- What was SINDEP's position during the formulation of the teacher evaluation policy in the late 1980s?

- What was SINDEP's position during the alteration of the former policy to the current one?

- How did the collective bargaining process evolve?

2. Policy implementation

- Do you know of any conflicts in schools which are related to this policy?

- What has been SINDEP's position in these conflicts?

3. Policy justification

- Do you think this policy improves the quality of teaching?

- What is this policy's main purpose: career progress or professional development?

- Do you think accountability is satisfied by this policy?

- Do you agree that schools' evaluation committees may give only "satisfactory" ratings? Why not differentiate teachers according to their merit?

- Do you agree with the items resulting in "non-satisfactory" ratings? Do you think they should be centrally defined?

- Do you agree with the legislated items for teachers to reflect upon in their documents of critical reflection? What is your position on the item "student achievement"?

- How do you relate this centralized legislation to schools' autonomy?

- Do you agree with a teacher evaluation policy that does not appraise teachers' classroom practices?

- Are you planning any actions to change this policy?

APPENDIX E: EXAMPLES OF DATA DISPLAYS

E.1. WITHIN-CASE DESCRIPTIVE MATRIX

School C: Participants' opinions on documents of critical reflection

Opinions	President	Evalua-tion Commit-tee	Teacher C1	Teacher C2	Teacher C3	Teacher C4	Teacher C5
Positive opinion #1: promot-ing reflection on teachers' practices							
Positive opinion #2: impacting positively teacher center's program-ming							
Negative opinion #1: the writing issue							
Negative opinion #2: the over-statement issue							

E.2. CASE-ORDERED MATRIX DISPLAY

Conflicts Related to the Implementation of the Teacher Evaluation Policy:

Cross-Case Analysis

Conflicts	Related to the contents of the appraisal report	Related to the process of requesting a "good" rating	Related to the process of proposing a "non-satisfactory" rating
School C			
School L			
School T			