School of Education

Change Management: A grounded-theory case study of a large organisation’s efforts to introduce a new system of personnel performance management

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ABSTRACT

This is the report of a study into educational change. The purpose of the investigation was to observe and analyse an example of a system-wide policy change through an intensive and disciplined case study, in order to develop a theory about the implementation of a particular change process and use that theory to account for the way the observed change process proceeded. Although change and how it was achieved in a large, complex bureaucratic organisation was the primary focus for theory development and understanding, the role of the management personnel in the change process was also of interest. The introduction of performance management (in particular, promotion-by-merit within the Western Australian Ministry of Education) was the change example under consideration.

In contrast to the traditional way of studying educational change, the present study adopted a participant observation case study using a grounded theory approach (Glaser and Strauss, 1967), because of its use in a previous study (Heaven, 1987) and in addition, the literature review indicated a lack of grounded theory studies in this area. Grounded theory is not the only methodology which can generate theory grounded in the data. However, it does ensure that a well-connected and comprehensive theory will emerge and that the theory which does emerge will be clearly and demonstrably grounded in the data from which it derives.

Seven major factors or categories were identified from this grounded theory study. These factors included values, antagonists, ethos, infrastructure, equivocation, communication and culture. Five models of change were developed. The first model was developed by analysing the literature using grounded theory methodology as a metaphor and the literature was mapped in a way which had not been done before. The result was the identification of eight 'categories' of findings in the literature, which, taken together, constitute an emergent sense of a 'theory' of educational change. The second and third models focused on the implementation of the specific policy change examined. The fourth and fifth models were developed as generic models of change implementation which, it is suggested, may be applicable in varying degrees to other comparable change implementation situations.

The five models developed in this study provide managers with relatively simple ways of conceptualising a complex process and provide a set of reference points or stages for action. Recommendations for further research include the application of grounded theory methodology to the totality of the literature on educational change, further investigation of the role and importance of an organisation's culture and its values in the implementation of change, and further study of the role played by illusions in the change implementation process.
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CHAPTER 1
STATEMENT OF THE PROBLEM

1.1 Introduction

The purpose of this investigation was to observe and analyse an example of a system-wide policy change through an intensive and disciplined case study, in order to develop a theory about the implementation of a particular change process and use the theory to account for the way that the observed change process proceeded. Although change and how it was achieved in a large, complex bureaucratic organisation was the primary focus for theory development and understanding, the role of the key management personnel in the change process was also of interest. The introduction of performance management (in particular, promotion-by-merit within the Western Australian Ministry of Education), was the change example under consideration. Promotion-by-merit was first introduced by the Ministry of Education in 1985 and the investigation reported here extended over a two and three-quarter year period from May 1989 to March 1992, while the scheme was implemented throughout the system.

Why organisations often seem to embark upon change without first establishing whether it is likely to be successful is not at issue, but many do have a propensity to do this. Organisations are not fools, nor are they political pawns. Nevertheless, while there is doubtless a certain logic to what they are endeavouring to do when committing to a particular change, this might not always, or even often, be accessible. This study was an attempt to develop an account of what one organisation was doing when it implemented a change (performance management). It was assumed that the
investigation would contribute to an understanding of both the context and the
dynamics of the change process and how it is managed or not managed. The
grounded study of how the Ministry implemented performance management could
then lead to a grounded theory of change as it operated for performance management,
from which some grounded insights into change in general may be made.

Implementing a performance management system is not simply one change, but
rather a complexity of component changes including evaluative functions (for
example, the rating of employees for various personnel decisions such as placement,
promotion, salary increments, tenure, dismissal and compensation), and new
developmental functions (whereby the employee’s performance is enhanced by
correcting present deficiencies and developing the expertise needed for more effective
performance in the future).

There were six reasons why performance management was chosen as the
change example to be investigated. First, in Australia and internationally, the
designing and managing of performance management processes have increased in
significance to the point that the concept itself appears to have captured the
organisational world and become a driving force for change. Second, there has been
increasing emphasis on improving the utilisation of human resources and widespread
conviction about the efficacious role that performance management can play in this,
even though there is little evidence to demonstrate that it is as potent in this regard as
it is claimed to be. Third, the use of performance management as a basis for the
making of personnel decisions has been the subject of a number of court cases on
equal opportunity grounds (most notably in the United States of America). Fourth,
performance management is well-established operationally in the private sector.
Fifth, performance management has been borrowed from the private sector by the
public sector and has been widely acknowledged to be a significant policy of note in the public sector. Indeed, several government reports have made assertions that performance management works, and performance management was a stated priority in the Ministry of Education's influential report *Better Schools in Western Australia: A Programme for Improvement* (1987). Sixth, the topic seems to be a useful area for enquiry inasmuch as the clearly increasing interest in the concept suggested considerable potential for further development, or evolution and adaptation, of the model during the period of the study.

Most of the literature (for example, Havelock, 1973; Good and Power, 1976; and Highsmith, 1985) concerning the process of organisational change has tended to ignore the experiences of people with whom the implementation of change is often entrusted -- for example, numerous problems of this kind were identified with the performance management process used by the Ministry of Education despite the availability of existing literature describing problems to be avoided (McGregor, 1957).

In the present research, the management personnel referred to in this regard are principals, superintendents and central office staff who were involved at some level and in varying ways in implementing, directing or managing the promotion-by-merit system of performance management. Although limiting the focus to principals, superintendents and central office staff naturally placed some limits on the generality of the derived theory, to the extent that this could have been omitted, a critical part of the developed theory would have been missing. Therefore, it was considered important to quite deliberately include an analysis of the role played by management personnel in the change process as the researcher was trying to find out insights about change management on the part of the policy implementers, by examining how it was
experienced by those this particular change was intended to effect. Based on their experiences of the change-in-action, the researcher intended to develop a grounded theory of change for the present instance (performance management) and then develop a theory of change in general utilising the grounded perceptions of the change managers.

1.2 Methodology

The investigation was carried out by means of a participant-observer case study (Goode and Hatt, 1952), in order to determine what was going on, in an exegetic sense, in the policy area of performance management. Case studies of this kind (for example, Walker, 1975) have made a powerful contribution to scientific understanding. Such case studies are not just mere descriptions of what has occurred, but rather are analytical and synthetic accounts of what it was that was going on in the process. Furthermore, as Yin (1984) has noted, a case study examines a contemporary phenomenon in its real-life context, especially where the boundaries between the phenomenon and its context are not clearly evident. These synthetic analyses generate insights into the process by offering new explanatory constructs or themes. As a research tool, qualitative case studies can be especially powerful to the extent that they are able to contribute to theory through the generation of carefully validated and grounded theory. Formulated by Glaser and Strauss (1967), and further developed by Glaser (1978) and Strauss and Corbin (1990), 'grounded theory' as a research methodology is a strategy for generating theory from qualitative data.

A participant observation case study using a grounded theory approach has been chosen because of its use in a previous study (Heaven, 1987), and in addition, the literature review indicated a lack of grounded theory studies in this area. Grounded
theory is not the only methodology which can generate theory grounded in the data. However, it does ensure that a well-connected and comprehensive theory will emerge and that the theory which does emerge will be clearly and demonstrably grounded in the data from which it derives.

In contrast to the present study, previous research (Thomas, 1973; and Carey, 1985) into the organisational change process has generally employed a variety of one-shot survey and questionnaire methods. These approaches can be questioned, as the methodologies have tended to provide a static, or snapshot view of the process of change. Even those who favour a case study approach (Bassett, 1971; Chin and Benne, 1969) usually do so on the basis of discovering recipe solutions, so those who have the responsibility for implementing the change can have a relatively easy path to its successful implementation. The analogy of this type of approach to the symbolic “black bag of tricks” by Baldridge and Deal (1975, p. 109) emphasises the nature that characterises much of the past research on organisational change. This preoccupation with product, which largely ignores the process of implementation, has also resulted in some research ignoring the complex nature of change.

A benefit of the grounded theory approach is that it not only provides an opportunity for a different perspective from the traditional preordinal, quantitative approach to studying the process of implementing change (that is, a performance management policy), but also increases the probability of people working in the field (for example, managers, principals and superintendents), to understand and apply the outcomes of the resulting grounded theory. This may be achieved by the interaction of the researcher with the subjects involved in the case study, and by the way the results of the case study are written up.
As a result, lay people working in the field to which the grounded theory applies may find the theory both relevant and meaningful, and this may have a crucial influence on their behaviour. While Miles and Huberman (1984) suggest a number of approaches in order to do this, the techniques suggested by Glaser and Strauss (1967), Glaser (1978), and Strauss and Corbin (1990) appear to be more systematic and carefully disciplined in their approach. In this regard Battersby (1980, p. 18), indicates that the strength of the grounded theory is because the theory has been grounded in the data.

Related to the potential of a grounded theory to bridge the gap between theory and practice is the question of the validity of such a theory; that is, the conditions present in a particular case study can be reflected in the outcomes of the grounded theory. The main threat to the validity of the theory is the research instrument. The reader needs an opportunity to gauge the extent of the researcher’s bias. Whatever the researcher’s preconceptions are, it is essential that they be disclosed. It is not acceptable for the researcher to annotate or bracket his or her preconceptions before the study commences. Also, it is important that they are presented to the reader for consideration. One aspect of this has been presented in Appendix 1.

The grounded theory methodology has the advantage that the data determine the theory; that is, the data speaks for itself. In view of this situation, the utilisation of a grounded theory approach may contribute to a wider understanding of the process of implementing change in the form of a performance management policy and the role of the manager in this process.
1.3 Summary

The main objective of this study was to develop a theory of change in a particular instance by examining the evolution, development, and implementation processes of a performance management policy (in particular, promotion-by-merit) in a large, complex, bureaucratic organisation. The subsidiary objective was to investigate the role of the management personnel in this process of implementation. Outcomes which may follow from this are the development of a grounded theory with a number of variants (or levels of generality) ranged on some sort of continuum. These models will have been grounded in the data through a rigorous examination of the processes of implementing a policy change from a grounded theory methodology perspective (Glaser and Strauss, 1967).

The chapter which follows provides a review of the literature on organisational change and performance management and focuses on the role of the manager in the implementation of change.
CHAPTER 2
LITERATURE REVIEW

2.1 Introduction

This chapter sets out to do the following four things:

- to outline the considerations which led to the present study of educational change in the context of the implementation of performance management;
- to define and clarify the meaning of the term "change implementer";
- to review the theoretical and research literature on educational change generally; and
- to review the literature relevant to the concept of "change implementer".

A broad cross-section of the full sweep of the literature on educational change was reviewed, with the result that a synthetic theory of educational change emerged. Had the review only looked at a focused subset of the literature, for example, the literature involving the "change implementer", the outcome would necessarily have been more limited. Similarly, the study was not a study of performance management (per se), but rather a study of the implementation of a policy change (the instance of interest was performance management).

During the examination of the 143 reports of research and associated articles drawn from the available literature (selected according to their focus on change implementation), it became apparent that meaningful themes could be extracted if the analysis itself used grounded theory as a metaphor. While there was no intention of applying grounded theory methodology in any strict sense, it was possible, however, to approach the literature review with a grounded theory methodology mind set, and as this had not been done before, it was thought that this would be useful within this context.
The organisation of the review process utilised some heuristically similar principles to grounded theory methodology (explained in detail in Chapter 3), and the exploratory application of these to the totality of the available literature allowed the researcher to map the literature in a way that had not been done before. The result was that the literature could be grouped around eight common themes, which, taken together, provided an emergent sense of a theory of educational change. A thorough application of the grounded theory metaphor may provide a more well-rounded theory based or “grounded” in the literature, and further research could be undertaken to do this.

Discussion now turns to a consideration of the factors which led to the decision to make the study of educational change, and the roles played by those charged with implementing it, the focus of the present research.

2.2 Educational Change

Intense interest in educational change was a pervasive and cross-national feature of the 1980s. During this time, most countries in the Western world reviewed their education systems and made recommendations for change. One effect of the many reports, and the intensive media coverage which typically accompanied them, was to increase community, political and academic debate about the need for change in education. The importance of this was emphasised, for example, in Education in Western Australia (1984, p. 1), in which the initiation and management of change was seen to be fundamental to the enterprise as the system strove continually to assess and reassess its position in an ongoing effort to improve its services to the public. This inclination to view change and its management as a principal business of education systems appears as a consistent underpinning in all of the system-level reviews considered in this study.
Notwithstanding this evident commitment to change among the system leaders, the tendency by the people who are to implement the change to either embrace or resist change always seems to have been a feature of human activity, regardless of whether the affected individuals have viewed the change with consternation, indignation, shock or hope (Hall, Loucks, Rutherford and Newlove, 1975, p. 52). Emphasis on the people who are charged with implementing change (the change implementers), and the impact that their attitude towards the innovation has on its chances of success has been highlighted by Fullan (1982, p. 27), who believed the key to successful change implementation was to avoid relying upon people at all (unless, of course, there were grounds for believing that they were willing to embrace the change).

The difficulties faced by those seeking to implement change are not new. As early as 1513, Niccolo Machiavelli had observed (Vincent, 1952, p. 49) that:

there is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate ... change.

Nevertheless, it is clear that despite the obstacles and dangers, “we do not have the choice of avoiding change just because it is messy,” (Fullan, 1992, p. 2).

Although public and professional interest in the implementation of change can be documented over a number of decades, and while this interest has been both influential and internationally consistent, it would nevertheless be naive to assume that interest alone, even where it is widely endorsed by a system’s leaders, will lead to the effective implementation of change. Regardless of how strongly it is advocated, top-down exhortations to implement educational change are seldom likely to be successful (Passow, 1984, p. 683).

In view of the preceding discussion, an examination of the involvement of the affected individuals, as organisations attempt to implement change, now follows.
2.3 Change Implementer

The focus of attention on the people directly involved in the process of implementing change may help to overcome what Nisbet and Collins (1978, p. 25) believe to be the greatest barrier to successful educational change adoption -- the general approach and underlying philosophy of those charged with the responsibility of implementing change, whereby the attitudes and dispositions of the consumers of the change (change implementers) have been given scant attention and the major focus has been on the innovation itself. In supporting this view, Hall (1976, p. 22) argued that the individual who is to implement the change (the change implementer) must undergo change as well if the desired change is to be effective -- although this, as Hall (1976, p. 22) notes, is seldom recognised. Eastcott and Hall (1980, p. 4), further suggest that the change implementer must be comfortable with the change, accept it, and even adopt it, if successful implementation is to occur.

In view of this, one might wonder if Fullan's (1982, p. 82) statement:

commitment to what should be changed (Fullan’s emphasis) often varies inversely with knowledge about how to work through a process of change (Fullan’s emphasis),

is a self-fulfilling prophecy. This dilemma was echoed by Hall, Loucks, Rutherford and Newlove (1975, p. 52) in their observation that the mere announcement of change by a decision maker does not, by virtue of such announcement, amount to change implementation.

The common preoccupation with ‘change content’ among those who are responsible for promoting, directing or effecting change, combined with their typical underestimation of the importance of the roles played by the intended change implementers, often results in the interpersonal and conceptual/organisational aspects of the planning process being neglected (Fullan, 1986, p. 95). Like Nisbet and
Collins (1978), Fullan also sees this overwhelming preoccupation with the content of change as the most potent barrier to the success of the change effort.

The implications of the findings of Hall (1976) and his co-researchers, and those of Fullan (1986), would appear to be threefold. First, the advocates of change, such as the political leaders and Directors-General of education systems, must endeavour to anticipate what it is that the change implementers are likely to be concerned about as they are faced with or become involved in implementing change. While Newlove and Hall (1976) have identified six different stages of such concerns, Eastcott and Hall (1980, p. 3) have, more importantly, identified six corresponding practical implications associated with them. These are:

- If the implementation approach in the initial stages is largely concerned with content, method and procedures, then this effort is largely directed at the concern areas which are not personally relevant to the change implementer.
- Unless the personal needs of the change implementer are addressed, the usual flourish associated with the introduction of change will only arouse the concerns of the change implementers.
- Change implementers’ personal concerns about the change must be expected and recognised.
- The change promoters or facilitators who design, organise and deliver professional development activities that are intended to support change must avoid designing activities which cater for their own stages of concern, and must focus instead on the stages of concern of their target group.
- There are patterns of stages of concern, and accordingly, the design of professional development and other activities should be varied to ameliorate the concerns of the change implementers.
- Because the effective implementation of the change may take several years, long-term planning to address and ameliorate the participants’ concerns at the different stages of the process must be deliberately built into the overall implementation strategy.
This anticipation of the change implementers’ concerns and their resolution from the outset is seen by Hall (1976, p. 23) to be critical:

the crime is not in having self-concerns, but in others not accepting their legitimacy and (in not) constructively addressing their resolution.

The second implication from the findings of Hall (1976) and his co-researchers and those of Fullan (1986) is that the change needs to be defined from the implementers’ perspective, which is particularly difficult when something that is commonly referred to as a change is actually composed of a variety of different changes. For example, while performance management may imply one change, performance management, as introduced by the Ministry of Education, was actually composed of a number of different changes -- the application process, the nomination of referees/evaluators, the writing of reference/evaluation reports, appeals, and the provision of feedback.

A third implication is that people often suffer from change overload where many changes are being implemented at the same time. This form of Multiple Adoption Design (M.A.D.) was represented by the recommendations of the report *Better Schools in Western Australia: A Programme for Improvement* (1987), and the efforts to implement performance management emanating from *Education in Western Australia* (1984), as widespread changes were implemented across the government school system.

A dramatic example of an approach lacking in concern for the change implementers was the American experience with the Comprehensive School Improvement Program during 1960-1970. Smith (1973, p. 6) cites the Ford Foundation’s report on this program, emphasising the fact that dollars alone do not implement change, as:

nearly everyone thought that with more money, more buildings and more teachers, our nation’s schools could make a few adjustments and changes to produce a better society.
In view of the increasing pressure on education systems to implement changes, in the context of reducing resources, the need to be aware of the importance of, and the potential benefits likely to flow from, a consideration of the role of the change implementers in the introduction and achievement of change, is critical. Focusing on the role of the change implementers may help to avoid following the path of pessimism that was highlighted by Passow (1984). Instead, it may broaden and give further clarity to our theoretical understandings of the process and dynamics of educational change. Before examining the literature that is relevant to this change implementer, in particular, the following discussion begins with an analysis of the literature on educational change, in general.

2.4 Literature on Educational Change

The general literature on educational change has grown rapidly. In the early 1960s, for example, Rogers (1962) reviewed over 500 articles relating to change. Nine years later, this time in conjunction with Shoemaker (in an update of Rogers' earlier work), over 1 500 articles were documented (Rogers and Shoemaker, 1971). As the literature on educational change was being examined systematically in this study, it became apparent that it could be divided into eight groupings which could be placed on a crude, evolving timeline (see Table 1).

2.4.1 Human Relations Group

Studies in this group emphasised change in the context of social relations, group dynamics and communications. For example, see the work of Mayo (1933) with the so-called 'Hawthorne Studies' of the Western Electric Company in the United States of America (Rubeck, 1971, p. 3-5; Hughes, 1976, p. 94-97), where the
<table>
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<td>Mayo (1933) and Coch and French (1947)</td>
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<tr>
<td>1950s</td>
<td>Social psychology</td>
<td>Analysis of groups</td>
<td>Cartwright and Zander (1953)</td>
<td>Receptivity to change is based on developing positive attitudes.</td>
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<td>1960s</td>
<td>Comparative analysis</td>
<td>Analysis of organisations</td>
<td>Etzioni (1961)</td>
<td>Key elements in organisations (such as goals, values, beliefs, social systems, technology) and the relationships which develop between them effect change implementation.</td>
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<tr>
<td>Late 1960s and early 1970s</td>
<td>Anthropology</td>
<td>Case studies of groups</td>
<td>Smith and Geoffrey (1968) and Smith and Keith (1971)</td>
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<td>Late 1960s and 1970s</td>
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<td>Dunn and Swierczek (1977)</td>
<td>Listed characteristics of 67 successful and unsuccessful change efforts, including the role of change agents.</td>
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<tr>
<td>Late 1970s and 1980s</td>
<td>Professional development, leadership and characteristics of successful change</td>
<td>The role of professional development, leadership and characteristics of successful change schools</td>
<td>McLaughlin and Marsh (1978) and Fullan (1986)</td>
<td>Professional development must not be undertaken away from peoples’ day-to-day activities.</td>
</tr>
<tr>
<td>Late 1980s</td>
<td>Schools as pivot of the change process</td>
<td>How schools implement change successfully</td>
<td>Stoll and Fink (1988)</td>
<td>Listed how schools created and received change and identified the elements of school culture which effect change implementation including strategic planning.</td>
</tr>
<tr>
<td>1990s</td>
<td>Culture of educators</td>
<td>Focus on the culture of educators</td>
<td>Fullan and Stiegelbauer (1991)</td>
<td>Allowing everyone to become expert in knowledge about change is successful.</td>
</tr>
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</table>
development of communications, group dynamics and social relations effected change implementation.

2.4.2 Social Psychology Group

This group is exemplified in the analysis of groups by the work of Cartwright and Zander (1953), whereby receptivity to change was seen to be dependent upon the development of positive attitudes.

2.4.3 Comparative Analysis Group

In this group, organisations were analysed whereby change was considered in relation to key elements such as organisational goals, values, beliefs, social systems, and technologies and the development of differing relationships between them. Etzioni (1961), for example, used compliance as a basis for comparison.

2.4.4 Anthropological Group

In this group, case studies were used to generate descriptive theories about educational change. Here, the work of Smith and Keith (1971) in their study of an elementary school’s attempt to implement many changes rapidly, and Smith and Geoffrey (1968) in their study of a single classroom in a slum school, are significant.

2.4.5 Implementing Specific Changes Group

Typifying this group was much of the research of the 1960s and 1970s where many studies sought to discover how specific curriculum, pedagogical or technological changes were implemented. Dunn and Swierczek (1977), for example, analysed 67 successful and unsuccessful change efforts.
2.4.6 Professional Development, Leadership and the Characteristics of Successful Change Group

A shift from a focus on change itself towards a more people-oriented focus began in the early 1970s and intensified as the decade progressed, with the importance of professional development, the acknowledgment of the place of leadership (in particular, principalship), and the features characterising successful schools becoming a persistent preoccupation of some researchers (McLaughlin and Marsh, 1978; and Fullan, 1986).

2.4.7 Schools as Pivot of the Change Process Group

More recent research efforts (Stoll and Fink, 1988) have not only identified how schools create and receive change, but have also identified the elements of school culture which are crucial aspects of successful change implementation.

2.4.8 Culture of Educators Group

In even more recent writings, Fullan and Stiegelbauer (1991) emphasise that change can be successfully implemented only when one also changes the working culture of the educators. They claim that the way to do this is to involve all personnel (the change implementers) in the study of change, thereby allowing the affected staff to "work their way into" the new culture.

2.5 Implicit Theories of Educational Change

Unlike hypothesis-testing studies (where the associated literature is used to develop a rationale for the study and the review is completed prior to the data collection and analysis), researchers using grounded theory methodology turn to the literature to find support for the theory as it is emerging and interweave the literature and the empirical data together (Hutchinson, 1988, p. 137).
In this study, it became increasingly apparent to the researcher during this ongoing process that, apart from being able to place the literature on a crude time line which could be divided onto eight groups, the literature, regardless of its underlying methodological approach, could also be divided into eight major themes. While these themes did not emanate from an application of grounded theory methodology in a pure sense, a grounded theory methodology mind set was adopted by the researcher and this led to the literature being reviewed in a way which appears not to have been done before.

An expression of these themes is diagrammatically shown in the model in Figure 1. The structure shown in Figure 1 was adapted from the reported work of Chenitz and Swanson (1986), who constructed a grounded theory of nursing practice. While Chenitz and Swanson did not identify the specific themes that have been extracted in the present review, the notion of displaying information in the form that they developed (whereby themes are connected to formal theory through some form of intermediate level of theory; that is, mid-level theory) may help others who examine the literature on educational change to draw some links between individual reports of studies, the themes to which these individual reports belong, and how these themes, in turn, relate to formal theory about educational change. The eight themes that were found in the literature have been connected to the formal theory of educational change through a mid-level theory (see Figure 1). The connection of the eight themes through mid-level theory has been depicted by using double-headed arrows to signify that the themes themselves influence the mid-level theory, and that the mid-level theory itself influences the themes. In other words, the mid-level theories influence the formal theory of educational change, while at the same time the formal theory also influences the mid-level theories. This interactive state is to be expected as change is a process of continuous evolution. The local, national and
Figure 1: Model I -- Literature Model: A Model of Educational Change by Grouping Themes Identified in the Literature

(Based on Chenitz and Swanson, 1986)
international interests in educational change have contributed to this dynamic state and the continual expansion of research into the implementation of educational change.

Within the eight principal themes that were identified in the literature, 39 dimensions were further identified on the basis of the links that they clearly possessed to other reported research within the overall theme or group to which they relate. The eight groups with their associated dimensions are shown in Figure 2 and the literature supporting the groups and their dimensions is presented in Appendix 2.1 through to Appendix 2.8. The labels assigned to each theme are indicative of the focus of the literature contained in the various themes and their dimensions. The development of these figures has also been based on the diagrammatic representations used by Chenitz and Swanson (1986), but it does not represent any of their findings. The use of double-headed arrows signifies the interactive influence that each of the dimensions has on the major theme, and the major theme’s influence on the dimensions.

A consideration of the literature that is allocated to each of the eight themes (see Figure 2) now follows, with the Change Implementer theme considered first.

2.5.1 Literature on the Change Implementer

Change implementers are the people whose job it is to bring about (that is, to design, develop, implement, support, and promulgate) the change itself. Within the literature allocated to the Change Implementer theme, eight dimensions have been identified (see Appendix 2.1). These dimensions include:

- involving people;
- professional development;
- efficacy (a belief that change is not only worthwhile, but is also possible to achieve);
Figure 2: Subthemes of the Eight Major Themes Involved in Educational Change
pressure for change to occur;
mutual adaptation (whereby people modify the change being implemented to suit their own purposes);
self-appraisal;
understanding conflict; and
non-manipulatable factors (things which cannot be altered).

If change is to be implemented effectively, a knowledge of how these factors operate and a determination to exploit them (where they are manipulatable) is valuable to those individuals charged with the responsibility for change implementation. The eight dimensions are as follows.

2.5.1.1 Involving People (Change Implementer Dimension 1)

Most of the literature reviewed and grouped under this dimension for the study mentioned -- from one point of view or another -- the importance of involving people in a meaningful way in the change being implemented. However, this importance was not stressed clearly. This was a theme in the early studies of Lewin (1947); the research on pyjama factory workers by Coch and French (1947); the work of Dunn and Swierczek (1977) in their retrospective case analyses of 67 successful and unsuccessful change efforts reported in the literature; the studies of Beeby (1987), Fenstermacher (1987), Heaven (1987), Huczynski (1989), Baker (1989), and Chase (1990); and in recent research such as the Effective Schools Project reported by Stoll and Fink (1992 and 1994).

According to Neale and Bailey (1983), for example, an organisation should capitalise on the experiences of participants involved in successful change. When the pyjama factory workers (Coch and French, 1947) were informed about and understood the goal, and had some say on participation in the change process, they were more receptive to the change. Kotter and Schlesinger (1979) advocate
educating people about the logic behind the change and not only allowing staff to participate in the change decisions, but also providing them with counselling and a social support system, especially where the change process may be stressful. Fenstermacher (1987) and Beeby (1987) also stress the importance of encouraging and helping participants to develop an understanding of both the need for change and the change itself.

Hall, Loucks, Rutherford and Newlove (1975), Hall (1976), Eastcott and Hall (1980), Stanisla and Stanisla (1983), and Shanker (1986) all stress the importance of involving people in the implementation of change. Hall (1976), in the Concerns Based Adoption Model (CBAM) Project at the Texas Research and Development Centre, examined what happened to the individual teacher and professor involved in change, and developed procedures for the identification of the concerns that these people had about the change with which they were confronted. Hall (1976) concluded that the six stages of concern which he had identified must be anticipated and resolved, if successful change implementation was to occur.

Similarly, Berman and McLaughlin (1978) and Fullan (1982) identified the need to resocialise members of an organisation (the change implementers) towards change -- Fullan proposing that this resocialisation (or interaction as he defined it) was essential, inasmuch as most changes are conceived and initiated from outside the school. In a similar vein, Caldwell, Lehr and Blust (1982) suggest that the opinions, observations and perceptions of the people who implement change are of critical importance to those responsible for implementing change. These researchers all stress the need for people to be responsible for aspects of the change process.

Support for involving people in the setting of goals is provided by Carey (1985) in an investigation of factors that affect primary school teachers' educational use of computers, and by Chase (1990) who concluded that teachers need to be able to
articulate for themselves what change means for them in terms of how it will improve the way they teach and the improved outcomes for their students. Bien (1986), in a case study of a government program of educational welfare in non-privileged communities in Israel, argued that such participation must be seen to be real by the people who are implementing change -- simply "playing participatory games" (p. 74) was not enough.

Finally, Crossley (1984), in a case study of pilot projects in Papua New Guinea, maintains that success in change implementation usually involves large numbers of people who may lack the skills and enthusiasm of the original pioneers, and that genuine involvement in the process is usually essential.

While involving people; that is, the change implementers, is important, how the change implementers are professionally developed is also important, and a consideration of this now follows.

2.5.1.2 Professional Development (Change Implementer Dimension 2)

Professional development of change implementers has been highlighted in the literature as being a major factor contributing to the successful implementation of change. For example, Baker's (1985) process for developing recommendations for change, and Fullan's (1986) review of the literature on implementing change, both stress the importance of strong professional development of the change implementers, if educational change is to be effective. Huczynski (1989) and Boot and Evans (1990) also argue for the provision of relevant professional development and training for those change implementers who are expected to be involved. Spady (1985), in a national review of education reports and research in the United States of America, points to the active role that assistant managers/leaders can play in implementing change. However, he also points out that extensive retraining and professional
development is needed in order to develop the necessary expertise, if the role is to be effective.

An earlier study by McLaughlin and Marsh (1978) showed that, for professional development to have a substantial impact, the associated activities must not be undertaken in isolation from the change implementers' day-to-day activities. Smout, Mellstrom and Elliott (1989) report on the successful role that professional development can play when facilitating the implementation of change. Stoll and Fink (1992, 1994), in their study of the Halton School District's approach to effecting school change, report on the benefits that ongoing professional development of change implementers can acquire in implementing major change. That is, while professional development is important to the successful implementation of change, such development must involve, and be directed towards, the change implementers.

Apart from factors over which we have some control, such as professional development, there are also non-manipulatable factors.

2.5.1.3 Non-manipulatable Factors (Change Implementer Dimension 3)

Research by Hearn (1972) found that the extent to which change occurs can be influenced significantly by such non-manipulatable factors as the age, sex, and social class of the people who are involved in the change process -- the change implementers. For example, the successful implementation of change was found to have been achieved by young, male, doctoral degree graduates, who were born in the country (as opposed to urban areas), and who had travelled widely. Monkhouse and Henri (1990) believe that because there are constants concerning human behaviour, and if one is aware of and can harness these, the change process can often be facilitated. For example, adults are pragmatic, live in the here and now, and want to be involved in activities in which they can play an active role.
Furthermore, older people are more reflective on past experiences. In view of these findings, those people who are charged with implementing change must ensure that the pragmatic aspects of the change are clearly evident, and that as the age of the change implementers increases, opportunities for them to draw on their past experiences need to be provided. In addition, if a longer time frame can be allowed by the change advocates, the change implementers will be able to relate to the change and implement it successfully. One way in which change implementers relate to change, regardless of their age and other non-manipulatable factors, is the way that they attempt to adapt the change to suit themselves. A consideration of this process of adaptation follows in the next section.

2.5.1.4 Mutual Adaptation (Change Implementer Dimension 4)

Evidence from extensive research into change in educational settings shows that participants who are faced with change, typically modify the change and/or the change process to suit their own purposes, working styles, or philosophies. This phenomenon – which is termed "mutual adaptation" by Berman and McLaughlin (1978) in their extensive studies of change in American schools -- was also recorded by Gilbert (1982) in a case study of an English comprehensive school which was noted for its frequent adoption of changes. More recently, the study by Sarros (1988), of 80 managers in various Australian industries, found that the most important attribute of successful managers was their ability to adapt to change. Apart from being aware that the change implementer will attempt to adapt the change (and that this can be counterproductive to the original intention of the people who developed the change), and that people also need to adapt to the change, those people who are charged with implementing change also need to be aware of the role that pressure can play in the successful implementation of change. This factor is considered in the next section.
2.5.1.5 Pressure (Change Implementer Dimension 5)

An investigation into the history of projects involving change in twelve school districts in the United States of America was undertaken by Huberman and Miles (Huberman, 1983). Huberman (ibid.) reports that the principal finding was that success often followed strong and continuous pressure on staff, by administrators, and/or system-level administration. In the United Kingdom, legislative change has forced people to comply with and implement change (Young, 1990). This has also been seen in Western Australia where government schools are now legally required to have a body of parents involved in the decision-making process within the school, through the formation of a School Decision Making Group.

In addition to exerting pressure on the change implementer, research has also been conducted into the development of the change implementer’s beliefs about the change that is being implemented. The discussion now turns to this factor.

2.5.1.6 A Sense of Self-efficacy (Change Implementer Dimension 6)

Self-efficacy refers to an individual’s belief that change is not only worthwhile but within his or her power to effect or bring about. Good and Power (1976) argue that a sense of self-efficacy has led educators to make better informed decisions and to monitor their work accordingly. The extensive review of the literature on self-efficacy that was reported by Darling-Hammond, Wise, and Pease (1983) provides substantial corroboration of the self-efficacy viewpoint. For example, they cite Armour (1976) who found that an educator’s sense of self-efficacy was strongly and positively correlated to students’ reading achievements, and not to the teacher’s level of preservice education, specific experiences, or other personal characteristics. Similar findings were reported in the change agent study that was commissioned by the Rand Corporation (Berman and McLaughlin, 1978), where
educators' sense of efficacy was reported to be far more important than their experience or their verbal ability in articulating the achievement of set goals, improving student performance, and the amount of teacher change that was generated. Diamond (1982) and Beeby (1987) also reported that a belief in change, being both worthwhile and possible to implement, can have an impact in implementing change. More recently, in Queensland, Bartlett (1991) reported on the implementation of a school-based curriculum change, and analysed the mode of reasoning which guided this change implementation. While Bartlett (ibid.) found that the dominant form of reasoning was a belief in the value of bureaucratic processes, this was, nevertheless, a form of efficacy.

Following on from a consideration of the beliefs that a change implementer has about a change is a discussion of the value of the change implementers being involved in a process of reflection and analysis of their behaviour, and their role in the implementation of change.

2.5.1.7 Self-appraisal (Change Implementer Dimension 7)

Common (1983a, p. 8) states that several studies have found that self-appraisal of performance by those who are involved in implementing change is “much more effective in bringing about improvements than traditional performance appraisal methods”, in the implementation of change. According to Kemmis (1985) action research that is based on self-reflection is an especially effective way of achieving educational reform. In their study of the level of difficulty that school principals have in implementing change, Murphy and Fletcher (1989) argue for a period of time for reflection in order to enable people who are involved in implementing change to assess the change, determine the consequences, and
assimilate new behaviour or the innovation itself into their lives. A study by Stoll
and Fink (1992, p. 38) reports that:

the centrepiece of our work ... is the teacher as learner, with an emphasis on
reflective practice.

Finally, the literature has also emphasised that an understanding of conflict is also
important, if change is to be successfully implemented.

2.5.1.8 Understanding Conflict (Change Implementer Dimension 8)

A significant finding in the study of a physical education department of a
large secondary school by Sparkes' (1987) was that attempts to implement change led
to conflict, particularly in situations where staff had ideological differences. In
supporting this, Bien (1986) concluded that conflict in a situation of change was
natural and that, in addition, conflict was accentuated by a work environment that
was characterised by uncertainty about decision making and demanding superiors.
The survey by Robbins (1988) for the American Management Association found that
typical managers spend approximately 20 percent of their time dealing with conflict.
Moberg and Caldwell (1988) acknowledge the significance in understanding conflict
and provide both structured and interpersonal techniques for managing it. They claim
that the use of these techniques will facilitate the implementation of change.

2.5.1.9 Conclusion

The literature (Coch and French, 1947; Nisbet and Collins, 1978; and Bien,
1986), without specifying the term 'change implementer' or clarifying the role of the
change implementer in implementing change, advocates that people who are involved
in implementing change should be involved in the change. Other factors affecting the
change implementer include the provision of professional development; pressure by
administrators; an opportunity to understand conflict; an opportunity for reflection
and self-appraisal; and the development of self-efficacy. Other related factors include
the presence of mutual-adaptation, and the change implementer’s age, sex, and social class.

An awareness of the importance of the change implementer in the implementation of change, and the factors which influence the degree to which the change implementer can be successful in the implementation of change are important if change is to be implemented successfully. However, while the literature has dealt with the people involved in implementing change, the links to the change implementer have largely been implicit and based on positivistic approaches -- something which has hindered the successful implementation of change.

A consideration of the next category that was identified in the literature -- Cures -- now follows.

2.5.2 Literature Involving Cures

The metaphor, cures, was adopted in this study to reflect the natural progression from the diagnosis of a problem to the search for a cure to rectify the change implementation situation that was present. Indeed, the theme, cures, could almost be referred to as the preoccupation of the 1970s as researchers endeavoured to identify the common ingredients that were present where change had been implemented successfully. Within this theme, four dimensions of cures have been identified (see Appendix 2.2). The four dimensions are:

- organisation development, whereby change was viewed as “evolutionary rather than revolutionary” (Dunphy, 1981, p. 45) and incorporated a broader theoretical framework and more elaborate methodology of change implementation than the human relations approaches;
- change agents, who are not just involved in the implementation of change like the rest of the organisation’s staff. These people have been specifically appointed to bring about the change and therefore, may be external
consultants employed for a set period or they may be internal staff within the organisation who have been contracted to do this work;

- strategic planning, which projects a vision of the future for the organisation over a five-ten year period considering questions such as “what business the organisation should then be in, what its goals should be, and how it should get to them” (Corbett, 1992, p. 87); and

- blueprints, which provide a prescribed plan of action which, if followed correctly, will lead to the successful implementation of the change being considered.

2.5.2.1 Organisational Development (Cures Dimension 1)

Lewin (1947) believed change resulted from an imbalance between driving and restraining forces and developed a ‘force-field’ theory of ‘freezing -- implementing the change strategy -- and refreezing’ in order to control the implementation of change. The early organisational development work by Lewin (ibid.) was later elaborated upon by Huse (1980) and Schein (1980). The common threads to the organisational development cures emphasise organisation-wide planning, which is managed from the top to improve the organisation’s effectiveness and health, through the use of planned interventions (Beckhard, 1969). Other characteristics emphasise conflict resolution and power distribution. Barnes (1969) refers to the varying degrees of participation in which the change implementer can be involved, in order to shift the power distribution within an organisation.

Other proponents of the organisation development model advocate its use in problem solving and the process of organisational self-renewal (Owens and Steinhoff, 1976). Elden (1986), in a comparative analysis of change-implementer managed change in four countries, found that organisational development does not improve the distribution of power, but actually increases the differences in favour of the powerful. Quinn and McGrath (1982) were critical of organisational development because of its simplistic solution approach. Regardless of the advantages and disadvantages that
organisational development research has identified, the major problem is the premise underlying the research approach to such identification. The earlier reference to Baldridge and Deal (1975) and their analogy of a magician with a “black bag of tricks” reinforces this premise, where solutions are prepackaged, and the organisational development specialist supposedly knows just which trick is the correct one. The change implementer’s involvement is minimal.

2.5.2.2 Change Agents (Cures Dimension 2)

In terms of preconceived attitudes to implementing change, the change agent’s style is similar to the organisational development approach. Early research describes the personality and psychological traits of change agents (Miles, 1964b), for example, benevolence, the ability to enlist the support of others, intelligence, verbal fluency, creativity, and enthusiasm, whereas Havelock (1970), and Zaltman and Duncan (1977) dwell on what it is that change agents do.

More recently, in a participant observation study of the adoption and implementation of change in nine public school districts in America, Carroll (1985) compared the initial support and mobilisation for change with the situation two years later. He found that change agents who were employed throughout the entire change process were more likely to continue to implement and expand the changes that were being implemented, than were agents who were employed on an ad hoc basis. Also highly effective were inside change agents; that is, change agents who were employees of the organisation, rather than those contracted for a specific task, in the successful implementation of change. Hunsaker (1982) also proposed that an “insider” — an individual already working in the organisation — may be a better change agent than an “outsider”.
Dunn and Swierczeck (1977) identified the participative change agent style; that is, a change agent who participated in the life of the organisation as opposed to only involving themselves directly in the task for which they were contracted, as being the only effective orientation in the change agent approach. The works of Neagley and Evans (1970), Phelps (1972), Tye (1972), and Thomas (1973), while not referring to the change agent per se, list the characteristics of the effective educational manager/leader in implementing change. These characteristics include, strong and informed leadership; identifying areas for implementing change; planning the supervision of the change; evaluating the outcome; providing efficient avenues of communication; managing and resolving intergroup conflict; facilitating decision making; providing resources, and so on. The parallels to the role of the change agent are quite clear. Nevertheless, the lack of any statement on the educational manager/leader as the change agent is interesting to note, in view of this de facto change agent role.

2.5.2.3 Strategic Planning (Cures Dimension 3)

Most recently, the emphasis in the category of cures has shifted to strategic planning. Stoll and Fink (1992, 1994) state that the greatest benefit to be gained from strategic planning is that because the plan has been developed collaboratively and involves the entire school staff:

immediately it can become a common mission that reflects the shared values and beliefs of the teachers (Stoll and Fink, 1992, p. 25).

2.5.2.4 Blueprints (Cures Dimension 4)

The literature on the change agent is an example of a specific cure, as is the literature on organisational development and strategic planning. There are more encompassing approaches to remedy the problem of implementing change, and various researchers present major and minor blueprints that are based on their own
(and others) research. For example, Bassett (1971), Havelock (1973), Chin and Benne (1976), Havelock and Huberman (1977), Zaltman and Duncan (1977), Grosspickel (1982), and Stanizlao and Stanizlao (1983) all provide some variation on the cure theme of providing a blueprint to implement change.

2.5.2.5 Conclusion

The prepackaged approaches of the organisational development proponents and the use of blueprints for change implementation do not focus attention on the role of the change implementer. Instead, like the change agent style and the strategic planning approach, they focus attention on the cure methodology and not on the people who implement change (the change implementers). These four dimensions could benefit from the inclusion of grounded theory approaches to provide a different approach to investigating the implementation of change.

2.5.3 Literature Emphasising Terminology

The theme, Terminology, refers to the different perceptions from which change can be viewed, and includes two dimensions:

- studies where definitions of terms (in particular, goals or aims -- the products of change) were featured; and
- studies which emphasised change as a process.

Both dimensions are shown in Appendix 2.3.

2.5.3.1 Change-as-Product (Terminology Dimension 1)

The first dimension focused on products and dealt with the involvement of the change implementer. Coch and French (1947) found that the change implementer who understood the goal, implemented the change more successfully. Carey (1985) took this finding a step further, by proposing that the change implementer actually be involved in writing the goals. The work of Gross, Giacquinta and Bernstein (1971),
in their case study of a primary school that was attempting to implement a role model of behaviour for teachers, emphasised the problems associated with poorly defined change goals. Hall (1976) stated the need for change to be defined from the implementer's perspective, which is particularly difficult when something is commonly referred to as a change actually is composed of a variety of different changes. This is a situation which is further complicated (as Hall states is frequently the case) when educators and educational managers/leaders suffer from system overload, when there are so many changes being implemented at the same time. The report on the Halton project, (Stoll and Fink, 1994, p. 154) points to the importance of schools having a developed set of clearly defined goals.

2.5.3.2 Change-as-Process (Terminology Dimension 2)

Second is the confusion over the goals (the intended end products) of the change, and the means of implementing the change (the chosen change process). The recent public and research interest in change which was generated by the educational reform reports must be carefully managed as it is especially important that the ends and the means to accomplish the recommendations of these reports are not confused. For example, the analysis of school reform reports (Cross 1984), and the case study of state-level reform in America (Highsmith 1985), which examined the conflicting intents within the overall reform effort related in part to the competing notions of excellence and equality, and found that such confusion led to the ineffective implementation of change. Psacharopoulos (1989) reviewed the educational policy statements of several East African countries, and found that the reason why most educational policies were not implemented in these countries was that they were vaguely stated. The study by Psacharopolous is of particular importance in the present context as he emphasised the importance of clear articulation of the policy
being implemented. In particular, he illustrated how a failure to articulate key concepts can seriously impede policy implementation. Accordingly, Australian policy makers ought to pay particular attention to clearly articulating key concepts and issues when embarking on change programs, in order to ensure the successful implementation of the change. Cullen (1990) stresses the need for the goals or end products to be highly visible to the people who are involved in the change implementation process.

This awareness of the importance of not confusing goals (ends) and the change process is stressed in the work of Miles (1964a), who found there was too much emphasis on the content of the change being considered, and not enough on the features and consequences of the change process. The implementation process involved in the Review of School Based Assessment Project (Bartlett, 1991) focused, in particular, on the reasoning which guided the management of this change. The process of change is the subject of much of the work by Hall (Hall, Loucks, Rutherford and Newlove, 1975; Hall, 1976 and Eastcott and Hall, 1980), and Fullan (Fullan, 1982; Fullan, 1986; and Fullan and Stiegelbauer, 1991).

2.5.3.3 Conclusion

The need for clearly defined goals that have been the result of change implementers’ involvement is evident from the literature. Similarly, the need to avoid confusing goals with the means of attaining them is also critical, as is the importance of recognising that change is a process that is directed and managed by change implementers, and that the change is the desired result or product of the change implementers’ change efforts.
2.5.4 Literature about the Organisational Setting

The theme, Organisational Setting (which is the setting in which the organisation operates), includes such dimensions as:

- politics (defined in this context by Pfeffer, 1981, p. 70) as:
  those activities taken within organisations to acquire, develop, and use power and other resources to obtain one’s preferred outcomes in a situation in which there is uncertainty or dissensus about choices;

- culture (in the sense used here), refers to:
  what we experience as the ‘way things are’ in an organisation, the written and unwritten rules that regulate behaviour, the stories and the ‘myths’ of what an organisation has achieved, the standards and the values set for its members (Dalin, Rolff and Kleekamp, 1993, p. 97);

- context (the types and levels of group interaction; that is, the organisation’s social context);

- power (the relationships which exist between and among the various individuals and groups within the organisation);

- structural change (the management structure adopted by the organisation); and

- survival (simply, whether the organisation continues to operate or goes out of business).

All of the above dimensions have been identified in the literature as contextual features which can significantly influence the success or otherwise of a change effort (see Appendix 2.4). The following section presents a consideration of these dimensions and the way that they operate to condition the change process.

2.5.4.1 Politics (Organisational Setting Dimension 1)

The interplay of politics and the implementation of change can be profound. For example, Crossley (1984, p. 538) concluded that political factors in the setting that was studied warranted special attention. In particular, Crossley maintains that change is a:
politically charged issue and the continuity of educational policy is highly dependent upon political continuity and stability. Moreover, contemporary trends do influence policy makers and ... while educational innovators benefit from the impetus of prevailing fashion ... what is carried along on one wave may be swamped on the next.

This observation is extended by Busher (1991, p. 249) who claims that:

change processes in institutions are essentially political -- negotiations about the redistribution of power -- not mechanistically managerial.

How skilfully principals handle the political volatility of some of the issues that are involved in a change process is a demanding area, as was identified in a study of Canadian school principals by Murphy and Fletcher (1989). Societal forces which impinge on schools include new legislation, competition for limited resources, greater demands for accountability, increased parental involvement in schools, and an emphasis on 'productivity' which is associated with demands for salary increases through the industrial arena.

When setting targets in the change process, Cullen (1990) suggests that these need to be highly visible from a political point of view. This view is taken further by Young (1990, p. 47), who notes that implementing policy -- in particular, new policy -- is dependent to some degree on compliance with legislation resulting from political pressure. Recent work by Stoll and Fink (1994), where they review their work with the Halton Board of Education, suggests that there is a need for further study regarding the use of politics to mobilise the various interest groups, both within and outside the school system that is expected to implement change.

2.5.4.2 Culture (Organisational Setting Dimension 2)

Tichy (1983) observed that culture was, in the world of social research, the “idea with currency” for the 1980s; that is, the literature was enamoured with the concept. Fullan's extensive review of the literature (1986) confirmed this, citing research to support the proposition that the organisation's culture (also referred to as
ethos, or tone) can reinforce and strengthen the organisation's attempts to implement change (if, of course, it is the right culture). This occurs because the culture of the organisation underpins effective professional development and effective educational manager/leader roles, by embodying the organisation's values, norms and practices. This view is reinforced in Fullan and Stiegelbauer (1991) and Stoll and Fink (1994).

2.5.4.3 Context (Organisational Setting Dimension 3)

In a similar manner to culture, the social context (the types and levels of group interaction) of the organisation is important. According to Zaltman and Duncan (1977), if change is either to occur or be maintained, then the active role which is played by a person's group of significant others (those people who make a significant impact on the individual and his/her role) is the reason for this occurring. However, as Carnall (1982) points out, there is seldom a singularity or unanimity of organisational purpose and, furthermore, most organisations function as sections or departments, not as a functioning "whole".

2.5.4.4 Power (Organisational Setting Dimension 4)

Gray and Hay (1986), in a case study of the National Coal Policy Project in America, analysed intra-organisational power and the political issues which arise as a result of unequal power distribution among individuals in an organisation, similarly argue for a diagnosis of the social context; that is, domain-level dynamics. According to Gray and Hay (ibid.), this diagnosis should identify the significant others, and then the relatively weak individuals (those lacking organisational power) should be made more aware of their interdependence on one another. Also, the power of these relatively weak individuals should be increased.

At a more personal level, Huczynski (1989) found that change implementers need to be aware of the types of interpersonal relationships in which they are
involved as they attempt to implement change, and the power interplays which occur with their fellow employees. This emphasis on power in the overall area of organisational setting has been described as important by a number of researchers. The research findings on power concur with those already cited by Gray and Hay (1986), and where the differences in power within an organisation can lead to conflict and inhibit the implementation of change (Sparkes, 1987).

The study of power and its effect on change implementation is highlighted by Common (for example, Common, 1983a; and Common, 1983b). Power differences within an organisation are the focus of a study of the effects of a three-year organisational development intervention on power equalisation in seven experimental and seven control schools, by Bartunck and Keys (1982), who found that such development can help reduce these differences. Conversely, a comparative analysis of the participatory model of worker-managed change in Norway, Denmark, Australia and Germany (Elden, 1986) found that organisational development contributed to power differentiation.

Furthermore, Elden (ibid.) argued that, under conditions of unequal power distribution, worker participation (change implementer involvement) only further entrenches the differentiation. Stedman (1987) suggests that the reason why the education reform reports in North America have been embraced by the powerful groups is that the reforms advocated that the current position of these groups should not be altered. This viewpoint is supported by Busher (1991) who views change processes as being essentially about redistributing power.

2.5.4.5 Structural Change and Survival (Organisational Setting Dimensions 5 and 6)

Structural change was advanced in the work of Miles (1983) in a study of the ‘institutionalisation’ of organisational improvements in twelve schools, from which
he developed a model of educational change which identified structural change in the
organisation as being a major factor in implementing other forms of change.

Huczynski (1989) and Cullen (1990) also refer to the role of structural change. Louis
(1994, p. 17) argues that restructuring is:

an important precursor to real transformational change rather than the focus of
change itself.

Finally, Handy (1985) stresses the importance of the survival of an organisation itself
as playing an important role in the attempt to implement change as was also
evidenced in research by Boot and Evans (1990).

2.5.4.6 Conclusion

The literature has demonstrated that politics, organisational culture, context,
power, and the degree of structural change in the survival of the organisation are
significant factors in organisational setting, thus influencing the implementation of
change. What has not been clear is the role of the change implementer in each of
these dimensions. This difficulty has been compounded by the lack of differing
approaches to the studies that are included in this dimension, and the use of grounded
theory approaches could add to this discussion.

The area of Infrastructure is another theme evidenced in the literature (see
Figure 1) which will be discussed next.

2.5.5 Literature on Infrastructure

Infrastructure refers to the underlying framework or structure of an organisation
or system that supports the organisation or system -- in this case, the focus is on the
infrastructure which supports the implementation of change. Within this theme, six
dimensions were identified from the literature (see Appendix 2.5). The six
dimensions include:

- time (the time taken to implement a change);
• resource provision/technical factors (the equipment, materials, processes, and technology required to be able to implement the change);
• staff turnover (referring to the number of staff who leave an organisation and have to be replaced with consequential induction and training periods);
• effort (the mental and physical efforts required by change implementers to implement change);
• reflective practice (whereby change implementers are encouraged to reflect on what they have done and what they are about to do); and
• history (what has happened in previous attempts to implement change in either the organisation under consideration or in other similar organisations).

How these dimensions impact on the change implementation process is now considered.

2.5.5.1 Time (Infrastructure Dimension I)

In a participant observation case study of the adoption and implementation of change by nine public school districts in the United States of America by Carroll (1985), the provision of a substantial period of time was identified as a significant factor in the successful implementation of change. In Carroll’s study (ibid.), the employment of the same change agent through the whole implementation process was found to be advantageous in the implementation of change. Similarly, an ethnographic study by Tason (1985) of the introduction of a new policy by the Ministry of Education in Panama, from 1974-1979, showed that an overly short implementation period was a primary contributing factor in the failed implementation of a major change initiative.

Further support for the importance of an extended time frame comes from Beeby (1987), who suggests as much as 20 years may be necessary for some large-scale changes, if they are to be successfully implemented. Schieman (1983) claims that it can take up to 50 years. Indeed, Monkhouse and Henri (1990, p. 144) argue:
that the amount of time allocated for implementation is usually the maker or breaker of change.

This is a view which is also supported by Chase (1990). Louis's review (1994) of two recent studies of change implementation identified time as one of three major infrastructural resources for the successful implementation of change.

2.5.5.2 Reflective Practice (Infrastructure Dimension 2)

Related to time is the ability for change implementers to devote intellectual thought to their activities (Murphy and Fletcher, 1989). This is a view which is strongly supported by Stoll and Fink (1992, p. 38) who found that an emphasis on reflective practice was crucial for successful change implementation.

2.5.5.3 History (Infrastructure Dimension 3)

The history of change implementation is also important, as there are a number of:

'change survivors', -- cynical people who've learned how to live through change programs without really changing at all (Duck, 1993, p. 111-112).

Individuals who are charged with implementing change need to be aware of the positive or destructive role that such people can play, and harness or modify their energies accordingly. Crossley (1984) found that new staff needed particular attention as they did not have either the understanding or the commitment of the original pioneers.

2.5.5.4 Staff Turnover (Infrastructure Dimension 4)

The effect of staff turnover during or after implementation needs to be highlighted (Fergusson, 1984) because of its potential impact on an organisation's institutional memory. Louis and Miles (1990, p. 186) found that a lack of organisational memory, or negative and bitter memories were prominent features of two schools which were the worst performed in their case studies of five high schools
in the United States of America. Although Stoll and Fink (1992, 1994) concluded that too many staff changes can have a negative impact on the implementation of change, if it means that momentum and direction are lost, then some mobility of staff should be encouraged to provide new experiences and professional growth, as well as being an antidote to complacency.

2.5.5.5 Resources/Technical Factors (Infrastructure Dimension 5)

The typically small amount of money that is available to implement major change after the current operations and normal maintenance costs had been met was identified as an inhibiting factor by Miles (1964b), Murphy and Fletcher (1989), and Psacharopoulos (1989). Infrastructural factors that are usually dependent on the supply of available money, for example, levels of staffing, technical assistance, and the provision of equipment were identified as being significant contributing factors in the successful implementation of change in Feliciano-Valera's analysis (1985) of the formulation, design, and implementation of a reform program (the Elementary Schools Project) in public organisations in Puerto Rico. However, while money is important, it is not as important as Louis and Miles (1990) have contended, as new ways of organising may be beneficial. Stoll and Fink (1994, p. 159) state:

> to argue that large sums of money are vital to change is to provide an excuse for inaction. The Halton (that is, the Halton Board of Education) experience seems to disprove the need for large sums of money to effect significant change.

Perhaps equally as important as the official provision of technical assistance and equipment is the practical proximity or ongoing accessibility of such resources to the individual teacher's classroom. This proximity may even extend to the possibility of home use of equipment by educators after hours, as evidenced in Carey's research (1985) of primary school teachers' use of computers. Apart from the provision of resources, which is a notion supported by Miles (1983) and Tichy (1983), Sharan and
Hertz-Lazarowitz (1982), in their investigation of an effort to change instructional methods from whole-class presentation to small-group teaching in three lower class neighbourhoods in Israel, found that the resources must be effective. However, emphasising the importance of resources too strongly can be a mistake which has been highlighted by Smith (1973) in regard to the Ford Foundation’s observation that more money, more equipment, and more teachers do not (alone) lead to the successful implementation of change.

2.5.5.6 Effort (Infrastructure Dimension 6)

Another aspect of the theme, Infrastructure, is the effort that people expend in implementing change. The three-year study of a planned organisational change in a large, inner-city high school of some 2 000 students and 100 staff by Crawford, Miskel and Johnson (1980) noted the great amount of hard work (or effort) that was required by the change implementers to ensure success. Similarly, the case study by Smout, Mellstrom and Elliott (1989) of a smaller secondary school in England (approximately 70 staff) also noted that the ‘drive’ of the key change implementers was critical. Murphy and Fletcher (1989) also noted that a large amount of energy was required by the change implementers to implement change.

2.5.5.7 Conclusion

The literature has identified the need for a long time frame (including some provision for reflective practice and an awareness of the history of previous change efforts), staff turnover (neither too little nor too much being good), the provision of resources, and technical factors and effort as important ingredients in the implementation of change.

These six dimensions of the theme, Infrastructure, must also be accompanied by ‘Dialogue’, and is discussed next.
2.5.6 Literature Focusing on Dialogue

Dialogue was selected as the title for this theme within the literature because the theme involved more than conversation or even communication. It refers to the exchange of ideas and opinions about the implementation of change. The literature allocated to this theme has six associated dimensions (see Appendix 2.6). The six dimensions are:

- values (the ideals, customs and mores of social life);
- advocacy (the support or extent to which something is recommended as being desirable);
- communication;
- couplings/linkages (the notion of couplings/linkages has been taken from the literature where it has been used to refer to the system for connecting, linking or uniting the communication occurring in an organisation);
- trust (the confidence and reliance that change implementers have in believing that the organisation will behave with integrity and predictability); and
- collaboration (working together with other people).

2.5.6.1 Couplings/Linkages (Dialogue Dimension 1)

A three-year study by Wilson and Corbett (1983) of change in fourteen educational settings, that examined the relationships between communication couplings -- which they defined as the system for connecting or uniting the communication occurring in an organisation -- found that tight couplings facilitated the implementation of change. In contrast, an extensive review of the literature by Darling-Hammond, Wise and Pease (1983) argues that the loosely-coupled system described by Weick (1976) was more accurate than the traditional view of a rational-bureaucratic organisation because such a system had the following features: tight links (both vertical -- up and down the levels of the organisation -- and horizontally
-- across each of the levels in the organisation) between functions and staff; clear and consistent lines of authority and communication; consensus about organisational goals; and regular task evaluation. Darling-Hammond, Wise and Pease (1983) further argued that the loosely coupled system was more accurate because, in order to survive in a constantly changing pluralistic environment, the organisation must have a logic of confidence where control is exercised over the communication processes, for example, staff certification and program definition. In addition, loose coupling allows for better organisational response to environmental pressures, such as the informal pressures of parents’ and teachers’ desires; and, finally:

Educational organisations respond to external institutional pressures with programmatic or categorical change. They respond to local changes in teacher or parent preference with activity change. Each part or level of the system responds relatively independently to its environment. Thus, the greatest part of organisationally planned change in instruction is never really implemented and the greatest part of change in instruction is not organisationally planned (Darling-Hammond, Wise and Pease, 1983, p. 318).

Although the argument of Darling-Hammond, Wise and Pease (ibid.) is plausible, the final sentence in the above quotation holds the key to the loose coupling-tight coupling dilemma. If the greatest part of organisationally planned change is never really implemented and the greatest part of change in education is not organisationally planned, then the mutual adaptation findings of Berman and McLaughlin (1978) and Gilbert (1982) take on a more powerful significance, as change implementers adapt the change process to suit their own purposes, working styles or philosophies.

2.5.6.2 Advocacy (Dialogue Dimension 2)

The importance of advocacy is stressed by Duck (1993) and Finch (1981) in an examination of the role of the administration of a school as it impacts on teacher initiation and development of an optional education experience program in a junior
high school. Finch (ibid.) cites the work of House (1974) and Gross, Giacquinta and Bernstein (1971) as support for the proposition that the implementation of change has a minimal chance of success, if administrators do not have a strong advocacy for this change, which is a finding of Duck’s research (1993).

2.5.6.3 Communication (Dialogue Dimension 3)

The importance of communication underpins the contentions of the tight coupling-loose coupling and the advocacy proponents arguments. Nevertheless, this observation is critically important. Apart from the role played by formal communication (Kotter and Schlesigner, 1979), the importance of gaining a better understanding of informal interpersonal communication is stressed by Czepiel, in Zaltman and Duncan (1977). Dunsing and Matejka (1989) discuss the dangers of a change being labelled a fad, by describing this as a ‘curse’ which can kill organisational change. Duck (1993, p. 111) encapsulates the importance of communication, stating that “everything managers say -- or don’t say -- delivers a message.”

2.5.6.4 Trust (Dialogue Dimension 4)

Kotter and Schlesigner (1979), and Kaufman (1985) found that trust must be present if change is to be effectively implemented. Duck (1993) also advocates building a climate of trust, with the organisation displaying predictability of behaviour and a capability to do what it says it is going to do.

2.5.6.5 Values (Dialogue Dimension 5)

Apart from trust, the values exhibited by management, staff and the organisation are also an important factor identified by Stoll and Fink (1990). Furthermore, Duck (1993, p.113) claims that:
the most successful change programs reveal that large organisations connect with their people most directly through values, and that the organisation's values must be communicated clearly to the change implementers.

2.5.6.6 Collaboration (Dialogue Dimension 6)

Kanter (1984) points to the benefits that are derivable from a collaborative approach to the implementation of change. While the Victorian Government may have legislated for collaborative decision-making processes in management (Chapman, 1986), some large-scale change programs, such as that reported by Boot and Evans (1990) of a major airline's attempt to survive, have deliberately sought a collaborative style. Stoll and Fink's research (1992) supports their previously reported finding, in 1990, that collaboration, especially in planning and professional development, plays a powerful role in change implementation. If change implementers can communicate clearly and work collaboratively with one another, then the change being implemented will be implemented successfully.

2.5.6.7 Conclusion

Regardless of the advantages and disadvantages of loose couplings-tight couplings, if the dialogue about an administrator's advocacy, values and trust is not clear and is not communicated effectively, if decisions are not made collaboratively, and if the power of informal interpersonal communication is not understood, the role of the change implementer and the eventual implementation of change will be constricted. Not only has it been possible to identify factors in the literature which impinge on the ability of the change implementer to implement change, the role of the change implementer in each of these dimensions has not been clearly stated. However, there are other factors to consider, and a discussion of the theme, Illusions, now follows.
2.5.7 Literature Involving Illusions

Illusions (false impressions, or something which deceives the onlooker) has been chosen as this theme of the literature. The decision to leave this small theme as a stand-alone one and not attempt to merge it with a larger, more encompassing theme, was made because none of the larger themes could convey the message that the theme, Illusions, depicted. In addition, none of the other themes or their dimensions could be included within the Illusions theme. Accordingly, this theme does not have any other dimensions (see Appendix 2.7):

whether a proposed ‘innovation’ can or cannot be made to work is irrelevant; all that counts is whether the proposed action can be made to look as if (Halpin’s emphasis) it were working (Halpin, 1969, p. 8).

The term “illusion” actually stems from Smith and Keith’s participant observation case study of a primary school (1971), where the image of reality (not the reality of what was going on in the school) was presented by the school to its body of interested groups and individuals. Included in this body are parents, the education department, the media, and the wider community of employers and taxpayers. Bien (1986) also noted that the illusion of involvement, by playing participatory games, was not enough. Although the above findings may appear to be cyclical, change implementers need to be aware of the effect that illusions about the change process can have on themselves, their peers, and other significant individuals and groups — including their employers.

While the literature associated with the Illusions theme contributes to an understanding of the implementation of change, the literature has failed to emphasise the importance of the role of the change implementer in implementing change where illusions occur.
The final aspect of the model of change implementation, which was developed from the literature, is the theme, Management. A discussion of this theme now follows.

2.5.8 Literature on Management

Management was the label that was assigned to the relatively large theme (by comparison with some of the other themes) of the literature which emphasised managers and management and their role, leadership style, and personality, as variables in the process of educational change. The six dimensions associated with Management (see Appendix 2.8) were:

- the role of the educational manager/leader;
- the role of the central office of the organisation;
- the deputy educational manager/leader;
- multiple leaders (not just those who occupy substantive positions in the organisation);
- leadership style (of the educational manager/leader); and
- the personality/psychological variables of the educational manager/leader.

2.5.8.1 The Role of the Educational Manager/Leader (Management Dimension 1)

Strong and informed leadership from the educational manager/leader can lead to high expectations of change being successfully implemented among the change implementers (Helsel, Aurbach and Willower, 1969). The historical case study of a public kindergarten by Van Ausdal (1985) endorses this finding on strong leadership, and confirms that the successful principal who implements change is also one who is politically astute. In an analysis of the role of the educational manager/leader (with reference to the competency testing movement), Pipher (1984) states that the educational manager/leader has a major evaluative role in change. This is a finding which is sustained by the work of Phelps (1972), who also argues that the
educational manager/leader must be active in the identification of areas in which to implement change, the supervision of the implementation, and the evaluation of its outcome.

The one-year study by Hord and Hall (1975), concerning what educational managers/leaders do on a day-to-day basis to bring about change, also corroborates this understanding of the educational manager/leader as an initiator of change. Apart from initiating change, the educational manager/leader must actively support change — as reported by Berman and McLaughlin (1978); Thomas (1973) in a study of the relationship between school innovativeness (the tendency of a school to adopt innovations before other schools) and organisational climate, by using survey rating schedules and questionnaires; and Miles (1983b), who also added that an educational manager/leader who was committed to the change was more likely to be successful in having the change implemented.

In a study of the use of pilot schools to implement change, Crossley (1984) found that support by the educational manager/leader was a major factor (see also Monkhouse and Henri, 1990), along with foresight, feedback and flexibility. The findings may be compared with those of Neagley and Evans (1970), who report that a lack of interest in change, and a poor grasp of what was going on in the change implementation process by the educational manager/leader were inhibiting factors in implementing change.

More recently, Morgan’s three-year project (1986) to evaluate the selection procedures of secondary school educational managers/leaders in England and Wales, also refers to the “visionary” role of the educational manager/leader. Also, Fullan’s review (1986) of the change implementation literature argues strongly for the educational manager/leader to take an active role in the teaching and instruction program, whereas Montgomery and Hutchinson (1987), in a case study of an attempt
to expand post-compulsory education courses in a Belfast secondary school, simply state that the educational manager’s/leader’s role in implementing change is of paramount importance. Chase (1990) stated that headteachers were not simply important -- they were primarily responsible for implementing change.

Finally, the role of the educational manager/leader in communication about the change itself and the change implementation process was stressed by Czepiel (in Zaltman and Duncan, 1977) and Duck (1993). Tye (1972) and Crossley (1984) also reported that the educational manager/leader has a significant role to play in resolving conflict, decision making, and providing the necessary resources to implement change. The longitudinal study of the Halton Education Board’s attempt to implement change (Stoll and Fink, 1994) confirmed the crucial role that is played by the principal in implementing educational change. Interrelated with the educational manager’s/leader’s role, is leadership style.

2.5.8.2 Leadership Style (Management Dimension 2)

The literature regarding the leadership style of the educational manager/leader points to the importance of ‘style’, but is less clear about which style is the most advantageous for implementing change. For example, Helsel, Aurbach and Willower (1969) referred to the effect whereby high expectations of successful change implementation can lead to the establishment of a self-fulfilling prophecy, ensuring that the change was successfully implemented. On the other hand, Thomas (1973) stressed the need for an educational manager/leader to place a low emphasis on operations (bureaucratic procedure) and form close interpersonal relationships with the staff who were to implement the change (the change implementers). The one-year longitudinal study by Hord and Hall (1975) found that a shift in educational manager/leader leadership style from being an educational manager/leader who was
responding to the change, to being the manager of the change implementation process, to being the initiator of the change, produced significant improvement in the successful implementation of change. However, the findings of Montgomery and Hutchinson (1987) advocate a participatory style.

The case study reported by Smout, Mellstrom and Elliott (1989) refers to the value of leadership in a collaborative group setting -- a finding which is supported by Fullan and Stiegelbauer (1991), who argue for principals to be leaders of collaborative groups. The “excellence in education” movement in North America, with its trend towards more promotion/salary barriers, unless professional development/training is undertaken, implies a belief that successful leadership style can be learned. While not linking salary and promotion to professional development and training, Louis (1994, p. 19) emphasises the need for professional training in leadership and management style because:

the leadership task in a learning organisation is both subtle and unstable. On the one hand, one must empower and delegate; but on the other one must also become a raconteur who leads through building value consensus and vision, and an intellectual who provides the stimulus for others to seek and interact with new information.

Against this trend, two studies are in strong agreement. Van Ausdal’s research (1985) found that the educational manager’s/leader’s charismatic style was a major factor in implementing change. Teschner (1985), in a case study of the evolution of a private school, also states that charisma is an important factor in implementing change. Similarly, Crossley (1984, p. 537) found that the charismatic style of the educational manager/leader was a key factor in the successful implementation of change, stating that the withdrawal of such leadership “holds the seeds of project failure”.

2.5.8.3 Personality/Psychological Variables (Management Dimension 3)

Rogers (1962) concluded that the successful implementation of change is accomplished by people who are willing to take risks, are cosmopolitan, and seek out and react with other innovators. In contrast, Carlson (1965), in a study of the adoption of modern mathematics by school superintendents/inspectors, compared the findings of researchers such as Rogers, with people who either chose not to implement change, or who decided to implement change much later than their peers. He found that such “innovators” tend to be less highly educated, have fewer friendship choices, know fewer peers well, participate in fewer meetings at a professional level, interact less often with other superintendents/inspectors in the same area, are sought less often for advice, rate less highly on professionalism, occupy less prestigious positions, and receive less support from school boards.

Other researchers (for example, Gross, Giacquinta and Bernstein, 1971) have refuted these claims and Miles (1964b), in an analysis of the special properties of temporary systems for change inducing purposes, reports other inhibiting factors for change, as being the tendency for people to establish stable communication networks and thus inhibit change by restricting communication. Bennis (1966, p. 104) argues that many changes are not implemented because the instigators rely upon the misguided assumption that an individual’s ability to be rational is sufficient; that is, after the change implementer has been presented with the information about the change to the target system, rationality will prevail and the change will be implemented.

As a result of his research and the findings of others, Bennis (ibid.) argues that this mode of implementation is seldom successful, and that an implementation plan must be used. Accordingly, the change implementers must not only be involved, they
must be provided with professional development and develop a sense of self-efficacy about the change.

2.5.8.4 The Deputy Educational Manager/Leader (Management Dimension 4)

After an extensive review of the literature on educational change, Fullan (1986) concluded that the educational manager/leader is not the key role in implementing change. He states that there are others who also have a major role of importance, a view supported by Spady (1985, p. 107), who found that the role of the deputy educational manager/leader in implementing change is more "an inspiration, not the reflection of present-day reality". Nevertheless, Spady (ibid.) is optimistic about the future role of the deputy educational manager/leader. Organisations (such as the Ministry of Education) can improve the implementation of change by being aware of this situation and by designing the strategies in which change implementers will be involved.

2.5.8.5 Multiple Leaders and the Role of Central Office (Management Dimensions 5 and 6)

The literature referring to the role of the manager/leader and the deputy manager/leader may be extended by the work of Hall (1988) and Vandenberghe (1988) who refer to the role played by a variety of leaders in organisations, not necessarily those occupying substantive positions. Stoll and Fink (1994, p. 159) also stress the crucial roles played by a system’s central and district offices in the implementation of educational change.

The majority of the research clearly supports the role and leadership style of the educational manager/leader as being of major importance in the implementation of educational change. Less clearly supported are the personality-psychological
characteristics of the educational manager/leader and accordingly, change implementers need to be careful of the emphasis that they place on these factors.

2.6 Conclusion

Despite some of the literature alluding to the importance of the individual in implementing change, it has not been sufficiently rigorous in its approach. As a result, two problems have been identified. First, is that the literature has not emphasised the role of the individual (the change implementer) in the implementation of change. While the literature on change is voluminous, references to the category of the change implementer are based on minor (or even implicit) references to the role of the change implementer, rather than actively advocating the role of the change implementer as being of fundamental importance in successfully implementing change.

Second, although the review of literature on educational change (see Figure 1 and Appendices 2.1 to 2.8) has contributed to an understanding of the advantages of involving the change implementer in the change process, as well as clarifying a number of factors impinging on the role of the change implementer in implementing educational change, the inclusion of grounded theory methodology studies could provide a useful alternative means to examining the implementation of change, by examining the realities and experiences of change implementers.

The literature on the implementation of educational change was approached using an exploratory application of grounded theory methodology as a metaphor, and a model about such change implementation was generated. The model may not have eventuated had a more conventional review been undertaken. The eight themes which comprise the model developed in this inquiry (change implementer, cures, terminology, organisational setting, infrastructure, dialogue, illusions, and
management) appear sound on the surface. A rigorous analysis of the literature using grounded theory methodology could provide the basis for future study and provide a unique insight into our knowledge and understanding of educational change.

The discussion now turns to a consideration of the grounded theory methodology approach.
CHAPTER 3
METHODOLOGY OF GROUNDED THEORY

The study reported here is not a critique of promotion-by-merit, as such. Nor is it an evaluation of the effectiveness or validity of the methodology of grounded theory construction. Rather, it is a study using grounded theory methods to examine the context, form and effectiveness of an organisational change process in a major state government department. Performance management, in the form of promotion-by-merit, was the particular change example chosen for examination, and grounded theory development was the research methodology selected. The objective was to develop a descriptive account and grounded theory of the change process observed, through qualitative methods, and to document and interpret the tactics and strategies used by the principal architects and agents of change, in order to implement the new policy in the setting studied. While promotion-by-merit provided the vehicle or occasion for the study, theorising more generally on change-in-action was the intended end, and grounded theory construction was the chosen means to that end.

Before considering why a qualitative approach using grounded theory methodology was chosen, the discussion turns to a consideration of what might constitute a theory about change-in-action and more generally, what are the defining attributes of theories of any kind. Being clear about these two questions is a prerequisite to any strategically sound application of grounded theory construction, not only to provide an appropriate framework for data gathering and analysis, but to furnish the signposts by which one might recognise the theory when it emerges.
3.1 Attributes of Theory

The extensive literature devoted to the understanding and definition of theory demonstrates that its explication is not a simple challenge. Theory has been interpreted variously as interconnected propositions (Kidder, 1981), concepts and propositions about the relationships between those concepts (Kaplan, 1964), and systematic conceptions or statements of principles, laws or causes which purport to explain or account for groups of facts (empirically verifiable observations) or phenomena. Whatever the interpretation, theories ordinarily attempt to provide rational and systematic accounts of the situations or phenomena for which they were developed, typically in the form of inferred laws of behaviour which are taken to govern or at least predict what will occur under reproducible conditions (Miller, 1969). Theories thus provide a basis for the adoption of principles on which one may base future actions and activities.

Within the above references, there are three types of theory that are distinguished by the purposes which they are intended to serve:

- *descriptive theories*, which seek simply to describe what happens in a particular setting or context;
- *explanatory theories*, which endeavour to explain why what happens occurs the way it does; and
- *predictive theories*, which seek to provide a basis for predicting what will happen in the future under comparable or equivalent conditions.

A careful reading of Glaser and Strauss’s work (1967), or that of others who have followed them, shows that the sort of theory generated by grounded theory methodology is descriptive, explanatory and predictive.

Unfortunately, Glaser and Strauss (ibid.) offer no explicit definition of theory or of the special characteristics that presumably set apart the kind of theory which they
advocate. For example, it is not clear whether grounded theories are meant to be
different in kind from other theories, or whether they are simply argued to be better
theories by virtue of their having been grounded. To be fair to the originators, Glaser
and Strauss set out principally to develop a disciplined methodology to structure the
data gathering and analysis that are needed to ‘ground’ whatever theory they might
construct from their qualitative data. To that extent, there is no need to assume that
Glaser and Strauss are arguing that grounded theories are substantively different from
other (non-grounded) theories, but only that they are simply better warranted because
they have been arrived at by processes that are more defensible, methodologically. It
should not be expected, therefore, that grounded theories, once they are developed,
would ‘look different’ from other theories. That being so, the same defining
properties (or success criteria) which characterise any theory, would also serve as the
outcome signposts for grounded theory.

May (1986, p. 153) provides three such signposts. First, the theory should be
dense; that is, its concepts should hang together logically, as a whole. Second, the
theory should be clear; that is, its propositions or hypotheses should be clearly stated,
supported by data, and interrelated. Third, the theory should lend new insight into the
phenomenon under study; that is, it should be useful in an explanatory, descriptive or
predictive sense.

3.2 Available Qualitative Methods

Four main qualitative methods that are available are ecological psychology
(for example, Barker and Wright, 1955); anthropological methodologies (for
example, Spradley, 1970; Spradley and Mann, 1975; and Wolcott, 1984); symbolic
interactionism (for example, Becker, Geer, Hughes and Strauss, 1961); and
descriptive case study (for example, the classic case study on the ‘Wild Boy of Aveyron’ by Itard, 1972).

Descriptive case studies are holistic, and as such, provide an extensive description and analysis of the phenomenon or setting being studied in an attempt to capture its totality (Yin, 1981). Limitations to the descriptive case study include their time consuming nature and associated cost, the need for careful training of the researchers, the possibility (in cases where the case study is merely descriptive) that volumes of data may be gathered documenting the obvious and yet missing the truly significant, and the length of the report may be such that the primary audience does not read it (Minnis, 1985).

Ecological psychology studies seek to produce detailed, objective descriptions of naturally occurring behaviour by either using specimen records (narrative descriptions of the behaviour of a particular individual over a substantial time period), or behaviour setting surveys (where the focus is on groups) (Jacob, 1987).

Anthropological studies focus on the culture of individuals or groups by "uncover(ing) the social order and the meaning (that) a setting or situation has for the people actually participating in it" (Minnis, 1985, pp. 192-193). Many of the basic techniques of the anthropological tradition are used in other case studies and in grounded theory construction (for example, participant observation, interviewing, document analysis, and the systematic coding and interpretation of the researcher's field notes).

Symbolic interactionist studies are concerned with the participants' points of view and the processes by which these points of view were arrived at (Jacob, 1987). Included in this approach is the work of Glaser and Strauss (1967), as grounded methodology was developed from symbolic interactionism tradition (Jacob, 1987,
Grounded theory methodology is a systematic research technique for the collection and analysis of qualitative data, in order to generate explanatory theory which is capable of furthering our understanding of behaviour, as is reflected in social and psychological facts and phenomena (Chenitz and Swanson, 1986). The aim of grounded theory methodology is, therefore, to generate theory about these social and psychological phenomena.

The difference between a grounded theory approach and the more traditional approaches to qualitative research is that a grounded theory strategy has not been built upon fixed and predetermine processes or steps. Rather, it represents a methodology for the continual redesign of the research in the light of concepts which emerge during the course of the study (Battersby, 1981); that is, the real essence of grounded theory methodology is its careful methodology for ‘grounding’ the findings.

Furthermore, grounded theories relate directly to people’s real-life experiences and their shared interpretations of the meaning of these experiences... (which) provides the most abstract generalisations that are possible about the ways people construct their reality (Abrahamson, 1983, p. 258).

Finally, grounded theory is “particularly suited to investigations for which little theory has been developed” (Minnis, 1990, p.195).

What is important to understand is that grounded theory is a different way of getting a theory, not a different type of theory because the real experience is what drives the theory; that is, grounded theory is a methodology which is particularly suited to generating theory and not simply verifying theory by using a multifaceted investigation where there are no predetermined limits to the techniques or foci of data collection.
A consideration of the grounded theory methodology that has been adopted in the present study now follows.

3.3 Essential Features of Grounded Theory Methodology

The two essential features of the grounded theory methodology are that the empirical data are used to identify and interrelate abstract concepts which drive the theory and that the resultant theory is the product of the empirical data-driven process. The process whereby the data drive the theory is referred to by Glaser and Strauss (1967), as “grounding” the theory in the data. Because of this continual “grounding” process, the theory accurately reflects the data.

The approach utilised by Walker (1975), in his classic study of the processes involved in the development of a theory about deliberation and naturalistic curriculum development, demonstrated that traditionally utilised conceptions of curriculum development which arose from systems theory, and which assumed a neat linear progression from needs to resources to an operationally successful programme, did not fit with his observations of curriculum development, in practice. Although he did not specifically use Glaser and Strauss’ grounded theory approach (1967) in his research, the parallels to grounded theory development in what he did are unmistakable. In fact, he systematically collected and analysed his data and presented his theory which was based on the categories of information which emerged during the course of the study. A grounded theory category has been defined by Corbin (1986, p. 94) as an abstraction “of phenomena observed in the data”.

Grounded theory methodology is claimed to have the following advantages:

- Grounded theory methodology provides an opportunity for presenting a different perspective in studying the process of educational change, compared to the perspective provided by the traditional preordinal approach.
• Grounded theory is translatable; that is, by its very nature, grounded theory allows people who are working in the field (in this case, managers implementing a performance management policy) to understand and apply its outcomes. This is because the theory is grounded in their everyday realities ("people's perceptions are their realities" -- Kaufman, 1985), and it is embedded in a language which is appropriate to this.

• Grounded theory is valid. The conditions actually present in the investigation can readily be reflected in the theory that is generated. The utilisation of a grounded theory methodology, where the ensuing theory is literally grounded in the data, is an opportunity to contribute to the development of a theory about the implementation of change process. The resulting wider perspective can only contribute to a narrowing of the theory-practice gap.

Grounded theory methodology carries with it many of the strengths of the case study. These include:

• Subjects’ attitudes, problems and performance may be clarified at different points in time.
• The data are gathered in a natural rather than an artificial setting.
• The data can be gathered relatively unobtrusively.
• Appropriate rapport between the observer and the informant can be developed easily.
• A variety of data collection techniques can be utilised, thus providing a measure for checking the reliability of the data. The following may be used:
  * observations of the performance of individuals and groups;
  * personal participation -- the group processes and subsequent self-reflective analysis;
  * formal and informal interviews;
  * completion of questionnaires; and
  * analysis of public and private documents.
• Opportunity exists for observing and documenting unanticipated events and consequences.
• A general or abstract theory may be given a greater depth of understanding which may result in the theory becoming less general or less abstract.
- Data overload is minimised. As soon as categories of information reach saturation, no further data need be collected. Saturation is, literally, a saturation level of supporting data.

The major uses of grounded theory include:

- Preliminary, exploratory and descriptive studies, where little research has been done and further investigation may be required.
- The provision of a different perspective in areas where a substantial amount of research utilising other research methodologies has been completed.
- The clarification and explanation of some of the major components of a social and psychological process, for example, implementing change.
- The sharpening of sensitivities to the problems, dilemmas, and issues that are facing people who work in some area of social life, for example, managers implementing change.
- The prediction and explanation of behaviour, thus allowing understanding and control over some situations (Glaser and Strauss, 1967; Battersby, 1980; and Stern, 1980).

There are some limitations to the use of grounded theory methodology, and perhaps the greatest limitation is that it is frequently viewed only as a precursor for other theory-driven research (Chenitz and Swanson, 1986). Also, Minnis (1985) raises the question that grounded theory methodology is as much an art as it is a science, because of the central role of the researcher, and the creativity and sociological imagination which the researcher brings to the study. Furthermore, although not a limitation of the ensuing grounded theory itself, but nevertheless a disappointing feature of a number of grounded theory methodology studies, is the common failure of researchers to suggest or illustrate practical examples where or how the theory may be applied -- for example, Chafetz (1976), and Conrad's study of academic change in higher education (1978, p. 112), where he merely concludes his study by stating that his grounded theory is “offered as an alternative to existing perspectives”.
The discussion now turns to a consideration of the overall stages in grounded theory methodology development.

3.4 Overall Stages in Grounded Theory Methodology Development

The need for the researcher’s predispositions to be identified from the outset is essential in participant observation and ethnographic research in order to familiarise the reader with the researcher’s world view (Battersby, 1981). The reader is then placed in a better position to understand and appreciate the theory which has been generated, possibly identify any areas of weakness and/or areas where further enquiry from a slightly different perspective may discover new facts, and so lead to further refinement of the theory. Accordingly, this was done at the commencement of the study, and a brief statement of this researcher’s philosophical and value perspectives is given in Appendix 1.

The grounded theory strategy, as developed by Glaser and Strauss (1967) and subsequently extended by Glaser (1978) and Strauss and Corbin (1990), consists of the stages shown in Figure 3. First, the initial categories of information (or exploratory concepts) about implementing change are formulated from the data that were available at the commencement of the study. Second, these categories are subjected to a process of constant comparative analysis as more data are gathered. This process consists of encoding the data (for example, onto file cards), which are grouped and regrouped according to similarity as further data are gathered. During this process, some categories of information will be subsumed into larger, more encompassing categories. As this process is continued and repeated, these categories lead to the “theory”, which is a refined set of categories of information, properties
Figure 3: An Eight-Stage Model of Grounded Theory Development and Reporting

STAGE 1

THE PROBLEM

STAGES 2 & 3

Initial (Unsystematic) Data Collection

Provisional Theory

Initial categories & Explanatory concepts

STAGES 4 & 5

Secondary data collection based on theoretical sampling

Refined categories properties and propositions

Continual comparative analysis of data

STAGES 6 & 7

More data sampling

Conceptual saturation and delimitation

Continual comparative analysis of data

STAGE 8

GROUNDDED THEORY

After Glaser and Strauss (1967)
(aspects of the categories), and propositions (hypotheses of generalised relationships among the data).

Third, after a review of the categories, properties and propositions that were developed from the data, the researcher seeks to gather further data on each category until an intuitive decision can be made that each category is saturated (or fully defined). Saturation is adjudged to have occurred when a category cannot be embellished (or further defined). Fourth, a culmination of this process is the presentation of all the categories, properties and propositions which, when taken together, constitute the grounded theory of the evolution, development and implementation of a performance management policy. The discussion now examines these stages in some detail.

3.5 Detailed Description of Grounded Theory Development

Two of the fundamental interrelated components of the grounded theory strategy are ‘theoretical sampling’ and ‘continual comparative analysis’. A consideration of these key elements follows on from Figure 3.

First, the process of data collection, or theoretical sampling is guided by an analysis of the previously collected ‘initial’ data and the emerging theory. Theoretical sampling is based on the initial collection of data, and the theory which has emerged to that point provides the basis for subsequent data collection -- for example, observation, interview and document collection, questionnaire completion, and so on.

Second, theoretical sampling is combined with the procedure that is used for analysing the data -- a procedure known as continual comparative analysis. This procedure involves a continual or constant systematic organisation and
classification of the data into a number of categories. For example, in the present study of the implementation of a performance management policy, two of the early emergent categories were the lack of definition of merit, and the process of continual evaluation itself. As these different categories emerged and additional data which fitted these categories were gathered, subcategories -- referred to as properties -- were also seen. Some of the recurring properties that were noted in the process of continual evaluation included cynicism, scepticism, feedback, relevance, personal payoff, and envy/alienation manifest in nepotism. Once these began to emerge, hunches -- propositions -- based on the data, were also constructed.

While all of this was occurring, the data were subjected to constant comparison both within and between the categories, with the result that the existing categories were not only verified, but also subjected to a process of delimitation where some categories were modified. However, others merged with far more powerful categories. For example, the category of promotion-by-merit processes includes elements such as negotiation, politicisation, training-coaching, and infrastructure (see Figure 5 and Figure 6).

The continual comparative analysis process is central to the grounded theory methodology, and the four stages involved in it warrant further elaboration.

3.5.1 Comparing Incidents Applicable to Each Category

The data are coded (on file cards, as shown in Figure 4) into many categories, as the categories emerge from the data, or as data emerge and fit an already defined category. The properties of each category and the supporting data for each category are similarly filed behind the category itself. Accordingly, the
Figure 4: Developing Properties from a Category of Data

CATEGORY

PROMOTION AND REVIEW ADVISORY BOARD (File cards of supporting data)

PROPERTIES

Property #1 Board members (supporting data)

Property #2 Board meetings (supporting data)

Property #3 Board ranking system (supporting data)
result of this process is a solid database or foundation to which new data could be compared, contrasted, and categorised.

As the supporting data are filed, a frequency count can be made of the number of subjects from whom similar data were obtained. Data gathered in this way can be quantified and the properties which emerge can be given a crude classification as to their level of generalisability. For example, the levels could be:

- High -- over two-thirds of the subjects consulted gave similar data;
- Medium -- between one-third and two-thirds of the subjects; and
- Low -- less than one-third of the subjects consulted divulged similar data.

This process is repeated at each of the major reviews of the data.

3.5.2 Integrating Theories and Their Properties

Data are collected at the same time that they are being analysed -- for example, questions arise from the data that have been collected, and leads to the collection of further data to fill in the gaps and extend the theory.

3.5.3 Delimiting the Theory

This occurs when the analyst discovers underlying uniformities in sets of categories and/or properties, resulting in a smaller number of higher level concepts. The refining process that is employed to achieve this typically uses the grid format (see Figure 5). In practice, the grid that is used could well be larger, depending on the number of categories and properties that are extracted or are of interest.

Although the practice may well be demanding, the procedure is basically straightforward. After the names of the categories and their properties have been put onto the grid, the grid is studied to determine if any of these properties can be
Figure 5: A Grid Format for Refining and Delimiting Categories and Properties

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combined, either within or between categories. If such a possibility arises, the data which support the property are consulted to see if this proposed combination or modification can occur. As a result of this procedure, initial categories may be regrouped into fewer categories, and the number of properties may be reduced similarly. To illustrate such delimitation, a cross-section of the grid format procedure is given in Figure 6. Eventually, category ‘V’ may be subsumed into category ‘W’.

Related to this process is the notion of theoretical saturation, which occurs when the researcher makes an intuitive, but informed judgement to cease collecting further data on a category which cannot be further embellished (Glaser and Strauss, 1967, p. iii). As additional data are gathered, it may be realised rather quickly that a category has been saturated and that gathering further data on this would not add to the refinement or extension of the theory.

3.5.4 Writing the Theory

This involves the culmination of steps one, two and three, and takes place only when the analyst is satisfied that the data and the resultant categories and propositions are saturated, and that these accurately reflect the situation under investigation. One result of this is that the researcher is constantly au fait with the data. At all times, it may be felt that the major difficulty of the grounded theory approach is the need for constant interaction with the data. However, this is really its major strength. The researcher is so familiar with the data and is continually examining it in order to determine the emerging theory, that the refinement process is a living reality. It is a direct and accurate representation of what happened. For example, it is not unusual for a researcher to feel regularly
Figure 6: A Category-property Grid

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>PROPERTY #1</th>
<th>PROPERTY #2</th>
<th>PROPERTY #3</th>
<th>PROPERTY #4</th>
</tr>
</thead>
<tbody>
<tr>
<td>V</td>
<td>Comparability and objectivity</td>
<td>V1</td>
<td>V2</td>
<td>V3</td>
</tr>
<tr>
<td>W</td>
<td>Workload</td>
<td></td>
<td>V4</td>
<td>Written skills of referees</td>
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<td>X</td>
<td>Merit</td>
<td></td>
<td></td>
<td>Moderation over the whole state</td>
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<tr>
<td>Y</td>
<td>Applicants</td>
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<tr>
<td>Z</td>
<td>Superintendents</td>
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</table>

The arrows signify that a property has been subsumed into another more encompassing property. For example, V4 is subsumed into V3.
surprised that a new property or category has been recognised, when refining the data, only to discover that when this property is being entered into the filing system, the property or category in question has already been identified. This pattern may be repeated every time that the data are being reflected upon and refined, and provides a great deal of confidence that the properties and categories, which have already been identified, are accurate representations of what the data are saying, and also that the categories are increasing their various levels of saturation.

The decision as to when to stop collecting data -- referred to as theoretical saturation -- is left to the researcher who makes an intuitive, although certainly informed, decision to cease data collection for a particular category when no additional data can be found to further illuminate it. This procedure can be expedited by using a process that is referred to by Glaser and Strauss (1967, p. 55-58) as ‘maximising and minimising differences.’ This involves collecting additional data from similar sources in order to verify both the existence of the category and its propositions, in the categories emergent stage. Later, when the category has reached the stage where other data have begun to fit the category, the focus should shift to the collection of data from a wide range of differing sources so that the category’s properties may be both developed and integrated with existing categories, as required.

A problem which may arise from this constant collection and interaction with the data is that of deciding which data are relevant and which are not. This problem may be overcome to a certain extent by the provision of regular breaks from data collection, during which time the researcher can analyse and review the data, and minimise the danger of collecting data for the sake of collecting it. These
periods need to be documented and shown diagrammatically (see Chapter 5, Figure 7). This verifies the rigorous and systematic nature of the methodology and the approach of the researcher to the reader (Glaser and Strauss, 1967).

The continual and rigorous process of organisation, reflection, and re-organisation and reflection that are central to the grounded theory approach makes for an intense and demanding style of research -- but one which is also stimulating and challenging. The end result of this pattern of disciplined enquiry is a mosaic representation of the data and the problem, with each piece of information carefully placed within the overall picture. The continual and rigorous scrutiny of the data-gathering phase, as the data are refined, would typically be documented and shown in the report of the study (see Chapter 5, Figure 7):

The process of developing a grounded theory is concluded when: the researcher is convinced that his conceptual framework forms a systematic theory, that it is a reasonably accurate statement of the matters studied, that it is couched in a form possible for others to use in studying a similar area, and that he can publish his research. He believes in his own knowledgeable and sees no reason to change that belief. He believes not because of an arbitrary judgement, but because he has taken very special pains to discover what he thinks he may know, every step of the way from the beginning of his investigation until its publishable conclusion. The researcher can always try to mine his data further, but little of value is learned when core categories are already saturated (Glaser and Strauss, 1967, pp. 224-225).

The comment that the ensuing theory is literally grounded in the data, takes on a profound importance to anyone who has gone through the grounded theory process. The various stages of refinement of the data in the development of the grounded theory in a study utilising this methodology must be documented and reported on in the research. Again, this clarifies for the reader that the approach of the researcher was both rigorous and systematic in accordance with the very nature of the grounded theory methodology. The discussion now turns to a consideration
of the data collection strategies which were used in this study, as described in
Chapter 4.
CHAPTER 4
THE RESEARCH SITE, POLICY CONTEXT AND ASSOCIATED DATA COLLECTION STRATEGIES

As noted in Chapter 1, the problem examined in this study was an example of an organisational policy change process in a major State government department. Grounded theory development was the research methodology that was used to examine the content, form and effectiveness of the particular change example that was utilised -- promotion-by-merit and the role of management personnel in the implementation of this policy change. Change, and how it was achieved in a large, complex bureaucratic organisation was the primary focus for theory development and understanding. The secondary focus of attention was the role of the management personnel in the change process, as their experiences provided insights about change management in action. As such, the study was neither a critique of promotion-by-merit, nor an evaluation of grounded theory construction. The purpose was to develop, through the interpretive medium of grounded theory methodology, a descriptive account and grounded theory which documented and interpreted the tactics and strategies used to implement change in the setting being studied.

Discussion now turns to a description of the research setting where the data were collected, and which ultimately “grounded” the resultant theory of organisational change and the role of the management personnel in the implementation of the change processes.
4.1 Description of the Research Site

At the time of the study, the Ministry of Education in Western Australia was the largest Government department, and the largest employer in the State. The total Ministry expenditure (excluding capital works) in the 1990/91 financial year was $965 817 000 (Ministry of Education Annual Report, 1990/91) and accounted for approximately one-third of the total State government expenditure for the period. The major proportion (60.3%) was spent on salaries, in particular for teachers and school-based managers (55.2%), and for senior management staff in central and district offices (5.1%). Statistics for school-based general staff have not been included because the promotion-by-merit system did not apply to them.

Promotion-by-merit -- the policy change example chosen for the present study -- was confined to the teaching staff in the Schools Operations Division of the Ministry. In 1990/91, the Ministry had 884 school sites (predominantly primary schools, secondary schools and education support schools and centres), 29 district offices, and one central office. The relevant work force was employed in these various work sites, according to staffing formulae based on student numbers. It was this varying size of schools and their staffing ceilings (with corresponding variations of the number and types of management levels available for promotion), for which the promotion-by-merit process was designed.

4.2 The Promotion-by-Merit Process

The promotion-by-merit process was used for selecting those teachers who were to be promoted to their first management position or promoted from one management level to another. For secondary school teachers, the first available promotion would be from a position of classroom teacher to that of a head of
department of a subject area, or to a program coordinator or deputy principal in a
district high school. For primary school teachers, the corresponding first promotion
would be from the classroom to the position of principal of a school of less than 100
primary students, or to the position of deputy principal of a larger-sized primary
school, or from one promotional position to another (for example, from the position
of principal of a small-sized school to a position as principal of a larger-sized
school). The sizes of schools and the size-classifications into which they were
grouped in each of the three school types (primary, secondary and education
support) for 1989 are shown in Table 2. The Ministry's schools are classified into
four levels, by size of enrolment which is designated by the numerals 3 through 6,
where Level 3 represents the smallest, and Level 6 the largest.

Table 2: Ministry of Education Schools by Type, Classification, and Number of
Schools, in 1989

<table>
<thead>
<tr>
<th>Type of school</th>
<th>Size classification level (6 = largest)</th>
<th>Number of schools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary</td>
<td>6</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>194</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>196</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>707</td>
</tr>
<tr>
<td>Secondary</td>
<td>6</td>
<td>98</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>60</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>Nil</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>Nil</td>
</tr>
<tr>
<td>Education support</td>
<td>6</td>
<td>Nil</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>11</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>5</td>
</tr>
</tbody>
</table>
Within each of the four size-classification levels, there are a number of promotional positions to which members of the teaching force can aspire. Advancement through these four levels is upwards from Level 3 through Level 6. As the larger schools have a number of promotional positions at different levels, a teacher could be promoted to a Level 3 position (Head of Department), a Level 4 position (Deputy Principal), to a Level 6 position (Principal) all within the same senior high school. These positions are shown in Table 3, by area (primary, secondary and education support), classification level, and the number of positions for each classification level.

Table 3: Number of Promotional Positions by School Type and Classification, in 1989

<table>
<thead>
<tr>
<th>Type of school</th>
<th>Classification level (6 = largest)</th>
<th>Number of promotional positions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Primary</td>
<td>6</td>
<td>10</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>194</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>196</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>408</td>
</tr>
<tr>
<td>Secondary</td>
<td>6</td>
<td>77</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>73</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>90</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>565</td>
</tr>
<tr>
<td>Education support</td>
<td>6</td>
<td>Nil</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>8</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>65</td>
</tr>
</tbody>
</table>

The number of promotional positions and the number of positions within each classification level demonstrate how large a domain the Ministry’s promotion-by-merit process was designed to cover. From year-to-year, the number of applications
for promotion varies according to the number of vacancies available, the number of vacancies depending on such factors as natural attrition (including retirements, deaths, and resignations); the opening of new schools; and the creation of new positions through industrial agreements. For example, the 1990 Memorandum of Agreement (The Education Circular, December, 1989), between the Ministry of Education and the Teachers’ Union through which the parties agreed to create a new program coordinator’s position in secondary schools and add some 38 new opportunities across the State.

The number of teachers who apply for promotion to any given level of appointment is typically far greater than the number of positions available at the time. Therefore, selection is a critically important practical and industrial issue. Selection ratios for most appointment levels are typically in the range of around 1:6 (six times as many applicants as there are positions available), to around 1:10 (where only one in ten applicants can be appointed).

To illustrate this for promotion in the primary school sector in 1989, Table 4 implies a selection ratio of 1:8.09, or 147 promotions available to a total aspirant pool of 1190 teachers.

Similar figures would be found for the other two areas of secondary and education support. The number of unfilled vacancies occurred either because no applicant applied for one of these particular schools or because an applicant who did was deemed not suitable for promotion by the Promotion and Review Advisory Board. Employers generally favour low selection ratios as these offer many applicants from which to choose, whereas employees typically prefer high selection ratios where the competition is less.
Table 4: Number of Applicants, Vacancies, Promotions and Unfilled

Vacancies in Primary Schools in 1989 for 1990

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of applicants</td>
<td>1190</td>
</tr>
<tr>
<td>Number of vacancies not filled by transfer</td>
<td>147</td>
</tr>
<tr>
<td>Number of promotions</td>
<td>133</td>
</tr>
<tr>
<td>Number of unfilled vacancies</td>
<td>14</td>
</tr>
</tbody>
</table>

The promotion-by-merit process was used by the Ministry of Education at the time this research was undertaken, commenced implementation in 1985 and was designed to have all promotions made solely on the basis of merit. Prior to 1985, the Ministry had employed a system whereby those eligible for promotion were placed on a promotion list after they had completed certain eligibility requirements based on length of service, academic qualifications, and (for higher promotional positions) service at lower levels of promotion.

Promotions each year were awarded on the basis of one in three being by merit, with the other two being for seniority and one’s place on the promotion list. The one merit-based promotion of each three promotions was determined by a three-member promotions board, taking into account the applicant’s merit ranking and an evaluation submitted by his or her superintendent (Inspector of Schools). The superintendent’s evaluation and merit rank were not known by the applicant. Peer and subordinate evaluations were not used. Unsuccessful applicants never knew why they had failed to get a promotion, as there was no formal feedback mechanism.

As a result of the Report of the Committee of Enquiry into Education in Western Australia in 1985, the Ministry (then the Education Department) decided to
implement a 100 percent promotion-by-merit system, commencing in 1983 with the most senior school positions. The new system was designed specifically to overcome the weaknesses of the old system by ensuring that no positions would be awarded on the basis of seniority, evaluations submitted by superintendents would be made known to the applicant, evaluations would be obtained from peers and subordinates (although these were to be kept confidential from the applicant), and feedback would be provided to unsuccessful applicants so that they might address any areas of weakness in any subsequent application. The implementation of this policy change has been the subject of this study.

The new promotion system commenced with the Ministry of Education calling for applications for promotion in *The Education Circular*. A copy of the 1987 advertisement is included in Appendix 3. When an individual decided to apply, he or she needed to complete a one-page, pro-forma application and submit this to the Ministry. The application form for a primary school teacher seeking a first-level promotion is included in Appendix 4.

When the pro-forma application had been received by the central office, Ministry officers checked the applicant’s eligibility to apply. Barriers to eligibility included a service requirement with the Ministry and an academic qualifications requirement. For each applicant who was deemed to be eligible, the Ministry then selected the referees (also referred to as evaluators on the pro-forma application), from a list supplied by the applicant. Equating the descriptors referees and evaluators (references and evaluations), created confusion and was a critical issue the Ministry failed to address. This list included superordinates and peers for teachers who were beyond the first level of promotion, and subordinates also had to
be nominated. Checks were made to ensure that applicants were not unfairly advantaging themselves by nominating referees/evaluators such as their spouses, or disadvantaging themselves inadvertently by nominating referees/evaluators with whom they had not worked for many years. When the checks had been completed, the selected referees/evaluators were contacted and given a pro-forma applicant evaluation form. The form used for primary teachers applying for a first-level promotion is included in Appendix 5. As may be seen from this document, the referee/evaluator was asked to comment on the strengths and weaknesses of the applicant in a number of areas, and to rate the applicant on the following scale:

1. Unsatisfactory;
2. Areas of weakness;
3. Adequate for present position;
4. Highly satisfactory;
5. Outstanding; or
6. Unable to comment because of lack of personal knowledge.

A rating of five was to imply that the applicant was among the top five percent of teachers whom the referee/evaluator had known in a similar role. A rating of a four was to be used for applicants whom the referee/evaluator adjudged as being within the next 15 percent. The other ratings were defined in the same way. Completed evaluations were required to be returned to the Ministry by a specified closing date.

Applicants were also entitled to submit a personal statement (a maximum of 250 words) setting down why they believed that they were suitable for promotion, and including any other matters that they believed should be made known to the Promotion and Review Advisory Board which was responsible for making the selections. This Board consisted of five members -- or deputies if the members were
unavailable -- and was chaired by an independent person who was acceptable to both
the Ministry and the Teachers' Union. There were two representatives of the
Ministry and two Union representatives.

After all of the required information had been received, central office staff
copied the references/evaluations and an applicant's statement and forwarded them
to the Promotion and Review Advisory Board. After the Board members had
individually considered the papers for each applicant, the Board met and developed,
for each category of promotion, a ranked list according to perceived merit.
Following this, the Human Resources Services Branch considered the applicant’s
location preferences in conjunction with his or her merit ranking.

If an applicant’s first preferred location had not already been taken by a higher
ranked candidate, he or she was awarded the promotion with appointment to that
location. If the first preference location had been taken, consideration then moved to
the applicant’s second preference location, with the same test being applied. This
process continued on, in order, through the applicant’s list of location preferences
until the promotion could be awarded. If there was no vacancy available at any of
the applicant’s preferred locations, the applicant did not receive a promotion.

In some cases, there may not have been a vacancy, even at the outset, for any
of an applicant’s preferred locations. In such circumstances, although eligible for
promotion in principle, the applicant would not succeed in being promoted, not
because he or she was uncompetitive in the field of applicants, but because the
nominated locations did not have a vacancy at the level to which application for
promotion was made. This was the case even for the most highly ranked applicant --
a situation which occurred on many occasions.
When the list of successful applicants and their respective promotions was
published, there was a period of time within which unsuccessful applicants could
appeal, in writing, to the Promotion and Review Advisory Board (whose initial
decision was being appealed!), which either upheld or dismissed them.

Discussion now turns to a consideration of how the data which "grounded" the
findings of this investigation were obtained in this study.

4.3 Data Gathering Strategies

Data were obtained through a combination of three independent methods:

- Formal, semi-structured, ethnographic-type interviews, and a variety of
  informal or unplanned interviews.
- Participant observation of applicant and manager behaviour.
- The analysis of relevant documents and literature.

The principal sources of data were the recorded interviews and available private and
public documents, although valuable information derived also from the researcher's
experiences and impressions as a genuine participant observer in the process being
studied. The three data collection strategies are now described.

4.3.1 Interviews

Non-probability (purposive) sampling was used to select the 65 teachers and
managers who were to be the informants for the study. Teachers, principals in
schools, and district superintendents and managers in a wide range of locations, from
schools to districts and central office were included to ensure the widest practicable
variation in perspectives about change management. The set of informants included
in this way was consistent with Silverman, Ricci and Gunter's prescriptions (1990)
for focused sampling, inasmuch as the participants were selected on the basis of
specified criteria. These included the level of leadership position held, or the 
significance of their current role (that is, either being responsible for implementing 
the change or being an applicant), and the location type in which the informant was 
employed (school, district or central office, or union office). Even though restricting 
the range of informants to these groups placed some limits on the generality of the 
derived theory, the focus did include the personnel charged with implementing the 
policy being studied.

A profile of the informants illustrates the extent of the variety of experience in 
education, academic qualifications achieved, and the length of experience for the 
sample, as a whole. For example, the length of experience in education ranged from 
8 to 43 years, with 36 informants having had more than 20 years experience (see 
Table 5).

Table 5: Years of Experience in Education for Informants in the Study

<table>
<thead>
<tr>
<th>Years of experience</th>
<th>Number of informants</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - 10</td>
<td>11</td>
</tr>
<tr>
<td>11 - 20</td>
<td>29</td>
</tr>
<tr>
<td>21 - 30</td>
<td>21</td>
</tr>
<tr>
<td>31 - 40</td>
<td>14</td>
</tr>
<tr>
<td>40+</td>
<td>Nil</td>
</tr>
</tbody>
</table>

Sixty-four of the informants were qualified at Bachelor Degree level or lower, 
four had Master’s Degrees, and five had Doctorates (see Table 6). Approximately
60 percent of the informants had held their positions for fewer than five years (see Table 7).

**Table 6: Academic Qualifications of Informants — Highest Level Gained**

<table>
<thead>
<tr>
<th>Academic qualifications</th>
<th>Number of informants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diploma (for example, Diploma of Teaching) or less</td>
<td>16</td>
</tr>
<tr>
<td>Teacher's Higher Certificate</td>
<td>6</td>
</tr>
<tr>
<td>Bachelor Degree</td>
<td>42</td>
</tr>
<tr>
<td>Masters Degree</td>
<td>4</td>
</tr>
<tr>
<td>Doctoral Degree</td>
<td>5</td>
</tr>
</tbody>
</table>

As the study progressed and the researcher sought to identify informants and other data sources, as was inferred by the initial findings of data analysis and other informants, theoretical sampling (Glaser, 1978) took place, adding a further nine informants for informal interview. The purposes of these informal interviews were to seek additional data that might shed more light on the researcher's developing insights, and to check the boundaries of the categories that were emerging. It was also used to verify information about issues which appeared to be controversial or sensitive, or about areas within the education system where there appeared to be some misinformation. The strategy has been described elsewhere as targeted interviewing (Silverman et al., 1990). Deliberate targeting of new informants in this way permitted the collection of data from those who were most knowledgeable in respect of specific emerging issues or aspects of the study.

All interviewees were contacted personally by the researcher who described the study to them and invited their participation. Informants were advised that
Table 7: Number of Years Informants Had Been in Their Current Position

<table>
<thead>
<tr>
<th>Number of years in current position</th>
<th>Number of informants</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - 2</td>
<td>21</td>
<td>28</td>
</tr>
<tr>
<td>6 - 9</td>
<td>24</td>
<td>32</td>
</tr>
<tr>
<td>10 - 15</td>
<td>12</td>
<td>16</td>
</tr>
<tr>
<td>15+</td>
<td>5</td>
<td>7</td>
</tr>
<tr>
<td>Total</td>
<td>74</td>
<td>100</td>
</tr>
</tbody>
</table>

participation in the study was voluntary and that they could withdraw from the study at any time. In addition, it was made clear that anonymity would be protected in the report and that no means of identification would be retained in the transcripts of the interviews. All those people who were approached agreed to take part on this basis, and permission to take notes was freely given by all.

Seven informants were interviewed twice and nine were interviewed three or more times (see Table 8). Such interviewing enabled the verification, clarification, and elaboration of information obtained during the first interview, and the cross-checking of information that was acquired from other sources. It also helped to resolve factual inconsistencies. Interviewing ceased when saturation of the core theoretical category had occurred; that is, when no additional data were found which allowed or required the development of new categories or additional properties of existing categories.

Interviews ranged from less than 15 minutes up to a maximum of one hour and 40 minutes. Table 8 provides a breakdown of the number, duration, source, and type of interview.
Table 8: Duration, Number, Source and Type of Interview

<table>
<thead>
<tr>
<th>Duration (minutes)</th>
<th>Number</th>
<th>Source</th>
<th>Type of interview</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Telephone</td>
<td>Face-to-face</td>
</tr>
<tr>
<td>0 - 15</td>
<td>15</td>
<td>9</td>
<td>6</td>
</tr>
<tr>
<td>16 - 30</td>
<td>34</td>
<td>17</td>
<td>17</td>
</tr>
<tr>
<td>31 - 60</td>
<td>34</td>
<td>16</td>
<td>18</td>
</tr>
<tr>
<td>61+</td>
<td>15</td>
<td>2</td>
<td>13</td>
</tr>
</tbody>
</table>

All interviews were recorded by hand in field notebooks, and the subsequent writing-up of the interview was completed immediately afterwards. The origin of the questions used was twofold. Initial interviews were structured, with subsequent interviews being developed more or less in the setting from the continual refinement of the gathered data and from the researcher's following up of comments made by the interviewee, as the interview progressed. New and valuable information was typically given, or a lead to another source was supplied. These informal interviews were almost always initiated by the interviewer. However, on twelve occasions the interviewer was approached by a respondent.

There are occasions (Glaser and Strauss, 1967, p. 112) when incidents that have been heard or observed and not recorded are remembered. On these occasions it is advisable for the incident to be recorded, if it seems likely to add to the development or saturation of categories. In the present study, on one occasion a contact was documented as an interview when the researcher recognised the
importance of an informal conversation with an informant. This was recorded in the field notes at the time.

All interviews, whether structured or unstructured, consisted of open-ended conversation during which the informants were permitted to talk, with no imposed limitations of time. Informants were asked to explain their understanding of the meaning of promotion-by-merit, especially in relation to their own positions as applicants or managers who were involved in the implementation of the process, in order for the researcher to gain insights about change management in action. The discussion focused on what the interviewees felt had influenced their ability to achieve their role objectives, what had facilitated and inhibited them in their endeavours, any problems that they had encountered, and how they had countered these problems. Most informants were also asked to explain their views on the process that the Ministry had used to implement promotion-by-merit. No standard or fixed order was used in the presentation of these questions. Informants were permitted to speak freely on the subject and the questions were introduced at a time and in a manner which seemed most natural or appropriate during the conversation.

The informants all appeared to be very open, and spoke freely with the researcher. At no time did there appear to be any evident embarrassment at admitting to problems or perceived inadequacies. This was possibly because the researcher was known personally to all of the respondents as a colleague/peer, and this might not have been the case had the researcher not been known in this way or did not have the same standing in the educational system. A number of informants expressed gratitude at having been given the opportunity to discuss their roles and experiences in the promotions process and the difficulties that they felt they had
faced. Several informants stated that the interview had benefited them in that “they had got it off their chest” (field notes, 9 June 1989). This sentiment may have been related to the high level of stress reportedly experienced by many of the respondents during or after the promotions exercise.

The researcher was occasionally placed in the position during the interviews of having to play an educative role, as interviewees requested clarification on Ministry policy relating to promotion-by-merit. However, this did not interfere with the collection of the data, as it usually occurred at the end of an interview and was accepted as a natural exchange in view of the interviewer’s known position in central office.

As the research progressed and the grounded theory began to emerge, subsequent second and third interviews were undertaken with more specific questions relating to the emergent categories, properties, and propositions. Spradley’s guide to ethnographic interviewing (1979) was followed, incorporating descriptive, structural (seeking more information on a category), and contrast questions, depending on the stage of the research and the emergent theory. These second and third interviews were shorter than the initial, primary interview, and the questions were more specific. Some interviews were conducted by telephone.

Most interviews were conducted within in the researcher’s office, the central office of the Ministry, or by telephone from the researcher’s office. However, on five occasions the interview was conducted at venues outside central office. Outside venues included social functions (either informal gatherings or at functions organised by a professional association such as the Western Australian Primary Principals’ Association). Interview information was also obtained by the researcher
who recorded the responses of individuals or groups after visits to the workplace (for example, a school or district office), or after attending a conference or workshop.

4.3.2 Participant Observation

Participant observation was used as a significant additional means of data collection in the study. The researcher had been appointed as a senior manager in the central office of the Ministry during the period when the new promotion-by-merit policy was being implemented. In addition to interacting with many of the informants on a regular basis, attending meetings at various levels in the Ministry, and visiting schools and district offices, the researcher also coordinated the promotion-by-merit process on behalf of the Ministry’s central office for all promotions-by-merit in the primary school sector of the teaching service. In this way, the interactions of the managers with each other, with other ‘actors’ in the Ministry, and with their subordinates were observed and field notes concerning relevant situations were recorded.

As Spradley (1980) noted, the participant observer’s objective in entering as a researcher-participant in a social situation is essentially to engage in activities that are appropriate to the situation and, from this vantage point, to observe and interpret the activities, people, and physical aspects of the situation. The present researcher had decided to undertake the study during his appointment to central office, and thus was in an ideal position to collect data as a legitimate participant/observer who was immersed in the culture of the system that was undergoing the policy change. Saville-Troike (1982) suggested that one of the advantages of studying one’s own culture from the inside, so to speak, in an effort to make explicit the unstated and perhaps unconscious systems of understanding, is the researcher’s ability to use
himself or herself as a direct source of information and interpretation. To use this method effectively, it is clear that the researcher must know the context, institutions, and values which guide cultural behaviour in the community that is being studied. He or she must be able to behave appropriately (both linguistically and culturally) at all times, if his or her participation is to be accepted genuinely by the other 'players in the game' and the interviews and interactions are to be productive (Saville-Troike, 1982, p. 114).

In the present study, the researcher was clearly accepted as a member of the culture and as a genuine participant in the process of implementing the organisational change under consideration. As already noted, the informants did not appear to be constrained in their reactions to the researcher and gave their responses openly and freely. The field notes that were described earlier played a vital role, not only in recording the text of interviews, but also in recording the researcher's own observations and associated interpretations as the study progressed.

4.3.3 Analysis of Public and Private Documents

Independent supporting information that was useful for verifying or challenging data from interviews and observations was gained by examining available documents and records of official meetings -- for example minutes and correspondence files of the Promotion and Formal Evaluation Working Party and the various letters and ministerial briefing notes held on other Ministry files. Relevant public documents included the Education Act Regulations which are published by the Ministry, and selected issues of The Education Circular which are published by the Ministry on a monthly basis, as the official channel for disseminating policy changes and other formal information. Lesser public documents included papers
that were presented at both state and national conferences, and surveys that were conducted by district offices. By examining these additional sources, data which were supplied by the informants could be cross-checked, and important contextual information could be validated and expanded. On occasions, informants directed the researcher to these sources, or else made relevant documents available for the researcher’s perusal.

4.4 Conclusion

The grounded theory methodology which was used in the present study was intensive and demanding. However, it offered very real benefits inasmuch as the data needed to ensure that the questions which were posed were gathered, interpreted, and validated (grounded) in the immediate context of the ‘change in action’, as the policy initiative was being implemented. The report now moves to the researcher’s analysis of the data obtained during the process.
CHAPTER 5
DATA ANALYSIS

As set down in Chapter 1, developing a theory of how change can be brought about in a particular situation was the main objective of this study. A second objective was to investigate the role of the management personnel -- the change implementers -- in the process.

Five models of change were developed from this study. The first was developed from the literature by utilising grounded theory methodology as a metaphor to map the literature in a way which appears not to have been done before (see Figure 1 in Chapter 2). The second and third models, which were derived from the primary data of the study, relate to the implementation of performance management in the Ministry of Education of Western Australia. The fourth and fifth models are offered, speculatively, as generic models of change implementation which may have useful explanatory value in other similar change implementation settings. By examining the processes of implementing a policy change via grounded theory methodology, the last four models have effectively been grounded in the data of the study.

This chapter focuses on how the data were analysed and how the grounded theory of change underpinning four of the models was developed. Table 9 summarises the five models, and provides a brief description of each.

5.1 Grounded Theory Development

While the repeating cycles of organisation, reflection, reorganisation, and then further reflection that characterise the grounded theory approach undoubtedly make for intense and demanding research, use of the methodology can also be stimulating
### Table 9: A Summary of the Models as they Emerged from the Data in this Study

<table>
<thead>
<tr>
<th>Model</th>
<th>Heuristic Name</th>
<th>Theoretical Name</th>
<th>Essential Features</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model I</td>
<td>Literature Review Model</td>
<td>Literature Model</td>
<td>Depicts the eight categories identified in the literature review.</td>
</tr>
<tr>
<td>Model II</td>
<td>Twin-circles Model</td>
<td>Twin-circles Model</td>
<td>Depicts the seven categories present in the study. Categories associated with the organisation are in one circle, and those associated with the personnel in the other. The two circles are surrounded by the culture of the organisation.</td>
</tr>
<tr>
<td>Model III</td>
<td>Iceberg Model</td>
<td>Iceberg Model</td>
<td>The structural aspects (or more tangible) categories are depicted on the seen part of the iceberg, while the process or intangible aspects is shown on the unseen part of the iceberg. The iceberg is surrounded by the culture of the organisation.</td>
</tr>
<tr>
<td>Model IV</td>
<td>Linear Process Model</td>
<td>Linear Model</td>
<td>A generic model of implementing change showing the linear progression from inputs undergoing a transformation process, leading to outputs surrounded by the culture of the organisation.</td>
</tr>
<tr>
<td>Model V</td>
<td>Interactive Flow Chart</td>
<td>Interrelated Model</td>
<td>A generic model of implementing change showing the inter-relationship between the various stages of implementing change surrounded by the culture of the organisation.</td>
</tr>
</tbody>
</table>
and challenging for the researcher, and (hopefully) the reader. A mosaic representation of the data and the problem -- whereby each piece of information is carefully placed within the overall picture -- is the net result of this spiralling cycle of activity. Figure 7 shows the data gathering phases of the present research, the various interspersed review periods which provided the all-important opportunities for reflection and refocusing, and the points at which key decisions were made in the data refinement process. As Figure 7 implies, the data gathering process was continually scrutinised and realigned as the accumulating data were integrated and refined. The net result of this process is that the researcher is constantly *au fait* with the data.

During the investigation, it was felt that the one drawback of the grounded theory approach was its requirement for constant interaction with the data. Yet, this is really the major strength of the approach inasmuch as the researcher becomes so familiar with the data (and is continually ‘listening’ for what it is saying), that the refinement process is a direct and accurate representation of what happened. For example, the researcher was frequently surprised, when refining the data, that an apparently new property or category had been recognised. However, he discovered that when this property was entered into the filing system, the property or category in question had already been identified at an earlier stage of interpretation. This pattern, which was basically repeated every time that the data were being reflected upon and refined, provided welcome confidence that properties and categories that were already inferred were accurate representations of the data, and that the categories themselves were increasing in their respective levels of saturation.

Deciding when to stop collecting data -- the point at which Glaser and Strauss (1967, p. 61) say “theoretical saturation” has been achieved -- is left to the researcher. As data collection and refinement proceeds, the researcher makes an intuitive, but
Figure 7: Calendar Showing The Spread Of Data Collection Activities, May 1989 - March 1992

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>JANUARY</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>FEBRUARY</td>
<td>Data Collection (continued)</td>
<td>Data Collection (continued)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MARCH</td>
<td></td>
<td></td>
<td></td>
<td>13th March</td>
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<td></td>
<td>14th March</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>7th review</td>
</tr>
<tr>
<td>APRIL</td>
<td>6th April</td>
<td>10th April</td>
<td></td>
<td>30th April</td>
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<tr>
<td></td>
<td>7th April</td>
<td>11th April</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3rd review</td>
<td>5th review</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MAY</td>
<td>5th May</td>
<td>21st May</td>
<td>21st May</td>
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<td></td>
<td>22nd May</td>
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<td>22nd May</td>
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<tr>
<td>JUNE</td>
<td>2nd June</td>
<td></td>
<td></td>
<td>Data Collection</td>
</tr>
<tr>
<td></td>
<td>3rd June</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>JULY</td>
<td>5th July</td>
<td></td>
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<tr>
<td></td>
<td>6th July</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>1st review</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>AUGUST</td>
<td>7th August</td>
<td>4th review (including literature searching and writing)</td>
<td>31st August</td>
<td></td>
</tr>
<tr>
<td></td>
<td>8th August</td>
<td></td>
<td></td>
<td>1st September</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6th review</td>
</tr>
<tr>
<td>SEPTEMBER</td>
<td>15th September</td>
<td></td>
<td>16th October</td>
<td></td>
</tr>
<tr>
<td></td>
<td>16th September</td>
<td></td>
<td>17th October</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2nd review</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>OCTOBER</td>
<td>9th October</td>
<td></td>
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<tr>
<td></td>
<td>10th October</td>
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<td></td>
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</tr>
<tr>
<td>NOVEMBER</td>
<td>10th December</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>DECEMBER</td>
<td>11th December</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Data Collection</td>
</tr>
</tbody>
</table>
nevertheless informed, decision to cease data collection for a particular category when no additional data can be found to further illuminate it. Judgements of this type can be assisted by “maximising and minimising differences” (Glaser and Strauss, 1967, p. 55-58), which involves collecting additional data from similar sources to verify both the existence of the category and its propositions in the category’s emergent stage.

Later, when the category has reached the stage where other data have begun to fit the category, the focus shifts to the collection of data from a range of different sources so that the category’s properties may be developed and integrated with the category. The process of grounded theory development is taken to be complete when the researcher is convinced that the resulting conceptual framework forms a systematic and interrelated body of explanatory propositions for which the core categories are saturated, and that the gathering of additional data is considered to be fruitless.

An elaboration of the eleven stages of refinement of the data, which were present in the development of this grounded theory, now follows.

5.2 Stages of Refinement

5.2.1 Initial Analysis

Immediately after the first two months of data gathering, initial data analysis took place during a four-week recess. This break from the field allowed the researcher to identify the first 25 tentative categories of information from the early data (see Table 10). These 25 categories were so strongly supported over the duration of the case study that they were either found as categories in their own right, or properties of more encompassing categories at the conclusion of the case study. To
Table 10: Twenty-five Initial Categories of Information as Identified from the Data over the Period of the Study

<table>
<thead>
<tr>
<th>History -- Nepotism and Patronage</th>
<th>Union/Ministry Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>Decision Making</td>
<td>Equity</td>
</tr>
<tr>
<td>Communication</td>
<td>Resources</td>
</tr>
<tr>
<td>Ethos</td>
<td>General Complaints</td>
</tr>
<tr>
<td>Confidentiality</td>
<td>Training and Development</td>
</tr>
<tr>
<td>Evaluations Versus References</td>
<td>Workload</td>
</tr>
<tr>
<td>Honesty</td>
<td>Merit -- Lack of Definition of Merit</td>
</tr>
<tr>
<td>Myths</td>
<td>Confusion -- Performance Management Versus Performance Assessment</td>
</tr>
<tr>
<td>Comparability/Subjectivity</td>
<td>Rules (official and unofficial)</td>
</tr>
<tr>
<td>Appeals -- Natural Justice and Fairness</td>
<td>Promotion and Review Advisory Board</td>
</tr>
<tr>
<td>Rewards and Punishments</td>
<td>Credibility</td>
</tr>
<tr>
<td>Leadership Versus Management</td>
<td>Continual Evaluation</td>
</tr>
<tr>
<td>Information Management</td>
<td></td>
</tr>
</tbody>
</table>
illustrate this point, the category, ‘Equity’, was developed from an examination of the
field notes of interviews and the annotated records of the researcher's emerging
impressions. For instance, the following entry had been made in the field notes
during the third week of data collection:

Reflections on the meeting with the Class IV Principals on 19 May 1989 and
the School of the Air Principals on 23 May 1989. Both are concerned about not
getting a fair go from their Superintendents in terms of evaluating their
teaching. The Director of Human Resources agreed, and he and I wrote a letter
to the Class IV Principals on this (Field notes, 23 May 1989).

Further support (increasing saturation) for this initial category emerged when the
Ministry received a letter from a Class IV Principal on 30 November 1989, pointing
to the lack of promotions that were achieved by Class IV Principals, and the alleged
inequities that this group suffered (this classification of size of school was
subsequently incorporated in the Level 3 group in 1990). This letter was received by
the researcher in his official capacity at the time the data were collected and has been
reproduced in Appendix 6. As it indicates, the promotion-by-merit process did not
take account of the role that the Class IV Principal undertook, treating that person
and classroom teachers (in any class of school) identically; that is, at the same level,
the Class IV Principal to a classroom teacher. However, they were clearly not
validly or meaningfully able to do this, as the two roles were so different.

The category, “Rewards and Punishments”, was established in a similar manner
(see Table 10). The data which led to this, resulted in the following statement in the
joint Ministry/Union Promotion and Formal Evaluation Working Party Report:

‘4.3 The fact that referees are not accountable for their reports causes
concern.’

One of the managers who was later interviewed concerning this stated that:
There was no sanction for poorly done evaluations, either for the evaluator who did it, or if the applicant subsequently received a promotion there was no sanction then either (Field notes, 14 November 1991).

5.2.2 Second Review

Six weeks after the first review was concluded, during a further break from data gathering, the second period for review occurred. During this reflective recess, a decision was taken to use an open-ended questionnaire (see Appendix 7) to gather further needed data and to build rapport with the interviewees by providing a documented record for follow-up discussion at a later stage (see Battersby, 1981, p. 92-93).

5.2.3 Expanding the Set of Theoretical Categories

The first major opportunity for any comprehensive refinement of the data extended over a six-week period from 7 April to 21 May 1990. This third review (see Figure 7), which completed the first prolonged data gathering phase of the study, resulted in a total of 98 properties being allocated to (that is, associated with) the researcher's then 25 provisional categories.

The development of the provisional categories was the result of the following pattern of activity:

- The researcher continually read over the field notes, noting any impressions, ideas or tentative conclusions arising from the data.
- The field notes of each previous week -- or, as the study progressed, the previous weeks -- were re-read as a whole. Again, any tentative conclusions were noted, along with the need for further confirmatory data, and the names of people for interview during the following data collection period were listed.
- When the data came to be the subject of a major review and refinement, the need to use the field notes was almost unnecessary, as the data were so well known.
• The field notes, their identified themes, and the documented conclusions were all transposed onto file cards.
• The file cards were grouped together according to similarity.

An example of how the file cards were used to develop and refine the categories of data has already been given (see Chapter 3, Figure 4).

5.2.4 Development of Properties from a Category of Data

During each of the first three reviews, the properties of each category were developed and progressively refined. The process involved listing the properties of each category and filing these behind the category, along with the supporting data for the category. This resulted in a substantial database against which new data could be compared, related, contrasted, and categorised.

5.2.5 Determination of Generalisability

As the supporting data were filed, the number of managers from whom similar data were obtained was noted. This allowed the obtained data to be quantified so that the properties which emerged could be assigned a crude index of their generalisability level. The assigned levels were:

• High -- over two-thirds of the managers who were consulted gave similar data;
• Medium -- between one-third and two-thirds of the managers; and
• Low -- less than one-third of the managers who were consulted divulged similar data.

This process of generalisability assessment was repeated at each of the seven major review stages in the study.

5.2.6 Delimiting the Set of Grounded Theory Categories

The next significant decision in the data interpretation occurred two weeks later, during the fourth review period (see Figure 7), when further data had been
gathered and analysed. The provisional 25 categories were arranged into six broad groups according to themes which appeared to the researcher to have potential as explanatory or organising constructs. The six thematic groups are depicted in the model shown in Appendix 8. The properties associated with the categories of each group are shown in Appendix 9.

Over the next five months, the grounded theory began progressively to take form as the data and associated interpretations continued to be tested empirically and logically. As a first and straightforward exercise, the grouping together of similar or interrelated categories according to themes (see Appendix 8) was further refined into the more elegant and less cluttered form shown in Appendix 10. Taken together, Appendix 8 and Appendix 10 illustrate the flow of ideas which occurred as the provisional 25 categories and their 98 associated properties were progressively refined and delimited.

Category delimitation proceeded in the following way. After the names of the categories and their properties had been put into the grid, the resulting arrangement was studied to verify if any of these properties could be logically or conceptually combined within or across categories. Where such a situation appeared as a possibility, the data supporting the property were consulted to see if the proposed combination or modification could be justified empirically. Using this approach, the provisional 25 categories were reduced to eight, and the total number of differentiable properties were reduced from 98 to 40. To illustrate the process, a cross-section of the grid format is shown in Chapter 3, Figure 5 and a summary of the combining or ‘collapsing’ procedure is shown in Chapter 3, Figure 6.
Eventually, the category, Comparability/Subjectivity, was confirmed as being subsumed by the category, Values, in the sixth major review of the data (1 September - 16 October 1991).

The formulation of propositions within these categories was also expanded and delineated. An example of the property, Staff (in the category Ethos), and the propositions of this category are clearly shown in Table 11. The estimated generalisability rating for each of the propositions that is associated with this property, is also shown.

Properties such as, Staff, were inferred or 'extracted' from data that were gathered in a variety of ways, including perusal of documents, observation, and

Table 11: Early Propositions to Emerge from a Category of Data Entitled Ethos

<table>
<thead>
<tr>
<th>Property</th>
<th>Propositions</th>
<th>Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
<td>Staff in the Ministry:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>1. Work extremely hard</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2. Work Efficiently</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>3. Deal with people as people not objects</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4. Actively promote the Ministry’s Mission Statement</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>5. Act according to human resource management principles</td>
<td>Medium</td>
</tr>
</tbody>
</table>
interviews. Propositions related to a property were also formulated as a result of a variety of data. The proposition that the decision making of the Ministry failed to follow clear principles, for example, was formulated on the combined strength of:

- claims to this effect from significant numbers of superintendents, principals and staff;
- the researcher’s personal observation that no decision of the Ministry seemed to be the final decision; and
- evidence found in *The Education Circular* and available Ministry files concerning the reclassification of schools.

A tentative and provisional grounded theory modelling the implementation of promotion-by-merit was formulated at the conclusion of this fourth effort to analyse the data and delimit the various categories with their associated properties and propositions. This first formulation of the model is set out in stage seven, as follows.

5.2.7 Initial Grounded Theory Model of Implementing Change

Refinement of the theory progressed quickly from the first tentative approximation or hypothesis (see Appendix 10) to the circular conceptualisation (see Appendix 11). The specific categories and properties of each thematic group in this new model are given in Appendix 12.

A subsequent development was achieved by grouping the four organisational elements together on one circle, and the three personnel elements together on another (see Appendix 13).

5.2.8 Concerns About the Data

Gathering as much data as possible in the time available (without simply gathering data for the sake of gathering it) was the focus of the intervening period, as the researcher was concerned that there may not have been sufficient data already at
hand to saturate the constituent categories of the model. These concerns had been
documented progressively in the researcher’s notes from the earlier stages and
represented an important feature of the grounded theory methodology that was
employed. The following extracts from the researcher’s field notebooks illustrate this
ongoing concern:

At this stage I am worried that I will not have enough material to saturate the
various categories of my research under the card index headings. The problem
of time is paramount -- you cannot lengthen the school day and you can only
talk to managers for so long during that day (Field Notes, 29 March 1990).

and,

Another difficulty ... is that I may have too many groups to try and saturate --
the number of categories and the time available at the Ministry are simply too
many and too few respectively for someone trying to complete their research
while holding down a full time job. Sometimes I feel as though I have an
enormous amount of material and other times I feel I have far too little. At this
stage, I am going to try and get as much as I can on as many areas as possible
and hope that the case study, when completed, will resemble as accurate a
picture as possible, given the amount of time available to undertake the work
(Field notes, 29 March 1990).

After a further four months of data collection, the following conclusion about the data
refinement process was documented during the fifth review period, emphasising the
researcher’s need to be rigorous in keeping up with all aspects of the research -- data
collection, data refamiliarisation, and data refinement must all go hand in hand:

Worried about not refining the data cards enough of late. Target completing
these this month (Field notes, 11 April 1991).

The addition of Culture; that is, the culture of the organisation, was a new category of
information for which the first data from the school site to support this category
arose, in typical grounded theory fashion, and clearly illustrates the importance of the
researcher “listening to” the data rather than directing it. The particular incident
occurred during the sixth review of the data when the researcher was examining the
model as it had developed to that point, and realised that although each of the
identified categories and their various properties and propositions were clearly interrelated, there appeared also to be a common and all-pervading element which could bind together all of the categories, and their properties and propositions, and which was hypothesised to underpin them in the change process. This ingredient was inferred to be the organisation's culture. An example of the determining or conditioning influence of Culture was documented in the field notes when the researcher was discussing the values of the management personnel with one of the senior consultants in the Ministry.

I discussed appointments to remote community schools with one of the senior consultants. He stated that the culture of the organisation made appointments on merit to remote community schools difficult. This included the very geographic isolation of the schools and also the other constraint that you can't be too fussy about who you get, as you have to take whoever you can to go there -- merit is not really an issue. As long as they are not unsuitable, the degree of suitability does not really come into it (Field notes, 11 January 1991).

Further evidence supporting the inclusion of the category, Culture, was subsequently explored with a number of management personnel during the data gathering period -- the earlier mentioned open-ended questionnaire assisted this process. When their comments were examined, the category was indeed saturated.

The decision to establish the category, Culture, was documented in the field notebook as follows:

Because of the strength and all pervasiveness of the way the Ministry does things (that is, its 'culture'), I am taking the properties of the Ministry out of the categories of Ethos, Resources, Antagonists, Values, Equivocation and Communication. Although only some of the managers saw the culture of the organisation as pervading every aspect of the introduction of performance management, when one reflects on what is going on, it is quite clear that it is the culture of the organisation itself which is controlling and directing what happens (Field notes, 20 May 1991).

On reflection, the decision to make this change was the result of the data being allowed to speak for itself. To illustrate this, the following extracts from the field
notebook typify comments made by a wide variety of people who were interviewed in
the case study:

Manager X referred to the previous promotion system of two-thirds seniority
and one-third merit and the implementation of the current system, saying that it
wasn’t good. He quoted the Chief Executive Officer as saying, “we had a really
good system and (messed) it all up” (Field notes, 22 June 1990).

and,

The Ministry was caught up with the feeling on nepotism that affected everyone
at the time whereby the Ministry could pull in whoever it wanted to the
Superintendency. When they could no longer get who they wanted (for
example, under the Equal Employment Opportunity Act), they chose not to
have any Superintendents (relatively speaking) if they couldn’t get who they
wanted, and cut the Superintendency by the drastic cuts that they did in 1987
(Field notes, 28 June 1990).

At this stage, the researcher formulated the two additional theoretical models (see
Figure 8 and Figure 9). Figure 8 was a development from the model that was
developed earlier (see Appendix 13), and is a simplified representation of the seven
categories identified. It locates the categories associated with the organisation itself
in the left-hand circle, and those associated with the personnel in the right-hand
circle. The two circles are surrounded by the culture of the organisation in order to
reflect the pervading influence that this has on each category. The second model that
was formulated at this stage was more sophisticated than the Twin-Circles model and
was developed to differentiate the structural aspects of what was occurring in the
implementation of change from the process aspects (see Figure 9). Structural aspects
are the more overt or tangible categories and, in this model, the categories of
information which reflect the structure of the model of change have been labelled
Communication (which includes such things as policies, procedures, guidelines, rules,
and regulations), and Antagonists. The process aspects include the less tangible
categories of information that are reflective of the processes of implementation.
Figure 8: Model II -- Twin-circles Model: A Model of Implementing Change Showing the Categories Associated with the Organisation Itself around the Left-hand Circle and Those Associated with the Personnel around the Right-hand Circle
Figure 9: Model III -- Iceberg Model: A Model of Implementing Change
Showing the Elements of Structure and Process Using the Analogy of an Iceberg
These have been identified in the model as Values, Ethos, Equivocation, and Resources. The earlier-identified category of Culture (first established in Model II and carried over to the present model because of its inferred importance in binding all other elements together), is interpreted here as the environment within which all of the other categories exist. The ‘iceberg’ representation for this interpretation was suggested by the researcher’s realisation that the structural components of the model are quantitatively “smaller” (that is, conceptually more dense) than the process components (which are conceptually less dense), as can be seen from the relative numbers of properties and propositions associated with each component. The structural grouping (Communication and Antagonists) encompasses 10 properties and 40 propositions, while the process grouping contains 16 properties and 91 propositions.

5.2.9 The Fifth and Final Set of Grounded Theory Categories

Reflection and refinement of the data to the point where the interpretations were considered to be clear and consistent followed the following five steps:

- All data were thoroughly revised and the categories, their properties, and propositions were systematically cross-referenced to the data. The culture of the organisation, in the light of respondent’s comments already outlined, was confirmed as an additional category.
- A test of the hypothesis that the eight basic categories, which were identified in the twin-circles model and the iceberg models, could fairly be compressed to seven, was undertaken. A new grid format with a column for each of the eight basic categories of the twin-circles model, including organisational culture, was prepared. A complete list of the old and new titles are given in Figure 10. At the end of the second step, 21 of the original 25 categories had been allocated to one of the seven final categories. However, the remaining four categories were not allocated as
Figure 10: The Original and Final Titles of the Categories Used in the Grounded Theory Model

<table>
<thead>
<tr>
<th>Original Categories</th>
<th>Final Categories</th>
</tr>
</thead>
<tbody>
<tr>
<td>Union / Ministry Review</td>
<td>ANTAGONISTS</td>
</tr>
<tr>
<td>General Complaints</td>
<td></td>
</tr>
<tr>
<td>Promotion and Review Advisory Board</td>
<td></td>
</tr>
<tr>
<td>Ethos</td>
<td>ETHOS</td>
</tr>
<tr>
<td>Equity</td>
<td></td>
</tr>
<tr>
<td>Confidentiality</td>
<td>VALUES</td>
</tr>
<tr>
<td>Honesty</td>
<td></td>
</tr>
<tr>
<td>Merit - Lack of Definition of Merit</td>
<td></td>
</tr>
<tr>
<td>Appeals - Natural Justice and Fairness</td>
<td></td>
</tr>
<tr>
<td>Rewards and Punishments</td>
<td></td>
</tr>
<tr>
<td>Credibility</td>
<td></td>
</tr>
<tr>
<td>Comparability and Subjectivity</td>
<td></td>
</tr>
<tr>
<td>Resources</td>
<td>INFRASTRUCTURE</td>
</tr>
<tr>
<td>Training and Development</td>
<td></td>
</tr>
<tr>
<td>Workload</td>
<td></td>
</tr>
<tr>
<td>Confusion - Performance Management Versus Performance Assessment</td>
<td>EQUIVOCATION</td>
</tr>
<tr>
<td>Communication</td>
<td></td>
</tr>
<tr>
<td>Myths</td>
<td>COMMUNICATION</td>
</tr>
<tr>
<td>Rules (Official and Unofficial)</td>
<td></td>
</tr>
<tr>
<td>Information Management</td>
<td></td>
</tr>
<tr>
<td>History - Nepotism and Patronage</td>
<td>CULTURE</td>
</tr>
<tr>
<td>Decision Making</td>
<td></td>
</tr>
<tr>
<td>Leadership Versus Management</td>
<td></td>
</tr>
<tr>
<td>Continual Evaluation</td>
<td></td>
</tr>
<tr>
<td>Evaluation Versus References</td>
<td></td>
</tr>
</tbody>
</table>
readily. During this and the following day of the process, the remaining four categories were allocated, with the researcher continually trying to identify another category (or more), to which these could be assigned. However, in spite of rigorously searching the available data, no additional categories were identified. The existing categories catered for all the properties rather easily when it was realised that no new categories were possible.

- Figure 11 shows the grid format which was critically reviewed in an attempt to improve the accuracy of the representation of the data. In this effort, some minor alterations to the grid format were made, such as the identification of groups of properties with a degree of similarity, and interrelatedness within a category. For example, in the category, Culture, decision making was linked to the subproperties of nepotism and patronage, leadership versus management in the industry, and continual evaluation, because these subproperties were all part of the culture of the organisation.

- The field notes were continually used to document the researcher's own feelings, observations, and conclusions. Reflection and re-examination of the grid format (see Figure 11) resulted in a strong belief that the seven categories and their 31 properties were an accurate representation of the data. The continual, rigorous approach to the research ensured that this was so and the resultant sense of relief that this feeling of accuracy brought was progressively documented.

All that now remained, was the final five months of data collection before the case study was concluded and the final data analysis was commenced. Although this period did not see any changes to the number of categories or properties, the additional data that were gathered helped to saturate the existing categories and contributed to a further appreciation of the strength of the grounded theory. The case study stood on its own -- the messages from the data were loud, consistent, and easy to hear.
Figure 11: The Delimitation of Categories During the Last Six Recess Periods of the Study

Initial 25 Categories
5.2.10 Final Analysis of Data

Clear confirmation of the seven delineated categories occurred during the seventh and final major review of the data. In addition, the final number of properties that were developed (the method of how these properties arose was discussed in the introduction to this chapter) were reduced to 31, and there was a total of 54 propositions.

The process of delimiting the categories during the last five major review (recess) periods is shown in Figure 11. It is interesting to note that, during these periods, some categories were reassigned to other categories after they had already been subsumed by another, different category. For example, the category, Nepotism and Patronage, was initially subsumed into the category, Ethos. After further reflection, this decision was revoked and the (now) property, Nepotism and Patronage, was included in the category, Culture, ten months later during recess period number six, because nepotism and patronage are part of the culture of the organisation and the way it has operated, not part of the organisation’s ethos.

During the final period of revision, the researcher developed an increasingly strong level of confidence in the categories, properties and propositions as identified, and also saw the recognition of another property, ‘Illusions’, in the category, Culture. This property was recognised after the data (documents and field notes) had been thoroughly perused a final time. The impetus which initiated this addition was a comment by a senior manager about the decision to reclassify schools because they were concerned that:

people’s (principals’) perceptions are more important than reality (Field notes, 6 May 1991).
Although the importance of this comment was not realised at the time that it was made, such comments, as was typical of the methodology adopted, were always documented.

After the significance of the property, Illusions, was realised, the data were scoured for any evidence of the Ministry of Education having employed illusions. The field notes provide evidence that the Ministry worked to avoid perceptions that nepotism and patronage were in existence in the organisation. However, as this study has found, the propositions associated with the property, Nepotism and Patronage, have been strongly supported. For example, it was noted by many of the managers/principals who were interviewed on this property that:

the Ministry urge proactive change in schools, yet they re-write the Regulations on things like School Councils which cut the grass from under your feet. The reclassification of schools is the same (Field notes, 25 May 1991).

Rigorous attention to detail in documenting the data, coupled with the continual re-examination of the data, ensured that the final set of categories, properties and propositions, were an accurate reflection of the data gathered in the investigation of the problem under examination -- the process of implementing a performance management program in a large, complex, bureaucratic organisation, and the role of the management staff in this process.

5.2.11 Writing Up of the Data Analysis Chapter

During the writing up of the data analysis chapter, two additional models which focus more on the process that had occurred in the implementation of a performance management policy, rather than the performance management policy per se, were developed. This broader perspective is more generic in nature and could presumably be applied to any of a number of change implementation situations.
Model IV -- the Linear Model (see Figure 12) shows how the various inputs (a new selection process, resources and limited training) undergo a transformation process leading to some outputs (managers/principals are selected), until, finally, some outcomes are achieved. However, in this particular instance, the Ministry of Education stopped short of doing two things. First, no evaluation was done to determine if the new process actually did select better managers/principals, or whether it just selected them differently. Second, the Ministry used the findings of

**Figure 12: Model IV -- Linear Model: A Process Model of the Implementation of Change**

**INPUTS**
(New Process, Resources and Training)

\[ \uparrow \]

**TRANSFORMATION PROCESS**
(What happened during the Performance Management process - for example references/evaluations being completed, the Promotion and Review Advisory Board and so on)

\[ \uparrow \]

**OUTPUTS**
(Managers/Principals are selected - albeit differently)

---
(Do we have better Managers/Principals OR have they just been selected differently?)
the Promotion and Formal Evaluation Working Party to determine that a new
performance management system was required. To this date, the Ministry has still not
addressed the question of whether the initial ‘new’ system or the current ‘new’

system selects better managers/principals.

Greater detail on the process of implementing a policy change, including
demonstrating the interrelationships between the various stages, is depicted on the
final model -- Model V, the Interrelated Model (see Figure 13), providing the most
complete account of the change process in-action. The model commences with the
organisation making a diagnosis of what is presently occurring (including taking
account of the interrelationships between the organisation’s overt and covert
agendas), leading to the formulation of a new policy and policy statement. Under this
conceptualisation, these inputs then undergo the implementation phase, and the

various actions which arise as part of this, lead to a number of outputs and outcomes
which are evaluated. This in turn, leads into future planning. The results of the
future planning phase are then fed back into the various stages of the model,
reflecting the dynamic state that the process of implementing a policy change is
continually going through. Finally, it should be noted that this model is also
surrounded conceptually and supported by the culture of the organisation. While the
speculative nature of the model is acknowledged, the Interrelated Model is offered as
being the most heuristically useful because of its dynamic and comprehensive nature.
Figure 13: Model V -- Interrelated Model: A Process Model of Implementing Change
5.3 Summary

Four models have been developed from the data in this study (the twin-circles model, the iceberg model, the simple linear model and the more complex, interrelated model) and these may provide managers with relatively simple ways of conceptualising a complex topic. The successful implementation of change demands that managers -- change implementers -- are able to tap into the elements (or categories) of the change process at any time. Different organisational/corporate/business situations, particularly those involving the diagnosis of issues and decision making, place heavy but unequal demands on the two aspects of the structure and process of change implementation. To use the metaphor of the iceberg, the areas which are readily seen and unseen have to be strong enough to withstand the stresses of the change process. The importance of understanding each element and developing an appropriate balance among the elements (or categories) is of critical importance for managers (change implementers) in order to be able to implement change successfully in their own work situation.

The continual, rigorous application of the grid format at each of the major reviews of the data enabled the final group of categories, properties, and propositions to accurately represent the data gathered in this investigation of how a performance management program was implemented in a large, complex, bureaucratic organisation, and of the role of the management personnel in this process. The results of this data analysis process are considered in the following chapter.
CHAPTER 6

RESULTS – LINKING DATA EXPLICATION AND THE EXTANT LITERATURE

The findings of this investigation provide support for earlier research on organisational change and add to the findings from other research approaches in the field. They also provide new insights into the processes of organisational change.

The model of organisational change implementation that is developed in this chapter has provided a unique insight into an organisation where change was occurring by providing an analytical description of what the Ministry was trying to do and what it actually was doing, and infers the forces which shaped its decisions along the way. The present project has attempted to research beneath the surface and to investigate what it was like for the management personnel who were involved in the process of implementing change, by examining their experiences. In addition, this research has also studied the management personnel in the cultural context of the organisation.

It should be stated that this study was not an attempt to solve the problem of, and provide yet another recipe for, successful change implementation. However, it did seek to ground in data an attempt to describe what actually happened when change was being implemented and what the role of the management personnel was in this process. This research has, therefore, gone some of the way towards bridging the gap between theory and practice.

Finally, new insights into the process of implementing change, and the role of the management personnel in this process have been uncovered. Perhaps the most significant of these discoveries is that the earlier investigations have not
clarified the overarching importance that the culture of the organisation as an ingredient in the change process (and included in the organisation's culture is the role that the illusion of something is occurring) can play. As this research has shown, the culture of the organisation is the all-pervasive binding agent which influences the change process. This binding force is of crucial importance in the area of organisational change.

The findings have been arranged into seven categories that were derived from the field data. Each category is represented by a number of constituent properties, each of which is defined by a number of grounded propositions. A full tabulation of the seven categories, together with the properties and propositions associated with each, is included as Appendix 14 to this report. For the purposes of this chapter, and to provide a more interpretable format for the reader, discussion will proceed category by category and, within each category, separately for each property. In each case, the part of the overall table relating to the category and property under consideration will be incorporated within the body of the discussion for ease of reference (see Appendix 14).

The seven categories derived in the study are as follows:

- Values;
- Antagonists;
- Ethos;
- Resources;
- Equivocation;
- Communication; and
- Culture.

Each of these categories is a cluster concept which captures an important explanatory aspect or qualitative dimension of the overall phenomenon of interest
-- the process of implementing an organisational change and its experience by
the major groups of participants. The naming of the categories is arbitrary. In
each case it represents an attempt by the analyst to capture and imply the
'connecting logic' which ties together the various properties assembled by it.
Although they may be somewhat ambiguous as they stand, it is assumed that each
is sufficiently relevant to its category to offer a helpful and valid base for the
discussion and subsequent presentation of the grounded theory. They are
grounded in their respective data and the real meaning of a category is dependent
upon an understanding and appreciation of its defining properties and
propositions. For this reason, the discussion of each conceptual category is
preceded by a tabulation of the properties and propositions it is taken to
represent. In addition, the findings of the present study have been linked to the
extant literature in an attempt to enable the reader to more easily reflect on the
findings in comparison and contrast to previous research. Conclusions regarding
each of the categories and their properties and propositions have been made as
the discussion progresses through the Chapter.

The discussion now moves to an examination of the results of the
investigation for each of the seven identified categories of data, the first of which
is the category Values.

6.1 Category 1: VALUES

6.1.1 Merit

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1 Merit</td>
<td>6.1.1 There is no articulated definition of merit.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6.1.2 Merit is directly related to the geographical location of the school -- the more favourable the location, the more meritorious the applicant</td>
<td>High</td>
</tr>
</tbody>
</table>
will be.

1.1.3 Merit is really the most available applicant who is deemed not to be unsuitable. Medium

1.1.4 The evaluation of merit by the superintendent is superficial, resulting in promoting people who know how to make everything look good. Low

1.1.5 The selection criteria used by the Promotion and Review Advisory Board to rank applicants for promotion by merit should be published. High

1.1.6 There is no duty statement of what principals and other management level position holders do, against which to permit accurate assessment of performance. Medium

1.1.7 The Promotion and Review Advisory Board treat experience in acting/exercising capacities as demonstrating merit in an inconsistent manner. High

1.1.8 The Promotion and Review Advisory Board ignore the years of experience gained in the immediately subordinate promotional position. Medium

1.1.9 The Promotion and Review Advisory Board see the deputy principalship as a suitable apprenticeship to the principalship. Low

This investigation found that *merit* was the most strongly endorsed value -- but the most difficult to comprehend -- which confronted change users as they attempted to implement performance management. The lack of a clear definition of merit was recorded with high frequency from each group of change implementers. In addition, the selection criteria used by the Promotion and Review Advisory Board were seen by respondents as secretive. There were no lists of duties available from which even a working definition of merit might have been developed. Some central office staff and some applicants perceived that superintendents took a superficial view of the work of applicants, and that work experience was also seen to be dealt with in an inconsistent manner by the Promotion and Review Advisory Board. Although the literature did not identify the definition of terms as such, these propositions and their
properties stress the value of change implementers’ understanding of the goal (Coch and French, 1947), indirectly supports the value of change implementers’ involvement in writing the goals (Carey, 1985), and supports the need for change to be defined from the implementers’ perspective (Hall, 1976). The difficulties associated with the lack of agreement of what merit was, were further accentuated by the lack of comparability and the subjective nature of the manner in which the performance management process was applied.

### 6.1.2 Comparability and Subjectivity

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2 Comparability and Subjectivity</td>
<td>1.2.1 There are no procedures to moderate the effects of the relative severity or leniency of particular referees from one district to the next.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.2.2 Different evaluation conditions operate from one district to the next.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.2.3 There is no uniformity of assessment of applicants on a statewide basis.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.2.4 The assessment knowledge base of the superintendent needs to be broadened.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.2.5 Subjecting a new or acting superintendent to the evaluation process of applicants with whom they are unfamiliar, or have observed for a short period of time, is unsatisfactory.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.2.6 Evaluation visits by superintendents are too brief.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.2.7 The time allocated for assessment visits should be specified at a State level.</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>1.2.8 The pro-forma evaluation forms are ambiguous. Different managerial roles (for example, principal, deputy principal and head of department) require different evaluation forms appropriate to their role.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.2.9 Acting/relieving superintendents rate applicants more highly than substantive (experienced) superintendents.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.2.10 Confidential evaluations are more likely to rate applicants lower than the open evaluation by superordinates.</td>
<td>High</td>
</tr>
</tbody>
</table>
The lack of moderation procedures to improve comparability between assessments from one district to another, and thus leading to cynicism and scepticism (see Category 7, Culture) was seen by the majority of respondents to be a major weakness in the implementation of the performance management system by the Ministry of Education. The study also found that the time which superintendents allocated for visiting an applicant for assessment purposes was thought to be too brief. Moreover, acting and relieving superintendents were perceived by members of the Promotion and Review Advisory Board and central office managers to rate applicants more highly than substantive (experienced) superintendents. This perception was confirmed by the researcher, when he analysed the ratings assigned to applicants by acting and relieving superintendents.

It was also found that open evaluations rated applicants consistently higher than did confidential evaluations submitted on the same applicants. The assessment knowledge base of the superintendents was not uniform, which was a weakness that was exacerbated by the Ministry's reliance on using the same evaluation forms for different managerial roles. The findings relating to comparability and subjectivity were not evident in earlier research and could provide a useful basis for further study.

### 6.1.3 Confidentiality

<table>
<thead>
<tr>
<th>Proposition</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.3 Confidentiality</td>
<td></td>
</tr>
<tr>
<td>1.3.1 Applicants are concerned about breaches in confidentiality by the Ministry.</td>
<td>Medium</td>
</tr>
<tr>
<td>1.3.2 The Ministry is concerned about breaches in confidentiality and is seeking strategies to eradicate these concerns.</td>
<td>Low</td>
</tr>
<tr>
<td>1.3.3 Referrees/evaluators are reluctant</td>
<td>High</td>
</tr>
</tbody>
</table>
to commit their assessment of an applicant to paper (if it is negative), but would much prefer to make known their negative assessment over the telephone.

A medium level of generalisability among applicants about rumoured and actual breaches in confidentiality by the Ministry was noted. However, despite evidence of this, the organisation showed very little interest and took almost no steps to eradicate further situations where applicants became aware of what had been written about them or other applicants. There was evidence of some reluctance by referees/evaluators to submit honest assessments (especially if they were going to report anything unfavourable about the applicant). The lack of trust that was evident in the propositions associated with this property supports the findings of Kotter and Schlesigner (1979), Kaufman (1985), and Duck (1993).

6.1.4 Honesty

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.4 Honesty</td>
<td>1.4.1 Applicants get skilled writers (for example, university lecturers) to write their 250-word statements for them.</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>1.4.2 Applicants in small schools can use the restrictive availability of peer and subordinate referees/evaluators to their advantage in an unfair manner.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.4.3 Confidential references/evaluations by peers/subordinates are more accurate than the open report by superordinates.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.4.4 Applicants falsely claim they had qualifications in excess of those required for eligibility as the Ministry does not check these claims.</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>1.4.5 Applicants are advised that they can submit supporting documentation to their 250-word statements for consideration by the Promotion and Review Advisory Board. However, this documentation is not read.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.4.6 Referees/evaluators (in particular, principals) may inflate their report on an applicant in the hope of getting rid of the</td>
<td>Low</td>
</tr>
</tbody>
</table>
Dishonesty by the organisation as it gave confusing messages to staff, and dishonesty by applicants and referees/evaluators was widely reported. While very few respondents admitted being personally dishonest, they were quick to comment on what they saw as a lack of honesty among their peers, subordinates, and superordinates. Although very few applicants were reported to have used ghost writers to prepare their 250-word statements, or claimed to have qualifications which they did not have, or that there was a low frequency of reports where referees/evaluators (in particular principals) inflated their reports on applicants they wanted to be rid of from their schools, the fact that this was reported by respondents in this study is a concern. The potential for damage to the organisation was that applicants of relatively low or questionable merit may have been promoted to higher levels of responsibility and authority in the organisation.

The medium level of generalisability which was noted about the advantages of the use of a limited pool of possible peers in small schools for some applicants, and the selection of person ‘x’ from the list of possible referees/evaluators as
being a matter of chance was not seen by respondents as being a major weakness of the system. Of greater significance was the finding that some applicants evidently wrote up their own evaluations for their superordinates to sign, and that they exchanged high reference/evaluation ratings with one another.

Some evaluations had reportedly been written by an applicant’s partner. What was seen by many respondents as totally reprehensible was the alleged submission of references/evaluations by superintendents on principals who had not even been visited. The confusing messages issued by the organisation about the consideration given to supporting documentation by the Promotion and Review Advisory Board were seen by many applicants as justification for their scepticism about the honesty of the Board and the organisation as a whole.

The property, “Honesty”, has not been identified in previous research and is a significant contribution of this investigation to the existing body of knowledge regarding the implementation of change. As such, it could provide another opportunity for further research.

6.1.5 Credibility

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.5 Credibility</td>
<td>1.5.1 The credibility of the superintendency is questionable when inexperienced managers are appointed as acting/relieving superintendents.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.5.2 The quality of the people appointed by the Ministry to management positions in central office is a cause for concern.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.5.3 The majority of the members of the Promotion and Review Advisory Board do not have any recent school experience.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.5.4 Senior managers in central office do not want to listen to points of view that are contrary to their own.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.5.5 The superintendents, as a whole, do not demonstrate leadership.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.5.6 The quality of applicants applying for acting/relieving superintendents'</td>
<td>Medium</td>
</tr>
</tbody>
</table>
The issues of confidentiality and comparability, combined with questions about the honesty and subjectivity of the performance management system are compounded in the property, credibility, and the credibility of the performance management system was questioned by the majority of applicants. Most felt that inexperienced managers had been appointed during this system to the superintendency and that the quality of applicants applying for acting/relieving superintendents' positions was typically poor. There was also a high level of generalisability that superintendents did not demonstrate leadership to their subordinates, and that there was a lack of recent school experience among the members of the Promotion and Review Advisory Board. This was significant to applicants who commented that this was the group responsible for making decisions about the 'merit' of applicants, and that the level of credibility which could be given to decisions they made had to be questioned.

Apart from the issue about the suitability of the superintendency and the Promotion and Review Advisory Board, the quality of appointments made by the organisation to management positions in central office was also raised by respondents, and the lack of willingness of central office senior management to listen to viewpoints that were contrary to their own was also noted. The literature review identified leadership style (Hord and Hall, 1975), the role of different groups of leaders, such as the educational manager/leader (Pipho, 1984) and their deputy (Spady, 1985), the role of central office (Stoll and Fink, 1994) and personality/psychological variables (Rogers, 1962). However, the identification of credibility as being more than an implicit aspect of leadership is another
contribution of this investigation. However, it deserves further elaboration and clarification by additional research.

6.1.6 Rewards and Punishments and 6.1.7 Natural Justice and Fairness

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.6 Rewards and Punishments</td>
<td>1.6.1 Referees/evaluators are not accountable for their reports and this is a concern.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.6.2 Referees/evaluators should be punished for poorly completed or dishonest evaluations.</td>
<td>High</td>
</tr>
<tr>
<td>1.7 Natural Justice and Fairness</td>
<td>1.7.1 Appeals against a decision made by the selection group should be considered and decided by a group that is independent of the group which made the decision in the first place.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.7.2 Promotion and Review Advisory Board members are reluctant to overturn their original decision for fear that people would question what was wrong in the first place.</td>
<td>Medium</td>
</tr>
</tbody>
</table>

This study found that referees/evaluators were not accountable for their reports and this was matched by the respondents’ desire to see those people punished for poorly or dishonestly completing their evaluations. Similar anxiety was reported about the lack of natural justice and fairness when an appeal was heard by the same group that had made the original decision. There was a reluctance by the Promotion and Review Advisory Board to overturn their original decision. Although these findings per se were not identified in earlier research, the role played by the culture of an organisation has been reported in a number of studies (for example, Tichy, 1983; and Fullan, 1986). The impact of these properties and their propositions demonstrate the powerful influence which the culture of the Ministry of Education has exerted, albeit in a negative sense. The role of culture will be discussed further in relation to Category 7, Culture. In view of this, further research into rewards and punishments, and natural justice and fairness could add to the body of knowledge about implementing change.
### 6.1.8 Equity

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.8 Equity</td>
<td>1.8.1 Principals of very small schools do not get evaluated on the same basis as their classroom teacher colleagues.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.2 It is more difficult to gain promotion to a first stage promotional position from a Class IV Principalship position than any other position.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.3 The Ministry experiences difficulty in staffing Class IV schools.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.4 District office staff experience difficulty in nominating referees/evaluators who can comment on their recent classroom experiences.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.8.5 Applicants who have a new superintendent experience difficulty in gaining “outstanding” reports, regardless of their ability.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.6 Applicants in smaller schools have a limited access to people who can be nominated as referees/evaluators.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.7 Applicants who had worked closely with superintendents who retired at the end of 1987 had difficulties in developing a positive rapport with new superintendents.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.8 Teachers with heavier workloads in terms of marking and preparation are disadvantaged because they have less time to devote to initiatives in the school outside of their own subject area.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.9 Class III Principals and Class I Deputy Principals do not have the same background, yet are evaluated for promotion within the same pool.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.10 Applicants from metropolitan locations are advantaged by having increased opportunities for professional development and professional interaction.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.8.11 The restriction of a 5% limit on the number of “outstanding” recommendations in the district superintendents’ reports is unfair when one district may have two applicants and another may have 30.</td>
<td>High</td>
</tr>
</tbody>
</table>

The different bases under which principals of very small (Class IV) schools and classroom teachers are evaluated (especially as both groups were competing for the same level of promotional position), frustrated respondents. It was also found that principals of these small schools (Class IV schools have less than 30 students) found it more difficult to gain promotion. Consequently, the Ministry
has experienced problems in staffing these very small schools. Applicants from these and other small schools reported having limited access to people who could be nominated to write references/evaluations.

District office staff who had difficulty in nominating referees/evaluators who could comment on their recent classroom experiences reported a similar equity problem. This latter group of applicants felt that they had been appointed to their district office position because of their classroom ability, yet this turned out to have impeded their promotional prospects because they were no longer in a teaching role.

Applicants who were new to a district, or whose superintendent was new, believed they could not be awarded highly competitive ratings because of the new superintendent’s reluctance to award anyone an “outstanding” evaluation in their first year of working with the applicant. This was seen to be a major disadvantage for applicants who had worked closely with superintendents who retired at the end of 1987, when a number of superintendents took a voluntary severance/redundancy package as the organisation downsized with the introduction of the ‘Better Schools’ reforms.

In secondary schools, applicants who taught in areas which had a heavier marking and preparation workload had less time to devote to initiatives in the school outside of their own particular subject areas and this made them less competitive.

The difficulties that were reported by the Class IV principals who were competing against classroom teachers for the same level of promotion were similarly reported by principals of Class III schools who were competing against deputy principals of Class I schools. The two roles were seen as being quite
dissimilar, and in the view of the Class III principals, the deputy principals were
advantaged in their prospects for promotion.

Another area where there was evidence about a lack of equity was the
availability of professional development activities for metropolitan applicants
relative to their country colleagues.

Finally, there was considerable frustration about the Promotion and Review
Advisory Board’s decision to limit the number of “outstanding” ratings to five
percent, particularly when one district superintendent may have two applicants
and another may have 20. The difficulties in relation to staff turnover for both
the applicants and their district superintendents were evident in the earlier
research by Fergusson (1984) and Stoll and Fink (1992, 1994). There would also
be value in taking the issue of staff turnover further, through additional research
into the notion of equity and the effects that issues such as staff turnover have on
the implementation of change from an equity viewpoint.

All of the properties that were identified in this investigation show evidence
to support the finding of Carnall (1982) that organisations function as sections
and not as an organisational whole, with the consequence that change is not
implemented in a consistent and unified manner.

The foregoing discussion on the category, Values, can be summarised in
tabulated form (see Table 1, Appendix 14). The second category for
consideration -- Antagonists -- now follows.
6.2 Category 2: ANTAGONISTS

6.2.1 The Ministry

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 The Ministry</td>
<td>2.1.1 Senior managers in the Ministry keep putting off consideration of changes to the present system.</td>
<td>High</td>
</tr>
</tbody>
</table>

The change implementers expressed considerable frustration in that they saw the senior managers in the Ministry putting off making changes to the present system, despite their acknowledgment that the performance management system was in need of major changes, as recommended by the joint Ministry of Education and State School Teachers' Union Working Party. This property was reinforced by the propositions under property 7.2 (Decision Making) in the category, Culture. The research findings in the area of efficacy (for example, Good and Power, 1976; and Bartlett, 1991) were in contrast to the finding where we have a group of change users who are unwilling to implement change, despite acknowledging the need for change. Perhaps this may have been because the changes could have been taken to herald a new system whereby there would be a shift in the amount of power that senior managers held. As Busher (1991) reported, dominant power groups do not like to admit this in public.

6.2.2 The Teachers' Union

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.2 The Teachers' Union</td>
<td>2.2.1 Senior officers of the Union do not have a clear policy on promotion-by-merit.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.2.2 Factional fighting in the Union prevents policy development.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.2.3 Union leadership is naive and follows the lead of the Ministry.</td>
<td>Medium</td>
</tr>
</tbody>
</table>
Respondents from all levels in this study reported that the senior officers of the Teachers' Union did not have a clear policy on promotion-by-merit and that this group had acted naively, following the lead of the Ministry. This situation was further compounded by the factional fighting within the Union which prevented policy development. While there was conflict evident in the Union at the time, this was at an internal management level and did not directly relate to the implementation of change that was considered in this study.

6.2.3 Ministry/Union Cooperation

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.3 Ministry/Union Cooperation</td>
<td>2.3.1 The Ministry and the Union experience difficulty in meeting to review the promotion-by-merit policy.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.3.2 Managers are frustrated by delays in changing the promotion-by-merit policy.</td>
<td>High</td>
</tr>
</tbody>
</table>

During the period in which the Ministry and the Teachers' Union were working together as members of a joint working party to review the promotion-by-merit policy, little cooperation was evidenced. Scheduled meetings were abandoned because of the Union delegates failing to attend, with no forewarning of this. This lack of cooperation frustrated the managers who were working with the performance management system as the two parties were not reaching agreement on the changes which people wanted to have adopted. This was further compounded by the senior managers in the Ministry who put off considering the recommendations after they were eventually made. This investigation neither supports nor contradicts the research on understanding conflict, as the lack of cooperation that was evident was not a reflection on conflict between the two groups. Rather, it reinforces the findings of Kanter
(1984) and Boot and Evans (1990) who noted the value of a collaborative approach to implementing change.

### 6.2.4 Promotion and Review Advisory Board

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.4</td>
<td>2.4.1 Board members do not read the evaluations.</td>
<td>Medium</td>
</tr>
<tr>
<td>2.4</td>
<td>2.4.2 Board members rank applicants on the basis of numerical ratings assigned by referees/evaluators, not their assessment of the references/evaluators.</td>
<td>High</td>
</tr>
<tr>
<td>2.4</td>
<td>2.4.3 Board members are reluctant to list an applicant as unsuitable, despite the report ratings.</td>
<td>High</td>
</tr>
<tr>
<td>2.4</td>
<td>2.4.4 Union representatives on the Board vote according to Union policy, regardless of the situation under consideration.</td>
<td>Medium</td>
</tr>
<tr>
<td>2.4</td>
<td>2.4.5 Board members do not gain consensus on individual rankings, using totals of ratings assigned instead.</td>
<td>Medium</td>
</tr>
<tr>
<td>2.4</td>
<td>2.4.6 Board members appear to be “faceless” as they are not seen by applicants.</td>
<td>High</td>
</tr>
</tbody>
</table>

The manner in which the Promotion and Review Advisory Board ranked applicants for promotion upset applicants, managers, superintendents and some of the Board’s members, and was accentuated by the finding that some Board members did not read the evaluations for promotion, that were written on the applicants. This was extended by the belief that the Board members ranked applicants on the basis of the numerical ratings which were assigned by the referees/evaluators, not the written statements in support of the ratings. Furthermore, the Board members did not gain consensus on the ratings that they had ‘determined’ (as evidenced in the first two propositions of this property), but simply used the totals of the ratings to determine their priority list of candidates.

Union representatives voted according to Union policy, regardless of the situation under consideration. For example, the Union representatives always
voted against any appeal for the consideration of late applications, regardless of the particular circumstances as to why an application was late. Finally, the Board members were viewed as being “faceless”, as applicants almost never had the opportunity to meet them.

6.2.5 *The Applicant*

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of General Applicability</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.5 The Applicant</td>
<td>2.5.1 The applicant plays almost no part in the promotion-by-merit process.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.5.2 Central office staff, superintendents, and other superordinates/peers/subordinates carry the whole of the promotion-by-merit process.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.5.3 Applicants experience difficulty in completing application forms.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>2.5.4 Applicants feel under pressure to kowtow to superintendents.</td>
<td>High</td>
</tr>
</tbody>
</table>

After completing an application form and writing a 250-word statement on why they should be considered for promotion, applicants played no further part in the performance management process. The onus was not on applicants to demonstrate why they were suitable for promotion. Central office staff, superintendents, and other superordinates/peers/subordinates carried the rest of the work associated with the performance management process. These officers spent large amounts of their time writing references/evaluations and undertaking other logistical work to complete the process.

Although the applicants had little to do in the performance management process, there was evidence that many applicants failed to correctly complete the application form for promotion. Central office staff believed that if an applicant could not get that simple part of the process correct, then they could hardly
expect to be promoted over their peers and run a school, with a myriad of tasks and duties to be performed accurately.

Finally, applicants felt under considerable pressure to act obediently to superintendents, particularly as the reference/evaluation that was written by the superintendent was considered to carry more weight than the references/evaluations which were completed by the applicant’s peers and subordinates.

The literature (Common, 1983a; Kemmis, 1985; and Fletcher, 1989) advocates self-appraisal as being highly effective in implementing change, yet the Ministry almost totally ignored this area of research when attempting to implement its performance management policy.

In conclusion, the various properties and propositions that are present in the category, Antagonists (see Table 2 in Appendix 14), while not of major significance, must nevertheless be understood if the process of implementing change and the role of the change implementer are to be understood.

6.3 Category 3: ETHOS

6.3.1 Talk Versus Action

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1 Talk Versus Action</td>
<td>3.1.1 Ministry talks of caring for people but actions like reclassifying schools do not match the rhetoric.</td>
<td>High</td>
</tr>
</tbody>
</table>

The Ministry was strongly criticised by respondents for ‘talking about’ caring for people (with particular reference to the organisation’s employees), while not matching this rhetoric in its action. The decision to reclassify a number of schools without warning the management personnel of those schools was cited
as an example. The decision meant that many of these managers had to relocate.

For some, this was evidently very difficult. This lack of trust in the organisation supports similar observations of Kaufman (1985) and Duck (1993).

6.3.2 Mission Statement

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.2 Mission Statement</td>
<td>3.2.1 Managers do not know/identify with the organisation's mission statement.</td>
<td>Medium</td>
</tr>
</tbody>
</table>

The Ministry of Education published a mission statement for the first time during the course of this study. However, the inability of many managers to be able to identify with this statement frustrated the managers who could see their peers either struggling with or rejecting the statement. The emergence of mission statements as key elements in strategic planning has only recently been reported in the literature (Stoll and Fink, 1992 and 1994), as evidenced by the lack of familiarity within the Ministry.

Instead of further developing corporate loyalty, the mission statement intensified the feelings of frustration, as reflected in the preceding property, “Talk Versus Action.”

6.3.3 Corporate Loyalty

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.3 Corporate Loyalty</td>
<td>3.3.1 Managers in the field openly and publicly criticise the Ministry.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>3.3.2 Central office managers work harder and longer to solve problems, not by working differently.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>3.3.3 Central office managers rigidly support their colleagues' policies.</td>
<td>Medium</td>
</tr>
</tbody>
</table>

Open criticism of the organisation by its managers was frequently noted in this study. The acceptance of this criticism by the organisation without dealing
with either the criticism itself, or the critics was a further reflection of the perceived ethos of the organisation as being weak in corporate loyalty and as being characterised by rhetoric without acting accordingly. This open criticism of the organisation by field-based managers, however, was not evidenced among central office managers. Instead, this latter group preferred to criticise within the central office. Nevertheless, the effect on corporate loyalty was still destructive.

Zaltman and Duncan (1977) also reported on the powerful role that the social context of the organisation and the nature of a person’s group of significant others played in implementing change successfully.

Further research into the area of corporate loyalty may provide useful information for developing a greater understanding of the effect that the organisation’s social dynamics can have on the successful implementation of change.

The properties and propositions already discussed have been tabulated in Table 3, Appendix 14. Although this category was not characterised by a large number of properties and propositions, the climate of distrust and public criticism of the organisation’s performance management procedures was clearly pervasive and had limited the organisation’s ability to implement the desired changes. The manifestly low level of corporate loyalty was a particular weakness. The negative impact that the absence of an holistic approach typically has on the implementation of change (see Carnall, 1982) was also observed in this investigation.
### 6.4 Category 4: INFRASTRUCTURE

#### 6.4.1 Priorities

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.1 Priorities</td>
<td>4.1.1 Human resources management in central office lacks funding and staff.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.1.2 Curriculum areas in central office are overfunded.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.1.3 District offices are ineffectual for secondary schools but effective for primary schools.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.1.4 Senior management is reluctant to replace staff in key areas.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.1.5 Lack of staff in human resources reduces the support that is available to managers in the field.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.1.6 Human resources staff have low morale and high stress levels.</td>
<td>High</td>
</tr>
</tbody>
</table>

A common problem that was expressed by respondents in this inquiry was the inadequate level of funding and staff in the human resources area. As the human resources area had responsibility for the logistical aspects of implementing the performance management policy, this under-resourcing was of critical importance. Not only were the funding and staff insufficient to complete the work without generating high stress levels and low morale among staff, senior management was reluctant or unable to replace staff who had left. The consequent shortage of staff also reduced the support that was available to managers in the field, who were also implementing the performance management policy. The organisation’s resource priorities were seen to be in the curriculum areas, and the human resources area suffered accordingly. The need to establish clear priorities with regard to resource use in order to successfully implement change is an area where further research could benefit from a greater understanding of the implementation of change.
6.4.2 Workload

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.2 Workload</td>
<td>4.2.1 Superintendents are overloaded with promotion-by-merit reporting.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.2.2 Superintendents have a disproportionate number of evaluations from one district superintendent to another.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.2.3 The volume of material to be read by Promotion and Review Advisory Board members is so great that it cannot be read in detail.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.2.4 Too many people applying for promotion have applications which are not active because vacancies where they are applying do not exist.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.2.5 Schools are suffering because superintendents lose up to one-third of their working time on promotion-by-merit reports.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.2.6 Superintendents attempt to offload or opt out of writing reports.</td>
<td>High</td>
</tr>
</tbody>
</table>

Superintendents played a major role in the implementation of the performance management policy, as each applicant had to have at least one of their references/evaluations written by the district superintendent. The overloading of these managers was adversely reported by school principals and superintendents who saw up to one-third of the superintendent’s time being spent on promotion-by-merit reports. Some district superintendents had more reports to write than others, and this placed an even greater burden on them and the schools in their districts. The volume of reports which had to be completed by referees/evaluators was such that there was almost no evidence that the amount of material to be read by the members of the Promotion and Review Advisory Board could be read in detail (see the properties on the Board as reflected in Category 2, Antagonists).

Another factor which adversely affected the workload of the superintendents, in particular, was the number of people who applied for
promotion in the hope that the location they sought would become available. The fact that applicants had to apply for unknown vacancies, rather than for a specific location which was available, was a cause of common complaint and frustration. Consequently, it was not surprising to discover the high level of evidence that superintendents either attempted to offload the writing of reports onto acting superintendents, or find another way to avoid writing the report. Workload was also identified in the of Crawford, Miskel and Johnson (1980) and Smout, Mellstrom and Elliott (1989).

### 6.4.3 Training and Professional Development

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.3 Training and Professional Development</td>
<td>4.3.1 Referees/evaluators are not trained in rating applicants.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.3.2 Clerical staff in central office do not receive professional development and training.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.3.3 Restructuring in human resources has compounded the problems of staff as they take on new responsibilities and roles.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.3.4 Promotion and Review Advisory Board members are not trained in reading reports and making judgements on ranking applicants.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.3.5 Applicants need to receive feedback on their applications so that they know which areas require improved effort.</td>
<td>High</td>
</tr>
</tbody>
</table>

The study revealed that there had been insufficient provision for professional development and training for personnel who were involved in the implementation of the performance management policy. For example, neither the referees/evaluators nor the members of the Promotion and Review Advisory Board had received training in evaluating applicants, digesting these evaluations, and making judgements about them. Central office staff also had not been given professional development or training — a situation compounded by central office
restructuring and resultant changes in roles and responsibilities for staff. The applicants themselves received no formal feedback about their performance, other than a note to say that they were either successful or unsuccessful in gaining the position which they sought, and a copy of the "open" reference/evaluation.

The category, Infrastructure, in the literature review, stressed the need for resources/technical factors and a reasonable allocation of time for change to be implemented successfully (Monkhouse and Henri, 1990) and the findings associated with the category, Infrastructure, support this research. In addition, the lack of training and development that became evident in this investigation are in direct contrast to the importance noted by previous studies (for example, Fullan, 1986; Boot and Evans, 1990; and Stoll and Fink, 1994), and further highlights the need for training and professional development to be an integral part of successful change implementation. Table 4, Appendix 14, shows the properties and propositions associated with the category, Infrastructure, in tabular form.

The next category to be considered is Equivocation, which is a term that is intended to refer to phenomena or properties for which different meanings are equally possible or for which the meaning conveyed or inferred is ambiguous.

6.5 Category 5: EQUIVOCATION

6.5.1 Performance Management Versus Performance Assessment

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1 Performance Management Versus Performance Assessment</td>
<td>5.1.1 The Ministry is confused about whether its promotion-by-merit policy is a performance management or performance assessment policy.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>5.1.2 Managers treat promotion-by-merit as performance assessment, not management for professional development purposes.</td>
<td>High</td>
</tr>
</tbody>
</table>
5.1.3 Confidentiality of promotion-by-merit reports reduces the opportunities for applicants to learn about and redress perceived weaknesses.

5.1.4 Managers support the notion of performance management.

5.1.5 Referees/evaluators are reluctant to provide critical comment in their open evaluations as they seek to avoid any hostility that their assessment may cause.

5.1.6 The superintendents are confused about their role -- auditors or educational leaders.

5.1.7 The superintendents are stressed by attempting to be both a "coach" and an "umpire".

Performance management was defined in the opening chapter of this report as consisting of a number of aspects grouped under two principal functions. These are evaluative functions -- the rating of employees for various personnel decisions such as placement, promotion, salary increments, tenure, dismissal and compensation -- and developmental functions, whereby the employee's performance is enhanced by correcting deficiencies in their present performance and by developing their expertise as a preparation for more effective performance in future positions or career. The Ministry of Education's performance management policy statements suggest that both aspects were intended. However, this investigation found that, although managers supported the notion of performance management in its broad sense, the Ministry was really only implementing the performance assessment aspects (in particular, the promotion aspect). Confusion regarding performance management versus performance assessment was generated throughout the promotion-by-merit process from the commencement of the process, when applicants had to nominate referees to write evaluations, not references (refer to Appendix 4). The continual interchange of the terms referees and evaluators, and references and evaluations by the Ministry
frustrated and confused the respondents in this study. This finding was further reinforced by the second, third, and fifth propositions of this property -- that the managers tended to treat promotion-by-merit essentially only as performance assessment, not management for professional development purposes.

The requirement for absolute confidentiality regarding the more accurate (or honest) references/evaluations, for example, reduced the opportunities for applicants to learn about and redress perceived weaknesses. The infrequency of critical comment in the open evaluations avoided any hostility in the workplace that such comments might cause but also limited the feedback potential of these evaluations. Given the Ministry's equivocal stance in respect of performance management and performance assessment, it was not surprising to find that superintendents were confused as to whether they were meant to be auditors or educational leaders, and were stressed by the need to attempt being both “coach” and “umpire”.

The ambiguity that was noted in the property and associated propositions in this category supports the earlier work of Smith and Keith (1971), where the image of reality presented to or inferred by the various individuals and groups who are involved is what can occur, rather than reality itself. This echoes Halpin’s (1969) claim that making an innovation look as if it is working counts more than actually making it work (see Category 7, Culture). Table 5, Appendix 14 shows the properties and propositions associated with this category.

6.6 Category 6: COMMUNICATION

6.6.1 Publications

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.1 Publications</td>
<td>6.1.1 The Education Circular does not publish all the information that an applicant needs, in one edition.</td>
<td>High</td>
</tr>
</tbody>
</table>
6.1.2 The grounds for appeal or how to present an appeal are not published.  
6.1.3 Roles are not clearly defined.  
6.1.4 Central office managers prepare The Education Circular under high stress levels.  
6.1.5 The method used by the Promotion and Review Advisory Board to rank applicants should be published.  
6.1.6 The secrecy surrounding many of the operations of the Promotion and Review Advisory Board leads to applicants feeling cynical and being suspicious ofcronyism and victimisation.

The Education Circular is the legal mechanism through which the Ministry publishes policies and procedures in order to inform its staff. However, the organisation did not publish all of the information that applicants needed, in the same issue of The Education Circular. This was due, in part, to the pressure under which central office managers were working to meet deadlines for publication. Management staff who were implementing performance management complained about not having defined roles, whereas applicants struggled with the lack of information on the grounds for appeal, or how to present an appeal, and the secrecy surrounding many of the operations of the Promotion and Review Advisory Board. Most notable of these was the method used by the Board to rank applicants. The level of secrecy led applicants to feel cynical and become suspicious of cronyism and victimisation. The lack of information and secrecy reinforced the notion that the Ministry did not have the tight communication couplings which Wilson and Corbett (1983) found were needed to facilitate change. However, the advantages of the loosely coupled system that were reported by Weick (1976) were not evident either. Regardless of whether an organisation is found to have tight or loosely coupled
communication links, the need for clear, written information is nevertheless paramount.

Related to the publications property are the information management processes that were used by the organisation.

6.6.2 Information Management

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.2 Information Management</td>
<td>6.2.1 Lack of feedback raises concerns by applicants that they were ever even considered by the Promotion and Review Advisory Board.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6.2.2 Applicants would prefer to apply for known vacancies.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6.2.3 Applicants do not understand how the promotion-by-merit process works.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6.2.4 Applicants appeal in an attempt to gain some form of feedback.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6.2.5 The basis of promotion-by-merit assessment needs to be explained to applicants and referees/evaluators.</td>
<td>High</td>
</tr>
</tbody>
</table>

Applicants were especially critical of the management of information that was provided by the organisation. The absence of feedback (see Category 4, Infrastructure) raised applicants' concerns as to whether their applications were ever even considered by the Promotion and Review Advisory Board. Some applicants lodged an appeal even if this only assured them that their application had been considered. Applicants expressed strong support for the propositions that not only did they not understand how the promotion-by-merit process worked, but they (and also their referees/evaluators) needed the basis of how promotion-by-merit assessments were made, explained to them. The fact that applicants had to apply for unknown vacancies was the source of considerable anxiety, as has been evidenced under the workload property in Category 4, Infrastructure. Had applicants been aware of the vacant positions that were
available, there was strong evidence that applicants would have chosen either to apply or not apply, based on this information. This property and its propositions reinforces the need for clear, understandable information through the organisation’s formal channels, as noted by Kotter and Schlesigner (1979).

6.6.3 Official Rules and 6.6.4 Unofficial Rules

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.3 Official Rules</td>
<td>6.3.1 Forcing unsuccessful applicants to carry their reports forward into a second year does not allow for any improvements they may make.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6.3.2 Interim reports at the conclusion of the first year of professional development will allow consideration of professional development programs that have been undertaken.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>6.3.3 Attempting to limit the number of “outstanding” ratings between 1987 and 1988 advantaged the 1987 applicants unfairly.</td>
<td>High</td>
</tr>
<tr>
<td>6.4 Unofficial</td>
<td>6.4.1 Applicants need to “promote” themselves positively to their referees/evaluators.</td>
<td>Medium</td>
</tr>
<tr>
<td>Rules</td>
<td>6.4.2 Applicants need to present a polished and professional 250-word statement.</td>
<td>Low</td>
</tr>
</tbody>
</table>

The official rule that an unsuccessful applicant had to carry his or her reference/evaluation forward into a second year did not allow for any improvements that the applicant may have made, in the interim, to his or her level of performance. This provides further support for the criticisms regarding feedback, as highlighted in the previous property. The allowance of interim reports at the conclusion of the first year, of the year in which an applicant applied for promotion, would have allowed for recognition of the improvements made for presentation to the Board, without forcing the referee/evaluator to undertake a full performance management assessment of the applicant. When the Promotion and Review Advisory Board attempted to limit the number of
"Outstanding" ratings between 1987 and 1988, the 1987 applicants were unfairly advantaged, as they were forced to carry their inflated reports forward.

The level of generalisability that was evident for the unofficial rules was not as strong. For example, while there was a medium level of acceptance that applicants needed to "promote" themselves positively to their referees/evaluators, many applicants did not feel that this sort of behaviour was necessary.

Furthermore, while some applicants presented a polished and professional 250-word statement to the Promotion and Review Advisory Board, most applicants did not go to this trouble. The role played by mutual adaptation, as reported by Berman and McLaughlin (1978) and Gilbert (1982), has been supported by these findings.

6.6.5 Myths

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>6.5 Myths</td>
<td>6.5.1 Applicants believe you have to be a Union member to gain promotion.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>6.5.2 Applicants believe that the referees' evaluations by superintendents are given more weight by the Promotion and Review Advisory Board.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6.5.3 Applicants believe promotions are allocated on a quota system to districts and even schools.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>6.5.4 Applicants believe that they are discriminated against if they do not apply statewide.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>6.5.5 Applicants and managers believe that the Promotion and Review Advisory Board members do not read all the referees' evaluations.</td>
<td>High</td>
</tr>
</tbody>
</table>

Many applicants believed that a prerequisite for promotion was membership of the State School Teachers' Union of Western Australia. This perception was reinforced by the fact that two members of the five-member Promotion and Review Advisory Board were known to be Union nominees. There was a strong belief that
the references/evaluations submitted by superintendents were given more weight by
the Board members in making their decisions on where to rank applicants, although
the study found no independent evidence that this had actually occurred. Applicants
were also strongly of the belief that the Ministry, or the Board, allocated promotions
on a quota system to districts and even to individual schools. This view was
reinforced by the arbitrary restriction that only five percent of applicants could be
deemed to be outstanding, which meant that if a superintendent had 20 applicants in
his or her district, only one could be considered as outstanding, regardless of quality
in an absolute sense. As a consequence, if a district had a disproportionate share of
outstanding applicants, relative to other districts, the lack of moderation procedures
(as discussed in the property comparability and subjectivity in Category 1, Values),
would mean that a number of worthy applicants would miss out.

A further belief that was held by many applicants who had restricted their
applications to only some of the available schools, was that they were discriminated
against because they had not applied widely. This may have been partly because of a
belief that the former promotion system only awarded merit applications to those
applicants who had applied for every school in the state. The fact that competition for
the more desirable schools was more intense meant that applicants were less likely to
gain a promotion than if they had broadened their application to include some, if not
all, of the less desirable locations.

While there was no evidence to support any of the above myths, the final
proposition in this property; that is, that applicants and managers believed that the
Promotion and Review Advisory Board members did not read all of the
references/evaluations, could be given some support. However, this was not admitted
to by the Board members or by the managers in the Ministry. The myths that are
reported in this investigation suggest that there is a need for organisations to gain a better understanding of informal interpersonal dialogue, as has been stressed by Czepiel in Zaltman and Duncan (1977).

The properties and propositions associated with the category, Communication, are presented in Table 6, Appendix 14.

6.7 Category 7: CULTURE

6.7.1 Nepotism and Patronage

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.1 Nepotism and Patronage</td>
<td>7.1.1 Reduced numbers of superintendents coincided with a realisation that the Ministry could no longer choose who they wanted.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.2 Applicants who were new to a district were unlikely to gain promotion.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.3 Applicants who had a new district superintendent were unlikely to gain a promotion.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.4 Applicants who remained in one district and were only known by one superintendent were unlikely to gain a promotion.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.5 Being known was more important than being the best applicant.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.6 Length of service is an indicator of merit.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>7.1.7 The previous system only required an applicant to gain the Teachers' Higher Certificate for placement on a promotion list. Inertia and the promotion lists then took over.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.8 Weak applicants could gain promotion by &quot;conning&quot; their superintendent.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.9 The quality of the references/evaluations of some superintendents is questionable, especially when compared with the perceived quality of some of the superintendents.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.10 The Ministry has two promotion systems -- one for inside central office and another for outside central office in schools.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.11 Nepotism and patronage operate in both locations, but especially in central office.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.1.12 Applicants fear a backlash if they criticise the promotion system.</td>
<td>High</td>
</tr>
</tbody>
</table>
The high level of generalisability for the property, nepotism and patronage, was noted throughout this investigation (see Table 7.1). At an organisational level, the Ministry realised that the introduction of the Equal Opportunity Act (Government of Western Australia, 1984) and the increasing awareness of the need to make appointments on merit and not by seniority or management prerogative meant that the organisation could no longer choose who it wanted to become a superintendent.

Individuals who were involved in the performance management process had different perceptions of the presence of nepotism and patronage. For example, applicants who were new to a district, or who had a new district superintendent and were only known by that superintendent, were unlikely to gain a promotion, inasmuch as they found it difficult to gain highly positive references/evaluations because their superintendents did not know them (see the property equity in Category 1, Values). Being known was evidently seen as being more important than being the best applicant.

Under the previous promotion system, once an individual had fulfilled the service and academic study requirements to be awarded the Teachers’ Higher Certificate, it was possible to gain initial promotion, and subsequent promotion by virtue of seniority only. While the new merit-based system had replaced this, there was still a medium level of support indicating that length of service was an indicator of merit.

Most of the respondents in this investigation believed that weak applicants could gain outstanding references/evaluations from their superintendents, and
subsequent promotions, by "conning" the superintendent. This was reinforced by relating the quality of some of the references/evaluations to the perceived quality of some of the superintendents. Given that the Ministry could no longer appoint its superintendents by management prerogative (nepotism and patronage), but had to appoint them by merit, the perceived quality of some of the merit appointments was held up to ridicule by some respondents.

The organisation was also seen to have two promotion systems -- one for positions inside central office and one for school-based positions. While it was felt that nepotism and patronage were allowed to operate in both locations, it was reported that this was much more so the case in central office appointments.

Finally, both applicants and superintendents (but especially the applicants) feared a backlash if they publicly criticised the system.

Although nepotism and patronage in organisations are not new, they were not reported in the literature. Further research in these areas could provide valuable contributions to our knowledge about implementing change.

### 6.7.2 Decision Making

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.2 Decision Making</td>
<td>7.2.1 Little consultation takes place between the Ministry and the professional associations.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.2.2 Little consultation takes place between the various areas within central office.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.2.3 No decision is the final decision.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>7.2.4 Senior Ministry staff urge proactive management but their actions preclude such action from occurring.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>7.2.5 Senior managers have difficulty in articulating the Ministry's decision-making process.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.2.6 Central office managers are unclear on the policy directions that the Ministry will take.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>7.2.7 Central office managers lack</td>
<td>High</td>
</tr>
</tbody>
</table>
This enquiry found that there was little evidence of consultation having taken place between the organisation and the professional associations, or indeed, between the various areas within central office. This was reflected to a degree in the propositions that no decision was the final decision on a matter, and that while the senior organisational staff urged proactive management, their inability to make decisions frequently precluded this from occurring. It was not surprising, to find that the senior managers in the organisation were unable to explain or describe the Ministry’s decision-making process, other than to reflect that no decision was the (almost) inevitable outcome. Accordingly, central office managers, in the main, were unclear as to what policy directions the organisation would take. This was also reflected in the inability of the organisation to cooperate with the Teachers’ Union in order to make changes to the performance management policy, as it was operating.

Managers were frustrated by their lack of confidence in the decision-making process, in that when the policy decisions were eventually made by the organisation, they feared that they would be reversed the following day. This was supported by the final proposition in this property, that senior managers were vindictive and would use mechanisms such as school reclassification (for example, downgrading), to get back at offending principals. For example, the principal of one reclassified school had been involved in a publicly reported confrontation with the organisation’s chief executive officer.
Not only was there a medium level of generalisability for this proposition, but some school reclassification decisions were reversed very shortly after they were announced. While these findings support the work of Tye (1972) and Crossley (1984), and while there is a need for further research into the area of decision making and implementation, the difficulties experienced in this area, by the Ministry, do support the findings regarding the social context of the organisation by Zaltman and Duncan (1977).

6.7.3 Leadership Versus Management in the Ministry

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<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.3 Leadership Versus Management</td>
<td>7.3.1 Some central office senior staff are hard workers but poor managers.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.3.2 Some central office senior staff in the Ministry continue to run their old job from their new one.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>7.3.3 Some central office senior staff play favourites with their staff members and morale, commitment and productivity suffer.</td>
<td>High</td>
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</table>

Some senior staff in central office were admired for their tenacity and hard work. However, they were not seen to be strong managers. This was partly because of the tendency of some of them to continue trying to run their previous positions as well as their new jobs at the same time. Furthermore, some central office senior staff were frequently criticised by the respondents in this study for appearing to have played favourites with some staff members, with the consequence that morale, commitment and productivity suffered among the rest of their colleagues.

The emphasis placed by Stoll and Fink (1994, p. 159) on the importance of the role of central office and the need for strong and committed leadership and management, as articulated by a number of other researchers (for example, Miles,
1983; Van Ausdal, 1985; and Monkhouse and Henri, 1990), have been further supported by this study.

### 6.7.4 Continual Evaluation

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<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.4 Continual Evaluation</td>
<td>7.4.1 Applicants for promotion are continually being evaluated by superintendents, peers and subordinates.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.4.2 Managers who do not apply for promotion undergo no evaluation process at all.</td>
<td>High</td>
</tr>
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</table>

Applicants who applied for promotion were required to undergo a routine evaluation by their superintendents, peers and subordinates, while those who did not apply were never required to undergo any formal performance management at all. This requirement clearly annoyed some respondents, was seen by many to be a major failing both of the performance management policy and of the organisation itself.

### 6.7.5 Cynicism and 6.7.6 Scepticism

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.5 Cynicism</td>
<td>7.5.1 Managers/applicants are cynical about the two promotion systems — central office as opposed to school-based systems.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>7.5.2 Applicants are cynical about the &quot;robbers dogs&quot; who slip through the promotion system.</td>
<td>High</td>
</tr>
<tr>
<td>7.6 Scepticism</td>
<td>7.6.1 Managers/applicants are sceptical about the validity of the promotion system.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.6.2 Promotion and Review Advisory Board members are sceptical about the validity of the promotion system.</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>7.6.3 Managers/applicants are sceptical about the Ministry's commitment to improving the promotion system.</td>
<td>High</td>
</tr>
</tbody>
</table>
The presence of two promotion systems, and the perceived level of nepotism and patronage in appointments to central office positions, led many managers and applicants to become cynical about performance management. This cynicism was further reinforced by the presence of "robbers dogs" (as one respondent put it), who slipped through the promotion system. Accordingly, managers and applicants were sceptical about the validity of the promotion system and, in view of the Ministry being unable to make any decisions as to what to do to change the present system, they also felt that the organisation did not have any commitment to improving the system. By contrast, the members of the Promotion and Review Advisory Board believed that the system which they were required to enact at the end of the process was anything but valid.

Although cynicism and scepticism have not been previously reported, and while further study of these properties could add to the existing body of knowledge on implementing change, their presence supports the findings of Caldwell, Lehr and Blust (1982) that the opinions, observations and perceptions of staff must be given due attention by those who are responsible for aspects of the change process.

6.7.7 Personal Payoff

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<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personal Payoff</td>
<td>7.7.1 The open evaluations are irrelevant as they seldom give any negative feedback or areas requiring attention.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>7.7.2 Applicants gain little personal payoff through undergoing the promotion evaluation process as there is little feedback.</td>
<td>High</td>
</tr>
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</table>

Applicants for promotion-by-merit believed that they stood to gain very little personal benefit from undergoing the performance management process, as
there was very little feedback. Furthermore, because the open (non-confidential) references/evaluations seldom gave any negative comment or listed areas that required attention, the process was seen to be largely irrelevant for personal development purposes. The expectation of personal payoff (as an indirect benefit from professional development) has not been identified in earlier research, and may provide a useful area for further study.

6.7.8 Training/Coaching

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<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.8 Training/Coaching</td>
<td>7.8.1 Applicants receive informal training/coaching from superordinates in applying for promotion-by-ment.</td>
<td>Medium</td>
</tr>
</tbody>
</table>

There was a medium level of generalisability for the property that applicants received some informal training/coaching from superordinates in the performance management process of applying for promotion-by-merit. However, that this was seen by only some of the applicants and their subordinates, indicated that it was not the case for all of them. Again, this further reinforces the findings relating to personal payoff in the previous property. While previous research has noted the value of formal professional development (for example, Fullan, 1986; Huczynski, 1989; and Stoll and Fink, 1994), the value of informal professional development through training/coaching warrants further study.

6.7.9 Illusions

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<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.9 Illusions</td>
<td>7.9.1 Perceptions about what is happening are more important than the reality of what is occurring.</td>
<td>High</td>
</tr>
</tbody>
</table>

The perception about what appeared to be happening as being more important than the reality of what was actually happening supported the findings of Halpin (1969) and
Smith and Keith (1971). The fact that the Ministry failed to even attempt to find out if better managers/principals were resulting from the new promotion-by-merit process (as shown in Model IV, Figure 12, Chapter 5) further reinforces the notion that the new process was anything but an illusion of improvement. Further research into this area will improve the understanding of the processes associated with the implementation of change and the role of the change implementer in this process.

Table 7, Appendix 14 presents the propositions and properties that are developed from the category, Culture.

6.8 Conclusion

The category-by-category linking of the data explication and the extant literature, together with the conclusions relating to each of the categories, their properties and propositions, leads to the culmination or product of grounded theory methodology, which is the articulation of the grounded theory that has been developed from the actual conditions present in this particular implementation of change. The final Chapter (Summary), has been designed to expand on the results described in the present chapter and leads into the description of the grounded theories and models of change which were developed from this study.
CHAPTER 7
SUMMARY

The conclusions drawn from the integration of the literature and the empirical data in the previous Chapter, led to the grounded theories and models of change developed in this study. In an attempt to assist the reader to focus (without being distracted by the data or additional discussion), the theories and models developed are presented below in summary form.

7.1 Purpose of the Study

The intention of this inquiry was to analyse a specific example of a policy change in a large, complex, bureaucratic organisation, develop a theory about change of this type, and then use that theory to account for the way the observed change process occurred. The instance of interest was the implementation of performance management policies within a key departmental bureaucracy of the Government of Western Australia. The chosen bureaucracy was the Ministry of Education. An additional focus was the role of the organisation’s management personnel in the change process, as the experiences and motivations of people who were charged with the direction and implementation of change had been largely ignored in the recorded literature.

7.2 Methodology Employed

The literature review that was outlined in Chapter 2 highlighted the importance and value of using a participant observation case study which employed a grounded theory approach to build theory from the data observed, rather than using a pre-existing theory or conceptual framework to inform data collection and analysis. Although the grounded theory approach was adopted in the present study, it is not the
only methodology which could have generated theory grounded in the data. However, when used appropriately, it can provide assurance that a well-connected and comprehensive theory will emerge, and that the theory will be clearly and demonstrably grounded in the data from which it derives. Beyond offering the researcher a different perspective from that of a preordinal, quantitative approach, grounded theory methodology has the potential also to bridge theory and practice. To the extent that managers working in the field, to which the findings apply, find the derived theory both relevant and meaningful, their careful study of the interpretations and insights that were revealed may have a significant influence on their subsequent behaviour.

Grounded theory is a different way of arriving at a theory, not a different type of theory per se; that is, in grounded theory development, experience determines the theory through a systematic, disciplined and iterative method of data collection and analysis. In essence, the collected data "drive" the theory inasmuch as the resultant theory is a direct outcome of the data analysis process. Because this grounding process is designed and implemented in ways that are systematic, iterative and exhaustive, the resulting theory necessarily reflects its data.

As applied in the present study, grounded theory methodology led to the formulation and grounding of five models of change (see Table 9). A summary of the first model follows, while a complete description has been included in Chapter 6.

7.3 A Model Suggested by a 'Grounded Review' of the Literature

The Literature Model (Model I) was an unexpected by-product of the study. It was developed by approaching the literature review with a grounded theory mind set. Although the methodology that was employed utilised heuristically similar principles to grounded theory methodology, it did provide a mapping of the literature in a way
which appears not to have been done before. The result was the identification of eight underlying themes for organising the findings that were reported in the literature. Taken together, these eight themes constituted what amounts to a synthetic (albeit quasi) theory of educational change, or at least of change as it has been reported in the extant literature. By virtue of its reductive contribution, this quasi-theory brought to light a number of fresh insights. Moreover, it added value to the literature that was examined, not only by incorporating or reflecting the specifics which were reported in the individually reviewed studies but, more importantly, by relating the themes and their associated dimensions in ways that ensured that the sum of the parts was greater than the whole.

The eight themes, and the 39 associated dimensions are shown in Figure 2 (the literature associated with each theme and its associated dimension is given in Appendices 2.1 to 2.8). Represented diagrammatically (see Figure 1), the theory depicts the eight themes connected to a formal theory of educational change, through a mid-level theory. The use of double-headed arrows signifies that the themes themselves influence the mid-level theory, while at the same time the mid-level theory influences the themes. In a similar vein, the mid-level theory influences the formal theory of educational change, while the formal theory in turn influences the mid-level theory.

Although the names of the eight literature themes have been arbitrarily assigned, they represent an attempt by the analyst to capture and imply the connecting logic which tied together the various dimensions that were assembled by the literature. While they may appear somewhat ambiguous as they stand, it was assumed that each theme, together with its component dimensions, was sufficiently relevant to the underlying literature to offer a helpful and valid base for the discussion
and subsequent presentation of the underlying theory. The eight themes grounded in
the literature review include:

- **Change Implementer:** Change implementers were those people whose job it was
to bring about the change itself. Change implementers were necessarily involved
in the change. The eight dimensions which together serve to define and
contextualise this theme were involvement of people, professional development,
efficacy, pressure for the change to occur, mutual adaptation, self-appraisal,
understanding conflict, and non-manipulatable factors.

- **Cures:** Cures operate to rectify or ameliorate difficulties in the change
  implementation process, either in progress or as anticipated at planning stages.
  This theme included four dimensions -- organisational development, change
  agents, strategic planning, and blueprints.

- **Terminology:** Terminology refers to the frequently evident confusion of change-
as-product, and change-as-process, when the change is in fact, both, and included
products (goals or aims and results) and process.

- **Organisational Setting:** The organisational setting is that in which the enterprise
  operates. This theme included politics, culture, context, power, structural change
  and organisational survival.

- **Infrastructure:** The infrastructure is the underlying framework or structure of an
  organisation. Infrastructure included the following six dimensions -- time,
resource provision/technical factors, staff turnover, effort, reflective practice, and
history.

- **Dialogue:** In this context, dialogue is not just the language of communication but
the exchange of ideas and opinions. The dimensions of ‘dialogue’ include values,
advocacy, communication, couplings/linkages, trust, and collaboration.

- **Illusions:** ‘Illusions’ refers to a misapprehension of the true state of affairs. It
emerged as a ‘stand alone’ theme; that is, without component dimensions.

- **Management:** This theme included six dimensions -- the role of the educational
manager/leader, the role of the deputy educational manager/leader, the role of the
central office, multiple leaders, leadership style, and the personality/psychological
characteristics of the educational manager/leader.
7.4 Seven Empirically-Based Categories

Beyond the insights derived from the literature and developed independently of them, seven empirically-based categories were inferred from direct observation and analysis of the change example investigated. These categories provided the contextual base from which the four empirically-grounded models (see Table 9) were developed, and are common to each. Categories, in a grounded theory sense, are systematically organised classifications of data, properties are the subcategories, and propositions are explanatory statements or hypotheses related to each subcategory. The seven empirically-based categories that were identified in the change example which was studied depicted not so much what the Ministry of Education was trying to do -- to implement a performance management process -- but more what it actually was bringing about, whether as a direct result of the tactics and strategies used in its effort to implement the process, or as an indirect (or unplanned and perhaps unconscious) consequence of the various contextual forces which appeared to have shaped its decisions along the way.

The seven empirically-derived categories were labelled according to their distinguishing attributes and, together with their associated properties and propositions, constituted what is referred to here as Model II, a preliminary (and ultimately simplistic) grounded theory. Subsequent development of progressively more general and encompassing theory (see Models III, IV and V) occurred as the categories were reflected upon and their inferred interrelationships were represented diagrammatically in various ways to capture and highlight emerging nuances of understanding. The seven empirically-derived and grounded categories, which provided a common conceptual framework to the four empirical models are as follows.
• **Values**: The category, Values, has eight properties associated with it, including merit (which lacked definition), comparability and subjectivity (assessments lacked comparability and were subjective in nature), confidentiality (which was lacking in the Ministry of Education), honesty (which was also found to be lacking in the Ministry), and credibility (found to be lacking in the Ministry and was identified as being more than an implicit aspect of leadership). The remaining properties of rewards and punishments, natural justice and fairness, and equity were also found to be lacking in the Ministry of Education.

• **Antagonists**: The category, Antagonists, has been represented by five properties including the Ministry (which avoided changes leading to the system that was the subject of this enquiry), the Teachers’ Union (which was lacking in policy, naïve, and involved in factional fighting within itself), Ministry/Union cooperation (which was lacking -- not surprising given the propositions supporting the first two properties), the Promotion and Review Advisory Board (whose operations were highly suspect), and the applicants (who played almost no part in the promotion-by-merit process, apart from kowtowing to superintendents).

• **Ethos**: The category, Ethos, has been supported by the properties of talk versus action (the Ministry’s actions did not match its rhetoric), mission statement (recently published by the Ministry but not something with which employees identified), and corporate loyalty (which was manifestly low).

• **Infrastructure**: The category, Infrastructure, has three properties -- priorities (in this study, the Ministry’s priorities were in the curriculum areas, and the under-resourcing of the change example being implemented had a negative effect). Second, workload levels were so high that other areas received no attention. Finally, training and professional development were not provided to the applicants, the referees or evaluators, the members of the Promotion and Review Advisory Board, or the central office staff.

• **Equivocation**: The category, Equivocation, depicted the confusion that was demonstrated by the Ministry as it never clearly decided whether the promotion-by-merit policy was performance management (the developmental functions) or performance assessment (the evaluative functions), as the personnel completing these documents were referred to as referees and evaluators and the key documents of the process were referred to as references and evaluations.
Management staff tended to treat promotion-by-merit essentially as performance assessment.

- **Communication**: Five properties supported the category, Communication, including publications (clear, written information about the policy was not available), information management (feedback was not provided and the promotion-by-merit process was secretive), the official rules and unofficial rules were viewed as unfair and, finally, the myths that were present in the study setting confused the applicants, and reinforced the perceptions of unfairness.

- **Culture**: There were eight properties represented by the category, Culture -- a category which pervaded and influenced the other six. The properties included:
  
  * **Nepotism and Patronage**: These properties were perceived by the applicants as strong features of the culture of the Ministry of Education and they clearly had an adverse effect on the implementation of the new policy.
  
  * **Decision Making**: This property was characterised by a lack of decisiveness on the part of the Ministry of Education's leadership, an inability to hold to a decision once it was made, and an element of perceived vindictiveness in decision making.
  
  * **Leadership Versus Management**: This property was characterised within the Ministry more by hard work and playing favourites than by strong and committed leadership and strong management.
  
  * **Evaluation**: Continual evaluation was an unavoidable and unwelcome 'way of life' for the applicants, whereas those who chose not to apply escaped evaluation altogether.
  
  * **Cynicism and Scepticism**: Although not previously reported in the literature, both cynicism and scepticism about the validity of the promotion-by-merit system were clearly evident in this study.
  
  * **Personal Payoff**: Recognised by participants as an indirect benefit from professional development, personal payoff was lacking in the Ministry of Education's promotion-by-merit system as there was little benefit in the form of feedback to enable the applicants to improve their performance. Personal payoff has not been reported in earlier research.
  
  * **Training/Coaching**: Heightened skills and understanding that were acquired from participation in the process were acknowledged by some applicants as an incidental and personally useful professional development outcome.
  
  * **Illusion of Change**: The importance of the illusion of change (that is, the performance-by-merit system selected better managers/principals) was evident. It is likely that this was more important than the data suggested on the surface.
7.5 Four Empirically-Grounded Models

The inferred relationships between the seven empirically-grounded categories have been depicted in the following heuristic representations or relational models. The models have been ordered in terms of their sophistication and heuristic insights. The first two of these constructions have been derived directly from (that is, are warranted by or grounded in) the field data and relate to the implementation of the specific policy change examined. They are referred to here as empirically-grounded models. In a later section, two further models, which are less directly tied to the data of the study than the empirically-grounded models, are offered as speculative extensions of the grounded findings to encompass what might be expected to characterise the implementation of change efforts in general, and which may provide a useful framework for replication studies. Indeed, the real warrant for the two speculative models which are offered as having potential wider implications, can only come from further studies designed specifically to explore and test them. To emphasise the difference between the two classes of models, these latter two will be referred to as speculative models.

The evolution of the two empirically-grounded models and the two speculative models has been described in chapter 5 (Data Analysis). The two empirically-grounded models (Model II, Twin-Circles and Model III, Iceberg Model), relate to the instance of change examined in this study. The development of the two empirically-grounded models led to the development of the first speculative model (Model IV, Linear Model), which in turn led to the development of Model V, Interrelated Model. The most comprehensive account of the change process in action has been provided by Model V, Interrelated Model, as it reflects the dynamic and interrelated relationships which occur as change is implemented. This final model may prove to be the most useful and provide those charged with implementing
change with the most comprehensive viewpoint from which they can consider their actions.

7.5.1 Model II -- Twin-Circles Model

The first of the empirical models, which is depicted as two circles (see Figure 8), is simplistic and has been intended to convey, heuristically, the implicit grouping (or differentiation) of the seven categories into those which relate to the Ministry of Education as an organisation -- in the first circle *Infrastructure, Equivocation* and *Communication*, and, in the second circle, those personnel-related categories of *Antagonists, Ethos, and Values.*

The spatial location or placement of the categories in each circle is arbitrary and is not meant to imply their relative importance. The two circles are interrelated through a common and all-pervading category, *Culture,* which is interpreted as binding them together. (The overarching role of an organisation's culture in determining the successful implementation of change has not been addressed in earlier reported research.)

7.5.2 Model III -- Iceberg Model

The second empirical model (see Figure 9) appears simple in appearance and has been represented heuristically as an 'iceberg'. However, the model is more sophisticated than the Twin-Circles Model as it was intended to depict or 'make conceptually visible' the differences between the structural underpinnings of what was occurring in the implementation of change, and the process aspects. The structural aspects were the visible or tangible categories of *Communication* and *Antagonists.* These were aspects that the people who were associated with the change process could see and easily distinguish, and which were obvious to them.
Communication included publications, information management, official rules, unofficial rules, and myths.

Antagonists refers to the Ministry, the Teachers' Union, Ministry/Union cooperation, the Promotion and Review Advisory Board, and the applicants. The process aspects of the model included the invisible or intangible categories of Values (merit, comparability and subjectivity, confidentiality, honesty, credibility, rewards and punishments, natural justice, and equity), Ethos (talk versus action, mission statement, and corporate loyalty), Equivocation (performance management versus performance assessment), and Infrastructure (priorities, workload, and training and professional development).

The importance of the organisation's Culture (nepotism and patronage, decision making, leadership versus management in the Ministry, continual evaluation, cynicism and scepticism, personal payoff, training/coaching, and illusions) has, once again, been depicted as the pervasive binding agent. Accordingly, this category was shown as the environment in which all other categories exist. The process aspects were features that respondents were not aware of, but which came out in the study as powerful forces on the change being implemented. The symbolic representation of this model as an iceberg has been chosen in order to emphasise the reality that the structural aspects of the model were relatively less influential than the process aspects.

The effects of the organisation's culture and the other six categories were powerful. If the Ministry had been aware of these factors when implementing change and had acted to address them, it may have been more successful in its attempt to implement the policy change.

Although both empirically-based models are useful, the insights provided by the Iceberg Model as it depicts the structural (visible or tangible) categories, the
process (invisible or intangible) categories and the overarching, pervasive effect of the organisation's culture, may enable the reader to consider change efforts from a holistic viewpoint. Accordingly, the Iceberg Model is offered as being the more useful of the empirically-based models.

7.6 Speculative (Generalised) Models

The two generic models -- Models IV and V -- focused more on the processes which occurred -- or which did not occur, in this particular implementation of policy -- than on the specifics of performance management per se. This broader perspective could possibly be applied to any of a number of change implementation situations, however, further studies designed specifically to explore and test these models would be necessary if the applications were to be warranted.

7.6.1 Model IV -- Linear Model

The first of the generic models -- Model IV, the Linear Model -- is simple and shows how the various inputs (in this case a new selection process, the resources made available, and the training provided) underwent a transformation process (influenced along the way by Communication, Antagonists, Values, Ethos, Equivocation, and Infrastructure), leading to certain outputs (managers/principals are selected), and ultimately, to particular outcomes (better managers/principals have been selected) (see Figure 12). The presumed efficacy of this lineal progression was embedded in the operating assumptions of the organisation.

However, from the data gathered it was clear that the Ministry did not, at any stage, examine the outcomes to determine whether better managers/principals were selected (the intended outcome), or whether it had just selected them differently. This represents another 'illusion of change' in that the prevailing assumption by the Ministry and applicants appeared to be that the new system was somehow inherently
better and that the Ministry was thereby choosing better principals. For those who
gained a promotion, this no doubt appeared to be true. Those who failed to gain
promotion were dissatisfied.

7.6.2 Model V — Interrelated Model

The second generic model — Model V, the Interrelated Model — is more
sophisticated than the Linear Model and has endeavoured to capture the dynamic
character of the process of implementation with more subtlety, by including and
highlighting the inferred relationships between the various stages (see Figure 13).
The model was developed, from what was observed in the present study, as an 'ideal
world' model. It commences with the organisation diagnosing what was happening
at present, taking into account the interrelationships between operating overt and
covert agendas within the organisation.

The significance and potential relevance of the categories that were found in the
present study (Values, Antagonists, Ethos, Resources, Equivocation, Communication,
and Culture) to any comparable change effort, and their possible impact at each phase
of the model is important. The new policy and policy statement that was to be
implemented was developed from this. These inputs then underwent the
implementation phase and several actions occurred. This produced a number of
outputs and outcomes which were evaluated, and this led into future planning. The
results of the future planning phase were then fed back into the various stages of the
model, and this reflected the dynamic state that the process of successfully
implementing a policy change was continually going through. Finally, it should be
noted that this model was also surrounded by, and supported by the culture of the
organisation.
The Interrelated Model is more useful, in a general sense, than the three previous models as it is dynamic and has a more comprehensive nature. However, as indicated earlier, this model would also require additional research to validate its application to change-in-action in other settings.

7.7 Integrating the Literature and Empirical Findings

Although the eight themes that derived from the literature represent features which appear to be common to accounts of change in general, seven empirical categories were identified from the study of the Ministry of Education’s efforts to implement a new performance management process. However, the two sets complemented and reinforced each other -- the importance of Infrastructure was clearly evident in the literature as well as the empirical findings. Also evident in the literature and the empirical findings were the important roles played by the organisation’s and the change implementer’s values, the culture of the organisation, the need for communication, the role and effect of training and professional development, the presence of the illusion of change, and the role of the change implementer, even if this was antagonistic.

At the same time, however, new features (not previously reported in the literature) were discovered from the present empirical study. In particular, while Culture (as identified from the literature review) emerged as one subaspect within the collection of elements grouped under a broader Organisational Setting theme, Culture was found to have a pervasive and overarching influence on the Ministry of Education’s change effort that was examined in the present study. Moreover, some of the specific aspects of Culture in the Ministry of Education’s study were also aspects of the Management and Illusions themes in the literature review.
While *Values* and *Ethos* are aspects of the Organisational Setting theme, from the literature review, they were strongly evident in this study, and have been labelled as categories in their own right. The theme, *Illusions*, and the property 'Illusions' in the category *Culture* were not frequently reported in either the literature or this study. However, because of the positions of influence that were occupied by the sources of this information, it was felt that their importance was far stronger than either indicate, and that further research is warranted.

*Professional Development* emerged as a significant factor in both the literature review and this study, as did the need to be clear about the Terminology involved, and to be decisive (*Equivocation*) about the attempts concerning what is to be implemented. *Infrastructure* also was a strong feature of both the literature and this study. The importance of the theme *Dialogue* (as being an exchange of ideas) contrasted sharply with the category *Communication*, which reflected the one-way nature of this in the Ministry of Education. Given this one-way flow, it was not surprising to find the presence of the property myths in the *Communication* category. Although the theme, *Change Implementer*, did not emerge as a category of the same name in the Ministry of Education, the category, *Antagonists*, was identified. In addition, the properties and propositions of the other categories strongly reflected the actions and involvement of the people whose job was bringing about the change itself.

### 7.8 Implications

The results of this inquiry could prove useful for either the organisations who are considering embarking on implementing change, the change agents/implementers, or both. A consideration of these factors now follows.
7.8.1 For Change-Strategy and System Practice

Organisations which are about to embark on a change implementation program could enhance their likelihood of success by carefully considering the themes that were identified in the literature, and the categories identified in the data in this study. In particular, they would do well to recognise the role of the organisation’s culture (and organisational setting), and the role of the change implementers, and to make certain that they fully understand what they are trying to implement. In addition, the leaders of the organisation need to be aware of the organisation’s values and ethos, its communication style (as well as dialogue), the infrastructure providing the underlying support structure, and whether it is the change itself, or simply the illusion of change, that they want. If the identified themes and categories are taken into account and acted upon, the organisation may then be in a stronger position to overcome the kind of barriers that were identified in the literature and observed in the present study.

7.8.2 For Change Agents/Implementers

Change agents/implementers would also do well to be mindful of the foregoing factors. However, as they are centrally involved in the day-to-day activities that are aimed at bringing about the change intended by the organisation’s leadership, they should also take particular account of the dimensions and properties which are associated with each of the literature themes. For example:

- What particular professional development is required?
- How much pressure to implement the change is being applied by the organisation?
- What is the timeline?
- How great is the workload?
- What is the level of staff turnover?
- Who are the key players?
- What degree of trust, corporate loyalty and honesty is evident?
• Is personal payoff seen as an indirect benefit from professional development?

Moreover, the change agent/implementer must be clear about whether the categories have an organisational or individual orientation (the Twin-Circles Model, Model II) or whether they are of structural or process orientation (the Iceberg Model, Model III). They should be aware of these factors and should look for opportunities to harness and utilise them wherever possible.

7.9 Opportunities for Further Research

The change setting that was investigated in the present study was a large government agency in which there was neither an obvious profit motive nor a legislated requirement to implement performance management. A similar change effort in a private sector setting where profit margins might be expected to be directly and favourably impacted upon by an improved performance management system could well yield contrasting results. However, it is not only the setting which could produce contrasting results, the application of the methodology, based on the experiences gained from this study could be altered. A future study could broaden the group of respondents, from a consideration of those at the middle management level in the current examination, to include other organisational members and interest groups (for example, the executive level management or those employees aspiring to middle management).

Additional research could also be conducted into the role and importance of an organisation’s culture and its values in the implementation of change, further investigation of the role played by illusions in the change implementation process, and finally, applying grounded theory methodology as a metaphor to the totality of the literature on educational change.
7.10 Conclusion

The primary focus of the study was the development of theory about change in a large, bureaucratic organisation. A careful, well-grounded study of performance management as a relevant instance was used to lead to a grounded theory of change, as it operated for performance management, from which some inferences and general conclusions (or grounded insights into change-in-general), were drawn.

7.10.1 Descriptive and Explanatory Theory

The present investigation depicted a large organisation that was attempting to implement change without thinking through the process to facilitate the implementation. The announcement of the change was driven by the end-product the organisation thought that it wanted -- performance management. However, the Ministry of Education never made up its mind as to whether it wanted performance management or performance assessment. Accordingly, both were attempted by the people who were involved in the change because they attempted to please two masters. Further confusion ensued when a key concept, merit, was not defined.

The Ministry’s failure to clarify its desired product and process was exacerbated by a failure to allocate sufficient resources -- time, training, staff and money. Official and unofficial communication were confusing, and at best unclear. The litany of failure was also characterised by dishonesty, a lack of natural justice and fairness, the presence of nepotism and patronage, indecisive decision making, vindictiveness, cynicism and scepticism, organisational actions not matching the rhetoric, and a lack of corporate loyalty, to name a few. Perhaps the most significant failure was the Ministry’s lack of understanding about the way it operated as an organisation -- a factor which influenced everything else.
The illusion of change was further reinforced by the Ministry’s inability to evaluate the process which was occurring and to determine whether better outcomes had occurred. The illusion of implementing change (performance management) appears to have been enough.

The foregoing findings depict the study as a description of how not to implement organisational change, or perhaps a description of organisational change by default. That the Ministry persisted with the change effort when the people involved in the process seemed convinced that the direction was misguided or misapplied, is an apparent contradiction. This unexplained phenomenon was puzzling to the researcher. However, there is a positive side to this study, as the following description sets out.

7.10.2 Predictive Theory

Organisations that are contemplating large-scale change implementation could benefit from being aware of the following major findings from this study:

- Be clear about what they want to implement and why they want to implement it.
- Know and understand the way the organisation operates, its code of conduct (formal and informal, written and unwritten), the organisation’s reputation, its goals and values, as this pervades and influences every aspect of what an organisation is and does.
- Involve the people whose job it is to bring about (that is, to design, develop, implement, support and promulgate) the change.
- Make sure that the organisation takes care of the aspects of change which can be identified with the organisation itself, and ensure that the aspects which can be identified with the personnel in the organisation are carefully supported.
- Focusing only on the more obvious aspects of the change will lead to failure, as the less obvious or unseen aspects are crucial.
• Achieving outputs through a change process is not enough as outputs will occur in any event -- the organisation needs to analyse the outputs to discover if they got what they wanted.

• The results of the evaluation must be fed back into the change process in order to improve the level of change implementation.

The foregoing aspects will provide managers and organisations with a relatively simple way of conceptualising a complex process, and provide a set of reference points for action. The management of the implementation of the change process in organisations where issues are being diagnosed and decisions are being made is not only highly complex, but places heavy and unequal demands on the organisation and the people charged with implementing the change. The importance of understanding each of the elements that were identified in this study, and developing an appropriate balance is crucial, if change is to be implemented successfully.
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APPENDIX 1

Background Statement

The function of this disclosure is to provide a background statement to the research so that the researcher's preconceptions and predispositions have been bracketed and identified from the outset. This is necessary to provide valuable insights into the basis of the research instrument (that is, the individual conducting the research), and to verify that this aspect of the research has been validated. In the present investigation, the researcher's preconceptions and predispositions stem from the following four factors:

- First, my work experience has been in areas where individuals' performance levels were being appraised and higher levels of performance were sought.
- Second, this work experience (especially in recent years) has been in multi-cultural environments -- in particular working with ethnic, indigenous, and minority groups.
- Third, my academic background has a social science perspective.
- Fourth, a combination of these first three factors, together with my total life experiences, give me a world view which emphasises the prime importance of people in all areas of endeavour.

These four factors are now discussed under the following headings -- professional development influences, academic and theoretical influences, and world view.

1.1 Professional Development Influences

I have had 26 years of management, administration, and teaching experience in a variety of primary, primary/secondary schools, and public sector organisations in Western Australia, the Cocos (Keeling) Islands in the Indian Ocean, New Zealand and Papua New Guinea.
I have worked predominantly in multi-ethnic and lower socioeconomic areas in both urban and rural environments. My first management-administration position of a substantive nature was that of assistant manager (deputy principal), Laverton District High School. This school had an Aboriginal enrolment of 25 percent and was situated in an isolated mining community. The student population, across years K-10, came from a wide background, including children who were still living in the bush in relatively primitive conditions, as compared to those children whose parents occupied senior mine management positions and lived in modern surroundings. This contrast of students' social, economic, cultural and educational backgrounds provided a rich and challenging environment for management, administration, and teaching.

After two years in Laverton I was appointed to the position of manager (principal), Cocos West Island School, Cocos (Keeling) Islands, in the Indian Ocean. The islands were situated at approximately 12 degrees south and approximately 2 700 kilometres north-west of the nearest Australian capital city, Perth. The islands were, at the time, a Trust Territory of the United Nations, and were administered by Australia. During my second year on the Cocos Islands, the indigenous Cocos-Malay people voted -- under United Nations supervision -- to integrate with Australia. The school was visited by a team of Ambassadors from the United Nations and the school's program and facilities were the subject of a report to the United Nations. The primary school student population of the school was 97 percent expatriate Australians and three percent Cocos-Malay. However, the secondary school student population was 80 percent Cocos-Malay and 20 percent expatriate Australians. The school conducted regular Cocos-Malay language and cultural maintenance programs (in conjunction with the Cocos-Malay elders), throughout the school. In 1984, I was
awarded an Australian Schools' Commission Project of National Significance Grant
to develop a teaching resource kit on the Cocos-Malay people for use in Australian
schools, in order to increase mainland Australians' awareness and knowledge of the
cultural heritage of their newest national family members. The year prior to my
arrival on the islands saw the first-ever group of students complete their third year of
secondary education on the islands. The development of this into further secondary
education on the Australian mainland, as well as further development of the
secondary program on the islands, was also one of my responsibilities.

During 1985 and 1986, I was the manager (principal) of the La Grange school
in Western Australia. The primary school student population was 97 percent
Aboriginal Australian and three percent European Australian, whereas the secondary
school student population was 100 percent Aboriginal Australian. During my term as
manager (principal) of the school, an Aboriginal languages and cultural maintenance
program was created and developed (in conjunction with the Aboriginal elders),
which was subsequently approved by the Secondary Education Authority of Western
Australia. This formal recognition of a course of study in Aboriginal languages at
secondary school level was a first in Western Australia -- or in Australia as a whole,
for that matter.

In my first year at La Grange school, facilities were established to enable
Aboriginal students who were unable (for social or academic reasons) to attend
secondary boarding schools, to receive secondary education in their own community.
The development and consolidation of this secondary education initiative was a major
responsibility during my management of this school.
In 1987, I was awarded an ANZAC Fellowship by the New Zealand Government to live, work, and conduct research in that country. The emphasis of this research was on the implementation of change within the public sector of that country, and was the subject of a major report to the New Zealand Government.

From 1989 until August 1993, I occupied senior management positions within the Ministry of Education, as a Human Resources Management Consultant and as Manager of the Selection Unit. My major areas of responsibility included selection of managers for promotion and recruitment from the pool of employees in the teaching service of the Ministry. My next appointment was to the position of Superintendent of Education for the Kimberley District of the Education Department of Western Australia -- a position that I occupied from August 1993 - October 1997. At present, I am working as the leader of an Australian overseas aid project in the Correctional Service of Papua New Guinea. The major focus of this work is implementing organisational change.

This background, which has a history of implementing change, has stimulated my interest in two questions which are central to the present study:

- What is the process associated with implementing a management change?; and
- What is the role of the manager in this process?

1.2 Academic and Theoretical Influences

Subsequent to my graduation from Teacher’s College, I completed the Teacher’s Higher Certificate (an internal award by the Education Department of Western Australia and a prerequisite for any substantive promotional positions), in 1976. The major areas of study for this award were Educational Administration and
Sociology of Education. In 1977, I completed a Bachelor of Arts (Social Science) degree, majoring in Economics, Sociology, and Social Science Methodology. In 1984, I completed a Graduate Diploma in Business and Administration majoring in Administration and Business Management. Finally, in 1988, I was awarded a Master of Business degree. This degree was completed by research and thesis only. Each course of study has been a strong contributing factor in developing and refining my world view, which has essentially a sociological standpoint.

1.3 World View

My combination of work, academic, and life experiences may be summed up in the following Maori proverb:

\[
\begin{align*}
Hutia te rito o te harakehe \\
Kei hea to komako e ko \\
Ki mai ki ahu \\
He aha te mea nui i roto i te ao \\
Maku e ki atu \\
He tangata, he tangata, he tangata.
\end{align*}
\]

Pluck the centre from the flax  
Where will the bellbird sing  
Ask me  
What is the most important thing in the world  
And I will tell you  
It is people, it is people, it is people.

This proverb encompasses relationships and the environment, and stresses that the most important thing in the world is people.

The emphasis on people underpins my approach to management and my sociological perspective on organisations, such as schools and education. I believe
that the major role of organisations is a process of socialisation of its members, to ensure that they may make a lifelong, positive contribution to the society in which they live, both through their work and the non-work aspects of their lives. This is done so that they enhance not only their own lives and those of their fellow citizens, but also those of future generations. In addition, it should ensure that they live in harmony with other people and their environment. This means the development of the whole person, central to which is the need for people to be exposed to a wide variety of experiences in the development of a desire to lead such a fulfilling life. Complementary to this, in my view, the organisation must foster and nurture the desire to learn and strengthen the person’s development of their ability to learn how to learn, to ensure that their professional and personal development is enhanced.

Performance management is one aspect of an organisational attempt to achieve this goal. A performance management program must reflect the prime importance of people, not the overriding importance of the organisation, because without the people there would be no organisation in the first place. The program must not only evaluate the present performance levels of the individual manager, but also include a developmental aspect to enable the managers to further enhance their performance at both their present level of responsibility within the organisation, and in addition, to provide the training and resources necessary for skill development as well as motivation for the managers to aspire to even greater levels of responsibility. Reflected in these responsibilities must be the values and desires of the community which the organisation serves, not just those of the dominant cultural group in the wider, national society.
In my view, the culture of the organisation -- as differentiated from the ethnic composition of the organisation -- must support, complement and supplement the organisation's mission statement and corporate strategic plan, if the explicit strategic plan is to be achieved. Clarifying how the culture of the organisation can achieve this complementary and supplementary support is far more difficult to articulate than the written prescriptions that are specified in the various management texts which are available. Yet, the culture of the organisation has a vital role to play in the achievement of the its written objectives. The culture of the organisation, in subtle ways, reinforces the underlying values of the organisation, its staff, client group, and the society in which it functions. If these values, albeit subtle, support the written objectives of the organisation, then these objectives will be achieved to a far greater degree.

A combination of the explicit strategic plan and the organisation's culture should endeavour to develop the concept of world-mindedness in people, such that they are not only concerned in an active way about their own organisation and their national society as a whole, but the world itself, with its myriad cultures and people.

In my view, the purpose of management, in this context, is to reflect this underlying approach and develop the organisation's performance management system which promotes and reinforces this sociological view. To do this, a Machiavellian approach may be necessary, which, like the game of chess in which a player has one eventual aim, it is not important -- or possible -- to capture every chessman belonging to an opponent. However, the ability to judge what can and cannot be sacrificed in the achievement of the successful conclusion of the game is paramount.
The literature associated with the theme Change Implementer.

**PROFESSIONAL DEVELOPMENT**
- McLaughlin & Marsh (1978)
- Baker (1985)
- Spady (1985)
- Fullan (1986)
- Smout, Mollstrøm & Elliott (1989)
- Diamond (1982)
- Good & Power (1976)
- Armour (1976)
- Young (1990)
- Huberman (1983)
- Kotter & Schlesinger (1979)

**INVOLVING PEOPLE**
- Lewin (1947)
- Coch & French (1947)
- Hall, Loucks, Rutherford, & Newlove (1975)
- Hall (1976)
- Dunn & Swierczek (1977)
- Berman & McLaughlin (1978)
- Nisbet & Collins (1978)
- Eastcott & Hall (1980)
- Fullan (1982)
- Caldwell, Lehr & Blust (1982)
- Miles (1983)
- Neale & Bailey (1983)
- Carey (1985)
- Stanislao & Stanislao (1983)
- Crossley (1985)
- Bien (1986)
- Shanker (1986)
- Beeby (1987)
- Fenstermacher (1987)
- Heaven (1987)
- Baker (1989)
- Boot & Evans (1990)
- Chase (1990)
- Huczynski (1989)
- Stoll & Fink (1992)
- Kotter & Schlesinger (1979)

**SELF-APPRAISAL**
- Common (1983a)
- Kommis (1985)
- Murphy & Fletcher (1989)
- Radnor (1990)
- McAleavy (1991)
- Stoll & Fink (1992)

**UNDERSTANDING CONFLICT**
- Bien (1986)
- Robbins (1988)
- Moberg & Caldwell (1988)
- Sparkes (1987)

**NON-MANIPULATABLE FACTORS**
- (age, gender, social class)
- Hearn (1972)
- Monkhouse & Henri (1990)
ORGANISATIONAL DEVELOPMENT

STRAATEGIC PLANNING

CHANGE AGENTS

Miles (1964)  Neagley & Evans (1970)
Havelock (1970)  Phelps (1972)
Dunn & Swierczek (1977)  Tye (1972)
Thomas (1973)  Zaltman & Duncan (1977)

BLUEPRINTS

Bassett (1971)  Havelock (1973)
Appendix 2.3

The literature associated with the theme Terminology:

**CHANGE-AS-PRODUCT**
- Coch & French (1947)
- Gross, Giacquinta & Bernstein (1971)
- Hall (1976)
- Cross (1984)
- Carey (1985)
- Highsmith (1985)
- Psacharopoulos (1989)
- Cullen (1990)
- Stoll & Fink (1994)

**CHANGE-AS-PROCESS**
- Miles (1964a)
- Hall, Loucks, Rutherford & Newlove (1975)
- Eastcott & Hall (1980)
- Fullan (1982)
- Fullan (1986)
- Heaven (1987)
- Bartlett (1991)
- Fullan & Stiegelbauer (1991)
The literature associated with the theme Dialogue.

**COMMUNICATION**

Czepiel in Zaltman & Duncan (1977)
Kotter & Schlesinger (1979)
Dunsing & Matejka (1989)
Duck (1993)

**COUPLINGS/LINKAGES**

Wilson & Corbett (1983)

**ADVOCACY**

Finch (1981)
Stanislae & Stanislae (1983)
Duck (1993)

**TRUST**

Kotter & Schlesinger (1979)
Kaufman (1983)
Duck (1993)

**VALUES**

Stoll & Fink (1990)
Duck (1993)

**COLLABORATION**

Kanter (1984)
Chapman (1986)
Boot & Evans (1990)
Stoll & Fink (1992)
APPENDIX 2.7
The literature associated with the theme Illusions.

ILLUSIONS

Halpin (1969)
Smith & Keith (1971)
Bien (1980)
THE DEPUTY EDUCATIONAL MANAGER/LEADER

MULTIPLE LEADERS
Hall (1988)
Vandenberge (1988)

ROLE OF CENTRAL OFFICE
Stoll & Fink (1994)

ROLE OF THE EDUCATIONAL MANAGER/LEADER
Helsel, Aurbach & Willower (1969)
Neagley & Evans (1970)
Phelps (1972)
Tye (1972)
Hord & Hall (1975)
Zaltman & Duncan (1977)
Berman & McLaughlin (1978)
Leithwood & Montgomery (1982)
Miles (1983)
Phipo (1984)
Baker (1985)

PERSONALITY/PSYCHOLOGY OF THE EDUCATIONAL MANAGER/LEADER
Crossley (1985)
Van Ausdal (1985)
Fullan (1986)
Morgan (1986)
Montgomery & Hutchinson (1987)
Chase (1990)
Monkhouse & Henri (1990)
Louis & Miles (1990)
Duck (1993)
Stoll & Fink (1994)

Fullan & Stiegelbauer (1991)
Smout, Melstrom & Elliott (1989)
Montgomery & Hutchinson (1987)
Hord & Hall (1987)
Van Ausdal (1985)
Baker (1985)
Phipo (1984)
Thomas (1973)
Helsel, Aurbach & Willower (1969)

APPENDIX 2.8
The literature associated with the theme Management.
APPENDIX 3

A copy of the advertisement calling for applications for promotion in The Education Circular under the promotion-by-merit process implemented in 1985.

HUMAN RESOURCES:

Positions
3505 Canning Senior College
3506 Toor Senior College

Essential experience:
1. Recent relevant and successful teaching in TEE-related studies in secondary schools, or technical institutions, or senior colleges.
2. Recent relevant and successful administrative experience.
3. Recent relevant successful experience in the management of educational services.

Additional qualifications or experience which will be considered an advantage:
2. Experience in the management of student services such as libraries, recreational facilities, counselling or welfare services.

Titles: Head of School, Planning, Senior College

Responsible to the principal for the management of the planning activities of the college.

Positions
3507 Canning Senior College
3508 Toor Senior College

Promotion by merit - primary

Principal: Primary Class 6, (over 700 enrolment) Category E
Principal: Primary Class 5, (500 - 700 enrolment) Category D
Principal: Junior Primary Class 5, (500 - 700 enrolment) Category D
Principal: Primary Class 4, (300 - 300 enrolment) Category C
Remote Community School Class 4 (100 - 300 enrolment) Category B

Applications are called, closing at the Ministry of Education, 130 Royal Street, East Perth at 4:30 pm on Friday, 1 March 1991, for vacancies which may occur in 1992.

All vacancies for promotion in these categories will be filled by promotion by merit procedures, and the vacancies so filled will be declared to be special positions for appointment for 1992.

Applications for transfer in the above categories will be called in the Education Circular of April 1991 but there will be no extension to the closing date for applications for promotion.

Eligibility requirements

Applicants should note that the Regulations concerning Promotion Lists for these positions have been deleted.

Essential qualification for all positions is:

Teachers' Higher Certificate (Regulation 169).
Essential experience for each category is specified below.

All experience considered in determining eligibility must have been gained in Western Australian Government schools.

**Principal, Class 6 Primary (Over 700 enrolment)**

Essential experience for initial consideration - the applicant must have been appointed to the position of Principal, Class IA Primary School as at 12 July 1990. This includes Principals who were appointed to this position in 1990.

**NB**
1. To provide stability and continuity, any current primary school principal ranked high enough to receive promotion to the new Level 6 positions (that is, in the top 10 applicants) will be permitted to retain his or her present school if it is classified Class 6 for 1992.
2. The new Level 6 positions will be filled by promotion rather than transfer, in the initial round for 1992.
3. A Principal of a District High School who accepts promotion to the principalship of a High or Senior High shall not be eligible for promotion to Class 6 Primary.
4. A principal's service in an Education Support school of any class is equivalent to service in schools of that class. The adequacy of the total experience will be determined by the Teachers' Promotion and Review Advisory Board.

**Conditional eligibility** - if there are insufficient applicants who are existing Class IA principals as described above, then applicants who are in their first year as Class IA principals will be considered. If there are insufficient applicants who are existing IA principals then applicants who have completed two years' service as Principal of a Primary Class I school, a Class I District High School, or a Class I Education Support School will be considered. In addition, a Principal of a District High School must have served as a Principal Class III; or Deputy Principal (Primary) District High; or Deputy Principal of a Class IA to be eligible for promotion to Principal Class 6. This is in line with the previous Regulations governing promotion lists on which the present eligibility requirements are based.

If there are insufficient applicants who have completed two years' service in a Class I school or equivalent, applicants who have completed one year will be considered, followed by those who are in their first year as Class I principals or equivalent. If there are still unsatisfied vacancies, applicants from Class II schools will be considered. The initial group of eligible applicants will be those who have completed two years' service in a Class II Primary School. If however there are insufficient suitable applicants who meet this criterion to fill all available vacancies, applicants who have completed one year in a Class II school will be considered, followed by those who are in their first year as Class II Principals.

**Principal, Class 5 Primary and Class 5 Junior Primary**

**Principal, Class 5 Primary and Class 5 Junior Primary**

Essential experience for initial consideration - the applicant must have completed two years' service as Principal of a Primary Class II school, a Class II District High School or a Class II Education Support School. In addition, a Principal of a District High School must have served as a Principal Class III; or Deputy Principal (Primary) District High; or Deputy Principal of a Class IA, to be eligible for promotion or transfer to Principal Class 5. This is in line with the previous Regulations governing promotion lists on which the present eligibility requirements are based.

**NB**
1. A Principal of a District High School who accepts promotion to the principalship of a High or Senior High shall not be eligible for promotion to Class 5 Primary.
2. A principal's service in an Education Support school of any class is equivalent to service in schools of that class. The adequacy of the total experience will be determined by the Teachers' Promotion and Review Advisory Board.

A system of conditional eligibility, similar to that operating for Class 6 primary schools, applies to Principal, Class 5 positions.

This means that the initial group of eligible applicants will continue to be those who have completed two years' service in a Class II Primary School. If, however, there are insufficient suitable applicants who meet this criterion to fill all available vacancies, then applicants who have completed one year in a Class II school will be considered, followed by those who are in their first year as Class II Principals.

**Principals Primary Class 4 (100 - 300 enrolment)**

**Principals Remote Community School Class 4 (100 - 300 enrolment)**

**Principals Early Childhood Education Centre Class 4 (100 - 300 enrolment)**

**Deputy Principals (Primary) District High School Class 5 or 6 (primary enrolment greater than 200 Level 4)**

The essential experience will be two completed years of satisfactory service as Principal, Class III Primary School or as Deputy Principal of a Class IA Primary School or as Deputy Principal, (Primary) District High School.

In addition, applicants for Principal, Early Childhood Education Centre Class 4 must be able to demonstrate four years' teaching experience in the early childhood or junior primary section of a school. That is, the applicant must have assumed direct responsibility for a class in which the majority of students fall within the K-3 range.
Special notes - Principal Early Childhood Units Class 4

(a) All present acting principals of Early Childhood Units will retain their schools until such time as they promote or transfer to another position.

(b) Appointment into Category 882, Early Childhood Units, will be by promotion by merit, not by transfer.

(c) Once they meet the normal eligibility for transfer requirements specified in Regulation 74, Principals of Early Childhood Units who gained their positions by merit promotion will be eligible to apply to transfer to another Early Childhood Unit, Class 4, or to a Primary School, Class 4 or to a Junior Primary School, Class 4, or to Deputy Principal District High School (primary enrolment greater than 200) Level 4.

The Class 4 schools designated as Remote Community Schools elsewhere in this Circular will be regarded as a separate category of schools for promotion.

In considering applications for these schools, experience in Aboriginal education will be considered an advantage. Such an advantage will not necessarily be decisive.

NB: A separate application form (APT 6) must be completed if applying for these schools.

Application forms

Applications must be made on the form headed Application for Promotion and Transfer (Primary) - Form APT 6. These forms are printed elsewhere in this Circular.

Applicants must attach to this form:

1. A personal statement of not more than 250 words indicating specific aspects of their qualifications and experience and outlining their particular skills and abilities relevant to the position sought. It should be noted that a different statement may be submitted for each position applied for, in order to highlight specific relevant skills and abilities.

2. The appropriate Promotion by Merit - Nomination of Referees form. These forms are included in this Circular.

3. The form headed Details of Qualifications and Experience. It is essential that applicants include all required information on this form. Further details may be attached if desired, but the summarised information must also be given on the form £15.50 for reference by Board members.

NOTE: In listing their order of preference for numbered vacancies, applicants are required to list both the position number and the name of the school in every case.

New Schools, Reclassified Schools and Changes of Location

The announcement of new schools in this Circular may affect applications for promotion.

The following schools will open in 1991:

<table>
<thead>
<tr>
<th>School Name</th>
<th>Class</th>
<th>District</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mulaga (Fossil Downs Station)</td>
<td>3</td>
<td>Kimberley</td>
</tr>
<tr>
<td>Warmann</td>
<td>3</td>
<td>Kalgoorlie</td>
</tr>
</tbody>
</table>

Ashburton Drive Primary School (Goonella) was listed in the June issue of the Education Circular (page 549) as being classified as a Class 6 Primary School (enrolment greater than 700) for 1992. This school was omitted from the list of Class 6 schools for 1992 published in the December issue of the Education Circular page 647. Applicants should note that Ashburton Drive Primary School will retain its classification of Class 6 (enrolment greater than 700), for 1992.

Middle Swan Primary School, formerly located at Viveash, will be relocated at Stratton and will have a new school code (5722).

Middle Swan will remain a Class 4 school.

Present incumbents of reclassified schools will need to apply widely for transfer and/or promotion to ensure placement in 1992.

It is recognised that teachers are sometimes not placed to their satisfaction when forced to transfer because a school is reclassified. In recognition of this situation, the Chief Executive Officer has agreed to exercise her discretionary power under Regulation 74 to allow such teachers to exercise one more transfer application before they would normally be eligible to apply for transfer. Teachers applying under these conditions should head this transfer applications: School Reclassified 19, followed by the name and the year in which it was reclassified.

Teachers Promotion and Review Advisory Board

Recommendations for promotion by merit will be made by the Teachers Promotion and Review Advisory Board and will be based on a personal statement by the applicant and formal evaluations from Superintendents and teaching colleagues at a variety of status levels.

Unsuccessful applicants will have the right to request a review of their case by the Board. Such applicants will be required to lodge their applications for review within fourteen days of the date of publication of the recommendations for promotion.

The Education Circular, February 1991
Nomination of referees

In nominating referees, applicants should note the following points:

1. Teaching colleagues nominated as referees must be persons who are able to comment in detail on the work of the applicant in a school situation. This means that, in most instances, the applicant and nominated referees will have been teaching in the same school during the last two or three years. Interschool visits by referees will not be approved.

2. Applicants may be required to nominate as referees, teachers at a higher status (superordinate evaluator) of the same status (peer evaluator) or of lesser status (subordinate evaluator). In the case of evaluators from previous schools, the relative status of the applicant and evaluator at the time they worked together needs to be considered, rather than their present status.

3. Prior contact with nominated teachers is essential to ensure they are willing to act as referees.

4. One superintendent’s evaluation will be ‘open’. This means that a copy will be provided to the applicant, who may submit a written response to the Promotion and Review Advisory Board.

5. All evaluations submitted by teaching colleagues, or by a second superintendent, will remain confidential to the Promotion and Review Advisory Board.

Members of the Teachers Promotion and Review Board have expressed concern that the confidential nature of these references is not being respected in all cases. It should, therefore, be noted that a teacher selected to write a reference may inform the applicant of this fact, he or she is not obliged to do so. An applicant should not make any enquiries as to which of those persons on their list of nominations has been selected as a referee. In addition, in order to preserve its confidentiality, the final reference may not be shown to the applicant.

6. Teachers who obtained a new open superintendent’s evaluation when applying for promotion by merit in 1990 and who are re-applying in 1991 will retain the superintendent’s open evaluation from their 1990 application. They may choose to use all the confidential evaluations submitted in 1990, or seek all new confidential evaluations.

The same principle will apply in future years. That is, the open evaluation will have a currency of two years, and teachers who re-apply may decide whether to retain all the previous year’s confidential evaluations or to seek all new confidential evaluations.

7. It is recognised that the new Ministry of Education structures present problems to some applicants who are principals of primary schools or district high schools. Prior to 1988, such applicants have nominated a regional superintendent (primary) or (secondary) to write the open evaluation and another regional superintendent to write the second confidential superordinate evaluation. This will no longer be possible in all cases in 1991, when one district superintendent will be responsible for both primary and secondary schools in a district and many former regional superintendents will no longer be available to provide the second evaluation.

To overcome this problem, acting superintendents will be appointed to submit the second confidential superordinate evaluation. It is envisaged that these acting superintendents will be senior principals with the appropriate primary or secondary background who are, whenever possible, familiar with the district or districts in which they are working. They will provide references for applicants who are themselves principals and who are unable to nominate a second superintendent who is familiar with their work over the previous two or three years.

8. Referees to be nominated by the applicants for the various categories are indicated on the appropriate Promotion by Merit - Nomination of Referee forms which are printed at the end of this Circular.

9. Applicants who believe that they are disadvantaged by the requirements for referees may contact the Consultant (Primary) in the Human Resources Services Branch to discuss possible alternative referees.

10. Evaluation forms will be forwarded to the referees after the applications close. The evaluations must be completed and returned direct to the Ministry by a specified date.

11. Copies of the Applicant Evaluation forms currently in use are printed elsewhere in this Circular for the information of applicants.

Special notes:
These promotions will be subject to a five-yearly review.

CHECKLIST FOR APPLICANTS FOR PROMOTION

Please ensure you have completed and submitted for each category for which you are an applicant the following:

1. Application for Promotion - Form APT 6 (ED 38-062)
   An acknowledgement slip must be completed and forwarded with the application form.

2. Nomination of Referees form appropriate to the category applied for.

3. Details of Qualifications and Experience (ED38-063)

4. Personal statement of 250 words

Failure to submit any of the above may be to the disadvantage of the applicant.
APPENDIX 4

A copy of the application pro-forma to be completed by applicants for promotion under the promotion-by-merit process implemented in 1985.

<table>
<thead>
<tr>
<th>Personal particulars</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Surname</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Given names</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Present permanent appointment</td>
<td>School</td>
<td></td>
</tr>
<tr>
<td>Present temporary appointment (if applicable)</td>
<td>School</td>
<td></td>
</tr>
</tbody>
</table>

2.1. Previous Application Details

(a) Did you receive a new open evaluation in this category in 1990? (Tick the appropriate box)

Yes [ ] proceed to part 2(b) leave part 3 blank
No [ ] proceed to part 3 and complete parts 4, 5 and 6

(b) Teachers who receive a new open evaluation in this category in 1990 must retain this open evaluation for 1991. However, may choose whether to retain all the 1989 confidential evaluations or to seek new evaluations from referees nominated in 4 and 5 below.

Do you wish to seek new confidential evaluations?

Yes [ ] complete parts 4 and 5 below
No [ ] leave parts 3, 4 and 5 blank

2.2. Nomination of a District Superintendent (Current or Recent) (Open Evaluation)

<table>
<thead>
<tr>
<th>Surname</th>
<th>Other names</th>
<th>District</th>
<th>Last year of service together</th>
</tr>
</thead>
</table>

2.3. Nomination of a Principal (Confidential Evaluation)

(a) Nomination of the principal (current or recent - if in a high or senior high)

<table>
<thead>
<tr>
<th>Surname</th>
<th>Other names</th>
<th>District</th>
<th>Last year of service together</th>
</tr>
</thead>
</table>

GR

(a) Nomination of another District Superintendent (If available - if in a DHO)

<table>
<thead>
<tr>
<th>Surname</th>
<th>Other names</th>
<th>District</th>
<th>Last year of service together</th>
</tr>
</thead>
</table>

GR

(c) I wish an Acting Superintendent to submit this evaluation (If in a DHO) [ ] (Tick box)

2.4. Nomination of other Subordinate Evaluators (Confidential Evaluation)

If possible, list the promotions and the teachers. Eight nominations, three will be selected.

<table>
<thead>
<tr>
<th>Surname</th>
<th>Other names</th>
<th>Position of referee at this time</th>
</tr>
</thead>
</table>

The teachers nominated above have been contacted and are willing to act as referees. I am aware of and will respect the confidential nature of evaluations submitted by referees nominated in (a) and (b) above.

Signature: Date:
APPENDIX 5

A copy of the evaluation pro-forma which was to be completed by referees/evaluators commenting on the strengths and weaknesses of applicants for the first level of promotion in a primary school.

[MINISTRY OF EDUCATION]

PROMOTION BY MERIT

Applicant Evaluation Form

PRINCIPAL CLASS III AND REMOTE REGION COMMUNITY
SCHOOL CLASS III

DEPUTY PRINCIPAL (PRIMARY) DISTRICT HIGH SCHOOL CLASS I AND CLASS II

DEPUTY PRINCIPAL PRIMARY CLASS IA, CLASS I AND JUNIOR PRIMARY CLASS I

PRINCIPAL CLASS IV AND SENIOR ASSISTANT

Form PM 300

A
1. Name of applicant: ___________________________ I.D. Number ________________
2. Current School:__________________________________________
3. Category: ______________________________________________

B
1. Name of referee: _________________________________
2. Home Address: ___________________________ Postcode ______________
3. Status of referee:  
   Superordinate  [ ]  
   Peer/subordinate [ ]
4. Current position (e.g., Superintendent, deputy principal, senior assistant, master/mistress): ________________________________
5. Current school: __________________________________________
6. In what situations and over what period of time have you observed the applicant performing his/her professional duties? 
   _______________________________________________________
   _______________________________________________________
   _______________________________________________________

C

GENERAL INSTRUCTIONS TO REFEREE

1. The intention of this pro-forma is to allow the referee every opportunity to advance information concerning the suitability of the applicant for promotion.
2. The most useful evaluation will be that which is based on concrete knowledge rather than general impression. That is, the evaluation should be based upon what the referee knows the applicant to have done and should be supported by examples.
3. Though referees are asked to rate various aspects of the applicant’s work, these ratings will not be quantified and aggregated for the purpose of the selection.
4. Referees should be succinct in their reports. Long reports are not encouraged but attachments may be added if the referee considers that the additional information will assist the selection panel.

INSTRUCTIONS FOR COMPLETING SECTIONS D AND E

1. Before evaluating the applicant on the criteria contained in Sections D and E, referees should refer to the accompanying appendix.
2. In section D marked “Evidence for Assessment” it is essential that referees give actual examples of the work of the applicant which led to the rating given.
3. In Section E, rate the applicant by ticking the appropriate box. Each rating should be based on the evidence which has been detailed in Section D.
EVIDENCE FOR ASSESSMENT

(This form will be photocopied for use by Board Members. It should therefore be completed using a pen that will provide a clear black ink.)

1. TEACHING

2. PROFESSIONAL ATTRIBUTES

3. MANAGEMENT SKILLS
**RATINGS**

1. Unsatisfactory
2. Areas of weakness
3. Satisfactory
4. Highly satisfactory
5. Outstanding

U. Unable to comment because of lack of personal knowledge.

**TEACHING**

- Quality of teacher's relationship with students
- Planning and preparation
- Teaching skills
- Classroom management

**PROFESSIONAL ATTRIBUTES**

- Professional Qualities
- Interpersonal skills

**MANAGEMENT SKILLS**

---

**NOTE:**
In order to be rated 'outstanding', an applicant should fall within the top five percent of teachers whom the referee has known in a similar role; to be considered 'higher satisfiable', an applicant should fall within the next fifteen percent.
SECTION F

ADDITIONAL EVIDENCE

Indicate here any evidence which has not already been detailed but which you believe will assist the selection panel. Make this statement as factual as you can.
(If insufficient space attach additional pages.)

---

SECTION G.

FINAL EVALUATION

Taking into account all of the criteria, my recommendation is:
(Tick one of the boxes below.)

☐ not suitable for promotion
☐ not yet ready for promotion
☐ suitable for promotion
☐ highly suitable for promotion
☐ outstanding for promotion

NOTE: Outstanding is an extraordinary rating that must be supported by specific comments on the evaluation form.

I certify that this form is being returned without it being seen by the applicant.
(This declaration does not apply to referees writing 'open' evaluations.)

_______________________________ Signature  __________________________ Date
GENERAL

The Statement should serve as a guide to referees when deciding on ratings in section E. Each attribute listed in Section E is briefly described below. It is not intended that the description should be regarded as exhaustive. The purpose is to provide a common basis for evaluating the important qualities required of persons seeking promotion by merit to Snr. Master/Mistress or Deputy Principal DHI.

1. TEACHING

Quality of the Teacher's Relationship with Students.
Factors to be considered include the teacher's:
(a) empathy and rapport with students,
(b) ability to develop in students a constructive approach to learning,
(c) recognition of and response to students' special needs,
(d) ability to gain the respect of students,
(e) respect for and development of students' self-esteem.

Planning and Preparation
Factors to be considered include:
(a) evidence of thoughtful planning and preparation
(b) maintenance of appropriate student records
(c) provision of diagnostic, remedial and enrichment activities
(d) use of appropriate resources

Teaching Skills
The teacher demonstrates:
(a) the ability to maintain the interest and attention of students.
(b) clarity of explanations and directions
(c) use of sound questioning techniques
(d) provision for student participation in lessons
(e) provision in teaching strategies for different levels of student ability
(f) use of content and examples meaningful in local context
(g) use of language appropriate to the students' level of development
Classroom Management
The teacher achieves:

(a) routines for effective teaching
(b) effective supervision of all pupils whilst working with individuals or groups
(c) positive, fair and consistent discipline
(d) flexibility in dealing with different situations and pupil behaviours.

2. PROFESSIONAL ATTRIBUTES

Professional Qualities
The teacher demonstrates:

(a) a commitment to and enthusiasm for teaching
(b) an active interest in new developments and issues in relevant teaching areas
(c) a commitment to the development of a caring school environment

Interpersonal Skills
The teacher demonstrates:

(a) effective communication skills with colleagues and parents
(b) support and encouragement for other teachers
(c) the ability to acquire the professional respect of other teachers
(d) an approachable and caring manner
(e) responsiveness to colleagues ideas and opinions

Contribution to the Corporate Life of the School
The teacher demonstrates:

(a) initiative
(b) active and effective participation in decision-making and implementation
(c) the ability to interest and involve other staff members in educational issues.

3. MANAGEMENT SKILLS
From your knowledge, you predict the teacher has:

(a) organizational ability
(b) the ability to make effective use of time
(c) the ability to make decisions in a fair and logical manner
(d) the ability to involve others in the implementation of curriculum change
(e) resource management skills
(f) the capacity to perform the advisory supervisory role
APPENDIX 6

A copy of a letter written by a Class IV principal.

Mike Heaven,
Human Resources (Primary) Consultant,
Ministry of Education,
151 Royal Street,
EAST PERTH W.A. 6000.

re: MERIT PROMOTION - CLASS IIII PRINCIPAL.

There is concern with the Merit Promotion System at the level of Principal Class IIII, Deputy Principal District High School and Deputy Principal Class I Primary. This concern comes from myself and fellow Class IV Principals and has been expressed strongly at past Class IV Principals' Meetings and again at an Induction Meeting held at Goodlake Primary School on 7th November, 1989.

This concern stems from the disproportionate number of classroom teachers promoted over Class IV Principals. It seems the Class IV Senior Assistant position is not the first rung in the promotion ladder.

1. Class IV Principals are already doing the job of a Principal Class IIII level and have the skills for the above promotional position. It seems totally unreasonable to compare a classroom teacher, with classroom responsibilities, and a Principal of a school doing all the extra duties and hours associated with the position they hold at school and community level.

2. The Class IV Principal has to be competent in the areas of:
   - School management and planning
   - Financial control
   - Budget development
   - Bus management
   - Multi year level teaching
   - Personnel management
   - Selection and deployment of non-teaching staff
   - Teacher appraisal
   - Interpersonal skills
   - Time management
   - Curriculum knowledge, development and implementation
   - Public relations
   - Administrative procedures
   - School Development planning
   - Decision making procedures
   - Committee work
   - Behaviour management
   - Submission writing
   - Induction of staff and new teachers
   - Rural education
There were twelve Principal Class IV positions not filled last year. This indicates teachers are not willing to apply for Class IV schools.

There is a very much higher proportion of applications for Principal Class III level promotions than that for Principal Class IV positions indicating that teachers are unwilling to go to Class IV schools but will sit in the relative ease of the classroom and obtain a Class III level promotion.

I believe the number of applications for Principal Class IV is very significantly less this year than in 1987. This, once again, indicates the unattractiveness of promotion through the Principal Class IV.

It is harder and much more demanding in the Class IV Principal's position than that of a classroom teacher. A classroom teacher need only teach. There is no equating the Principal Class IV and teachers in a classroom.

The system of referees and reporting for Merit Promotion clearly is advantageous to the classroom teacher:—

(a) The form design and description
(b) There has been incorrect interpretation of the headings on the referee form. e.g. It is not possible for a classroom teacher to show “Management Skills” in the sense of Professional Managers of schools. A Principal of a Class IV has to prove themselves in this area, even to achieve the lower rating of Satisfactory or Highly Satisfactory.
(c) A Principal Class IV has so many numerous and demanding tasks to perform, a classroom teacher has few.
(d) A classroom teacher can choose from many teachers and choose the people who will only write “outstanding” references. The Class IV Principal is very much restricted in their choice.

The paths of promotion need to be changed to make a Class IV/Senior Assistant Promotional Position a prerequisite for higher promotion. The Class IV position should be an attractive position and an excellent training ground for higher promotion. Until this is changed few teachers will volunteer for a Class IV position.

It is extremely difficult to accept the promotion of so many classroom teachers to a substantive position higher than a Class IV Principal. I seek your co-operation in removing the inequalities of the system which has failed to recognize the worth of the Class IV Principals at the grass roots of the promotional ladder.

Yours faithfully,
DEMOGRAPHIC PAGE

PLEASE COMPLETE THE FOLLOWING:

1. What per cent of your job is:
   teaching ___ %  administration ___ %  other (specify) _____________ %

2. Female ___ Male ___

3. Age: 20-29 ___ 30-39 ___ 40-49 ___ 50-59 ___ 60-69 ___

4. Highest degree earned:
   Associateship ___ Bachelor ___ Masters ___ Doctorate ___

5. Total years teaching: ______

6. Number of years at present school/position: ______

7. How long have you been involved in Promotion-by-Merit not counting this year?
   1 ___ 2 ___ 3 ___ 4 ___ 5 years
   never ___ year ___ years ___ years ___ years ___ or more

8. In your use of Promotion-by-Merit, do you consider yourself to be a:
   nonuser ___ novice ___ intermediate ___ old hand ___ past user ___

9. Have you received formal training in Promotion-by-Merit (workshops, courses)?
   Yes ___  No ___

10. Are you currently in the first or second year of use of some major Ministry of
    Education innovation or program other than Promotion-by-Merit.
    Yes ___  No ___

    If yes, please describe briefly:

11. Please check to see that you have written the last four digits of your Ministry of
    Education I.D. (Identification Number) on the front page of this questionnaire.
    Thank you for your help.
RESPONSE SHEET

WHEN YOU THINK "PROMOTION-BY-MERIT", WHAT ARE YOU CONCERNED ABOUT? (Do not say what you think others are concerned about, but only what concerns you now). Please write in complete sentences, and please be frank.

(1)

(2)

(3)

Please place a tick by the statement that concerns you most.
APPENDIX 8
Intersecting circles model.

Grouping similar or interrelated themes to identify commonality.
APPENDIX 9

Categories and properties of the intersecting circles model.

FIRST CIRCLE:

Applicants:

- do almost nothing to gain promotion
- cynical
- sceptical
- afraid to criticise
- seek feedback
- seek personal payoff

Union:

- industrial unrest
- internal management problems
- no visible commitment to making changes
- "hotch-potch" policy development

Ministry:

- Ministry would tell Union what to do
- lack of time to develop new system
- senior executives put off making commitment to make changes

Promotion and Review Advisory Board:

- ranking on basis of total scores
- reluctant to list any applicant as unsuitable
- evaluators becoming more sophisticated
- pressure for rankings to be similar
- Union policy is adhered to regarding late applications
- concerns about new members
- appeals not acknowledged

Superintendents:

- complain about workload
- afraid to criticise
- evaluations vary in number from district to district
- quality of evaluations varies from one to another
- acting superintendents lack credibility
FIRST CIRCLE: (continued)

*Central Office Staff:*

- work under stress
- reactive
- slow to adapt and resist change
- not trained

SECOND CIRCLE:

*Ethos:*

- rhetoric fails to match actions
- work harder or longer to solve problems
- people as people not objects
- no written mission or goals
- professional ‘knocking’ by principals
- power cliques

*History:*

- people perceived as incompetent were promoted under the old system
- change for the sake of change
- central office characterised by irregular practices

*Nepotism and Patronage:*

- applicants who are not known by a superintendent will not be promoted
- weak applicants can ‘con’ their superintendent
- being known is what counts
- nepotism and patronage is stronger in central office

*Decision Making:*

- no decision is the final decision
- senior officers have difficulty articulating the decision making process
- little consultation occurs
- central office managers fear decisions made one day will be reversed the next
SECOND CIRCLE: (continued)

Leadership Versus Management:

- some central office senior staff are hard workers but poor managers
- some central office senior staff play favourites
- some central office senior staff cannot let their old jobs go

Fear:

- applicants are afraid to criticise the promotion system
- superintendents are afraid to criticise the promotion system

THIRD CIRCLE:

Merit:

- no definition
- high merit equates to highly favoured geographic locations
- selection criteria should be published
- merit evaluations by superintendents are superficial
- acting/relieving experience is treated inconsistently

Comparability and Subjectivity:

- no moderation procedure
- different evaluation conditions from one district to another
- evaluation visits are too short
- acting superintendents rate applicants higher
- different roles need different evaluation pro-formas

Confidentiality:

- confidential evaluations rate applicants lower
- applicants are concerned about breaches
- evaluators reluctant to put negative comments on paper

Honesty:

- confidential evaluations are more accurate
- skilled writers are employed
- qualifications are claimed that people do not have
- applicants write their own reports
- applicants "trade-off" reports and ratings
THIRD CIRCLE: (continued)

Credibility:

- acting superintendents lack credibility
- Promotion and Review Advisory Board members lack recent school experiences
- some central office managers lack credibility
- superintendents do not demonstrate leadership

Rewards and Punishments:

- referees/evaluators are not accountable for their references/evaluations
- punishments should be made for poorly completed or dishonest references/evaluations

Equity:

- principals of very small schools are not evaluated on the same basis as classroom teachers
- Class IV Principals have difficulty gaining promotion
- Ministry has difficulty staffing Class IV schools
- district office staff have difficulty nominating referees
- applicants with a new superintendent have difficulty gaining outstanding evaluations
- metropolitan applicants have increased opportunities for professional development

Appeals/Natural Justice and Fairness:

- appeals are heard by the group which made the original decision
- appeals are seldom upheld

FOURTH CIRCLE:

Communication:

- The Education Circular does not publish all the information in one edition
- secrecy surrounds the Board’s operations
- grounds for appeal are not published
- how an appeal is lodged is not published

Rules - Informal:

- applicants need to “promote” themselves
- applicants need to present a polished 250-word statement
FOURTH CIRCLE: (continued)

*Information Management:*

- lack of feedback raises concerns by applicants that their application was ever considered
- applicants would prefer to apply for known vacancies
- applicants do not understand the process
- applicants appeal to gain some sort of feedback

*Myths:*

- you have to be a union member to be promoted
- promotions are on a quota system by district
- superintendents’ evaluations are more heavily weighted
- Board members do not read all the evaluations
- you have to apply state-wide

*Confusion:*

- carrying forward reports by unsuccessful applicants does not allow for improvements
- limiting the number of outstanding ratings advantaged the 1987 applicants unfairly
- the basis of the assessment needs to be explained to applicants and referees

FIFTH CIRCLE:

*Continual Evaluation:*

- cynicism
- scepticism
- feedback
- predictability
- communication
- evaluation
- relevance
- personal payoff

SIXTH CIRCLE:

*Resources:*

- senior management reluctant to replace key staff
- human resources staff levels are low
- human resources staff have low morale and high stress levels
SIXTH CIRCLE: (continued)

- human resources lacks funding
- curriculum areas are overfunded

**Workload:**

- superintendents are overloaded
- volume of material to be read precludes it being read in detail
- people apply for promotion and there are no vacancies
- superintendents spend one-third of their time writing evaluations
- superintendents attempt to offload reports

**Training and Development:**

- evaluators are not trained
- clerical staff are not trained
- Promotion and Review Advisory Board members are not trained
- applicants do not get feedback
- human resources restructuring compounds training problems
APPENDIX 10

Second grouping of data based on the identification of common themes which is a refined and less cluttered version of Appendix 8.
APPENDIX 11
Circular model of the grounded theory.

ANTAGONISTS

RESOURCES

EQUIVOCATION

PERFORMANCE MANAGEMENT

COMMUNICATION

CONTINUOUS EVALUATION

ETHOS

VALUES

INFRASTRUCTURE
APPENDIX 12
The properties of each of the categories shown in Appendix 11.

Antagonists: (Someone who interferes with the actions of another)
- applicants
- Union
- Union/Ministry review
- Promotion and Review Advisory Board
- Ministry
- superintendents
- central office staff

Resources:
- priorities
- workload
- training and development

Equivocation: (Ambiguous, of an uncertain nature)
- performance management versus performance assessment
- references versus evaluations
- promotion-by-merit -- lack of definition of merit

Ethos:
- ethos
- history
- nepotism and patronage
- decision making
- leadership versus management in the Ministry (transferred from Values)

Values:
- merit
- comparability and subjectivity
- confidentiality
- honesty
- credibility
- rewards and punishments
- equity
- appeals -- natural justice and fairness
Continual Evaluation:

Communication:

- communication
- information management
- rules -- unofficial
- myths (from Equivocation)
APPENDIX 13
Organisational and personnel categories of the circular grounded theory model showing the organisational categories on one circle and the personnel categories on the other.
APPENDIX 14

The seven categories, their properties and propositions shown in tabulated form from Chapter 6.
**TABLE 1**

**CATEGORY 1: VALUES**

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Merit</td>
<td>1.1.1 There is no articulated definition of merit.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.1.2 Merit is directly related to the geographic location of the school -- the more favourable the location the more meritorious the applicant will be.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.1.3 Merit is really the most available applicant who is deemed not to be unsuitable.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.1.4 The evaluation of merit by the superintendent is superficial, resulting in promoting people who know how to make everything look good.</td>
<td>Low</td>
</tr>
<tr>
<td></td>
<td>1.1.5 The selection criteria used by the Promotion and Review Advisory Board to rank applicants for promotion-by-merit should be published.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.1.6 There is no duty statement of what a principal and other management level position holders do, against which to permit accurate assessment of performance.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>1.1.7 The Promotion and Review Advisory Board treats experience in acting/relieving capacities as demonstrating merit in an inconsistent manner.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>1.1.8 The Promotion and Review Advisory Board ignores the years of experience gained in the immediately subordinate</td>
<td>Medium</td>
</tr>
</tbody>
</table>
1.2 Comparability and Subjectivity

1.2.1 There are no procedures to moderate the effects of the relative severity or leniency of particular referees from one district to the next. **High**

1.2.2 Different evaluation conditions operate from one district to the next. **High**

1.2.3 There is no uniformity of assessment of applicants on a state-wide basis. **High**

1.2.4 The assessment knowledge base of the superintendent needs to be broadened. **Medium**

1.2.5 Subjecting a new or acting superintendent to the evaluation process of applicants with whom they are unfamiliar, or have observed for a short period of time, is unsatisfactory. **High**

1.2.6 Evaluation visits by superintendents are too brief. **High**

1.2.7 The time allocated for assessment visits should be specified at a State level. **Low**

1.2.8 The evaluation pro-forma forms are ambiguous. Different managerial roles (for example, principal, deputy principal and head of department) require different evaluation forms appropriate to their roles. **Medium**

1.2.9 Acting/relieving superintendents rate applicants more highly than substantive (experienced) superintendents. **Medium**

1.2.10 Confidential evaluations are more likely to rate applicants lower than the open evaluation by superordinates. **High**

promotional position.
1.3 Confidentiality 1.3.1 Applicants are concerned about breaches in confidentiality by the Ministry. Medium

1.3.2 The Ministry is concerned about breaches in confidentiality and is seeking strategies to eradicate these concerns. Low

1.3.3 Referees/evaluators are reluctant to commit their assessment of an applicant to paper (if it is negative), but would much prefer to make known their negative assessment over the telephone. High

1.4 Honesty 1.4.1 Applicants get skilled writers (for example, university lecturers) to write their 250-word statements for them. Low

1.4.2 Applicants in small schools can use the restrictive availability of peer and subordinate referees/evaluators to their advantage in an unfair manner. Medium

1.4.3 Confidential references/evaluations by peers/subordinates are more accurate than the open report by superordinates. High

1.4.4 Applicants falsely claim they had qualifications in excess of those required for eligibility as the Ministry does not check these claims. Low

1.4.5 Applicants are advised that they can submit supporting documentation to their 250-word statements for consideration by the Promotion and Review Advisory Board. However, this documentation is not read. Medium

1.4.6 Referees/evaluators (in particular principals) may inflate their report on an applicant in the hope of getting rid of the applicant through promotion out rather than telling the truth and by Low
doing so, keeping the applicant on staff.

1.4.7 The selection of referees/evaluators to write reports is the luck of the draw and the honesty of the report is contingent on this choice. Medium

1.4.8 Applicants write up their own reports for their superordinates (including superintendents) or peers to sign and submit to the Ministry. High

1.4.9 Applicants “trade off” reference/evaluation ratings and comments with one another. High

1.4.10 References/evaluations have been written by superintendents on principals whom they have not visited. Medium

1.4.11 References/evaluations have been written by evaluators/referees for their partners. Medium

1.5 Credibility

1.5.1 The credibility of the superintendency is questionable when inexperienced managers are appointed as acting/relieving superintendents. High

1.5.2 The quality of the people appointed by the Ministry to management positions in central office is a cause for concern. Medium

1.5.3 The majority of the members of the Promotion and Review Advisory Board do not have any recent school experience. High

1.5.4 Senior managers in central office do not want to listen to points of view that are contrary to their own. Medium

1.5.5 The superintendents as a whole do not demonstrate leadership. High

1.5.6 The quality of applicants applying for acting/relieving superintendents’ positions is perceived as poor. Medium
1.6 Rewards and Punishments

1.6.1 Referees/evaluators are not accountable for their reports and this is a concern. High

1.6.2 Referees/evaluators should be punished for poorly completed or dishonest evaluations. High

1.7 Natural Justice and Fairness

1.7.1 Appeals against a decision made by the selection group should be considered and decided by a group that is independent of the group that made the decision in the first place. High

1.7.2 Promotion and Review Advisory Board members are reluctant to overturn their original decision for fear that people would question what was wrong in the first place. Medium

1.8 Equity

1.8.1 Principals of very small schools do not get evaluated on the same basis as their classroom teacher colleagues. High

1.8.2 It is more difficult to gain promotion to a first stage promotional position from a Class IV Principalship position than any other position. High

1.8.3 The Ministry experiences difficulty in staffing Class IV schools. High

1.8.4 District office staff experience difficulty in nominating referees/evaluators who can comment on their recent classroom experiences. Medium

1.8.5 Applicants who have a new superintendent experience difficulty in gaining "outstanding" reports, regardless of their ability. High

1.8.6 Applicants in smaller schools have a limited access to people who can be nominated as referees/evaluators. High

1.8.7 Applicants who had worked closely with superintendents who retired at
the end of 1987 had difficulties in developing a positive rapport with new superintendents.

1.8.8 Teachers with heavier workloads in terms of marking and preparation are disadvantaged because they have less time to devote to initiatives in the school outside of their own subject area.

1.8.9 Class III Principals and Class I Deputy Principals do not have the same background, yet are evaluated for promotion within the same pool.

1.8.10 Applicants from metropolitan locations are advantaged by having increased opportunities for professional development and professional interaction.

1.8.11 The restriction of a 5% limit on the number of "outstanding" recommendations in the district superintendent reports is unfair when one district may have two applicants and another may have 20.
TABLE 2

CATEGORY 2: ANTAGONISTS

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 The Ministry</td>
<td>2.1.1 Senior managers in the Ministry keep putting off consideration of changes to the present system.</td>
<td>High</td>
</tr>
<tr>
<td>2.2 The Teachers’ Union</td>
<td>2.2.1 Senior officers of the Union do not have a clear policy on promotion-by-merit.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.2.2 Factional fighting in the Union prevents policy development.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.2.3 Union leadership is naïve and follows the lead of the Ministry.</td>
<td>Medium</td>
</tr>
<tr>
<td>2.3 Ministry/Union Cooperation</td>
<td>2.3.1 The Ministry and the Union experience difficulty in meeting to review the promotion-by-merit policy.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.3.2 Managers are frustrated by delays in changing the promotion-by-merit policy.</td>
<td>High</td>
</tr>
<tr>
<td>2.4 Promotion and Review Advisory Board</td>
<td>2.4.1 Board members do not read the evaluations.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>2.4.2 Board members rank applicants on the basis of numerical ratings assigned by referees/evaluators, not their assessment of the references/evaluations.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.4.3 Board members are reluctant to list an applicant as unsuitable, despite the reports ratings.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>2.4.4 Union representatives on the Board vote according to Union policy, regardless of the situation under consideration.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>2.4.5 Board members do not gain consensus on individual rankings, using totals of</td>
<td>Medium</td>
</tr>
</tbody>
</table>
ratings assigned instead.

2.4.6 Board members appear to be “faceless” as they are not seen by applicants.

2.5 The Applicant 2.5.1 The applicant plays almost no part in the promotion-by-merit process.

2.5.2 Central office staff, superintendents, and other superordinates/peers/subordinates carry the whole of the promotion-by-merit process.

2.5.3 Applicants experience difficulty in completing application forms.

2.5.4 Applicants feel under pressure to kowtow to superintendents.
# TABLE 3

**CATEGORY 3: ETHOS**

<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1 Talk Versus Action</td>
<td>3.1.1 Ministry talks of caring for people but actions like reclassifying schools do not match the rhetoric.</td>
<td>High</td>
</tr>
<tr>
<td>3.2 Mission Statement</td>
<td>3.2.1 Managers do not know/identify with the organisation’s mission statement.</td>
<td>Medium</td>
</tr>
<tr>
<td>3.3 Corporate Loyalty</td>
<td>3.3.1 Managers in the field openly and publicly criticise the Ministry.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>3.3.2 Central office managers work harder and longer to solve problems, not by working differently.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>3.3.3 Central office managers rigidly support their colleagues’ policies.</td>
<td>Medium</td>
</tr>
<tr>
<td>Properties</td>
<td>Propositions</td>
<td>Level of Generalisability</td>
</tr>
<tr>
<td>--------------</td>
<td>------------------------------------------------------------------------------</td>
<td>----------------------------</td>
</tr>
<tr>
<td>4.1 Priorities</td>
<td>4.1.1 Human resources management in central office lacks funding and staff.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.1.2 Curriculum areas in central office are overfunded.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.1.3 District offices are ineffectual for secondary schools but effective for primary schools.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.1.4 Senior management is reluctant to replace staff in key areas.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.1.5 Lack of staff in human resources reduces the support that is available to managers in the field.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.1.6 Human resources staff have low morale and high stress levels.</td>
<td>High</td>
</tr>
<tr>
<td>4.2 Workload</td>
<td>4.2.1 Superintendents are overloaded with promotion-by-merit reporting.</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td>4.2.2 Superintendents have a disproportionate number of evaluations from one district superintendent to another.</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>4.2.3 The volume of material to be read by Promotion and Review Advisory Board members is so great that it cannot be read in detail.</td>
<td>High</td>
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<td></td>
<td>4.2.4 Too many people applying for promotion have applications which are not active because vacancies where they are applying do not exist.</td>
<td>Medium</td>
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<td></td>
<td>4.2.5 Schools are suffering because</td>
<td>Medium</td>
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</tbody>
</table>
superintendents lose up to one-third of their working time on promotion-by-merit reports.

4.2.6 Superintendents attempt to offload or opt out of writing reports.  High

4.3 Training and Professional Development

4.3.1 Referees/evaluators are not trained in rating applicants.  High

4.3.2 Clerical staff in central office do not receive professional development and training.  Medium

4.3.3 Restructuring in human resources has compounded the problems of staff as they take on new responsibilities and roles.  High

4.3.4 Promotion and Review Advisory Board members are not trained in reading reports and making judgements on ranking applicants.  High

4.3.5 Applicants need to receive feedback on their application so that they know which areas require improved effort.  High
<table>
<thead>
<tr>
<th>Properties</th>
<th>Propositions</th>
<th>Level of Generalisability</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1 Performance Management Versus</td>
<td>5.1.1 The Ministry is confused about whether its promotion-by-merit policy</td>
<td>Medium</td>
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<tr>
<td>Performance Assessment</td>
<td>is a performance management or performance assessment policy.</td>
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<td></td>
<td>5.1.2 Managers treat promotion-by-merit as performance assessment, not</td>
<td>High</td>
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<td></td>
<td>management for professional development purposes.</td>
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<td></td>
<td>5.1.3 Confidentiality of promotion-by-merit reports reduces the opportunities</td>
<td>High</td>
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<td></td>
<td>for applicants to learn about and redress perceived weaknesses.</td>
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<td></td>
<td>5.1.4 Managers support the notion of performance management.</td>
<td>High</td>
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<td></td>
<td>5.1.5 Referees/evaluators are reluctant to provide critical comment in their</td>
<td>High</td>
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<td></td>
<td>open evaluations as they seek to avoid any hostility that their assessment</td>
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<td></td>
<td>may cause.</td>
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<td></td>
<td>5.1.6 The superintendents are confused about their role -- auditors or</td>
<td>High</td>
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<td></td>
<td>educational leaders.</td>
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<td></td>
<td>5.1.7 The superintendents are stressed by attempting to be both a “coach”</td>
<td>High</td>
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<td></td>
<td>and an “umpire”.</td>
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<tr>
<td>Properties</td>
<td>Propositions</td>
<td>Level of Generalisability</td>
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<tr>
<td>6.1 Publications</td>
<td>6.1.1 <em>The Education Circular</em> does not publish all the information that an applicant needs in one edition.</td>
<td>High</td>
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<td></td>
<td>6.1.2 The grounds for appeal or how to present an appeal are not published.</td>
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<td></td>
<td>6.1.3 Roles are not clearly defined.</td>
<td>High</td>
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<td></td>
<td>6.1.4 Central office managers prepare <em>The Education Circular</em> under high stress levels.</td>
<td>High</td>
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<td></td>
<td>6.1.5 The method used by the Promotion and Review Advisory Board to rank applicants should be published.</td>
<td>High</td>
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<td></td>
<td>6.1.6 The secrecy surrounding many of the operations of the Promotion and Review Advisory Board leads to applicants feeling cynical and being suspicious of cronyism and victimisation.</td>
<td>High</td>
</tr>
<tr>
<td>6.2 Information Management</td>
<td>6.2.1 Lack of feedback raises concerns by applicants that they were ever even considered by the Promotion and Review Advisory Board.</td>
<td>High</td>
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<td></td>
<td>6.2.2 Applicants would prefer to apply for known vacancies.</td>
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<td></td>
<td>6.2.3 Applicants do not understand how the promotion-by-merit process works.</td>
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<td>6.2.4 Applicants appeal in an attempt to gain some form of feedback.</td>
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<td></td>
<td>6.2.5 The basis of promotion-by-merit assessment needs to be explained to applicants and referees/evaluators.</td>
<td>High</td>
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<tr>
<td>6.3 Official Rules</td>
<td>6.3.1 Forcing unsuccessful applicants to carry their report forward into a second year does not allow for any improvements they may make.</td>
<td>High</td>
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<tr>
<td>6.3.2 Interim reports at the conclusion of the first year of professional development will allow consideration of professional development programs that have been undertaken.</td>
<td>Medium</td>
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<td>6.3.3 Attempting to limit the number of “outstanding” ratings between 1987 and 1988 advantaged the 1987 applicants unfairly.</td>
<td>High</td>
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<tr>
<td>6.4 Unofficial Rules</td>
<td>6.4.1 Applicants need to “promote” themselves positively to their referees/evaluators.</td>
<td>Medium</td>
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<tr>
<td>6.4.2 Applicants need to present a polished and professional 250-word statement.</td>
<td>Low</td>
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<tr>
<td>6.5 Myths</td>
<td>6.5.1 Applicants believe you have to be a Union member to gain promotion.</td>
<td>Medium</td>
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<td>6.5.2 Applicants believe that the references/evaluations by superintendents are given more weight by the Promotion and Review Advisory Board.</td>
<td>High</td>
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<td>6.5.3 Applicants believe promotions are allocated on a quota system to districts and even schools.</td>
<td>High</td>
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<td>6.5.4 Applicants believe that they are discriminated against if they do not apply state-wide.</td>
<td>Medium</td>
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<td>6.5.5 Applicants and managers believe that the Promotion and Review Advisory Board members do not read all the references/evaluations.</td>
<td>High</td>
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<tr>
<td>Properties</td>
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<td>Level of Generalisability</td>
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<tr>
<td>7.1 Nepotism and Patronage</td>
<td>7.1.1 Reduced numbers of superintendents coincided with a realisation that the Ministry could no longer choose who they wanted.</td>
<td>High</td>
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<tr>
<td></td>
<td>7.1.2 Applicants who were new to a district were unlikely to gain promotion.</td>
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<td></td>
<td>7.1.3 Applicants who had a new district superintendent were unlikely to gain a promotion.</td>
<td>High</td>
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<td></td>
<td>7.1.4 Applicants who remained in one district and were only known by one superintendent were unlikely to gain a promotion.</td>
<td>High</td>
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<td></td>
<td>7.1.5 Being known was more important than being the best applicant.</td>
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<td>7.1.6 Length of service is an indicator of merit.</td>
<td>Medium</td>
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<td></td>
<td>7.1.7 The previous system only required an applicant to gain the Teachers' Higher Certificate for placement on a promotion list. Inertia and the promotion lists then took over.</td>
<td>High</td>
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<td></td>
<td>7.1.8 Weak applicants could gain promotion by &quot;conning&quot; their superintendents.</td>
<td>High</td>
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<td></td>
<td>7.1.9 The quality of the references/evaluations of some superintendents is questionable, especially when compared with the perceived quality of some of the superintendents.</td>
<td>High</td>
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<td></td>
<td>7.1.10 The Ministry has two promotion systems -- one for inside central office and another for outside.</td>
<td>High</td>
</tr>
</tbody>
</table>
central office, in schools.

7.1.11 Nepotism and patronage operate in both locations, but especially in central office.

7.1.12 Applicants fear a backlash if they criticise the promotion system.

7.1.13 Superintendents fear a backlash if they criticise the promotion system.

7.2 Decision Making

7.2.1 Little consultation takes place between the Ministry and the professional associations.

7.2.2 Little consultation takes place between the various areas within central office.

7.2.3 No decision is the final decision.

7.2.4 Senior Ministry staff urge proactive management but their actions preclude such action from occurring.

7.2.5 Senior managers have difficulty in articulating the Ministry's decision-making process.

7.2.6 Central office managers are unclear on the policy directions the Ministry will take.

7.2.7 Central office managers lack confidence that the policy decisions made on one day will not be reversed the next.

7.2.8 Senior managers are vindictive and will use processes such as school reclassification to get back at offending principals.
7.3 Leadership Versus Management in the Ministry

7.3.1 Some central office senior staff are hard workers but poor managers. High

7.3.2 Some central office senior staff continue to run their old job from their new one. Medium

7.3.3 Some central office senior staff play favourites with their staff members and morale, commitment and productivity suffer. High

7.4 Continual Evaluation

7.4.1 Applicants for promotion are continually being evaluated by superintendents, peers and subordinates. High

7.4.2 Managers who do not apply for promotion undergo no evaluation process at all. High

7.5 Cynicism

7.5.1 Managers/applicants are cynical about the two promotion systems -- central office as opposed to school-based systems. Medium

7.5.2 Applicants are cynical about the "robbers dogs" who slip through the promotion system. High

7.6 Scepticism

7.6.1 Managers/applicants are sceptical about the validity of the promotion system. High

7.6.2 Promotion and Review Advisory Board members are sceptical about the validity of the promotion system. Low

7.6.3 Managers/applicants are sceptical about the Ministry's commitment to improving the promotion system. High

7.7 Personal Payoff

7.7.1 The open evaluations are irrelevant as they seldom give any negative feedback or areas requiring attention. High
<table>
<thead>
<tr>
<th>Section</th>
<th>Subsection</th>
<th>Description</th>
<th>Level</th>
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<tbody>
<tr>
<td>7.7.2</td>
<td></td>
<td>Applicants gain little personal payoff through undergoing the promotion evaluation process as there is little feedback.</td>
<td>High</td>
</tr>
<tr>
<td>7.8</td>
<td>7.8.1</td>
<td>Applicants receive informal training/coaching from superordinates in applying for promotion-by-merit.</td>
<td>Medium</td>
</tr>
<tr>
<td>7.9</td>
<td>7.9.1</td>
<td>Perceptions about what is happening are more important than the reality of what is occurring.</td>
<td>High</td>
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</tbody>
</table>