

Loyola University Chicago
Loyola eCommons

Dissertations | Theses and Dissertations

1977

An Analysis of Systems Utilized in the Evaluation of School Superintendents

Robert J. Roelle
Loyola University Chicago

Follow this and additional works at: https://ecommons.luc.edu/luc_diss

 Part of the Education Commons

Recommended Citation

Roelle, Robert J., "An Analysis of Systems Utilized in the Evaluation of School Superintendents" (1977). *Dissertations*. 1672.
https://ecommons.luc.edu/luc_diss/1672

This Dissertation is brought to you for free and open access by the Theses and Dissertations at Loyola eCommons. It has been accepted for inclusion in Dissertations by an authorized administrator of Loyola eCommons. For more information, please contact ecommons@luc.edu.

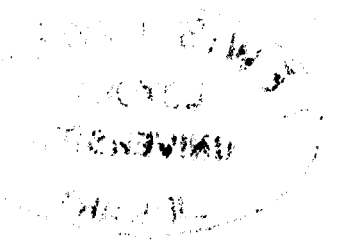


This work is licensed under a Creative Commons Attribution-Noncommercial-No Derivative Works 3.0 License.
Copyright © 1977 Robert J. Roelle

AN ANALYSIS OF SYSTEMS UTILIZED IN THE EVALUATION OF SCHOOL SUPERINTENDENTS

by

Robert J. Roelle



A Dissertation Submitted to the Faculty of the School of Education of Loyola University of Chicago in Partial Fulfillment of the Requirements for the Degree of Doctor of Education

December
1977

ACKNOWLEDGMENTS

The author wishes to thank Dr. Robert L. Monks, director of his dissertation committee, for his continuous cooperation throughout the preparation of this study. The author is indebted to Dr. Monks for his advice and counsel, encouragement, and assistance.

He would also like to express his gratitude to Dr. Melvin P. Heller and Dr. Jasper J. Valenti for their assistance as members of the dissertation committee. The author wishes to further thank Dr. Heller, who provided continuous advice and counsel and support to the author during his studies at Loyola University.

Also, a special note of appreciation and thanks to Doris Emerson for her assistance in typing and to Barbara Litwin for her encouragement and her assistance in editing the manuscript.

Finally, the author is deeply indebted to his wife, Renee, and his children, Wendy Lin, Robert Jay, and Christopher Jon, for their kindness, patience, support, and encouragement.

VITA

Robert J. Roelle was born in Chicago, Illinois, August 1, 1943.

He received his elementary and secondary education in the public schools of Round Lake, Illinois, where he graduated from Round Lake High School in June, 1961. He received an Associate of Arts degree from Kendall College, Evanston, Illinois, in June, 1964; the Bachelor of Arts degree in History from Roosevelt University, Chicago, Illinois, was confirmed in September, 1965; and the Master of Arts degree in Educational Administration was confirmed from the same institution in February, 1968.

He began his teaching career in September, 1965, at the Round Lake Elementary School District in Round Lake, Illinois, were he taught language arts and social studies for two years. In September, 1967, he began teaching for the Special Education District of Lake County, a public school cooperative organized to serve handicapped students who required special education services. He served this cooperative in many capacities; as teacher, supervisor, coordinator, and is currently the assistant superintendent.

The author is married to the former Renee Berliner and has three children; Wendy Lin, Robert Jay, and Christopher Jon.

TABLE OF CONTENTS

ACKNOWLEDGMENTS ii

LIFE iii

LIST OF TABLES vi

CONTENTS OF APPENDICES ix

Chapter

I. OVERVIEW 1

Purpose 5

Review of the Literature 6

Procedures 13

II. REVIEW OF RELATED LITERATURE 18

Functions of Administrators 19

Administrative Appraisal Systems 33

The Evaluation of the Superintendent 40

III. METHODS AND MATERIALS 52

Review of the Literature 52

Selection of the Population 54

The Survey Instrument 56

The Interview 63

Analysis of the Data 64

Development of a Model to Evaluate the Superintendent . . 66

IV. PRESENTATION OF DATA 68

General Characteristics of the Respondents 70

Characteristics of Respondents (Superintendents) Indicating that Their Board of Education Did Not Utilize a Formal System to Evaluate the Superintendent 78

Chapter

Characteristics of Respondents (Superintendents) Indicating that Their Board of Education Utilizes a Formal Evaluation System to Evaluate the Superintendent 83

An Overview of the Responses Received from Board of Education Presidents 89

V. ANALYSIS OF THE DATA 95

An Analysis of the Relationship Between Evaluation Systems Utilized by Boards of Education to Evaluate Their Superintendents, and the Commonly Accepted Administrative Functions 96

Comparison of Evaluation Systems Utilized in Lake County, Illinois, to Systems that Had Been Identified as Exemplary Systems 118

An Analysis of the Data Received from Superintendents and Board of Education Presidents 121

VI. CONCLUSIONS, SUMMARY, AND RECOMMENDATIONS 146

Conclusions 146

Summary 160

Recommendations 163

REFERENCES 172

APPENDIX A 177

APPENDIX B 180

APPENDIX C 182

APPENDIX D 187

APPENDIX E 190

APPENDIX F 191

APPENDIX G 192

APPENDIX H 193

APPENDIX I 194

LIST OF TABLES

Table		Page
1.	The "Functions" of Administrators as Delineated by Various Authors	29
2.	Size of District Responding--Student Enrollment	71
3.	(Wealth) 1975 Assessed Valuation Per Pupil A.D.A. for Responding Districts	71
4.	Personal Characteristics of Responding Superintendents	73
5.	Districts Conducting an Annual Evaluation of the Superintendent	74
6.	Distribution, Mean and Mode, of Respondents' View of the Importance of Selected Items Considered as Possible Purposes of Board of Education Evaluation of the Superintendent	77
7.	Size of Districts Indicating that No Formal System to Evaluate the Superintendent is Utilized--Student Enrollment	78
8.	(Wealth) 1975 Assessed Valuation Per Pupil A.D.A. for Districts Which Do Not Utilize a Formal Evaluation System to Evaluate the Superintendent	79
9.	Personal Characteristics of Superintendents Representing Districts that Do Not Utilize a Formal Evaluation System to Evaluate the Superintendent	80
10.	Distribution, Mean and Mode, of Superintendents Representing School Districts Which Do Not Utilize a Formal System to Evaluate the Superintendent, View of the Importance of Selected Items Considered as Possible Purposes of Board of Education Evaluation of the Superintendent	82
11.	Size of District Indicating the Use of a Formal System for the Board to Evaluate the Superintendent	83
12.	(Wealth) 1975 Assessed Valuation Per Pupil A.D.A. for Districts Which Utilize a Formal System to Evaluate the Superintendent	84

Table		Page
13.	Personal Characteristics of Superintendents Representing Districts That Utilize a Formal Evaluation System to Evaluate the Superintendent	85
14.	Distribution, Mean and Mode of Superintendents, Representing School Districts Which Utilize a Formal Evaluation System to Evaluate the Superintendent, View of the Importance of Selected Items Considered As Possible Purposes of Board of Education Evaluation of the Superintendent	87
15.	An Overview of Mean Responses of Superintendents Representing; (1) All of the Participating Districts, (2) Districts Which Do Not Utilize a Formal System to Evaluate the Superintendent, and (3) Districts Which Do Utilize a Formal System to Evaluate the Superintendent; Pertaining to Selected Categories of Information Surveyed, and Their Respective Views Pertaining to the Importance of Selected Items Considered as Possible Purposes of Board of Education Evaluation of the Superintendent	88
16.	The Mean Response of Board of Education Presidents Pertaining to Their View of the Importance of Selected Items Considered As Possible Purposes of Board of Education Evaluation of the Superintendent	92
17.	Frequency of Items Noted on Evaluation Systems Utilized to Evaluate the Superintendent that Could Be Identified as a Particular Knezevich Function	113
18.	A Comparison of Mean ($\bar{x}$) Enrollments in Combined Districts, Districts Which Do Not Utilize a Formal Evaluation System, and Districts Which Do Utilize a Formal Evaluation System	123
19.	A Comparison of Mean ($\bar{x}$) Enrollments, and Median (Md) Enrollments in Combined Districts, Districts that Do Not Utilize a Formal Evaluation System, and Districts Which Do Utilize a Formal Evaluation System	123

Table Page

20. A Comparison of School Districts Utilizing a Formal System to Evaluate the Superintendent to Those Which Do Not, With Regard to Formal Systems to Evaluate Subordinate Administrators 127

21. Personal Characteristics of Superintendents Employed by Districts Which Utilize a Formal Superintendent Evaluation System and by Districts Which Do Not Utilize a Formal Evaluation System 128

22. Rankings, in Terms of Level of Importance, of Possible Purposes of Board of Education Evaluation of the Superintendent as Determined by Superintendents and Board of Education Presidents 142

CONTENTS FOR APPENDICES

APPENDIX A	Public Schools, Lake County, Illinois	177
APPENDIX B	Letter to Members of Jury Regarding Field Testing the Survey Instrument	180
APPENDIX C	Questionnaire Completed by Superintendents	182
APPENDIX D	Questionnaire Completed by Board of Education Presidents	187
APPENDIX E	Letter from Dissertation Advisor	190
APPENDIX F	Letter from Employing Superintendent	191
APPENDIX G	Explanatory Letter Accompanying Superintendent Questionnaire	192
APPENDIX H	Explanatory Letter Accompanying Board of Education President Questionnaire	193
APPENDIX I	Interview Guide	194

CHAPTER I

OVERVIEW

The term "accountability" has appeared throughout educational literature for over ten years and has clearly become a dominant force in the operation of our public schools during these years. In a sense, accountability has been with us for many years and schools have always been responsible for the provision of educational programs which are in compliance with state and federal statutes. To this extent, Sidney Marland, former commissioner of education, notes "accountability has always been with us. Until now it did not have a name."[1] Unfortunately, the term "accountability" has provided little more than confusion, as very few people can agree on the actual meaning of the term. Yet, while confusion over the definition of accountability in an educational framework exists, interest in educational accountability had reached the presidential level as noted by a statement by former President Nixon in his 1970 educational message where he related dollars spent to student accomplishments and stated, "From these considerations, we derive another concept: accountability. School administrators and school teachers alike are responsible for their performance, and it is in their interest

---

[1]Sidney P. Marland, "Accountability in Education," Teachers College Record, Vol. 73, 1973, p. 345, cited by Allan C. Ornstein, Daniel U. Levine, and Doxey A. Wilkerson, Reforming Metropolitan Schools (Pacific Palisades: Good Year Publishing Co., Inc., 1975), p. 76.

as well as in the interest of their pupils that they be held accountable."[2]

No one can be certain when the current accountability movement actually began. However, a noted change in the focus of the accountability movement can be traced to the middle 1960's when James Coleman completed the Equality of Educational Opportunity[3] survey. Prior to the Coleman report, accountability for schools meant simply that the teacher and/or the school had primary responsibility for the provision of educational programs and the determination of the subjects to be provided. On the other hand, the responsibility for learning primarily rested within the learner himself. Since the Equality of Educational Opportunity survey and subsequent educational programming, such as compensatory educational programs, the focus of educational accountability shifted to a point where schools were no longer simply responsible for the provision of educational services, but also would have to assume responsibility for the results of those services. Accordingly, accountability had taken on a new focus and in its most direct sense, it now meant to hold someone (group or agency) accountable for its behavior or actions.[4]

In an effort to become accountable, accountability plans in public schools were hastily developed in various forms. Some schools

---

[2]Richard M. Nixon, Education Message (March, 1970) cited by William Bernard Thiel, "Trends in Accountability and Educational Assessment through State Legislative Action" (Ed.D dissertation, Loyola University of Chicago, 1975), p. 11.

[3]James S. Coleman et al., Equality of Educational Opportunity, U.S. Department of Health, Education, and Welfare (Washington, DC: U.S. Government Printing Office, 1966).

[4]Allan C. Ornstein, Daniel U. Levine, and Doxey A. Wilkerson, Reforming Metropolitan Schools (Pacific Palisades: Good Year Publishing Co. Inc., 1975), p. 75.

turned to management systems such as management by objectives which typically included evaluation components, while in many cases, attempts to become "accountable" were reflected in the trend toward the preparation of behavioral and instructional objectives on the part of educators. For example, in Illinois, the Action Goals for the Seventies: An Agenda for Illinois Education[5] (1973) developed by Dr. Michael Bakalis, former Superintendent of the Illinois Office of the Superintendent of Public Instruction, was a product of the accountability movement. This document specifically focused on the preparation of goals and objectives for schools in Illinois, and in addition, set the framework for goal setting by local districts in Illinois.

If schools were to become responsible for student learning performance, and if accountability meant to hold someone accountable for his behavior or actions, then it is no surprise that one of the forms of accountability would result in increased emphasis on personnel evaluation. In fact, noted among accountability legislation, was legislation passed in 1971 in the State of California which became known as the Stull Act. The Stull Act in its simplest form, required local school districts to develop and adopt guidelines for the evaluation of professional performance of certificated personnel.[6] Further, by 1975, a number of states had passed accountability provisions in education. Eight of

---

[5](Illinois) Office of the Superintendent of Public Instruction, Action Goals for the Seventies: An Agenda for Illinois Education (Springfield: The Office of the Superintendent of Public Instruction, 1973).

[6]California Stull Act, Educational Code, C. 361, cited by William Bernard Thiel, "Trends in Accountability and Educational Assessment through State Legislative Action" (Ed.D dissertation, Loyola University of Chicago, 1975), p. 43.

those states required formal evaluation of personnel.

While the relationship between teacher evaluation and educational accountability is perhaps new, teacher evaluation has been a significant feature of educational systems for some time and the various procedures and processes utilized have been described in the literature. On the other hand, it has only been recently that a major concern has been addressed toward administrative accountability and ultimately, the evaluation of the superintendent of schools.

Declining enrollments, diminishing financial resources, an oversupply of teachers, increasing demands on the part of school employees, and other factors have caused the term accountability to become the "watchword" of the community and boards of education when they review the management of public schools. Therefore, it was natural, particularly in light of a definition of accountability which suggests that "we hold someone accountable," that school districts have become interested in the evaluation of their superintendent.

At this time, there appears to be a growing trend toward the development of administrative evaluation systems. According to Stephen Knezevich, "before this decade is out, practically all school systems will have formal administrator appraisal systems."[7]

While the literature is filled with various techniques of teacher evaluation models which can be adopted and adapted to fit local needs, the formal evaluation of the superintendent by the board of education is a relatively new problem. Although it is clear that the evaluation

---

[7]Stephen J. Knezevich, Administration of Public Education, 3d ed., (New York: Harper and Row, Publishers, 1975), p. 605.

of the chief administrator is an essential component of any accountability program, the formal process of the evaluation of superintendents is a relatively new idea. In a sense, it is a unique process that cannot benefit from the experiences of teacher evaluation because of the significant differences in their roles, and because the superintendent must be evaluated by a board of education, which is typically composed of lay persons elected by the community.

If boards of education are to evaluate the performance of their superintendent, they should be doing so on the basis of an evaluation system which is based upon specifically defined job descriptions, and which is directly related to commonly accepted administrative functions. It was speculated, however, that among those districts which conduct a formal evaluation of the superintendent, there exists little, if any, relationship between the evaluation systems utilized and the commonly accepted administrative functions.

Purpose

Accordingly, the overall purpose in the development of this dissertation was to determine the relationship between evaluation systems utilized by boards of education to evaluate their superintendents, and commonly accepted administrative functions. A secondary purpose was to develop an "evaluation model" which could be utilized by boards of education and superintendents as a model for reviewing or developing an evaluation system.

Boards of education and superintendents could benefit from an analysis of the relationship between existing evaluation systems and

commonly accepted administrative functions. In addition, they could benefit from an evaluation model which is based upon a synthesis of what the literature suggests about "good evaluation systems" and a synthesis of evaluation systems that have been successfully utilized, as they develop or refine evaluation systems.

Review of the Literature

While there has been increased interest expressed in the literature which pertains to the appraisal of superintendents, a review of the literature and a review of Dissertation Abstracts did not suggest that any recent similar studies have been conducted.

There have been related studies which focus upon appraisal techniques utilized to evaluate school principals, including a recent (1976) doctoral dissertation by Melvin Metzger entitled "Identification and Analysis of the Current Methods of Evaluating Principals in the Public Schools of the State of Maryland."[8] In addition, there have been studies which focus upon the role of the superintendent, including "The Role of the Superintendent in Texas as Perceived by the Superintendent and His School Board President,"[9] which is a recent (1976) doctoral dissertation completed by Dwight Winkler.

The above studies, and others, addressed the important issues;

---

[8]Melvin August Metzger, "Identification and Analysis of the Current Methods of Evaluating Principals in the Public Schools of the State of Maryland" (Ed.D dissertation, the George Washington University, 1976) cited in Dissertation Abstracts International, vol. 37A #8, February, 1977, p. 4756-A.

[9]Dwight Donald Winkler, "The Role of the Superintendent in Texas as Perceived by the Superintendent and His School Board President" (Ph.D dissertation, Texas A and M University, 1976) cited in Dissertation Abstracts International, vol. 37A #8, February, 1977, p. 4756-A.

i.e., appraisal techniques and administrative roles, but did so independently of each other. It did not appear, however, that any of the studies focused on the comparison of appraisal techniques utilized to evaluate superintendents to accepted administrative functions.

Inasmuch as this dissertation intended to examine the relationship between evaluation systems utilized by boards of education to evaluate superintendents; and intended to develop an "evaluation model" for that purpose; an extensive examination of the literature was necessary. Therefore, to conduct this study, it was necessary to examine the literature which pertained to: (1) functions of administrators, (2) administrative appraisal systems, and (3) the evaluation of the superintendent.

Various writers have examined the administrative process and have proposed their views pertaining to the various functions of administrators. The work of Henri Fayol, which dates back to 1916, proposed five administrative functions and was later followed by a well-known acronym "POSDCORB" which reflected the functions delineated in 1937 by Luther Gulick and L. Urwick.[10] (The functions delineated by Gulick and Urwick are Planning, Organizing, Staffing, Directing, Coordinating, Reporting, and Budgeting.) During this same time, Chester I. Barnard published, (in 1938) for the first time, The Functions of the Executive[11]

---

[10]Luther Gulick and L. Urwick, eds., Papers on the Science of Administration (New York: Institute of Public Administration, 1937) cited by Roald F. Campbell, John E. Corbally, Jr., and John A. Ramseyer, Introduction to Educational Administration, 2d ed. (Boston: Allyn and Bacon, Inc., 1960), pp. 175-176.

[11]Chester I. Barnard, The Functions of the Executive 30th ed., (Cambridge: Harvard University Press, 1971), p. 215.

(which in 1971, was in its twentieth printing). These works all provided a framework for identifying administrative functions.

Related specifically to educational administration, the American Association of School Administrators, in 1955, put forth five administrative functions which were described in Staff Relations in School Administration, Thirty-third Yearbook.[12] Shortly thereafter, Russell T. Gregg described, in "The Administrative Process,"[13] seven administrative functions, and later R. F. Campbell et al., in an Introduction to Educational Administration,[14] presented five administrative functions.

While these writers have proposed various administrative functions, and while some overlap and consistency existed among their suggested functions, perhaps the work of Stephen J. Knezevich, Administration in Public Education,[15] third edition, 1975, presented a more recent and comprehensive list of administrative functions.

The sixteen functions described by Knezevich provided an expanded list as compared to other writers, although it did remain consistent with the functions presented by the various writers. For example, the Gulick and Urwick functions of Planning, Organizing, Staffing, Directing, Coordinating, Reporting, and Budgeting, can be identified within the sixteen

---

[12]American Association of School Administrators, Staff Relations in School Administration, Thirty-third Yearbook (Arlington, VA: The Association, 1955), p. 17.

[13]Russell T. Gregg, "The Administrative Process" in Administrative Behavior in Education, eds. Roald Campbell and Russell T. Gregg (New York: Harper and Brothers Publishers, 1957), p. 273.

[14]Roald F. Campbell, John E. Corbally, Jr., and John A. Ramseyer, Introduction to Educational Administration, 2nd ed., (Boston: Allyn and Bacon, Inc., 1960), p. 179.

[15]Knezevich, p. 37.

Knezevich functions, but simply were not expanded to the same degree.

The sixteen functions delineated by Stephen Knezevich are: Anticipating, Orienting, Programming, Organizing, Staffing, "Resourcing," Leading, Executing (operating), Changing, Diagnosing-Analyzing Conflict, Deciding-Resolving, Coordinating, Communicating, "Politicking," Controlling, and Appraising.[16] Because the Knezevich functions were fairly recent and because they included functions noted by other authorities, they were therefore accepted as essential functions of school administrators. Accordingly, it should follow logically that any system of administrator appraisal should be based upon these various functions.

A review of literature revealed the topic of administrator appraisal has only recently become an important concern. The Educational Research Service conducted studies in 1964, 1968, and 1971 in large school systems and revealed a growing trend toward the appraisal of school administrators. In addition, Stephen J. Knezevich, in Administration of Public Education, 1975, suggested that "before this decade is out, practically all school systems will have formal administrator appraisal systems."[17]

The Educational Research Service, Inc., recently (1976) published a report entitled Evaluating Superintendents and School Boards. Glen Robinson (Director of Research, Educational Research Service) commented in the forward of this report:

---

[16]Ibid., pp. 37-38.

[17]Ibid., p. 605.

> Much attention has been given to the development of effective procedures for assessing student performance, teacher performance, and administrative performance. Comparatively little effort, however, has been given to the development of effective procedures for evaluating objectively the performance of the school superintendent.[18]

This Educational Research Service Report attempted to summarize methods utilized in the evaluation of school superintendents. Included in this report are sixteen examples of evaluative procedures which are utilized in school districts throughout the United States in the evaluation of the performance of the school superintendent.

The American Association of School Administrators (AASA) has been a strong advocate of personnel evaluation. Recently, the 1977 AASA Delegate Assembly strengthened their position with a resolution which pertained to the evaluation of administrators and the superintendent of schools. In part, that resolution said:

> AASA believes that evaluation of administrators should be encouraged. AASA urges boards of education to adopt systems of evaluation of administrators and to assume their responsibility for the evaluation of the superintendent of schools. AASA further urges superintendents and other administrators to assume responsibility for the evaluation of all other administrators.[19]

Further, the AASA recently published (1977) Volume IX of their Executive Handbook Series which was entitled How to Evaluate Administrative and Supervisory Personnel. This Handbook attempts to show school adminis-

---

[18]Glen Robinson, Foreward to Evaluating Superintendents and School Boards by Educational Research Service, Inc. (Arlington: Educational Research Service, Inc., 1976), p. iii.

[19]Paul B. Salmon, Foreward to How to Evaluate Administrative and Supervisory Personnel by (Robert Olds). Vol. IX AASA Executive Handbook Series (Arlington: American Association of School Administrators, 1977), p. iv.

trators the benefits that can be derived from evaluation "by using many of the basic procedures involved in a performance evaluation plan."[20]

State school board associations have also taken an interest in the topic of board of education evaluation of the superintendent of schools. The California School Boards Association, for example, had published "Guidelines for Evaluating a Superintendent."[21]

The Illinois Association of School Boards presented its position in an article appearing in the November-December, 1975, Illinois School Board Journal. In this article which was entitled "Some Suggestions for Better Board/Administrator Relations," the Illinois Association of School Boards suggested that the relationship between the board and the superintendent should be governed by a combination of policy and/or contract. One of the suggestions, was that the board spell out "how the board will evaluate the superintendent and how it will appraise him of the evaluation."[22]

As further evidence of its interest in this topic, the Illinois Association of School Boards sponsored workshops to assist boards of education and superintendents in the development of evaluation systems. Further, an accompanying document for the workshops entitled Planned Appraisal of the Superintendent, was prepared by the Illinois Associa-

---

[20](Robert Olds), How to Evaluate Administrative and Supervisory Personnel Vol. IX, AASA Executive Handbook Series (Arlington: American Association of School Administrators, 1977), p. vi.

[21]California School Boards Association, "Guidelines for Evaluating A Superintendent" (Sacremento: California School Boards Association) cited in Education Research Service, Inc., Evaluating Superintendents and School Boards (Arlington: Educational Research Service, Inc., 1976), pp. 91-107.

[22]Illinois Association of School Boards, "Some Suggestions for Better Board/Administrator Relations," Illinois School Board Journal, November-December, 1975, p. 8.

tion of School Boards as a "handbook to help boards of education develop planned programs for appraising the performance of their superintendents."[23]

As was noted earlier, the recent interest in the evaluation of superintendents was probably tied directly to the accountability movement. Issues related to declining enrollments, diminishing financial resources, an oversupply of teachers, increased financial demands and compensation for school administrators, and the need "to hold someone accountable" naturally led advocates within the accountability movement to also become interested in the evaluation of administrators. Further, as the accountability movement took on the framework of the development of instructional objectives, it was, therefore, no surprise that the degree of success in meeting those objectives became the yardstick in the measurement of the performance of the chief administrator.

Numerous authors have examined goal attainment and accountability in education and have raised concerns relating to the performance appraisal of educational personnel in general and specifically, of administrators. For example, Charles W. Fowler stressed the importance of tying goal attainment to administrator appraisal when he said:

> Systematically appraise the performance of the superintendent. Set reasonable goals for the schools and then measure the extent to which the goals were met. These goals should be directed to the heart of your educational program and not to the picayune matters of school administration. Don't, as some boards do, evaluate the superintendent against criteria not included in the agreed upon goals. Insist upon short and long range planning and evaluation.[24]

---

[23]Illinois Association of School Boards Planned Appraisal of the Superintendent (Springfield: Illinois Association of School Boards, 1976), p. 3.

[24]Charles W. Fowler, "How to Let (and Help) Your Superintendent be a SUPERINTENDENT," The American School Board Journal, September, 1975, p. 22.

A number of authors have addressed the issue of educational accountability, although only a few have addressed the topic of administrative appraisal. Authors whose works warranted further investigation included Stephen J. Knezevich and Virgil K. Rowland dealing with administrative appraisal; and the works of Lesley Browder, Jr., William A. Athius, Jr., and Esin Kaya, and Terrel H. Bell, dealing with administrator accountability. In addition, the teacher evaluation model developed by George B. Redfern was examined as it was considered to be a model that could be adapted for purposes of evaluating the superintendent.

Chapter II presents an extensive review of the literature. Many of the materials mentioned previously, as well as others, including works developed by the American Association of School Administrators, the National School Boards Association, and various state school board associations are presented and discussed in greater detail in the second chapter.

Procedures

The outline that follows describes the procedures which were utilized to complete this study.

1.0 An extensive review of the literature was conducted, and included:

- 1.1 A review of the literature which pertains to administrative functions.
- 1.2 A review of the literature which pertains to the appraisal of the performance of administrators.
- 1.3 A review of the literature which pertains to the

evaluation of school superintendents. In addition, when the literature identified certain evaluation systems utilized in the evaluation of the superintendent of schools as exemplary, attempts were made to obtain copies of those systems.

2.0 A survey was conducted of all board of education presidents and superintendents of all of the public school districts in Lake County, Illinois, which pertained to the evaluation of the superintendent by the board of education. This survey was conducted in the following manner:

2.1 A questionnaire was developed and field tested for content and construct, by six public school superintendents in Lake County, Illinois. The six superintendents selected represented elementary, secondary, and unit school districts.

2.2 Input from the six superintendents who field tested the questionnaire was utilized to refine the questionnaire. The revised questionnaire was then sent to board of education presidents and superintendents of schools in all of the public school districts in Lake County, Illinois.

2.3 A special request was made of all superintendents of schools in Lake County to provide a copy of the evaluation system utilized in the evaluation of the superintendent by the board of education (if the district had such a system).

3.0 From the formal evaluation systems received, five school districts were selected for further investigation and interview. In each of the five districts selected, the superintendent and a representative of his board of education were interviewed in separate interviews.

4.0 Of the questionnaires which indicated a formal evaluation system was not utilized to evaluate the superintendent, five superintendents were selected for further investigation and interview. These interviews were conducted in an effort to determine their attitude toward evaluation of the superintendent, to determine their interest in developing an evaluation system, and to determine what kind of assistance would be helpful to them if they were to develop such a system.

5.0 The data contained in the general questionnaires and the personal interviews were tabulated and analyzed, with specific concern for its implications for superintendents and boards of education.

5.1 A narrative analysis was completed which focused on a comparison of what the literature revealed pertaining to the evaluation of superintendents and what the data received from the questionnaire and personel interview revealed pertaining to the actual evaluation system. This analysis described, interpreted and analyzed trends, common elements, uniquenesses, and contrasts

noted. In addition, it offered possible explanations for the results of the data.

5.2 The formal evaluation systems received were analyzed in relation to administrative functions. The sixteen administrative functions developed by Stephen J. Knezevich were utilized as the administrative functions. These functions were compared to the items noted within the evaluation systems received in an effort to determine if the formal evaluation systems utilized were based upon these commonly accepted administrative functions.

5.3 The formal evaluation systems received were analyzed in relation to exemplary evaluation systems. This analysis focused on the identification of those characteristics noted in the evaluation systems received, which were also noted in the exemplary systems and also identified those characteristics noted in the exemplary systems which were absent from the formal systems received.

5.4 Tables were utilized to summarize the data and were presented as appropriate.

6.0 A model for performance appraisal of school superintendents was developed. This model was based upon:

6.1 The characteristics of a good evaluation system as gleaned from the literature.

6.2 The information and techniques gleaned from exemplary systems.

6.3 The information and techniques gleaned from evaluation systems received from the school districts surveyed.

Summary

The overall purpose of this dissertation was to determine the relationship between evaluation systems utilized by boards of education to evaluate their superintendents, and commonly accepted administrative functions. A secondary purpose was to develop an "evaluation model" which could be utilized by boards of education and superintendents as a sample evaluation system.

As boards of education and superintendents begin to develop, or revise, such evaluation systems, it could be beneficial to them to have an understanding of the relationship between commonly accepted administrative functions and evaluation systems utilized to evaluate the superintendent. In addition, the availability of an evaluation model, which is based upon a synthesis of what the literature suggests about "good evaluation systems," and what was gleaned from the study, could be of tremendous assistance to them as they develop or refine systems to evaluate the superintendent.

The remaining chapters of this dissertation provide an extensive review of the related literature, a complete description of the methods and procedures which were followed to complete the study, a presentation of the data, an analysis of the data, and the conclusions, summary, and recommendations of the study.

CHAPTER II

REVIEW OF RELATED LITERATURE

The overall purpose of this dissertation was to determine the relationship between evaluation systems utilized by boards of education to evaluate the superintendent of schools, and the commonly accepted administrative functions. A secondary purpose was to develop an "evaluation model" which could be utilized by boards of education and superintendents as a sample evaluation system.

Various writers have examined the administrative process and have proposed views pertaining to the various functions of administrators. Writers proposing views on the functions of administrators date back to 1916 and thus have provided a framework for examining the literature pertaining to this topic, in a historical manner.

The recent interest in educational accountability has led to increased interest in the development of administrator appraisal systems; including the evaluation of the superintendent of schools. In particular, national and state school board organizations and professional associations representing school administrators have advocated the development of administrator appraisal systems as a means of demonstrating educational accountability.

In an effort to achieve the purposes of this dissertation, this chapter, REVIEW OF RELATED LITERATURE, was organized into three different sections, i.e., Functions of Administrators, Administrative Appraisal

systems, and The Evaluation of the Superintendent.

Functions of Administrators

If boards of education are to evaluate the superintendent of schools effectively, it is apparent that some agreement as to the overall functions of the superintendent would be necessary. The superintendent of schools is usually considered to be the highest administrative officer of the schools. Throughout the development of this dissertation, it was assumed that all superintendents would be engaged in activities which could be described as the administrative process, while they were fulfilling the responsibilities of their positions.

Various authors have written on the topic of the administrative process, and most have agreed that the process is made up of various functions that must be performed by administrators if the goals of the organization are to be achieved. Roald Campbell described this process "as the way by which an organization makes decisions and takes action to achieve its goals."[1]

As the various authors described the administrative process, they typically did so by describing the "elements" of the process, the "functions" of the process, the "components" of the process, etc. In an effort to bring some uniformity into the discussion of the views of the various authors, this dissertation has utilized the term "functions" to discuss the steps set forth by the various authors.

After an initial review of the literature pertaining to the

---

[1]Roald F. Campbell, John E. Corbally, Jr., and John A. Ramseyer, Introduction to Educational Administration, 2nd ed., (Boston: Allyn and Bacon, Inc., 1960), p. 179.

functions of administrators, it was decided, that for purposes of determining the relationship between evaluation systems utilized by boards of education to evaluate the superintendent, and accepted administrative functions, the functions delineated by Stephen J. Knezevich would be utilized for purposes of analysis. Knezevich noted that "the traditional lists of administrative functions ignore such emerging concerns as change and conflict management."[2] Further, as Knezevich developed his administrative functions, he attempted to reflect current as well as traditional responsibilities. Accordingly, because the Knezevich functions were fairly recent (1975) and because they included functions noted by other authorities while at the same time expanding beyond the functions of the other authorities; it was decided that the Knezevich functions would be utilized for purposes of comparison.

The review of the literature pertaining to administrative functions was conducted in a historical framework, beginning with the work of Henri Fayol, and concluding with the work presented by Stephen J. Knezevich. A discussion of that review follows.

Interest in the functions of administrators and the administrative process can be traced back to 1916 and the work of Henri Fayol. Fayol, writing in France at the time, was perhaps the first to suggest that the administrative process could be defined in terms of administrative functions. Fayol called these functions "elements of management," and described these elements as planning, organizing, commanding,

---

[2]Stephen J. Knezevich, Administration of Public Education, 3d ed., (New York: Harper and Row, Publishers, 1975), p. 36.

coordinating and controlling.[3]

The work of Fayol is particularly important as it seemingly has withstood the test of time. While later authors have expanded upon the functions set forth by Fayol, in most cases their works suggest that they were, at least to some degree, influenced by Fayol.

Henri Fayol, in an address before the Second International Congress of Administrative Science at Brussels, September 13, 1923, delineated what he meant by the functions he described. According to Fayol, the functions are defined as follows:[4]

> Planning--To plan is to deduce the probabilities of the future from a definite and complete knowledge of the past.
>
> Organizing--To organize is to define and set up the general structure of the enterprise with reference to its objective, its means of operation, and its future course as determined by planning.... It is to ensure an exact division of administrative work by endowing the enterprise with only those activities considered essential.
>
> Commanding--To command is to set going the services defined by planning and established by the organization.
>
> Coordinating--To coordinate is to bring harmony and equilibrium into the whole.... It means establishing a close liaison among services specialized as to their operations, but having the same objective.
>
> Controlling--Control is the examination of results. To control is to make sure that all operations at all times are carried out in accordance with the plan adopted.... (Campbell et al., suggested that "some of our present-day writers use the term 'evaluating' in much the same way that Fayol used 'controlling'."[5])

As will be noted throughout the development of this section, the

---

[3]Campbell, Introduction to Educational Administration, p. 174.

[4]Henri Fayol, "The Administrative Theory In The State," trans. Sarah Greer in Papers On the Science of Administration, eds. Luther Gulick and L. Urwick (New York: Institute of Public Administration, 1937), p. 103.

[5]Campbell, Introduction to Educational Administration, p. 176.

above functions described by Fayol, would become the framework for later authors as they developed their positions pertaining to the process of administration.

Fayol's work was of particular interest to authors who were concerned with the administrative process within the public realm. Luther Gulick was perhaps the first author to utilize the Fayol functions, expand upon them, and apply them to the public realm.

Gulick's interest in the topic stemmed from his participation as a member of the President's Committee on Administrative Management (1936) Gulick, while developing his "Notes on the Theory of Organization,"[6] entitled one section "Organizing the Executive."[7]

Gulick believed that the job of the chief executive was a very complicated situation. He believed it was necessary "to organize and institutionalize the executive function as such so that it may be more adequate in a complicated situation."[8] Finally, Gulick believed that the best means for examining the job of the executive, was to ask the following questions: "What is the work of the chief executive? What does he do."[9]

His answer to his own questions was POSDCORB, "a made-up word designed to call attention to the various functional elements of the work of a chief executive...."[10] POSDCORB is an acronym that stands for the following activities:

---

[6]Luther Gulick, "Notes On the Theory of Organization" in Papers On the Science of Administration, eds., Luther Gulick and L. Urwick (New York: Institute of Public Administration, 1937), pp. 1-45.

[7]Ibid. pp. 12-15.

[8]Ibid. p. 12.

[9]Ibid. p. 13.

[10]Ibid.

Planning, that is working out in broad outline the things that need to be done and the methods for doing them to accomplish the purpose set for the enterprise.

Organizing, that is the establishment of the formal structure of authority through which work subdivisions are arranged, defined and coordinated for the defined objectives.

Staffing, that is the whole personnel function of bringing in and training the staff and maintaining favorable conditions of work.

Directing, that is the continuous task of making decisions and embodying them in specific and general orders and instructions and serving as the leader of the enterprise.

Coordinating, that is the all important duty of interrelating the various parts of the work.

Reporting, that is keeping those to whom the executive is responsible informed as to what is going on, which thus includes keeping himself and his subordinates informed through records, research and inspection.

Budgeting, with all that goes with budgeting in the form of fiscal planning, accounting and control.[11]

A contemporary of Luther Gulick was Chester I. Barnard. Barnard was also interested in the topic of administrative functions; but deviated in his approach as compared to Fayol, Gulick, and later authors. Barnard did not appear to be interested in simply developing a list of administrative functions, as much as he was in providing an understanding for a theory of cooperative behavior in organizations. Therefore, Barnard's work did not present a list of administrative functions, but nonetheless, warranted a brief review because of the impact his work has had since it was first published in 1938.

Barnard believed "that the function of executives is to serve as channels of communication...." and "that the functions of executives

---

[11]Ibid.

relate to all the work essential to the vitality and endurance of an organization....[12]

Barnard, throughout his work emphasized that the executive functions in any organization should foster and maintain a system of cooperative effort. He described those functions as being analogous to the nervous system and said,

> The functions with which we are concerned are like those of the nervous system, including the brain, in relation to the rest of the body. It exists to maintain the bodily system by directing those actions which are necessary more effectively to adjust to the environment....[13]

Those essential functions, as described by Barnard, are "The Maintenance of Organization Communication," "The Securing of Essential Services from Individuals," and "The Formulation of Purpose and Objectives."[14]

While the essential functions described by Barnard were probably not as influential in the same sense as Fayol and Gulick, or later authors, his underlying concern for cooperation in an organization probably influenced later authors as they developed their functions.

The work of Fayol and Gulick began to have its influence on educational administration, as was noted by the work of Jesse B. Sears in 1950. Campbell indicated that Sears may "have been the first writer in education to apply in a comprehensive fashion the administrative process to educational administration" and noted that Sears had been influenced

---

[12]Chester I. Barnard, The Functions of the Executive 30th ed., (Cambridge: Harvard University Press, 1971), p. 215.

[13]Ibid. p. 217.

[14]Ibid. pp. 217-231.

by Fayol.[15] A review of the functions delineated by Sears confirmed the influence of Fayol as the Sears functions were identical to the Fayol functions with the exception of where Fayol used "communicating" Sears had used "directing."

The American Association of School Administrators (AASA) expressed its position pertaining to the administrative process in 1955. In the thirty-third yearbook of the AASA entitled Staff Relations in School Administration, the AASA defined "administration" and delineated its more crucial functions in the following manner:

> Administration, then, may be defined as the total of the processes thru which appropriate human and material resources are made available and made effective for accomplishing the purposes of an enterprise. It functions thru influencing the behavior of persons.[16]

The functions of administration as set forth by the AASA are:

1. Planning or the attempt to control the future in the direction of the desired goals thru decisions made on the basis of careful estimates of the probable consequences of possible courses of action;

2. Allocation or the procurement and allotment of human and material resources in accordance with the operating plan;

3. Stimulation or motivation of behavior in terms of the desired outcomes;

4. Coordination or the process of fitting together the various groups and operations into an integrated pattern of purpose-achieving work;

5. Evaluation or the continuous examination of the effects produced by the ways in which the other functions listed here are performed.[17]

---

[15]Campbell, Introduction to Educational Administration, p. 176.

[16]American Association of School Administrators, Staff Relations in School Administration, Thirty-third Yearbook (Arlington, VA: The Association, 1955), p. 17.

[17]Ibid.

While not necessarily a significant deviation from the functions delineated by Fayol, Gulick, and Sears, perhaps an important contribution of the AASA work is its use of the term "stimulation." Whether or not the work of Barnard and his interest in cooperation within the organization influenced the AASA, is not known. However, the AASA's explanation pertaining to "stimulation" suggested, perhaps for the first time, that administrators must be concerned with the affective needs of the organization and its personnel. The AASA suggested that,

> the most important characteristics of professional leadership appear to be those which are seen as contributing to creative activity and growth of staff members.... Other highly valued qualities (of administrators) include friendliness, sympathetic understanding, and appreciation of the good work of staff members.[18]

Russell Gregg, after reviewing the literature pertaining to the administrative process, concluded that there was no common agreement regarding the descriptors utilized to describe the administrative process. Further, it was his belief that the list of functions described by the various authors could be expanded considerably.[19]

It was Gregg's contention that the administrative process could be best described in terms of the major objectives of administrators' behavior. Further, it was his contention that the major objectives should characterize the functions typically noted by the various authors.[20] Finally, Gregg concluded after providing for allowance for "the over-

---

[18]Ibid. p. 20.

[19]Russell T. Gregg, "The Administrative Process" in Administrative Behavior in Education, eds. Roald Campbell and Russell T. Gregg (New York: Harper and Brothers Publishers, 1957), p. 273.

[20]Ibid. pp. 273-274.

lapping of the meaning of words and phrases used to describe the administrative process"[21] that there are seven components:

1. Decision making.
2. Planning.
3. Organizing.
4. Communicating.
5. Influencing.
6. Coordinating.
7. Evaluating.[22]

Gregg's work provided considerable discussion pertaining to the functions "decision making" and "communicating."

Gregg provided a rather lengthy review of what he meant by "decision making" and devoted a significant discussion to the importance of staff participation in the decision making process. His inclusion of this function was apparently based upon his support of the position that "a theory of administration should be concerned with processes of decision as well as with the processes of action."[23]

It was interesting to note that Gregg devoted considerable discussion to the function "communicating." It was his position, much like that of Barnard some twenty years earlier, that communication is a major part of the administrative process and it is of primary importance for dealing with the problems within an organization.

Roald Campbell et al., being somewhat influenced by the works of Herbert A. Simon, and Edward H. Litchfield, proposed (1958) a definition for "administrative process," which subsequently contained five functions.

---

[21]Ibid. p. 274.

[22]Ibid. p. 274.

[23]Herbert A. Simon, Administrative Behavior: A Study of Decision Making Processes in Administrative Organizations (New York: The Macmillan Company, 1951), p. 1. cited in Russell T. Gregg, "The Administrative Process," p. 275.

As defined by Campbell et al., the administrative process is defined as "the way by which an organization makes decisions and takes action to achieve its goals."[24] The functions included in this process are:

1. Decision making.
2. Programming.
3. Stimulating.
4. Coordinating.
5. Appraising.[25]

For the most part, the functions selected by Campbell et al., remain very consistent with the previous authors. The only apparent deviations noted are that Campbell et al., have selected "programming" where other authors selected "organizing" to describe similar activities and they chose "appraising" where others chose "evaluating" and "controlling."

Additional authors, notably W. H. Newman and C. E. Sumner in 1961, and R. A. Johnson, F. E. Kast, and J. E. Rosenzweig in 1967, have also proposed administrative functions. For the most part, however, their works remain closely aligned with those mentioned previously.

Table I has attempted to present a summary and an overview of the functions presented by most of the authors discussed, for purposes of comparison.[26]

Stephen J. Knezevich was perhaps the most recent author to address the topic of the functions of administrators. Writing in his Administration in Public Education, Knezevich devoted an entire chapter to the

---

[24]Campbell, Introduction to Educational Administration, p. 179.

[25]Ibid.

[26]Table I was developed and modeled after a similar table developed by Stephen J. Knezevich, Administration in Public Education, 3d ed., (New York: Harper and Row, Publishers, 1975), p. 28.

TABLE 1

THE "FUNCTIONS" OF ADMINISTRATORS AS DELINEATED BY VARIOUS AUTHORS

Author	Synonym Used For "Function"	Year Presented	Functions
Henri Fayol	"Elements of Management	1916	Planning, Organizing, Commanding, Coordinating, Controlling
Luther Gulick	"Activities"	1938	Planning, Organizing, Staffing, Directing, Coordinating, Reporting, Budgeting
AASA	"Functions"	1955	Planning, Allocating resources, Stimulating, Coordinating, Evaluating
Russell Gregg	"Components"	1957	Decision making, Planning, Organizing, Communicating, Influencing, Coordinating, Evaluating
Roald Campbell, et al.	"Components"	1958	Decision making, Programming, Stimulating, Coordinating, Appraising

topic of "The Administrative Process: The General Functions Of An Administrator."[27] This chapter, by Knezevich, has provided an excellent and extensive analysis of the terms selected by various authors to describe the functions of administrators.

Knezevich did not limit his discussion pertaining to administrative functions to a review of the works of various authors. Instead, he went beyond a basic review, developed, and offered the reader an alternative list of sixteen administrative functions. Knezevich felt that the functions presented by the previous authors, although consistent with each other and appropriate in their use, were not sufficient to describe the current functions of administrators. Knezevich offered another list of administrative functions, which he described as "a more comprehensive and detailed identification of sixteen major administrative functions to reflect present-day as well as traditional responsibilities."[28] The sixteen functions offered by Knezevich are:

> Anticipating. The administrator is responsible for anticipating what future conditions may confront the educational institution. Administrators are expected to look ahead and beyond day-by-day problems. Planning as a process of sensing future conditions and needs is synonymous with the anticipating function.
>
> Orienting. The administrator fulfills this function by ensuring that objectives are generated and then used in the operation of the institution.
>
> Programming. Objectives are a declaration of intent or hope. They are not self-executing. Programming begins with the generation of alternatives or strategies that can be used to reach an objective. It ends with the selection of the alternative or strategy to be followed.
>
> Organizing. This function focuses on creating the structural framework for interrelated positions required to satisfy the demands of objectives and programs.

---

[27] Knezevich, pp. 25-50. [28] Ibid. p. 37.

Staffing. People are needed to implement a strategy. Identifying, employing, assigning human resources needed to pursue an objective and fulfill program demands are all parts of the staffing function.

Resourcing. This unusual word is used to describe the process of acquiring and allocating the fiscal and material (nonhuman) resources needed to pursue an objective and/or program. The Administrator is held responsible for procuring needed resources.

Leading. Stimulating or motivating personnel to action and toward objectives is one of the major responsibilities of an administrator.

Executing (Operating). There are day-by-day or operating functions that command the attention of all administrators. These are related to the actual performance of assigned responsibilities.

Changing. The identification of something to change to, introduction of an innovation, and management of change to produce maximum benefits and a minimum of dysfunction have emerged as very important administrative functions in recent years.

Diagnosing--Analyzing Conflict. Conflict or problem diagnosis and subsequent analysis are relatively new competencies demanded of administrators.

Deciding--Resolving. This function focuses on resolution of choices, that is, determining which of the many possible courses of action will be pursued. It may be a conflict-laden or conflict-free decision situation.

Coordinating. Where there are many in an organization, there is always the possibility that some may be working at cross purposes. The administrator has the responsibility to unify the activities of various components and to focus the functions of discrete units onto objectives.

Communicating. This function is concerned with the design of information channels and networks as well as the supply of relevant information in the form most useful to various points in the system. It provides for the information-flow (up or down, in or out of the system) essential to other functions such as unification, motivation, and decision making.

Politicking. Once again a slang term is used for want of a better one. It suggests that administrators must function with various internal and external power configurations related to the institutions.

Controlling. This is controlling in the best sense of the term, namely, monitoring progress toward objectives, keeping organizational activities locked onto objectives and ready to implement corrective-action strategies when the organization strays too far from objectives.

Appraising. The administrator requires the courage to assess or evaluate final results and to report the same to his constituency.[29]

The sixteen Knezevich functions as delineated above, have provided the reader with Knezevich's meaning for the various terms. Therefore, further discussion of the Knezevich terms was not necessary. However, it was noted that Knezevich did choose functions which were more attuned to present-day administrator responsibilities.

For example, two of the terms selected by Knezevich, "orienting" and "politicking," are clearly a reflection of present-day responsibilities.

"Orienting" best described what the previous authors referred to as "planning." However, current interest in "planning" is influenced by such approaches as MBO, PERT, and PPBS. These systems are all based upon the careful selection of organization goals and objectives and are thus best reflected in terms of "orienting" as opposed to "planning."

"Politicking" too, is a present-day administrative responsibility, and was wisely chosen by Knezevich. Administrators today have found themselves increasingly more concerned with both the informal and the formal organization, and the factors affecting the organization, both internal and external. This concern has added a new dimension to the role of the school administrator; extending his involvement from the local teacher union president to the board of education president;

---

[29]Ibid. p. 37-38.

and from the various local community agencies to agencies of the federal government.

The Knezevich functions reflect present-day administrative functions. Therefore, these functions were selected as the functions to be utilized to determine if currently utilized formal evaluation systems to evaluate school superintendents, are based upon commonly accepted administrative functions.

Administrative Appraisal Systems

There has been a growing interest in the topic of administrator appraisal in our public schools during the past years. The Educational Research Service conducted studies in 1964, 1968, and 1971 which showed a growing trend toward appraisal of administrators.[30] Knezevich had suggested that this trend will continue and that "before this decade is out practically all school systems will have formal administrator appraisal systems."[31]

The literature suggested that administrator appraisal was a recent trend. Further, the materials presented in the literature primarily focused upon an expressed need for such systems and opinions pertaining to administrator appraisal. However, the literature did not provide extensive information pertaining to administrator appraisal systems which had been utilized successfully. In addition, "while materials relative to the appraisal of the performance of teachers is extensive in terms of lists, charts, forms, surveys, etc., the occurrence of such instruments for use in administrative appraisal....is

---

[30]Ibid. p. 605.

[31]Ibid.

LEWIS TOWERS
LOYOLA

far less frequent.[32]

The recent interest in administrative appraisal systems can be linked to the accountability movement in education. Edgar L. Morphet, et al., have presented very strong arguments regarding the interrelatedness of "appraisal" and "accountability" which supports the linking of discussions of the two terms together.

> Appraisal, assessment, evaluation, and accountability are interrelated in many ways. Appraisal is usually concerned with estimating the value, nature, or quality of something and may be helpful as an initial step toward the assessment (determining the current status) or the evaluation of some educational processes, outcomes, or products. Evaluation requires the development and use of systematic and defensible procedures to determine the value and appropriateness of goals, policies, functions, procedures, and relationships of a social system, its subsystems, or the components. In education, as in other social systems, systematic evaluation (which should be concerned with emerging as well as with existing goals, problems, and needs) is essential to provide a sound basis for accountability which has only recently begun to receive appropriate attention. Accountability is concerned primarily with determining, on the basis of valid evidence, the validity and appropriateness of goals, the progress made toward achieving goals and objectives, the factors and conditions that have facilitated or retarded progress, and ways of affecting improvements.[33]

In a more simplistic sense, accountability means that everyone is answerable to someone else for a certain level of performance or for delivering certain results. In this same sense, the appraisal system is that system utilized to determine the degree to which someone has reached the level of performance or delivered the results. Interest

---

[32]Stephen L. Doty, Memorandum pertaining to "appraisal and evaluation of administrators," not dated, Illinois Association of School Boards, Springfield, Illinois.

[33]Edgar L. Morphet, Roe L. Johns, and Theodore L. Reller, Educational Organization and Administration (Eaglewood Cliffs: Prentice-Hall, Inc., 1974), p. 531.

in "holding administrators accountable" naturally gave rise to increased interest in performance appraisal of administrators.

Administrators who were attuned to the accountability movement became interested in adopting various management systems to educational administration. Systems such as Program Planning Budgeting System (PPBS), Program Evaluation and Review Technique (PERT), and Management by Objectives (MBO), were of particular interest to administrators who wanted a system that could assist them in becoming accountable.

Thus, a rising interest in becoming accountable naturally led to increased interest in appraising those who are called upon to be accountable. In this sense, accountability may serve as a major reason for appraising school administrators.

Aside from the apparent impact of accountability as a reason for evaluating administrators, other reasons are cited and warrant some discussion.

Jerry J. Herman suggested that there are eight reasons why school districts consider staff evaluation.

> (1) improvement of performance, (2) motivating employees to more closely attain their potential, (3) letting the employee know what is expected of him, (4) providing input information for administrative decisions, (5) determining whether or not tenure is to be granted, (6) determining merit pay provisions, (7) differentiating staff assignments, and (8) deciding on the staff characteristics to be developed in terms of educational, experiential and other factors important to local staff balance.[34]

A recent American Association of School Administrators' handbook was entitled How to Evaluate Administrative and Supervisory Personnel. This handbook describes the reasons to evaluate administrators in terms

---

[34]Jerry J. Herman, Developing an Effective School Staff Evaluation Program (West Nyack: Parker Publishing Company, Inc., 1973), p. 29.

of "dividends" to be gained as a result of achieving a highly effective performance evaluation program. The dividends noted are Work-related Communication, Team Operations, Evaluator Benefits, Accountability, Capitalizing the Investment, and Job Satisfaction.[35] A discussion of those dividends follows.

An effective evaluation program should improve communications between subordinates and superiors. By design, an effective evaluation system would set up a system of regularly scheduled meetings between the subordinate and the superior in an effort to facilitate discussion pertaining to the work effort and the results obtained.

Aligned with the recent interest in administrator appraisal has been an interest in the concept of the administrative team. This concept encourages teamwork and the need to develop a functioning team of administrators. The effective evaluation system enhances the concept of the administrative team through open communications regarding employee effectiveness. In addition, the evaluation system, particularly for subordinate administrators, can become a means of security, when the threat of losing the top administrator exists. In this sense, the evaluation plan, "once well established, tends to become the best possible insurance policy for the continuation of the team operation."[36]

The need for a "team operation" within an accountability system has been addressed by other authors as well. Knezevich emphasized the importance of the creation of a team because "no single person can

---

[35](Robert Olds), How to Evaluate Administrative and Supervisory Personnel Vol. IX, AASA Executive Handbook Series (Arlington: American Association of School Administrators, 1977), p. 10.

[36]Ibid. pp. 11-12.

satisfy the complex requirements of the total educational accountability strategy."[37]

A good evaluation system will also provide evaluator benefits. The AASA suggests that a good performance evaluation system actually reduces the need for constant supervision of subordinates, as the evaluatee assumes part of the supervisory load through self supervision.[38] With less need for direct supervision, the evaluator is thus freed to concentrate on other areas or to assist subordinates (and himself) with professional growth activities.

Accountability and its relationship to administrative appraisal has already been discussed. However, the AASA has suggested that performance evaluation, itself, can be an accountability system. While it can function in the same framework as PPBS or MBO, it is not as complicated, and is thus more easily understood.[39]

Finally, the AASA Handbook suggested that an effective evaluation system will enable the evaluator to capitalize on the investment and will enhance job satisfaction. These items are closely related in that if the evaluation system is able to gain the fullest potential from the employee, it is likely to follow that the employee will also achieve job satisfaction.

It appeared as though the overall purposes of administrator evaluation were not always clear, and that the purposes would vary dependent upon the author stating them. Such purposes may include; promotion of staff, merit compensation, dismissal of staff, satisfy state legislation,

---

[37]Knezevich, p. 605.

[38]Olds, p. 10.

[39]Ibid.

designing professional development programs, and to satisfy pressures from teachers.[40]

While the literature did not provide extensive information regarding the utilization of particular instruments for evaluation, the use of an MBO or related technique most often appeared. This approach can be adpated readily to administrative appraisal and follows a simple participative management style. Very simply stated, objectives are jointly determined by the subordinate and superior administrator, (as could be the superintendent and the school board), mutually agreed upon specific criteria for evaluation are established, and the evaluation of the administrator is based upon the degree to which the administrator has measured up to the performance criteria.

With the exception of overwhelming support for the use of evaluation systems based upon management by objectives (Stephen J. Knezevich[41] and Terrel H. Bell[42]), the literature for the most part did not advocate the use of any particular evaluation instrument.

Virgil K. Rowland, however, made a particular point to note the shortcomings of three kinds of instruments; the trait rating, the forced-choice method, and the essay-type form.

The trait rating was usually based upon what the organization believed to be desirable traits. Based upon these desirable traits, managers would be rated, usually with some form of numerical rating.

---

[40]Knezevich, pp. 605-606.

[41]Stephen J. Knezevich, "Designing Performance Appraisal Systems," New Directions for Education, Vol. No. 1, Spring 1973.

[42]Terrel H. Bell, A Performance Accountability System for School Administrators (West Nyack: Parker Publishing Company, Inc., 1974).

Rowland points out, however, that "the trouble with this plan is that in many cases high scores do not have much relation to performance."[43]

The forced-choice method is another rating method utilized to evaluate personnel. This method, which was developed by the Army, presents a number of blocks of statements, which, in each block, the evaluator must check the statement which is most applicable to the evaluatee, and the statement which is least applicable.

The problem with the forced-choice method is that it is possible that none of the statements apply, "but the rater is forced to indicate a most applicable and least applicable statement in each case."[44] In addition, the scoring of this method has been found to be very complicated, and evaluators have found that the results can be difficult to interpret.

The essay-type form simply is an open-ended, narrative review prepared by the evaluator, based upon his perceptions of the evaluatee. The evaluator will usually present areas of strength, areas of weakness, and will suggest ways in which improvement could be made. The problem with this method is it never really provides a complete picture of the person being evaluated.

Questions such as "how will the evaluator get the necessary information to evaluate?" and "who shall provide input for the evaluation?" are hardly addressed in the literature. However, one might argue that a carefully orchestrated evaluation system, based upon management by

---

[43]Virgil K. Rowland, Evaluating and Improving Managerial Performance (New York: McGraw-Hill Book Company, Inc., 1970), p. 212.

[44]Ibid. p. 213.

objectives, can incorporate answers to these questions within the established performance criteria.

The Evaluation of the Superintendent

The availability of research pertaining to the evaluation of the superintendent of schools is minimal. While the interest in administrator appraisal has grown during the past few years, the development of actual evaluation systems to evaluate the superintendent has apparently not reached extensive enough proportions to warrant significant interest in the topic for research purposes.

Notwithstanding the limited quantity of research resources devoted to the topic, some materials are available and have warranted discussion. For the most part, the major parties (appropriately) interested in the topic include: The National School Boards Association, American Association of School Administrators, Educational Research Service, and various state school board associations and administrator associations. In addition, various authors have expressed their positions within selected professional journals. The review that follows, focused upon these materials.

In November, 1975, at the Annual Convention of the Illinois Association of School Boards, a panel composed of board of education presidents, and a superintendent of schools addressed the topic of "Evaluation of the Administrative Staff." The panel presented the position that "every superintendent should have an evaluation session

with his board of education one or more times during each year."[45] Because this position is also supported by the parent organization, the American School Board Association, and the American Association of School Administrators, the component parts of "evaluating the Superintendent of Schools" warranted examination.

The Purpose of Evaluation

The purpose of board of education evaluation of the superintendent is perhaps the most important aspect of the evaluation system. The purpose can set the tone of the entire process and in effect, establish the framework of the entire system. It should be clear that a system of evaluation that is geared toward the dismissal of the superintendent would imply different techniques than one which was geared toward the professional growth of the superintendent.

"The purpose of evaluation is not to eliminate the superintendent, but to improve the operation of the school district and encourage his professional development."[46] This purpose reflected the opinions stated by the various authors. A recent report issued by the Educational Research Service, Inc., presented a similar position, and further delineated the prevalent reasons cited for evaluating the superintendent. They indicated that "primarily, such evaluations serve as a means for determining whether or not the school system is achieving previously stated goals."[47] In addition, other reasons reported in their study were:

---

[45] L. D. Bauersachs, reporter, "Evaluation of the Administrative Staff," Illinois School Board Journal, Vol. 44 (March-April, 1976), p. 52.

[46] Ibid.

[47] Educational Research Service, Evaluating Superintendents and School Boards (Arlington: Educational Research Service, Inc., 1976), p. 2.

1. Evaluation of results is the responsibility of any corporate body that delegates its authority to an executive. School boards, therefore, must constantly, formally, and informally, judge the work done by the superintendent.

2. Evaluation instruments provide useful information for analyzing the effectiveness of programs, policies, and school personnel.

3. Evaluation results can aid in deciding whether programs and personnel in the system are accountable in terms of dollars and cents spent.

4. Evaluation results can assist boards in reviewing, revising, and updating existing policies.

5. Evaluation periods serve as times to give encouragement and commendation for work well done.

6. Evaluation offers an opportunity for the superintendent's self-appraisal of his or her own characteristics and skills.

7. Evaluation serves to replace opinion with facts.[48]

The Illinois Association of School Boards (IASB) suggested three broad reasons for evaluating the superintendent. Those reasons are: for accountability purposes, for improvement of the superintendent, and for justification of personnel actions.[49]

The IASB listed the accountability purposes as its first reason. It was felt that the board had the legal responsibility for the school district, and the responsibility to monitor the operation and to fulfill the goals of the district. Because the board employs a superintendent, and typically delegates the responsibility for operating the district to him, it was only natural that the board should hold the superintendent accountable. A carefully designed evaluation system can appraise the

---

[48]Ibid.

[49]Illinois Association of School Boards, Planned Appraisal of the Superintendent (Springfield: Illinois Association of School Boards, 1976), p. 22.

degree to which the superintendent is accountable.

Improvement of the professional performance of the superintendent was also considered to be a good reason for conducting an evaluation. This position was based upon the premise that if the superintendent improves, so will the district. Supporting this position was the Massachusetts Advisory Council on Education and the Massachusetts Association of School Superintendents. They indicated that of two primary purposes of periodic evaluation of the superintendent, one was: "to help the evaluatee to achieve or to improve his or her performance, not to chastise the evaluatee for past performance."[50]

Finally, the third major reason cited by the IASB was evaluation can be utilized for justification of personnel actions. Dismissal of the superintendent, compensation, and disciplinary actions are all within this framework.

Charles W. Fowler implied that another purpose in evaluating the superintendent was to maintain a good board/superintendent relationship. He suggested that an annual evaluation of the superintendent can facilitate good board/superintendent communications and can help avoid a deteriorating relationship.[51]

The Illinois Association of School Boards has supported the same position presented by Fowler. In an article entitled Some Suggestions for Better Board/Administrator Relations, the IASB suggested seven items

---

[50]Ronald J. Fitzgerald, The Role of the Superintendent of Schools in Massachusetts (Boston: the Massachusetts Advisory Council on Education and the Massachusetts Association of School Superintendents, 1975), p. 36.

[51]Charles W. Fowler, "When Superintendents Fail," The American School Board Journal, Vol. 164 (February, 1977), p. 77.

that should be spelled out. Included among those items were two items related to the evaluation of the superintendent:

1. How the board will evaluate the superintendent and how it will appraise him of the evaluation.

2. How the superintendent will inform the board of his views regarding: (a) how the board is functioning, (b) his own performance, and (c) the forces mitigating for and against implementation of goals and objectives.[52]

Stephen Knezevich suggested an additional possible reason for evaluating administrators, when he suggested that it was the result of "the pressures for teacher appraisal that lead teachers to ask for administrator appraisal."[53] In light of the current impact of teacher organizations on boards of education, this may well be a significant reason.

The purposes of board of education evaluation of the superintendent as seen by the National School Boards Association, was probably best delineated by their recommended policy, for use by school boards, pertaining to the evaluation of the superintendent:

> A policy for evaluation of the superintendent: Through evaluation of the superintendent, the board shall strive to accomplish the following:
>
> 1. Clarify for the superintendent his role in the school system as seen by the board.
>
> 2. Clarify for all board members the role of the superintendent in the light of his job description and the immediate priorities among his responsibilities as agreed upon by the board and the superintendent.

---

[52]Illinois Association of School Boards, "Some Suggestions for Better Board/Administrator Relations," Illinois School Board Journal, November-December 1975, p. 8.

[53]Knezevich, Administration of Public Education, p. 605.

3. Develop harmonious working relationships between the board and superintendent.

4. Provide administrative leadership for the school system.

The board shall periodically develop with the superintendent a set of performance objectives based on the needs of the school system. The superintendent's performance shall be reviewed in accordance with these specified goals. Additional objectives shall be established at intervals agreed upon with the superintendent.[54]

In summary, the purposes (or reasons) for a board of education to evaluate the superintendent that were reflected in the literature were:

1. To determine achievement of district goals.

2. To provide professional growth for the superintendent.

3. To provide justification for personnel actions, i.e., compensation, dismissal.

4. To improve (maintain) board/superintendent relations.

5. To react to demands of teacher unions.

Instruments Utilized for Evaluation

The literature suggested overwhelmingly that boards of education adopt a management by objectives system for purposes of evaluating the superintendent. However, the literature reported on other techniques which warrant mentioning.

The study conducted by the Educational Research Service pertaining to evaluating superintendents (1976) reported that there were basically four categories of forms and procedures utilized to evaluate superintendents:

1. Procedures that stress the evaluation of progress toward stated

---

[54]National School Boards Association, "Policies to Set Up a Mutual Board-Superintendent Evaluation," The American School Board Journal, Vol. 164 (February, 1977), p. 23.

objectives. School systems using this type of evaluation generally employ a Management by Objectives (MBO) approach in administering school programs.

2. Procedures that require the evaluator to answer a list of questions and use a checklist or rating scale for indicating the quality of performance of duties, the demonstration of educational leadership, and skill in community relations, among others.

3. Procedures that are used for all administrative personnel in the school system, including the superintendent.

4. Informal evaluation procedures. An evaluation of this type is a verbal appraisal of the superintendent's performance by the board and usually takes place at a scheduled board meeting. A written report of the appraisal may or may not be recorded.[55]

The significant interest in MBO systems did not imply that other systems are not utilized. Instead, in selected instances it was reported that combinations of MBO, checklists, and rating scales were employed. Further, when rating scales (or others) were utilized, there was an apparent satisfaction with that use. In Evanston, Illinois, for example, the high school district developed an instrument that utilized a 0-9 rating scale to determine the effectiveness of the superintendent.

As was mentioned previously, the use of MBO systems for purposes of evaluating the superintendent was noted throughout the literature. Within such systems, the evaluation of the superintendent was based upon objectives established mutually by the board of education and himself, and upon specific performance criteria, which were similarly established. The focus upon establishing goals appeared to be most prevalent. A statement by Charles W. Fowler summarized the above position:

---

[55]Educational Research Service, pp. 3-4.

> Systematically appraise the performance of the superintendent. Set reasonable goals for the schools and then measure the extent to which the goals were met. These goals should be directed to the heart of your educational program and not to the picayune matters of school administration. Don't as some boards do, evaluate the superintendent against criteria not included in the agreed upon goals. Insist upon short and long range planning and evaluation.[56]

In a speech prepared for the Illinois Association of School Boards, Allen Klingenberg described how a school board can utilize a MBO system to evaluate the superintendent:

> The evaluation of the superintendent's performance is based upon the results achieved by the total organization.... The superintendent is the chief executive officer of the board of education, and each spring the previous year's objectives of the district are reviewed by either the total board or a sub-committee thereof to determine the extent to which the organization, under the chief executive's guidance, has achieved its specific objectives for the previous year. The superintendent is free to bring in reports, exhibits, etc., to illustrate the degree to which each objective has been accomplished....
>
> Each objective, upon which the superintendent's evaluation is based, was agreed upon by the board and superintendent one year earlier, and during the school year, additional objectives are added, if the need develops....
>
> The results achieved by the organization, rather than the image, are the all-important criteria used in determining the final yearly evaluation of the superintendent's performance.[57]

When schools utilized MBO techniques to evaluate the superintendent, they typically employed the following techniques:

1. Statement of Objectives: a set of mutually agreed-upon objectives and expected results. The statement often includes a designated calendar of dates for fulfilling the objectives and specifies the person(s) responsible for accomplishing the tasks.

---

[56]Charles W. Fowler, "How to Let (and Help) Your Superintendent be a SUPERINTENDENT," The American School Board Journal, September 1975, p. 22.

[57]Allen Klingenberg, "Superintendent's Evaluation Program--Lake Forest Model," speech presented to Illinois Association of School Boards, Chicago, Illinois, September 1976.

2. Standards of Performance: a description of activities to be performed or standards of behavior to be expected in order to achieve the objectives.

3. Measurements to Be Applied: a description of the measurement used to assess progress.

4. Results: a listing of outcomes and a comparison of results with original intentions.

5. Performance Rating: an appraisal of the evaluatee's overall performance to identify areas that need improvement. At this point the statements of objectives are reassessed and adjusted if necessary.[58]

On What Basis Should the Evaluation of the Superintendent be Made?

The literature suggested that the least desirable basis for evaluating the superintendent, were those items that focus on personality traits and characteristics. Such evaluations are considered to be based primarily on subjective views of board members as "they tend to consist largely of personal judgments or feelings."[59]

Nearly all of the authors who advocated a system of evaluation utilizing MBO techniques, suggested that the evaluation should either be based upon a written job description, or it should be based upon what the board and the superintendent have agreed upon as to the important elements of the position. The elements under consideration should be those considered to be most important to the district, and accordingly, those presented by the various authors differed.

Stephen Knezevich presented seven elements that warrant inclusion in any evaluation system to evaluate the superintendent. He has

---

[58]Educational Research Service, pp. 4-5.

[59]Illinois School Boards Association, Planned Appraisal of the Superintendent, p. 25.

suggested that the following major dimensions be considered:

1. Fulfilling the legal responsibilities of the position.
2. Fulfilling the position description or responsibilities demanded.
3. Satisfying the change agent demands the position.
4. Satisfying the leadership roles and team demands.
5. Fulfilling the service functions of the office.
6. Bearing under the pressures or conflicts inherent in the position.
7. Meeting the necessary personal growth and productivity demands.[60]

In a similar view, in an article entitled "How to Monitor Your Management Performance," Fredrich Genck and Allen Klingenberg presented eight essential areas of school operations that school boards should evaluate. The eight areas were:

1. Management effectiveness.
2. Staffing and personnel development.
3. Financial status.
4. Long and short range planning.
5. Educational programs.
6. Board operations.
7. Communications.
8. Supportive operations.[61]

The above areas as delineated by Genck and Klingenberg are of particular interest as they are to some degree a reflection of the administrative functions presented by the various authors, i.e., Fayol, Campbell, Gregg, etc.

---

[60]Knezevich, p. 606.

[61]Fredric H. Genck and Allen Klingenberg, "How to Monitor Your Management Performance," Illinois School Board Journal (May-June, 1974).

In the report prepared by the Educational Research Service, it was reported that in school districts where the evaluation called for a judgment of the competency of the superintendent, they did so primarily in the following ways:

1. Organizing for Administrative Purposes.
2. Curriculum and Instruction.
3. Human Relationship.
4. Relationship with Board.
5. General Characteristics (appearance, health, etc.).[62]

Other Important Components of Evaluation Systems

Other components considered to be important to the board of education evaluation of superintendents were merely mentioned without any affirmative position being submitted.

Who should be doing the evaluating of the superintendent seems to be very clear. Simply stated, the board of education should evaluate the superintendent. How that is done or accomplished is for the most part left to the local school districts. Direction pertaining to "where will the board get its information?" and "will subordinate administrators provide input to the board?" was not forthcoming in the literature.

The reasons certain procedures were chosen was not particularly clear. It would appear as though in many cases the state school board associations and the state superintendents associations may have been influential.

In conclusion, the research pertaining to the evaluation of

---

[62]Educational Research Service, pp. 6-7.

superintendents has been limited in quantity. The state school boards associations, the National School Board Association, and the American Association of School Administrators have conducted most of the recent studies on this topic, and have expressed considerable interest in the topic.

Considerable discussion occurred in the literature related to the purposes of board evaluation of the superintendent and techniques for conducting such evaluation. In addition, there was considerable support for evaluation systems which were based upon a management by objectives system. However, there was a paucity of discussion pertaining to which administrative functions should be evaluated, and the actual process of evaluation and therefore, conclusive statements regarding those topics could not be made.

CHAPTER III

METHODS AND PROCEDURES

The overall purpose of this dissertation was to determine the relationship between evaluation systems utilized by boards of education to evaluate the superintendent of schools, and the commonly accepted administrative functions. In addition, this dissertation had a secondary purpose, which was to develop an "evaluation model" which could be utilized by boards of education and superintendents as a model for revising or developing an evaluation system.

The methods and procedures utilized throughout the development of this dissertation were chosen because they appeared to be the most appropriate techniques available for the successful completion of the goals of this study. For the most part, the methods and procedures selected would fall into the category of research that is described as descriptive research.[1] This dissertation has focused on describing and interpreting existing conditions and relationships, current practices, and trends that are developing; as they related to the evaluation of superintendents.

Review of the Literature

To accommodate the scope of the goals of this dissertation, an extensive review of the literature was conducted. This review was

---

[1]John W. Best, Research in Education (Englewood Cliffs: Prentice-Hall, Inc., 1959), p. 102.

conducted in three different stages: (1) a review of the literature pertaining to administrative functions; (2) a review of the literature pertaining to administrative appraisal systems; and (3) a review of the literature pertaining to evaluation of the superintendent.

A review of the literature pertaining to administrative functions began with the work of Henri Fayol in 1916, and concluded with the work of Stephen J. Knezevich in 1975. This review had a twofold purpose.

First, it was necessary to gain an understanding of the functions of administrators as seen by the authorities. As a number of writers had addressed this topic over a period of years, it was possible to gain the necessary insights and understanding for the administrative process and the functions of administrators.

Second, because the primary goal of this dissertation was to determine the relationship between systems utilized to evaluate the superintendent of schools, and commonly accepted administrative functions, it was necessary to select the functions presented by an authority to be used for purposes of comparison. It was decided that the sixteen functions presented by Stephen J. Knezevich would be selected as the functions to be utilized for comparative purposes. The Knezevich functions were selected because they were fairly recent (1975) and because they included functions noted by other authorities while at the same time expanding beyond the functions of the other authorities.

A review of the literature pertaining to the administrative appraisal systems, and the evaluation of the superintendent was also conducted. This review, however, was limited due to the paucity of materials available on the topics under consideration. For example,

a review of Dissertation Abstracts did not reveal any recent research pertaining to the evaluation of the superintendent, although there were recent studies that focused on evaluation of principals and the role of the superintendent.

Therefore, the review of literature pertaining to administrative appraisal and the evaluation of superintendents was limited to journal articles, studies conducted by the Educational Research Service, state school board associations's publications, American Association of School Administrators's publications, and education textbooks primarily written on school administration.

There were occasions where the literature mentioned, as examples, systems currently in use to evaluate the superintendent of schools. Efforts were made to obtain copies of the systems mentioned by writing to the superintendent of schools of two of the districts mentioned and requesting a copy. In addition, included in a report completed by the Educational Research Service were sixteen examples of evaluation systems that were utilized by school districts across the United States.

Various sources were utilized for the gathering of the materials utilized to review the literature. Those sources were primarily; Loyola University Library, University of Chicago Library, professional libraries of public schools, and the personal materials of the author.

Selection of the Population

The population selected for purposes of gathering data pertaining to the board of education evaluation of the superintendent of schools included all superintendents and board of education presidents in all of

the public schools in Lake County, Illinois.

Lake County, Illinois, geographically occupies the extreme northeast corner of the state of Illinois; with the state of Wisconsin as its northern boundary, Lake Michigan as its eastern boundary, Cook County as its southern boundary, and McHenry County as its western boundary. The county has many diverse characteristics. It includes urban communities, rural communities, and suburban communities. Its wealth is equally diverse and ranges from extreme poverty to very wealthy.

The public schools in Lake County total fifty-two. Included in this number are; five unit school districts, eleven high school districts and thirty-six elementary school districts. The Lake County school districts have as many diverse characteristics as the communities that they serve. The school enrollments (1976-77 school year) ranged in size from the smallest elementary district enrolling 122 students, to the largest unit district enrolling 13,662 students. The wealth of the districts was equally diverse with the 1975 assessed valuation per pupil A.D.A. ranging from a low of $9,975 to a high of $117,434. Appendix A delineates the school districts in Lake County, Illinois.

In as much as the board of education evaluation of the superintendent is a matter that is important to both the superintendent and the board, and since any good evaluation system should be mutually agreed upon by the board and the superintendent; it was determined that both the superintendent and a representative of the board of education should participate in this study. Further, it was determined that the president of the board of education should be utilized as the representative of the total board. However, at the option of the superintendent, if under

unusual circumstances the board president was not available, etc., a board member other than the president could be selected to participate.

While it was felt that the characteristics of the communities and school districts of Lake County, Illinois, were diverse, this study did not attempt to generalize its interpretations beyond the scope of the population surveyed. Interpretations and conclusions were limited to analysis of the information obtained from the superintendents and board of education presidents in Lake County, Illinois, who participated in the study.

The Survey Instrument

A questionnaire was developed as the major data gathering source. Prior to the actual dissemination of the questionnaire, an effort was made to validate the instrument by field testing it with selected school superintendents.

Field Testing the Questionnaire

After the questionnaire had been developed, six superintendents in Lake County, Illinois, were contacted to solicit their assistance in field testing the questionnaire. All of the superintendents participating in the field testing held doctorate degrees and represented school districts where the board of education utilized a formal system to evaluate the superintendent. In addition, three superintendents represented elementary school districts, two superintendents represented high school districts, and one superintendent represented a unit school district.

The purpose in field testing the instrument was to ascertain that

the content and construct of the questionnaire were clear and appropriate. In addition, it was recognized that "what seemed perfectly clear to you (the author) may be confusing to a person who does not have the frame of reference...." Thus the field testing of the questionnaire provided an opportunity to reveal defects in the questionnaire prior to the development of the final form.[2]

The jury of superintendents selected was asked to provide comments on the questionnaire itself, and not to answer the questions. The following is an excerpt from the letter (Appendix B) written to the superintendents who served as jury members and describes the essence of the task they were asked to complete:

> Accordingly, at this time, you are not asked to answer the questions on the questionnaire, but rather I am asking you to comment on the actual questionnaire. I am seeking your advice and counsel as to:
>
> 1. Content: In your opinion, do each of the questions seem to be soliciting information that will be useful for fulfilling my dissertation goals? If not, how can the question be modified or should it be eliminated?
>
> 2. Construction: In your opinion, is the format of the questionnaire and individual questions, easy to handle and easily understood? Do any of the questions lend themselves to ambiguities? If so, how can the question be modified?
>
> Please write your comments directly on the questionnaire and do feel free to offer comments and/or suggestions as you feel appropriate.[3]

In addition, because there existed some concern as to the best possible method of disseminating the questionnaire to the board of education presidents, the jury members were asked if they felt that the

---

[2]Ibid. p. 152.

[3]Robert J. Roelle, letter to superintendents who participated in the field testing of the survey instrument, August 16, 1977.

board president questionnaire should be disseminated through the superintendent, or if it should be mailed directly to the president of the board of education.

The responses from the jury members suggested that overall, with some minor editing, the content and construct of the questionnaire was sufficiently clear and was designed to solicit the information being sought. There were, however, four areas of concern noted by the jury members.

On a question pertaining to the highest degree held by the superintendent, the order of possibilities were: Masters Degree, Doctorate Degree, or Certificate of Advanced Standing (C.A.S.). Two of the jury members suggested that the order be changed as follows: Masters Degree, Certificate of Advanced Standing, and Doctorate Degree. This change was made on the final questionnaire.

One question sought information pertaining to "inservice activities that had been provided to the board on the various administrative procedures." The term "inservice" was too vague and needed further definition and elaboration. In addition, one of the three jury members responding to this question suggested that this question would yield ambiguous responses. Therefore, based upon a careful review of this question, and because the possibility to obtain this information from a different source existed, this question was eliminated.

In an additional question, superintendents and board members were asked to "prioritize" from six possible choices, the purpose of the board in conducting an evaluation of the superintendent. Two of the jury members raised concerns, indicating that the proposed wording was ambiguous

and that the question could benefit from a brief rationale for the possible choices which were listed. This question was therefore modified to accommodate the criticisms provided.

Finally, in response to the question directed to the jury members pertaining to the distribution of the questionnaire to the board of education presidents, three indicated that it should be distributed through the superintendent, while two suggested that it should be mailed directly to the board of education president. It was therefore decided that the questionnaire for board presidents would be processed through the superintendent. The procedure utilized was to place the board president's questionnaire in a stamped, self-addressed envelope, which was not sealed in order to allow inspection by the superintendent.

The Final Form of the Questionnaire

Based upon the input that was provided as a result of the field testing, the questionnaire was edited, some questions modified, and ultimately, the questionnaire was in its final form.

Actually, two questionnaires were developed; one to be completed by the superintendent (Appendix C), and one to be completed by the board of education president (Appendix D). However, the questionnaires were generally the same, except that the one to be completed by the superintendent sought additional information pertaining to district demographics, instructional staff, administrative staff, and the superintendent himself. The section pertaining to the board of education evaluation of the superintendent was the only section presented to the board of education president and that section requested identical information from both the superintendent and the board president.

The section pertaining to District Demographics asked the respondent to identify the kind of district, i.e., elementary, secondary, or unit; the enrollment of the district; the geographic location of the district, i.e., urban, suburban, or rural; and the wealth of the district in terms of the 1975 assessed valuation per pupil average daily attendance. This information was sought in an effort to determine if any of these factors might reveal any trends pertaining to the use of formal systems to evaluate the superintendent.

The next two sections of the questionnaire requested information pertaining to Instructional Staff and Administrative Staff employed by the district.

The section dealing with instructional staff requested the number of staff employed by the district. In addition, it questioned whether or not the instructional staff were evaluated annually on the basis of a formal evaluation system, and whether or not the existence of a collective bargaining agreement provided direction pertaining to the evaluation of teachers and administrators. The section pertaining to administrative staff sought to identify the number and kind of administrative staff employed by the district; whether or not the administrative staff was evaluated annually by the superintendent; and whether or not a formal system was utilized to evaluate the administrative staff. This information was also sought in an effort to identify any trends pertaining to the evaluation of the superintendent, i.e., does the existence of formal evaluation systems to evaluate teachers and administrators occur more often in districts where a formal system is utilized to evaluate the superintendent?, etc.

One section of the questionnaire sought information which pertained exclusively to the superintendent. Information pertaining to the age, number of years employed as a superintendent, and the highest degree obtained, was requested. Again, this information was sought in an effort to identify any trends pertaining to the evaluation of the superintendent and to ascertain if these variables were related to such trends.

The final section of the questionnaire was the section that was to be completed by both superintendents and board of education presidents. By seeking the information from both sources, it was therefore possible to compare and contrast the responses of the two, and to gain a deeper insight into the total process of evaluating the superintendent.

This section began by questioning whether or not the board of education conducts an annual evaluation of the superintendent. If the response was "no," the respondents were asked to provide some explanation as to "why not?" If the response was "yes," the respondents were asked whether or not a formal system was utilized to evaluate the superintendent; if the response to this was "no," the respondents were further asked to describe the process that was utilized to evaluate the superintendent. If yes, a copy of the formal procedure was requested.

Additional questions pertained to the type of formal evaluation that was utilized to evaluate the superintendent, i.e., management by objectives, checklist, rating scale, essay, or other; why that particular format was chosen; and what role the board, the superintendent, the faculty, or other played in the development of the evaluation instrument. In addition, the information pertaining to the data collection devices utilized by the board to obtain information to evaluate the superinten-

dent was sought. The questions asked were: does the superintendent provide the board with a written self-appraisal, do subordinate administrators provide input to the board, and to what degree does the board rely upon its own observations and perceptions.

One question sought to obtain the opinion of the respondent pertaining to the degree of importance that the respondent would place on six possible choices which were cited as possibly being the purpose of the board of education in establishing a system to evaluate the superintendent. To assess the opinions of the respondents, a seven point rating scale was devised whereby the respondents were asked to rate six items as to whether each of the items were "not very important" to "extremely important," as it pertained to the purpose of the board evaluation of the superintendent. The items the respondents considered were: (1) dismissal of the superintendent, (2) compensation for the superintendent, (3) improve board/superintendent relations, (4) to determine attainment of district goals, (5) professional growth of the superintendent, and (6) placate teacher unions. The items were selected because the literature suggested that they were possible reasons to consider while developing an evaluation system to evaluate the superintendent. In addition, the rating scale chosen was utilized because it was similar to the Lickert Method which has been demonstrated as an effective research tool for conducting opinion research.[4]

The remaining questions sought information pertaining to a job description for the superintendent, the role of the superintendent and the board in the development of the job description, and whether or not

---

[4]Best, p. 157.

the job description and the system to evaluate the superintendent were included as a part of the superintendent's contract.

Finally, included with the questionnaire to the superintendents was a special request to provide a copy of the formal system to evaluate the superintendent, if one was available.

The questionnaire was mailed to all superintendents in Lake County, Illinois, and they were requested to return the questionnaire via self-addressed, stamped envelope, within approximately three weeks. Accompanying the questionnaire materials, were three letters, i.e., a letter of introduction from the author's dissertation advisor (Appendix E), a letter from the author's superintendent soliciting cooperation (Appendix F), and a letter to the superintendent (Appendix G), or the board of education president (Appendix H) from the author, providing an overview of the questionnaire and some simple instructions.

The Interview

After the questionnaires were returned it was determined that, from those that included a formal evaluation system to evaluate the superintendent, five superintendents and five board of education presidents representing five different districts would be chosen for further investigation via interview. The five districts chosen represented more than 20% of the superintendents who provided copies of the formal evaluation systems utilized in their district. Included among the five districts chosen were two elementary districts, two high school districts and one unit district. In addition, it was determined that from those superintendents that responded that their board did not utilize a formal

system, five superintendents would be selected for further investigation.

The interview technique was selected as a method to further validate the questionnaire and also, as a means to obtain greater insight and to explore significant areas not anticipated in the original questionnaire.[5] Therefore, the questionnaire was utilized as an interview guide for conducting the interview with the board of education president and superintendent, in those districts where formal systems were utilized.

However, a special interview guide was developed for conducting the interview with superintendents who reported that no formal system was utilized (Appendix I). This interview sought to determine the position of these superintendents toward the evaluation system, and to determine what kind of assistance would be helpful to them if they were to develop such a system; and to determine how, even though informally, they are in fact evaluated.

The selection process for choosing the superintendents and board of education presidents was based upon a stratified random selection. This method assured that representation would be available from elementary districts, secondary districts, and unit districts.

Analysis of the Data

The information received from the questionnaire and from the interviews, was tabulated and analyzed, with specific concern given to implications for superintendents and boards of education. A narrative analysis described trends, commonalities, differences, pitfalls, and possible explanations for the data.

---

[5]Ibid., p. 168.

Comparison to What the Literature Revealed Pertaining to Evaluation of the Superintendent

A narrative analysis was completed which focused on a comparison of what the literature had revealed pertaining to the evaluation of the superintendent and what the data received from the questionnaire and the personal interview revealed pertaining to superintendent formal evaluation systems utilized in Lake County, Illinois, schools. This analysis described the various trends, common elements, uniquenesses, and contrasts. This information was treated with limited statistical procedures, and primarily utilized measures of central tendency, including the mean, the median, and the mode. In addition, where appropriate, tables were utilized to present an overview of the data.

Analysis of Lake County Evaluation Systems in Relation to Administrative Functions

An analysis of the Lake County evaluation systems was completed to determine if a relationship existed between those systems and commonly accepted administrative functions. The sixteen administrative functions developed by Stephen J. Knezevich were utilized as the functions for comparative purposes.

An analysis of the evaluation systems received was completed and the various components of those systems were categorized in terms of the administrative functions devised by Knezevich. Based upon that categorization, the information was tallied in an effort to determine the degree to which the Knezevich functions could be identified in the evaluation systems received. This analysis was computed on the basis of raw numbers and was recorded in terms of how many of the evaluation systems received included a component that was based upon each of the Knezevich functions.

A narrative analysis described this comparison and tables were utilized to summarize this information.

Comparison to Exemplary Evaluation Systems

A narrative analysis was completed which focused upon a comparison of evaluation systems utilized in Lake County schools to "exemplary" evaluation systems. A system was considered to be "exemplary" if it was specifically noted in the literature, or if it met the characteristics of a "good" evaluation system, as noted in the literature. This analysis focused on the identification of those characteristics noted in the evaluation systems used in Lake County, which were also noted in the exemplary systems; and this analysis also identified those characteristics noted in exemplary systems which were absent from the formal systems utilized in Lake County.

Development of a Model System to Evaluate the Superintendent

A "model" evaluation system for the board of education to evaluate the superintendent was developed. It was felt that boards of education could benefit from an evaluation model which was based upon commonly accepted administrative functions and a synthesis of what the literature suggested about "good evaluation systems," as they developed or refined evaluation systems to evaluate the superintendent.

Therefore, a model was developed which was based upon what the literature suggested about "good evaluation systems." Included in the model was the suggestion that commonly accepted administrative functions, such as those developed by Stephen J. Knezevich, be utilized as organizers

for purposes of categorizing the various roles and responsibilities of the superintendent of schools.

Finally, the evaluation model also drew upon various techniques, methods, and procedures that were revealed from the evaluation systems received from the superintendents surveyed, and it focused upon the needs identified as a result of interviewing superintendents and board presidents. This process was particularly helpful as it identified areas that could be beneficial to superintendents and school boards as they develop evaluation systems, and it identified problem areas incurred with the use of existing evaluation systems.

CHAPTER IV

PRESENTATION OF DATA

A survey was conducted among all public school superintendents and board of education presidents in Lake County, Illinois. The survey instrument, which was a questionnaire that had been field tested among selected superintendents, was sent to all fifty-two superintendents and board of education presidents in Lake County, Illinois. In addition, personal interviews were conducted with ten superintendents and five board of education presidents, i.e., five superintendents and board of education presidents representing school districts that reported that a formal evaluation system was utilized to evaluate the superintendent, and five superintendents whose districts did not utilize a formal system to evaluate the superintendent. The data presented in this chapter were generated from the questionnaires returned by the superintendents and board of education presidents.

Of the fifty-two superintendents and board of education presidents who were asked to participate in this study by completing the prepared questionnaire, thirty-eight superintendents and twenty-one board of education presidents completed and returned the questionnaire. In addition, one superintendent responded, "After conferring with our Board of Education President, we will not be participating in your doctorate study." No further explanation regarding that decision was provided. Notwithstanding a reminder provided via a telephone call, the remaining thirteen

superintendents simply did not return the questionnaires by the established due date and no explanations were provided as to their rationale for not participating in the study. However, the timing of the mailing of the questionnaire may have limited the number of responses. The questionnaires were mailed in early September, and the superintendents were provided with a period of three weeks to complete and return the questionnaire. While a timing problem was not anticipated when the questionnaires were mailed, early September represents the beginning of a new school year, and it was possible that the superintendents who failed to return the questionnaire were simply preoccupied with the activities related to beginning the new school year.

Chapter IV presents the data as recorded on all of the questionnaires. In an effort to present the data in a manageable format, the chapter is sub-divided as follows:

1. General Characteristics of the Respondents--This sub-section presents a compilation of the data obtained from all of the superintendents.

2. Characteristics of Respondents (Superintendents) Indicating that Their Board of Education Did Not Utilize a Formal System to Evaluate the Superintendent--This sub-section presents a compilation of the data obtained from superintendents who indicated that their board of education did not utilize a formal system to evaluate the superintendent.

3. Characteristics of Respondents (Superintendents) Indicating that the Board of Education Utilizes a Formal Evaluation System to Evaluate the Superintendent--This sub-section presents a compilation of the data obtained from superintendents who indicated that their board of education utilizes a formal system to evaluate the superintendent.

4. An Overview of the Responses Received from Board of Education Presidents--This sub-section presents a compilation of the data obtained from all of the board of education presidents.

5. An Overview of Formal Evaluation Systems Utilized by Lake County, Illinois, Board of Education Presidents to Evaluate the Superintendent--This sub-section presents a compilation of the data obtained from superintendents pertaining to the formal evaluation systems utilized in their districts to evaluate the superintendent.

General Characteristics of the Respondents

The main purpose of the questionnaires was to elicit information pertaining to formal evaluation systems utilized by boards of education to evaluate the superintendent. However, additional information was sought in an effort to identify trends, commonalities, and contrasts pertaining to the existence of formal evaluation systems to evaluate the superintendent. In this section, the characteristics described reflect only the information that was obtained from the superintendents. The board of education presidents were not requested to provide this additional information because such information would be redundant as it was demographic in nature.

The thirty-eight superintendents responding represented three unit school districts, seven high school districts, and twenty-eight elementary school districts. The size of these school districts, as reflected by their enrollments, varied considerably. The range of enrollments was from a low of 114 students (elementary district) to a high of 14,000 students (unit district). The mean enrollment for the thirty-eight districts was 1,768 students; while the median enrollment was 1,100 students. Table 2 presents the size of the participating districts.

TABLE 2

Size of District Responding--Student Enrollment

Type of District	Number of Districts	Range of Enrollments	Mean Enrollment	Median Enrollment
Unit	3	2,600 - 14,000	7,333	5,400
Secondary	7	1,021 - 2,145	1,526	1,600
Elementary	28	114 - 3,900	1,231	1,030
Combined	38	114 - 14,000	1,768	1,100

The wealth of the school districts was also reviewed. Superintendents were asked to provide the 1975 assessed valuation per pupil average daily attendance (A.D.A.) for their school district. As with the enrollments of the districts, the wealth of the districts also varied considerably. The range of wealth was from a low of $9,465 (unit) assessed valuation per pupil A.D.A., to a high of $117,434 per pupil A.D.A. (high school). The mean assessed valuation per pupil A.D.A. was $47,194; while the median was $44,449. Table 3 further delineates the wealth of the districts.

TABLE 3

(Wealth) 1975 Assessed Valuation

Per Pupil A.D.A. for Responding Districts

Type of District	Number of Districts	Range of Wealth	Mean Wealth	Median Wealth
Unit	3	$ 9,465 - $ 25,882	$19,868	$24,258
Secondary	7	$56,583 - $117,434	$77,559	$69,167
Elementary	28	$19,203 - $104,000	$42,531	$36,271
Combined	38	$ 9,465 - $117,434	$47,194	$44,449

The data pertaining to the instructional staff employed by the districts continued to reveal a wide range of information. The smallest school district employed 6.5 instructional staff, while the largest district employed 784 instructional staff. The mean number of instructional staff employed was 95, while the median was 69.

With regard to a formal evaluation system to evaluate teachers, thirty-three superintendents responded that they had a formal system; while only four superintendents reported that they did not have a formal system to evaluate the teachers. In addition, twenty-two superintendents reported the existence of a collective bargaining agreement with the teachers, and eleven of those agreements described procedures for evaluating the teachers. None of the collective bargaining agreements made any reference to the evaluation of school administrators.

Thirty-one superintendents reported the employment of subordinate administrators in a wide number of categories, i.e., assistant superintendents, business managers, principals, etc. Of those thirty-one superintendents, thirty reported that they annually evaluated the subordinate administrators. In addition, seventeen of the superintendents who evaluated subordinate administrators did so on the basis of an annual formal evaluation system.

Personal information pertaining to the superintendent, including his age, years he had been employed as a superintendent, tenure as superintendent in his current district, and the highest academic degree he had obtained, was requested. Of the thirty-eight superintendents responding, the range in age of the superintendents was between 35 and 62 years. The mean age was 47.7 years and the median age was 48.5 years. The experience

as a superintendent ranged from 1 year to 30 years, with the mean years employed as a superintendent being 11.2 years and the median being 10.5 years. The tenure as superintendent in the current district ranged from 1 to 30 years, with the mean years employed as superintendent in the current district being 8.1 years and the median being 5.5 years. Finally, the data indicated that thirteen superintendents held the doctorate degree, seven superintendents held a certificate of advanced standing, and eighteen superintendents held a masters degree. Table 4 presents the above information.

TABLE 4

Personal Characteristics of Responding Superintendents

	Number of Supts.	Range	Mean	Median
Age of Superintendent	38	35 - 62	47.7	48.5
Years Employed as Superintendent	38	1 - 30	11.2	10.5
Years Employed as Superintendent in Current District	38	1- 30	8.1	5.5

Total Number of Supts.	Doctorate Degree	Certificate of Advanced Standing	Masters Degree
38	13	7	18

While the above data described the overall general characteristics of the respondents, the remaining questions were more specific to the evaluation of the superintendent by the board of education. Of the thirty-eight superintendents responding, twenty-nine superintendents indicated that their boards of education conducted an annual evaluation

of the superintendent, while nine superintendents indicated their boards did not. Further, of the twenty-nine superintendents who indicated that an annual evaluation of the superintendent did take place, only seventeen of those superintendents reported that the annual board of education evaluation of the superintendent was based upon a formal evaluation system. Table 5 presents an overview of the data broken down by type of district.

TABLE 5

Districts Conducting an Annual Evaluation of the Superintendent

Type of District	Total Number	Number Conducting an Annual Evaluation	Number Utilizing a Formal System
Unit	3	3	1
Secondary	7	5	3
Elementary	28	21	13
Total	38	29	17

Because the literature suggested a number of purposes for the board of education to evaluate the superintendent, the respondents were asked to present their view as to the importance of six "purposes" for evaluating the superintendent. Each item was to be rated on a scale of 1-7; a 1 rating was considered to be "not very important" and a 7 rating was considered to be "extremely important." The respondents were asked to consider the following items:

1. Dismissal of superintendent
2. Compensation for superintendent
3. Improve board/superintendent relations

4. To determine the attainment of district goals
5. Professional growth of superintendent
6. Placate teacher unions.

The responses that were provided were computed in terms of both the mean and the mode response per item. The mode per item was recorded because the most frequently occurring response provided additional insights pertaining to the purpose of the board of education evaluation of the superintendent.

The attainment of district goals was seen by the respondents as the most important purpose of the board of education evaluation of the superintendent. This item received a mean rating of 5.47 out of the possible high rating of 7.0. The mode for this item was "7" as it received seventeen of the thirty-six possible responses.

Compensation for the superintendent received the second highest rating in terms of being an important purpose behind the board evaluation of the superintendent. This item received a mean rating of 5.33. Thirty-six superintendents responded to this item and twenty had recorded a "6" rating or a "7" rating, with the "7" rating being the mode with eleven responses.

The third highest rated purpose for evaluating the superintendent was to improve board/superintendent relations. This item received a mean response of 5.17 and a mode of 7 as eleven respondents of the possible thirty-six selected the "7" rating.

The dismissal of the superintendent received the fourth highest rating of possible purposes for boards to evaluate the superintendent. The mean response to this item was 4.36. Thirteen respondents out of

thirty-six selected the "7" rating which therefore was the mode. However, it should be noted that eight of the respondents had selected the "1" rating which was the lowest possible rating.

Professional growth of the superintendent received a mean rating of 4.14 which was the fifth highest out of the six items. The mode for this item was 7 with nine respondents selecting a "7" rating. This item had a wide distribution of ratings with fifteen respondents selecting a rating above the middle "4" rating, fourteen respondents selecting a rating below the middle rating, and seven respondents selecting the middle rating.

It should be noted that all five of the above items received ratings between a "4" (the middle rating) and a "7" (the highest possible rating) for considering possible purposes behind the board of education evaluation of the superintendent. The item which received the lowest rating was to placate teacher unions. This item received a mean rating of 1.77 and the mode was "1" as twentyfour of the thirty-five respondents selected a "1" rating.

The data depicting the respondents view of the importance of the six possible items pertaining to the purpose of a board of education evaluation of the superintendent are presented in Table 6.

TABLE 6

Distribution, Mean and Mode, of Respondents' View of the Importance of Selected Items Considered as Possible Purposes of Board of Education Evaluation of the Superintendent

		1*	2	3	4	5	6	7**	Total Responses	Mean	Mode
1.	Dismissal of Superintendent	2	0	3	5	6	9	11	36	6.19	7
2.	Compensation for Superintendent	2	1	1	6	7	2	17	36	5.47	7
3.	Improve Board/Superintendent Relations	2	0	4	8	4	6	12	36	5.17	7
4.	To Determine Attainment of District Goals	8	4	1	5	3	2	13	36	4.36	7
5.	Professional Growth of Superintendent	6	4	4	7	4	2	9	36	4.14	7
6.	Placate Teacher Unions	24	4	4	0	1	1	1	35	1.77	1

* Not very important
** Extremely important

Characteristics of Respondents (Superintendents) Indicating that Their Board of Education Did Not Utilize a Formal System to Evaluate the Superintendent

Twenty-one superintendents responded that their boards of education did not utilize a formal evaluation system to evaluate the superintendent. These superintendents represented two unit school districts, four secondary school districts, and fifteen elementary school districts. The size of these districts reflected a range from the smallest district enrollment of 114 students to the largest district enrollment of 14,000 students. The mean enrollment for these districts was 1,925 students, while the median was 1,164 students. Table 7 presents the above data.

TABLE 7

Size of Districts Indicating that No Formal System to Evaluate the Superintendent is Utilized--Student Enrollment

Type of District	Number of Districts	Range of Enrollment	Mean	Median
Unit	2	5,400 - 14,000	9,700	9,700
Secondary	4	1,021 - 2,145	1,534	1,486
Elementary	15	114 - 14,000	993	700
Combined	21	114 - 2,800	1,925	1,164

In these same districts, the wealth of the school districts ranged from (based upon 1975 assessed valuation per pupil A.D.A.) $9,465 to $104,000. The mean assessed valuation per pupil A.D.A. was $45,182 while the median was $39,340. The data are presented in Table 8.

TABLE 8

(Wealth) 1975 Assessed Valuation Per Pupil A.D.A. for Districts Which Do Not Utilize a Formal Evaluation System to Evaluate the Superintendent

Type of District	Number of Districts	Range of Wealth	Mean	Median
Unit	2	$ 9,465 - $ 24,258	$16,862	$16,862
Secondary	4	$56,583 - $ 90,648	$69,038	$64,461
Elementary	15	$21,600 - $104,000	$42,597	$36,542
Combined	21	$ 9,465 - $104,000	$45,182	$39,340

In these twenty-one districts, the mean number of professional staff employed was 104 and the median number of professional staff employed was 54.

In sixteen of the twenty-one districts, formal systems to evaluate the teachers were utilized. Eleven of these superintendents reported that they had a collective bargaining agreement with the instructional staff, and four reported that the collective bargaining agreement made reference to the procedures for evaluating teachers.

In addition, fourteen out of the twenty-one superintendents reported that subordinate administrators were evaluated by the superintendent on an annual basis. However, only four of these districts reported that the superintendent utilized a formal system to evaluate his subordinate administrators.

Personal information pertaining to the superintendent, as received from superintendents representing districts that do not utilize a formal evaluation system to evaluate the superintendent revealed the following

information. The range in the age of the superintendent was from the youngest at 37 years old, to the oldest at 63 years old. Both the mean and the median age for this group was 51. The experience as a superintendent ranged from 2 years to 30 years with the mean years employed as a superintendent being 12.3 years and the median being 12 years. The tenure as superintendent in the current district ranged from 1 year to 30 years, with the mean being 9.95 years and the median being 8 years. Three of these superintendents held a doctorate degree, six held a certificate of advanced standing, and twelve held a masters degree. Table 9 presents the above data.

TABLE 9

Personal Characteristics of Superintendents Representing Districts that Do Not Utilize a Formal Evaluation System to Evaluate the Superintendent

	Number of Supts.	Range	Mean	Median
Age of Superintendent	21	37 - 63	51	51
Years Employed as Superintendent	21	2 - 30	12.3	12
Years Employed as Superintendent in Current District	21	1 - 30	9.95	8

Total Number of Supts.	Doctorate Degree	Certificate of Advanced Standing	Masters Degree
21	3	6	12

With regard to the six possible purposes for the evaluation of the superintendent by the board of education, the superintendents repre-

senting districts that do not utilize a formal system to evaluate the superintendent, responded in the following manner.

The attainment of district goals was seen by this group as the most important purpose of the board evaluation of the superintendent. Out of the highest possible score of "7," this item received a mean rating of 5.70 while the mode was a "7" rating as eight respondents selected that rating. While the "7" rating was the mode, it should be noted that five respondents selected a "5" rating.

Compensation for the superintendent was the second highest rating chosen by this group of superintendents. The mean for this item was 5.42, while the mode for this item was "5" as that rating was selected by six respondents.

The third most important purpose behind the board evaluation of the superintendent reflected by this group was for the dismissal of the superintendent. This item received a mean response of 5.16 with ten respondents selecting the "7" rating to make the mode 7.

Improvement of board/superintendent relations was selected as the fourth most important purpose by this group of superintendents. This item reflected a considerable scatter of responses, and when compiled resulted in a mean response of 5.0 and a mode of 7, which was based upon six responses.

The remaining two possible purposes both fell below the mid score of "4," as determined by their mean scores. The professional growth of the superintendent resulted in a mean score of 1.72 and a mode of 1, as twelve respondents selected that rating.

The data described above are presented in Table 10.

TABLE 10

Distribution, Mean and Mode, of Superintendents Representing School Districts Which Do Not Utilize A Formal System to Evaluate the Superintendent, View of the Importance of Selected Items Considered as Possible Purposes of Board of Education Evaluation of the Superintendent

		1*	2	3	4	5	6	7**	Total Responses	Mean	Mode
1.	Dismissal of Superintendent	3	1	1	1	1	1	10	18	5.16	7
2.	Compensation for Superintendent	1	0	1	1	6	5	5	19	5.42	5
3.	Improve Board/Superintendent Relations	2	0	2	3	3	3	6	19	5.0	7
4.	To Determine Attainment of District Goals	1	0	1	5	3	1	8	19	5.32	7
5.	Professional Growth of Superintendent	3	3	3	5	3	0	2	19	3.53	4
6.	Placate Teacher Unions	12	3	2	0	0	0	1	18	1.72	1

* Not very important
** Extremely important

Characteristics of Respondents (Superintendents) Indicating that the Board of Education Utilizes a Formal Evaluation System to Evaluate the Superintendent

Seventeen superintendents reported that their boards of education evaluated the superintendent on the basis of a formal evaluation system. These superintendents represented one unit school district, three secondary school districts, and thirteen elementary school districts. The size of these districts (in terms of student enrollment) reflected a range from the smallest district enrollment of 532 students to the largest district enrollment of 3,900 students. The mean enrollment for these districts was 1,575 students, while the median was 1,584 students. Table 11 presents the above data.

TABLE 11

Size of District Indicating the Use of a Formal System for the Board to Evaluate the Superintendent

Type of District	Number of Districts	Range of Enrollment	Mean	Median
Unit	1	2,600	2,600	2,600
Secondary	3	1,300 - 1,650	1,517	1,600
Elementary	13	505 - 3,900	1,509	1,475
Combined	17	505 - 3,900	1,575	1,584

The wealth of school districts in the group reporting the existence of a formal system ranged from $19,203 assessed valuation per pupil A.D.A. (1975) to $117,434 assessed valuation per pupil A.D.A. (1975). The mean assessed valuation per pupil A.D.A. was $49,680, while the median was $34,000. Table 12 presents the data.

TABLE 12

(Wealth) 1975 Assessed Valuation Per Pupil A.D.A. for Districts Which Utilize a Formal System to Evaluate the Superintendent

Type of District	Number of Districts	Range of Wealth	Mean	Median
Unit	1	$25,882	$25,882	$25,882
Secondary	3	$67,888 - $117,434	$88,919	$81,435
Elementary	13	$19,203 - $ 78,895	$42,455	$44,768
Combined	17	$19,203 - $117,434	$49,680	$34,000

The seventeen districts in this group reported a mean of 83.65 instructional staff employed and the median instructional staff employed was 70.

All of the seventeen superintendents representing these districts reported that the teachers were evaluated on the basis of a formal evaluation system. Eleven of the seventeen reported the existence of a collective bargaining agreement with their teachers, and seven of the eleven reported that the collective bargaining agreement makes some reference to the evaluation procedures for teachers. None of the superintendents reported any reference in the collective bargaining agreement pertaining to evaluation of administrators.

In addition, sixteen of the seventeen superintendents reported that subordinate administrators were evaluated annually by the superintendent, and thirteen of the sixteen reported that this evaluation was based upon a formal system.

Personal information pertaining to the superintendents in this group revealed the following information. The range in the age of the

superintendent was from 35 years old to 51 years old. The mean age was 43.6, while the median age was 45. The experience as a superintendent ranged from 1 year to 22 years, with the mean years employed as a superintendent being 9.8 years and the median being 6 years. The tenure as superintendent in the current employing district ranged from 1 year to 17 years, with the mean being 5.9 years and the median being 4 years. Nine of these superintendents held doctorate degrees, two held a certificate of advanced standing, and six held a masters degree. Table 13 presents the above data.

TABLE 13

Personal Characteristics of Superintendents Representing Districts That Utilize A Formal Evaluation System to Evaluate the Superintendent

	Number of Supts.	Range	Mean	Median
Age of Superintendent	17	35 - 51	43.6	45
Years Employed as Superintendent	17	1 - 22	9.8	6
Years Employed as Superintendent in Current District	17	1 - 17	5.9	4

Total Number of Supts.	Doctorate Degree	Certificate of Advanced Standing	Masters Degree
17	9	2	6

With regard to the possible purposes for the evaluation of the superintendent by the board of education, the superintendents representing districts that utilize a formal evaluation system to evaluate the superintendents responded in the following manner.

Improvement of board/superintendent relations was seen by this group as the most important purpose of the board of education evaluation of the superintendent. This item received a mean rating of 5.35 out of a possible high of 7, while the mode was 7 as six respondents selected that rating.

Compensation for the superintendent and the attainment of district goals both received a mean rating of 5.18 by superintendents in this group. The mode for compensation for the superintendent was 7 as six superintendents selected that rating; and the mode for attainment of district goals was also 7, as nine superintendents selected that rating.

Professional growth of the superintendent received the fourth highest rating by this group. The mean of this item was 4.88 and the mode was 7 as seven superintendents selected the "7" rating.

Dismissal of the superintendent and to placate teacher unions both fell below the mid-rating of "4." The dismissal of the superintendent received a mean rating of 3.59 and a mode of 1, as five superintendents selected the "1" rating. To placate teacher unions received the lowest rating with a mean rating of 1.88 and a mode of 1 as eleven superintendents selected that rating.

Table 14 presents the above data. Table 15 immediately follows Table 14 and presents an overview of mean scores for comparative purposes, pertaining to the age and experience of the superintendent, and his view regarding the purpose of the board of education evaluation of the superintendent; as reflected by the responses received from all the superintendents, from those who did not have a formal system and from those who did have a formal system.

TABLE 14

Distribution, Mean and Mode of Superintendents, Representing School Districts Which Utilize a Formal Evaluation System to Evaluate the Superintendent, View of the Importance of Selected Items Considered As Possible Purposes of Board of Education Evaluation of the Superintendent

		1*	2	3	4	5	6	7**	Total Responses	Mean	Mode
1.	Dismissal of Superintendent	5	3	0	4	1	0	4	17	3.59	1
2.	Compensation for Superintendent	1	0	2	4	1	3	6	17	5.18	7
3.	Improve Board/Superintendent Relations	0	0	2	5	1	3	6	17	5.35	7
4.	To Determine Attainment of District Goals	4	0	0	0	3	1	9	17	5.18	7
5.	Professional Growth of Superintendent	2	1	1	3	1	2	7	17	5.0	7
6.	Placate Teacher Unions	11	2	2	0	1	1	0	17	1.88	1

* Not very important
** Extremely important

TABLE 15

An Overview of Mean Responses of Superintendents Representing; (1) All of the Participating Districts, (2) Districts Which Do Not Utilize a Formal System to Evaluate the Superintendent, and (3) Districts Which Do Utilize a Formal System to Evaluate the Superintendent; Pertaining to Selected Categories of Information Surveyed, and Their Respective Views Pertaining to the Importance of Selected Items Considered as Possible Purposes of Board of Education Evaluation of the Superintendent

				Possible Purpose of Board Evaluation of Superintendent					
	Mean Age	Mean Experience as Superintendent	Mean Experience in Current District	Dismissal of Superintendent	Compensation for Superintendent	Improve Bd./Supt. Relations	Determine Attainment of Dist. Goals	Professional Growth of Superintendent	Placate Teacher Unions
All Superintendents	47.7	11.2	8.1	4.36	5.33	5.17	5.47	4.14	1.77
Supts. Without a Formal System	51	12.3	9.95	5.16	5.42	5.0	5.70	3.53	1.72
Supts. With a Formal System	43.6	9.8	5.9	3.59	5.18	5.35	5.18	4.88	1.88

An Overview of the Responses Received from Board of Education Presidents

The questionnaire completed by board of education presidents requested primarily narrative responses and sought information regarding the use of a formal system to evaluate the superintendent. A discussion surrounding responses from board of education presidents will be provided more extensively in CHAPTER V--ANALYSIS OF DATA. However, a brief overview and a presentation of the responses received from the presidents of the boards of education are provided here to provide a frame of reference for later discussions.

Twenty-one, out of a possible fifty-two, board of education presidents returned completed questionnaires. The twenty-one board presidents represented two unit districts, four secondary districts, and thirteen elementary districts. Two board presidents did not identify the type of district they represented. Of the twenty-one responses, thirteen board presidents reported that their district conducted an annual evaluation of the superintendent; and these thirteen represented one unit district, nine elementary districts, one secondary district, and two districts which were not identified by type of district.

As were the superintendents, the board of education presidents were also asked to present their view of the importance of six items that the literature had identified as possible purposes for the evaluation of the superintendent by the board of education. An overview of the responses provided follows.

Overall, the board of education presidents considered the attainment of district goals to be the most important purpose behind the evaluation of the superintendent. The combined mean for this item was 5.22

out of a possible high of 7. Presidents representing districts where a formal system was utilized rated this item (mean rating) 5.91, while those that had no formal system rated this item 4.43.

Improvement of board/superintendent relations received the next highest combined rating with a mean rating of 4.89. Board presidents representing districts utilizing a formal system rated this item 5.18, while those that did not rated it 4.43.

Compensation for the superintendent received an overall mean rating of 4.83. Presidents whose boards utilize a formal system rated this item 4.91, while those without a formal system rated this item 4.71.

The professional growth of the superintendent received an overall rating of 4.5 by the board of education presidents. Those who utilized a formal evaluation system rated this item a 4.64 as opposed to a 4.29 rating from those that did not utilize a formal system.

The dismissal of the superintendent received a mean rating of 3.94 from the combined board presidents, which is below the mid-rating of "4" on level of importance. However, board presidents representing districts that utilize a formal system rated this item 3.36, as compared to a rating of 4.86 provided by presidents representing districts that do not utilize a formal system.

Placating teacher unions received the lowest rating from board presidents with a combined mean rating of 2.31. Presidents representing districts that utilize a formal system rated this item even lower with a mean rating of 1.3. Board presidents representing districts that do not utilize a formal system, on the other hand, rated this

item a mean rating of 4.0. Table 16 presents the above data.

Overview of Formal Evaluation Systems Utilized by Lake County, Illinois, Boards of Education to Evaluate the Superintendent

As reported previously, seventeen of the responding superintendents reported that their board of education evaluated the superintendent on the basis of a formal evaluation system. Those superintendents were asked to provide additional information pertaining to the formal system of evaluation utilized in their district.

The superintendent was asked to describe the formal system used to evaluate the superintendent by checking one, or any combination, of the following items:

1. Management by objectives
2. Checklist
3. Rating scale
4. Essay or "blank narrative"
5. Other (please explain)

Many of the superintendents responded that combinations of the above items were utilized in their evaluation systems. The most prevalent responses indicated that a management by objectives format, combined with a rating scale, was utilized.

The systems currently utilized to evaluate the superintendent have been in existence for only 2.43 years (mean rating of the responses). Further, eleven superintendents reported that the system being utilized has been utilized for two or fewer years.

Generally, the systems that are utilized to evaluate the superintendent were developed by the superintendent, reviewed and edited by the

TABLE 16

The Mean Response of Board of Education Presidents Pertaining to Their View of the Importance of Selected Items Considered As Possible Purposes of Board of Education Evaluation of the Superintendent

		Combined Responses		Have Formal System		No Formal System	
		Number	Mean*	Number	Mean*	Number	Mean*
1.	Dismissal of Superintendent	18	3.94	11	3.36	7	4.86
2.	Compensation for Superintendent	18	4.43	11	4.91	7	4.71
3.	Improve Board/Superintendent Relations	18	4.89	11	5.18	7	4.43
4.	To Determine Attainment of District Goals	18	5.22	11	5.91	7	4.43
5.	Professional Growth of Superintendent	18	4.50	11	4.64	7	4.29
6.	Placate Teacher Unions	16	2.31	10	1.30	6	4.0

*Based upon a rating scale of 1-7 with a 1 rating considered to be "not very important" and a 7 rating considered to be "extremely important."

total board and finally, adopted by the board of education. Ten superintendents reported that this process was followed in their districts. Four superintendents reported that the board took on the major role in the development of the system and that the superintendent provided input into the process. In addition, three superintendents reported that the process of developing the system was a mutual project completed by both the board and the superintendent or a committee of the board and the superintendent.

In considering data collection devices utilized by the board to complete the formal evaluation of the superintendent, the following information was provided.

Nine superintendents reported that they provide the board of education with a self-appraisal of their own performance. Three superintendents reported that subordinate administrators provide written input to the board regarding their evaluation of the superintendent. Finally, responding to the question, "to what degree does the board rely upon its own observations and perceptions," the responding superintendents indicated a range of 60% - 100% board of education reliance on their own observations and perceptions of the performance of the superintendent.

Sixteen of the seventeen superintendents reported that their board of education approved a job description for the superintendent. In addition, they reported that the process of adopting the job description was similar to the process the board utilized to adopt the evaluation system; i.e., the superintendent developed a job description, the board reviewed it, edited it, and finally adopted it. Two of these

superintendents reported that the job description was included as a part of their contract with the board of education; and one superintendent reported that the formal system to evaluate the superintendent was included as a part of his contract with the board of education.

CHAPTER V

ANALYSIS OF THE DATA

The overall purpose of this dissertation was to determine the relationship between evaluation systems utilized by boards of education to evaluate the superintendent of schools, and the commonly accepted administrative functions. In addition, this dissertation had a secondary purpose, which was to develop an "evaluation model" which could be utilized by boards of education and superintendents as a model for revising or developing an evaluation system.

To achieve the purposes of this dissertation, it was necessary to collect data from superintendents and board of education presidents. The information requested from those sources focused on demographic information, personal characteristics of the superintendent, and information pertaining to the evaluation of the superintendent. In addition, when superintendents indicated that their board of education utilized a formal system to evaluate the superintendent, a request was made that they provide a copy of that formal evaluation system. As a result of that request, thirteen systems were provided. In addition, two evaluation systems, which had been noted in the literature as exemplary systems, were obtained for purposes of comparing those systems to evaluation systems utilized in Lake County, Illinois.

CHAPTER IV provided a presentation of the data which was primarily based upon the information that was recorded on all the questionnaires returned. CHAPTER V provides a comparative analysis of the eval-

uation systems provided by Lake County superintendents to the sixteen administrative functions developed by Stephen J. Knezevich, and an analysis of those evaluation systems to two evaluation systems noted in the literature as exemplary systems. In addition, CHAPTER V draws upon the narrative responses received on the questionnaires returned from superintendents and board of education presidents, and from the information obtained from the personal interviews conducted with superintendents and board of education presidents. The analysis narratively describes trends, commonalities, differences, pitfalls, interpretations, and possible explanations for the data.

In an effort to present an analysis of this data in a manageable format, it is sub-divided as follows:

1. An Analysis of the Relationship Between Evaluation Systems Utilized by Boards of Education to Evaluate Their Superintendents, and the Commonly Accepted Administrative Functions
2. Comparison of Evaluation Systems Utilized in Lake County, Illinois, to Systems That Had Been Identified as Exemplary Systems
3. An Analysis of the Data Received from Superintendents and Board of Education Presidents

An Analysis of the Relationship Between Evaluation Systems Utilized by Boards of Education to Evaluate Their Superintendents, and the Commonly Accepted Administrative Functions

It was assumed for purposes of this study that evaluation systems which determine levels of performance of school superintendents would be directly related to commonly accepted administrative functions. A number of authorities have presented their views pertaining to administrative functions. In essence, the authorities have suggested that persons occupying administrative positions must routinely perform some basic

functions. Further, while the functions presented by various authorities may differ slightly, there was some general agreement regarding them.

Because there was some general agreement that administrators must perform some basic functions, it was assumed for purposes of this study that if a board of education were to develop a system to evaluate the superintendent, that such a system would attempt to measure the degree to which the superintendent performed his basic functions. Therefore, an effort was made to determine the relationship between existing formal evaluation systems in Lake County, Illinois, and commonly accepted administrative functions.

To accomplish the above, two projects were undertaken. First, it was necessary to select the suggested administrative functions presented by one authoritative source. After a careful review of the alternatives available, it was decided to select the sixteen functions presented by Stephen J. Knezevich for purposes of comparison. The Knezevich functions were selected because they included functions noted by other authorities, while at the same time they expanded beyond the functions of the other authorities; and because they were fairly recent (1975) compared to the other functions. Second, it was necessary to obtain copies of the formal evaluation systems utilized in Lake County, Illinois, to evaluate the superintendent. The copies were obtained when thirteen superintendents out of the seventeen who reported they had such a system, provided copies of the systems utilized in their districts.

Each evaluation system provided was carefully examined. The

examination was not an item for item examination, but rather an examination of the major sections of the evaluation systems, i.e., those major headings that the board had established as areas of importance in the evaluation process. This examination was utilized to match the areas chosen by the various boards of education, with an accompanying administrative function. (If the major headings listed in the systems provided did not provide sufficient information, the sub-items of the systems provided were further examined.)

The Knezevich Functions

The functions delineated are again presented to provide a frame of reference as to the meaning of each function. The sixteen Knezevich functions are:

Anticipating. The administrator is responsible for anticipating what future conditions may confront the educational institution. Administrators are expected to look ahead and beyond day-by-day problems. Planning as a process of sensing future conditions and needs is synonymous with the anticipating function.

Orienting. The administrator fulfills this function by ensuring that objectives are generated and then used in the operation of the institution.

Programming. Objectives are a declaration of intent or hope. They are not self-executing. Programming begins with the generation of alternatives or strategies that can be used to reach an objective. It ends with the selection of the alternative or strategy to be followed.

Organizing. This function focuses on creating the structural framework for interrelated positions required to satisfy the demands of objectives and programs.

Staffing. People are needed to implement a strategy. Identifying, employing, assigning human resources needed to pursue an objective and fulfill program demands are all parts of the staffing function.

Resourcing. This unusual word is used to describe the process of acquiring and allocating the fiscal and material (nonhuman) resources needed to pursue an objective and/or program. The administrator is held responsible for procuring needed resources.

Leading. Stimulating or motivating personnel to action and toward objectives is one of the major responsibilities of an administrator.

Executing (Operating). There are day-by-day or operating functions that command the attention of all administrators. These are related to the actual performance of assigned responsibilities.

Changing. The identification of something to change to, introduction of an innovation, and management of change to produce maximum benefits and a minimum of dysfunction have emerged as very important administrative functions in recent years.

Diagnosing--Analyzing Conflict. Conflict or problem diagnosis and subsequent analysis are relatively new competencies demanded of administrators.

Deciding--Resolving. This function focuses on resolution of choices, that is, determining which of the many possible courses of action will be pursued. It may be a conflict-laden or conflict-free decision situation.

Coordinating. Where there are many in an organization, there is always the possibility that some may be working at cross purposes. The administrator has the responsibility to unify the activities of various components and to focus the functions of discrete units onto objectives.

Communicating. This function is concerned with the design of information channels and networks as well as the supply of relevant information in the form most useful to various points in the system. It provides for the information-flow (up or down, in or out of the system) essential to other functions such as unification, motivation, and decision making.

Politicking. Once again a slang term is used for want of a better one. It suggests that administrators must function with various internal and external power configurations related to the institutions.

Controlling. This is controlling in the best sense of the term, namely, monitoring progress toward objectives, keeping organizational activities locked onto objectives and ready to implement corrective-action strategies when the organization strays too far from objectives.

Appraising. The administrator requires the courage to assess or evaluate final results and to report the same to his constituency.[1]

Frequency of Items Noted in Evaluation Systems Received that Could Be Identified as a Knezevich Function

As a means for analyzing the relationship between systems utilized by boards of education to evaluate the superintendent, and the sixteen administrative functions developed by Stephen J. Knezevich, a frequency chart was devised. Each Knezevich function was listed and then the frequency of its use on the evaluation systems received was noted. The items noted in the evaluation systems provided were not necessarily synonymous with the Knezevich functions. Therefore, a criterion was established to determine whether or not an item identified in the evaluation systems should be placed into a category of the Knezevich functions. The criterion was that whenever a quality was noted in an evaluation item that was similar to the description Knezevich provided for a particular function, that quality was accepted and tallied with that particular Knezevich function. For example, an item such as "writes clearly and concisely," which was identified in one of the evaluation systems, was placed under the Knezevich function of communicating. While a number of items that were noted in the evaluation systems may have been intended to fulfill one of the functions that Knezevich noted, for some reason or another they could not be immediately identified as a part of any function and accordingly, were not counted in the total tabulation.

After all of the items had been identified in accordance with the appropriate Knezevich function, it was determined that all of the Knezevich

---

[1]Stephen J. Knezevich, Administration in Public Education, 3d ed., (New York: Harper and Row, Publishers, 1975), pp. 37-38.

functions did play some part in the various evaluation systems for evaluating the superintendent. However, the frequency of items appearing that could be identified as Knezevich functions varied considerably. The following discussion presents each of the Knezevich functions in relation to the frequency that each function appeared in the evaluation systems provided, and it analyzes and presents possible implications for the findings.

Communicating--Communicating was the most frequently recorded Knezevich function identified in the evaluation systems. This function was noted in each of the thirteen evaluation systems provided, and was identified twenty-seven times in those systems. This function was apparently very important in the evaluation process to boards of education, and they apparently saw it as one of the most important responsibilities of the superintendent.

If communicating is considered to be one of the most important functions of the superintendent, and if boards of education are going to evaluate the superintendent on his ability to communicate effectively, then superintendents should make extra efforts to assure that they are communicating effectively with the board of education, the faculty, the students, and the community. The superintendent should carefully examine the procedures that are utilized for communicating with the various components of the district, and he should be willing to establish systems to facilitate the communications process.

Superintendents must recognize that communicating occurs at various levels, and includes both spoken and written communications. Therefore, the superintendent should not underestimate the need for face

to face contact with his board members; and he must recognize the need to provide written communications in a manner which clearly defines the issues and presents alternatives for resolving those issues.

Boards of education want to be informed. Further, if the board is informed, it will be in a better position to support the superintendent. Therefore, the superintendent may wish to establish a regular reporting system to his board of education. Such a system could include a report of both the problems and successes in the district, and a general updating of district activities. By keeping the board constantly informed, the superintendent can reduce the impact of "shock" when he identifies and presents a problem. In addition, by reporting both problems and successes together, the impact of a problem can be cushioned against the fact that the district continues to have successes.

Boards of education tend to be concerned with public awareness and the image that is portrayed of the district. Therefore, the superintendent must also communicate effectively with the community. The use of a district newsletter and the local media are excellent vehicles to keep the community informed. In particular, the media can provide excellent opportunities for the superintendent to highlight successes of the district, to define the needs of the district, and to solicit cooperation from the community.

The importance of the communicating function was clearly documented by boards of education through their emphasis of this function in the evaluation process. Most importantly, superintendents should recognize that their ability to communicate effectively will also facilitate their ability to convince the board that they are carrying out the other

administrative functions effectively.

Resourcing--This function was also noted in all of the systems provided, and was identified twenty times within those systems. The concern for financial and budgetary matters was clearly expressed by boards of education in the evaluation systems provided, and the plan to evaluate the superintendent on his effectiveness in dealing with financial matters was evident.

It is clear that the superintendent must concern himself with budgetary and financial matters. The superintendent should keep himself constantly updated as to the availability of finances from all possible sources including the local, state, and federal levels. He must be able to demonstrate that he has made every possible effort to bring financial resources to the district, and he must be able to demonstrate that he utilizes available resources in the most effective and efficient manner.

Fiscal accountability is extremely important; particularly in light of current trends, such as diminishing financial resources, declining enrollments, an oversupply of teachers, and increasing demands on the part of school employees. Therefore, the superintendent should concentrate on systems such as Program Planning Budgeting System (PPBS) which can demonstrate cost effectiveness. In addition, the superintendent should continually keep himself updated on issues pertaining to finances, and he should surround himself with staff and consultants who can assist him in meeting that need.

Leading--This function was identified eighteen times in the systems provided. The descriptors noted within the systems varied and in-

cluded items such as "Educational Leadership," and "Encouragement of Staff Participation."

The superintendent must assume full responsibility as the educational leader of the school district. Regardless of what descriptors are placed upon this function, the superintendent must provide direction to the school board and the staff, and he must see that the educational programs of the district are operating effectively. Because the board of education will evaluate the superintendent on his leadership ability, the superintendent should not assume that he is fulfilling this function. Instead, he should take the initiative to demonstrate his leadership skills by formulating the educational goals and objectives for the district. These goals and objectives should be approved by the board of education and ultimately presented to staff for implementation. By establishing direction through goals and objectives, the superintendent assumes leadership and maintains that leadership through continual board approval.

Appraising--This function was noted in every evaluation system and was identified eighteen times within those systems. In most cases, the item that was under consideration was the ability of the superintendent to evaluate the needs of the district, and his ability to evaluate both program and personnel effectiveness.

Inasmuch as this function was considered to be important, the superintendent should assume responsibility for developing, implementing, and monitoring an annual needs assessment program which encompasses all of the district operations. This needs assessment is related to the superintendent's leadership function, as it is based upon the needs

assessment that educational leadership must emerge. By keeping the board informed and involved in the process of the needs assessment, it is possible that the board of education will recognize the ability of the superintendent to meet the demands of the appraising function.

Coordinating--Coordinating was identified fourteen times in the evaluation systems. The descriptors noted in the systems remained very consistent with the Knezevich function, and reflected that the superintendent would be evaluated on his ability to "coordinate" the various school activities and staff.

Because the superintendent will be evaluated on his ability to coordinate the various school activities and staff, it would behoove the superintendent to ascertain that the various components of the district are working and focusing upon the common objectives of the district. Effective coordination ultimately depends upon the ability of the superintendent to communicate effectively with his staff. Superintendents who wish to demonstrate that they can coordinate effectively, may wish to consider scheduling periodic review sessions with their boards. Such reviews could concentrate on the various school activities and staff relationships; and on how those activities and relationships focus upon meeting the overall goals and objectives of the district.

Programming--This function was also identified fourteen times in the evaluation systems. As could be expected, it was most prevalent in the systems that utilized management by objectives. However, the need to implement objectives was noted throughout all the evaluation systems.

Because the evaluation systems reviewed were primarily based

upon a management by objectives format, it was likely that the superintendents recognized the importance of developing and implementing program objectives for the district. Therefore, since boards of education saw programming as an important responsibility of the superintendent, the use of management by objectives systems should enable superintendents to demonstrate to the board, their effectiveness in performing the responsibilities of the programming function.

Staffing--All of the evaluation systems noted the function of staffing, and it was identified thirteen times in the systems provided. The function, as identified in the systems, was highly consistent with the Knezevich descriptor. All of the systems identified staffing as a responsibility of the superintendent and indicated that the superintendent would be responsible for personnel employment, evaluation, and dismissal recommendations.

Therefore, it would be logical for the superintendent to work closely with the board of education in an effort to develop clearly defined personnel policies and procedures. Once the board has adopted personnel policies, it becomes the responsibility of the superintendent to see that they are administered. If administered effectively, additional board involvement would be minimal. Thus, as the board becomes less and less involved with staffing matters, they should be more and more satisfied with the manner in which the superintendent performs this function.

Politicking--This Knezevich function was identified twelve times in the evaluation systems provided. While not identical to the Knezevich

descriptor for this function, the use of the concepts "public relations" and "community relations" were cited and were tallied within this category.

Because boards of education are concerned with concepts such as public relations and community relations, the superintendent should examine his effectiveness in these areas. No doubt much of his effectiveness will be determined by his ability to communicate effectively and his ability to project an image of leadership which is coupled with a commanding respect for his skills. The superintendent will want to convey his leadership image to both the internal and external power structure. Of particular importance is the establishment by the superintendent of effective relations with teacher associations, parent organizations, community service organizations, as well as local and state agencies related to education. The superintendent should acknowledge the various power structures within these organizations and recognize how the power structures relate to education. Therefore, as the superintendent prepares a public relations program, he can take advantage of his knowledge of the various power structures by shaping a public relations program that is geared to the varying interest groups.

Organizing--Organizing was identified twelve times within the evaluation systems provided. The evaluation systems provided suggested that the boards of education expected the superintendent to effectively sub-divide the district into manageable components. In addition, it was noted in the systems that the superintendent was further expected to administer and supervise the operation of the various components.

Therefore, as the superintendent fulfills his responsibilities for organizing the district into manageable components, it may be to

his benefit to involve the board of education. Aspects such as the development of line and staff relationships, identification of specialized services, and the designing of a line and staff chart are important matters, and therefore should be presented to the board of education for input. If the board provides input, and ultimately support on these matters, when the time comes to evaluate the ability of the superintendent to perform the organizing function, the board will in effect be evaluating itself.

Anticipating--This function was identified ten times within the systems provided. The items that were identified within the evaluation systems were all related to enrollment projections and financial matters; and the systems revealed that the superintendent would be evaluated on his ability to anticipate the enrollment and financial needs of the district and to develop programs based upon those needs.

The function of anticipating can easily be aligned with the administrative function of appraising. If the superintendent carefully designs a needs assessment program, he can use the information obtained from the needs assessment for anticipating future district needs. As the superintendent continually gains information relative to the needs of the district and presents those needs to the board of education, it is possible that his ability to forecast future district needs and to set the framework for future planning will be recognized.

Orienting--This function was identified six times within the evaluation systems provided. The systems that were based upon management by objectives were primarily concerned with the function of orienting.

Those systems naturally are attuned to the need of identifying and implementing the objectives for the district.

While the function of orienting was only identified six times in the evaluation systems provided, it is possible that boards of education still consider this function to be important. However, as orienting is closely related to programming, boards of education may intend to evaluate the effectiveness of the superintendent in this area when they evaluate him on his ability to perform the programming function. The formulating of district goals and objectives and then implementing those goals and objectives becomes closely tied together, and thus it may be difficult to separate them for purposes of evaluating the superintendent.

Executing--The Knezevich function of executing was identified six times in the evaluation systems provided. Because Knezevich defined this function in terms of the day-to-day functions that administrators perform, it was interesting that the function could be identified only six times. Those items identified were specific to the responsibility that the superintendent had for the day-to-day operations.

Although only six items related to the function of executing could be identified in the evaluation systems provided, it is possible that the other administrative functions may have incorporated the executing function as well. Thus, it may have been assumed that through the successful performance of other administrative functions, the superintendent fulfilled his responsibilities for the day-to-day operations as well.

However, superintendents should attempt to highlight this function so that their routine day-to-day activities are not ignored. Each

day superintendents are faced with the need to establish priorities, deal with a crisis, or face the unexpected. It could be easy to ignore these items. Therefore, it could be advantageous for the superintendent to highlight his success in dealing with day-to-day operations, so that those successes do not go unnoticed, and so that his board will have an appreciation for the many demands that are placed upon the superintendent.

Changing--Changing was only identified six times within the systems provided. The evaluation systems utilized "innovation" to describe this function. The limited items identified with this function were somewhat of a surprise, as the need for change and innovation has often been identified with the current trend to develop school objectives.

While it is not possible to present conclusive statements pertaining to why the function of changing was not identified more often in the evaluation systems, the reason may be related to the concern on the part of boards of education to maintain the status quo. This possibility would be more likely in school districts where the board of education is considered to be conservative in thought. If the board of education is conservative, it may not be interested in constant change, and it may in fact be fearful of a superintendent who may "make waves" by constantly introducing new ideas and suggesting change. Therefore, the low frequency of this function appearing in the evaluation systems received could be the result of an interest on the part of the boards of education to keep innovation and change at a low keyed level, and thus they discourage the superintendent from thinking in terms of implementing new ideas. The implications of this possibility can be very valuable

for a superintendent who has long range plans for remaining in a given school district.

Controlling--This function was identified six times in the systems provided. The systems based upon management by objectives were primarily concerned with this function as it related to the Knezevich descriptor. Because management by objectives systems relied so heavily upon the monitoring of the progress toward goal attainment, it was natural that those systems would be concerned with this function.

Diagnosing--Analyzing Conflict--This function was identified only four times in the evaluation systems provided. Knezevich suggested that this function was a relatively new competency demanded by administrators,[2] which may account for the limited number of items identified in this category. One system made reference to this function in terms of the ability of the superintendent to deal with complaints, while the other two items focused on the ability of the superintendent to perform under the pressures of the job. With the rash of articles, books, and studies appearing on this and related topics, the alert superintendent would benefit by mastering some techniques in this function without delay.

Deciding--Resolving--This Knezevich function was apparently considered to be the least important item that superintendents would be evaluated upon. It was identified only three times in the systems provided. While concern for the decision making process was reflected throughout the systems provided, only three items could be identified that were in

---

[2]Ibid. p. 37.

accordance with the Knezevich descriptor which specifically focused upon resolution of choices.

While this function was only identified three times in the evaluation systems provided, the nature of this function may explain why it was an item that did not warrant extensive review by the board of education. Boards of education may typically focus on the decisions that the superintendent had already made, and it is likely that they do not have many opportunities to review the alternatives available to the superintendent during the decision making process. As Knezevich described this function in terms of resolution of choices, boards of education would probably be concerned only when inappropriate choices were made. Nevertheless, the success of a superintendent is dependent to a great degree on his decisions. Experience bears out this contention. Thus, despite the low frequency of mention of this function, superintendents should improve their decision making skills.

Table 17 presents an overview of the above data pertaining to the frequency of items noted in the evaluation systems provided that could be identified within the framework of a particular Knezevich function.

Major Categories Identified in the Systems Provided and Their Relationship to the Knezevich Functions

An additional analysis of the relationship between systems utilized by boards of education to evaluate the superintendent, and the sixteen administrative functions developed by Knezevich was completed. This analysis focused upon the major categories identified in the systems provided, and related those categories to the Knezevich functions.

TABLE 17

Frequency of Items Noted on Evaluation Systems Utilized to Evaluate the Superintendent that Could Be Identified as a Particular Knezevich Function

Knezevich Function	Number of Items Identified from Systems Provided
Communicating	27
Resourcing	20
Leading	18
Appraising	18
Coordinating	14
Programming	14
Staffing	13
Politicking	12
Organizing	12
Anticipating	10
Orienting	6
Executing	6
Changing	6
Controlling	6
Diagnosing--Analyzing Conflict	4
Deciding--Resolving	3

The following categories were taken from the evaluation systems received:

1. Board/superintendent relationships--This category was noted in every system that had been provided. The category encompassed a number of different areas but most specifically addressed the following sub-categories:

   1.1 Communicating--Every system provided concentrated, to some degree, on the function of communicating. Some were general in their concern for this function and others were very specific about the kind of communication; i.e., written and oral; and the need to communicate with various levels of staff, students, and the board.

   1.2 Executing board policy--In one sense, or another, each system addressed the issue of the superintendent's role in carrying out board policies.

   1.3 Providing direction for the board--Most of the systems made reference to the board's need to look to the superintendent for leadership and direction. The board saw the superintendent as an authority on educational matters and on school district operations and established a plan to evaluate him in this area.

   All of the above sub-categories can be identified among the Knezevich functions.

2. Community relations--Most of the systems addressed their concern for the superintendent's ability to interact effectively with the community. Concern for community awareness, participation in community activities, and responsiveness to community demands were all items noted in the various systems provided.

   This particular item, while not specifically noted in the Knezevich functions, is very similar to his "Politicking" function. While "Politicking" can be noted throughout a number of other items in the systems provided, the community relations items, as described in the various items provided, fit very well into the category presented by Knezevich.

3. Staff and personnel relations--This item was also addressed in areas of the systems provided. The sub-categories noted under this topic included:

   3.1 Development of personnel procedures--The superintendent was responsible for providing staff with clear procedures for conducting their roles as employees.

3.2 Recruitment of staff--The superintendent "recruits and assigns the best available personnel."

3.3 Evaluation of personnel--The superintendent evaluates the effectiveness of all staff, or sees that such evaluations are completed.

Once again, all of the above categories can be noted in some form, in the Knezevich functions.

4. Educational leadership--This category was noted in every system provided. The view of leadership, however, varied dependent upon the system reviewed. For example, one system described leadership in terms of keeping informed of latest issues in education, etc., while another regarded it as providing direction for the board, and encouraging staff to maintain and upgrade their skills.

   The second example provided was most consistent with the function listed by Knezevich as "leadership."

5. Business and finance--This category was also noted in all of the systems. This category was further sub-divided into primarily two sub-categories:

   5.1 Budgeting--The superintendent must prepare a budget based upon the educational needs of the district, and within financial limitations.

   5.2 "Locating" finances--This sub-category is probably a reflection of the recent times and possibly a result of state and federal grant money available. This item suggested that the superintendent should determine the availability of "all" financial resources to the district and he should make efforts to obtain these resources.

   This item is noted by Knezevich as "Resourcing." That is, the administrator must be held responsible for locating all possible resources to assist the district in its operation.

6. Educational programs--While all of the systems made reference to the educational programs, the major concern regarding this category centered around the ability of the superintendent to appraise the effectiveness of the programs.

   Knezevich refers to this function as "Appraising," or the responsibility of the superintendent to evaluate the final results.

7. Personal characteristics--This category, in some form, was also noted in each of the systems provided. While the range of items noted were extensive and did not necessarily fall into any one category, the following identifies some of the items noted:

   7.1 Personal appearance

   7.2 Decision making ability

   7.3 Innovativeness

   7.4 Self-control

   7.5 Problem solving ability

   7.6 Organizational ability

   While some of the items listed above could be identified in the Knezevich functions, they were not presented as a particular major heading in the systems received and thus, were not discussed in this context.

Summary of the Relationship Between Evaluation Systems Utilized by Boards of Education to Evaluate the Superintendent of Schools and the Knezevich Administrative Functions

To some degree, the sixteen administrative functions as noted by Stephen J. Knezevich were identified as items that superintendents are evaluated on as a part of a formal evaluation system. The degree to which these items were included in the evaluation system varied, dependent upon the particular evaluation system. However, it was not possible to identify all sixteen of the Knezevich functions in any one Lake County evaluation system. It would appear that in the development of the evaluation systems, the first consideration was not to evaluate a superintendent on commonly accepted administrative functions, such as those developed by Knezevich. Instead, the evaluation systems focused primarily on major categories that had been established by the board of education and superintendent and from there concentrated on sub-areas as deemed

important by those same persons.

The most frequently recorded response that could be identified as a Knezevich function was the function of "communicating." This particular item, as noted previously, had been noted throughout all of the evaluation systems in one form or another. It was apparently very important in the evaluation process to boards of education, and they apparently saw it as one of the most important responsibilities of the superintendent. On the other extreme, the Knezevich function "deciding--resolving" was apparently not as important an area as viewed by the participating superintendents and board presidents. While they may have felt that the function as described by Knezevich as "focusing on resolution of choices," etc., may be an important function for the superintendent, the evaluation systems provided only reflected three items which could be identified as that function.

It should be particularly noted that evaluation systems which focused on management by ojbectives did not concentrate extensively on procedures that would be utilized to evaluate the successful performance of the school superintendent. Instead, those items concentrated primarily on an objective observation of whether or not the superintendent and his staff completed the objectives that had been agreed upon by the board, within the appropriate time lines and conditions as had been previously established. Even within these districts, however, there was some concern for the development of an instrument that could evaluate the superintendent as he went through the process of completing the mutually established objectives. In two districts that utilized a management by objectives approach for the evaluation of the superintendent, they correspondingly utilized an "administrator image questionnaire" which was to be

completed by the board members in evaluating the superintendent as he went through the process of completing the objectives that had been established. It should be noted that the items listed in the "administrator image questionnaire" in many cases did include items that could be identified as an administrative function, i.e., leading, decision making, organizing, etc. However, these items did not fit into any particular pattern and were merely reflected as a part of the total items that had been presented.

Comparison of Evaluation Systems Utilized in Lake County, Illinois, to Systems that Had Been Identified as Exemplary Systems

Because various systems utilized by boards of education to evaluate the superintendent had been noted in the literature as exemplary systems, efforts were made to obtain those systems for purposes of comparing them to systems utilized in Lake County, Illinois. Two superintendents responded to a request to provide copies of the evaluation systems that were utilized in their school districts to evaluate the superintendent. The evaluation systems that were provided were from a superintendent in the state of Michigan and from a superintendent in the state of Connecticut.

Both of the evaluation systems that were provided were based upon a system of management by objectives. In addition, one of the management by objectives systems that was utilized also utilized the "superintendent image questionnaire" which, with some minor changes, would have been identical to the "administrator image questionnaire" which had been previously reported on. In this same vein, the systems

that were provided followed the same basic procedures that were utilized by Lake County school districts in the establishment of their evaluation programs. Primarily, the system utilizes the following procedures:

1. The superintendent and the board of education meet on an annual basis to establish specific objectives for the superintendent to accomplish during the course of a school year.

2. Specific criteria are established and agreed upon for the fulfillment of the objectives.

3. The superintendent has a responsibility to review the progress being made toward the completion of the objectives at regularly scheduled board of education meetings. During this time, board of education members can question and redirect the activities of the superintendent if there is dissatisfaction with the progress that is being made. In addition, as objectives are completed, a progress report is completed by the superintendent and submitted to the board as a report and voted upon for acceptance.

4. The superintendent provides the board of education with a self-appraisal in the spring of the year defining his success in meeting the various objectives. This report is reviewed by the board of education in open session and the board of education members make comments pertaining to their view of that progress.

For the most part, the management by objectives systems that had been identified in Lake County were very similar to those that had been identified in the exemplary systems. One of the exemplary systems provided, however, was in effect a complete personnel evaluation system for the school district and the evaluation of the superintendent in this district was really only one aspect of the total evaluation of personnel. In addition, an extensive plan had been developed for tying together the compensation plan for administrators with the total evaluation program.

The systems that had been noted in the literature as exemplary systems were no further advanced than those that had been developed and

utilized in Lake County, Illinois, school districts. While an extensive review of the exemplary systems to determine the specific relationship of those systems to the Knezevich functions was not completed, it was noted that the function "communicating" was considered to be as important in the exemplary systems as it was in the Lake County systems. Further it should follow that inasmuch as the exemplary systems and the Lake County systems were so similar, that they should be equally similar in relation to the Knezevich functions.

Finally, as noted previously, the exemplary systems and the Lake County systems focused on a management by objectives approach to evaluating the superintendent. The trend to utilize management by objectives approaches had begun and was probably a direct result of the increased interest in accountability programs. Such systems allowed superintendents to be measured on their ability to complete program objectives that had been mutually established by the superintendent and the board of education and were less dependent upon the subjective attitudes and evaluative concerns of board members or superintendents. Notwithstanding the efforts on the part of administrators and board of education members to implement management by objectives evaluation systems, it was recognized that board members do have an evaluative view of the superintendent as he completes the objectives that have been established. The need for a board of education to express its evaluative view of the superintendent has been evidenced by the use of "administrator image questionnaires" which have been found not only in Lake County systems, but also in a system that had been identified in the literature as being exemplary.

An Analysis of the Data Received From Superintendents and Board of Education Presidents

The previous chapter provided a presentation of the data which was primarily based upon the information that was recorded on all the questionnaires received from superintendents and board of education presidents. This section provides additional analysis of the data by tying together the data gained from the narrative responses and from the personal interviews held with superintendents and board of education presidents; and it describes trends, commonalities, differences, pitfalls, interpretations, and possible explanations for the results that have been obtained.

Observations Based Upon the General Characteristics of the Respondents

The superintendents participating in the survey represented a wide range of characteristics in terms of their district demographics, instructional staff, administrative staff, and their personal characteristics. The following analysis has attempted to note trends and commonalities that were reflected, based upon the above characteristics.

District demographics--The type, size, and wealth of the participating districts were carefully reviewed.

The population surveyed included all fifty-two superintendents in Lake County, Illinois. Thirty-eight superintendents responded, and they represented three unit districts, seven secondary districts, and twenty-eight elementary districts. Because of the limited number of responses from superintendents representing unit districts and secondary districts, absolute conclusions regarding the type of school district and its influence on the presence or absence of a formal system to

evaluate the superintendent could not be made. The data did reveal that of the thirty-eight superintendents responding, seventeen reported the use of a formal system to evaluate the superintendent.

Of those seventeen who reported the use of a formal system; thirteen represented elementary districts, three represented secondary districts, and one represented a unit district. Thus, while acknowledging that the limited number of responses from secondary and unit district superintendents prohibits any absolute conclusions, the data indicated that elementary district boards of education were more likely to evaluate their superintendents formally than those from unit districts or secondary districts.

The size of the school districts (in terms of student enrollment) was examined to determine whether or not there existed a relationship between school size and the existence of a formal system to evaluate the superintendent. While at first glance it appeared as though formal systems were more prevalent in smaller school districts, a further analysis suggested the contrary. Tables 18 and 19 present the above data. Table 18 presents a comparison of the mean enrollments in all of the districts where no formal system is utilized, and districts where a formal system is utilized, and suggests that formal evaluation systems were more prevalent in smaller school districts. (Smaller school districts were defined as those districts with enrollments less than the median enrollment for all districts.)

TABLE 18

A Comparison of Mean ($\bar{x}$) Enrollments in Combined Districts, Districts Which Do Not Utilize a Formal Evaluation System, and Districts Which Do Utilize a Formal Evaluation System

	$\bar{x}$ Enrollment
All Districts	1768 (N38)
Districts without Formal System	1925 (N21)
Districts with Formal System	1575 (N17)

However, because the mean enrollments shown in Table 16 for combined districts and districts which do not utilize a formal evaluation system includes the enrollment of a unit district which enrolls 14,000 students, the figures noted do not portray an accurate picture. For example, if the 14,000 students were not utilized in the computation, or if the median enrollment were utilized, a different conclusion would be expressed indicating that formal evaluation systems are more prevalent in larger school districts. Table 19 presents this information.

TABLE 19

A Comparison of Mean ($\bar{x}$) Enrollments, and Median (Md) Enrollments in Combined Districts, Districts that Do Not Utilize a Formal Evaluation System, and Districts Which Do Utilize a Formal Evaluation System

	$\bar{x}$ Enrollment	Md Enrollment
Combined Districts	1438 (N37)	1100 (N38)
Districts without Formal System	1321 (N20)	1164 (N21)
Districts with Formal System	1575 (N17)	1584 (N17)

The data indicated that formal evaluation systems to evaluate the superintendent were more likely to exist in districts where the enrollments were in excess of 1,500 students, as opposed to those with less than 1,500 students. Notwithstanding the above data, it did not seem likely that the size of a school district should be influential in determining the presence or absence of a formal evaluation system to evaluate the superintendent. It seemed, however, that if size were a factor, that it should be an indirect factor--as it was more likely that more persuasive factors such as personal characteristics of the superintendent, or board of education needs would be more influential.

Because of the above belief, it was determined that the influence of the size of school districts should be examined in a different context. Therefore, it was decided to examine this issue further in relation to both districts where formal evaluation systems are utilized, and where districts employ superintendents who have earned a doctorate level degree. (This examination is described in a later section of this chapter.)

The wealth of a school district, as determined by the assessed valuation per pupil average daily attendance, was also examined. However, when comparing the wealth of school districts where a formal evaluation system was utilized to the wealth of all of the districts participating in the study, one might conclude that the relationship between the existence of a formal system and the wealth of the district was not at all important.

In summary, relative to district demographics, the type of district, and the wealth of a district were not considered to be important factors related to the existence of formal systems to evaluate the

superintendent. The data suggested that districts which were larger (as determined by those districts which had enrollments larger than the median of the responding districts) tended to utilize a formal system to evaluate the superintendent more often than the smaller districts. However, a further examination of the influence of district size was warranted, and will be reported upon in a later section of this chapter.

Instructional staff--Thirty-three of the thirty-eight responding superintendents reported that their teachers were evaluated on the basis of a formal evaluation system. In addition, twentytwo superintendents reported that their districts had a collective bargaining agreement with their teachers; and eleven of the twenty-two indicated that the collective bargaining agreement described procedures to evaluate teachers. Interestingly, seven of the eleven agreements speaking to evaluation procedures of teachers were in districts where the board also had a formal system to evaluate the superintendent.

The literature suggested that one reason that boards of education choose to evaluate the superintendent is because of pressures from teacher unions. While none of the responding districts reported any reference to administrative evaluation in collective bargaining agreements, nonetheless, in districts utilizing a formal system to evaluate the superintendent, sixteen out of seventeen districts had a collective bargaining agreement and seven of those agreements described evaluation procedures for teachers. While administrators seemingly have kept the administrative evaluation process out of the negotiations process, there may have been some subtle pressures to extend the evaluation process to administrators and the superintendent. As a result of the interview process,

one superintendent reported that evaluating the superintendent was "good for faculty understanding." It was his contention that because he was evaluated by the board, he had license to evaluate his administrators and teachers. He also indicated that subordinate administrators and teachers were more comfortable about the evaluation process knowing that even the superintendent would be evaluated.

Administrative staff--The thirty-eight superintendents responding indicated that they employed a wide range of subordinate administrators. Included among the kinds of administrators employed were assistant superintendents, principals, curriculum coordinators, and others.

Thirty superintendents reported that the administrative staff was evaluated annually by the superintendent. However, only seventeen of these superintendents reported that they evaluated their administrators on the basis of a formal evaluation system. Just how the remaining thirteen superintendents evaluated their administrators was not reported, and thus the success or failure of their basis for evaluation is not known. It is possible that those evaluations completed without a formal system could promote insecure feelings among the administrators, or if the degree of rapport between the superintendent and his administrators was high--it may not be an important factor at all.

The information pertaining to administrative staff evaluation was further examined to determine if there was a relationship between the existence of formal evaluation systems to evaluate the superintendent, and formal evaluation systems to evaluate subordinate administrators. In comparing districts where a formal system was utilized to evaluate the superintendent to districts which did not utilize a formal system,

the following was determined; four out of twenty-one districts where a formal system was not utilized to evaluate the superintendent, had a formal system to evaluate subordinate administrators. However, in districts where the superintendent was evaluated on the basis of a formal system, all sixteen districts (where subordinate administrators were employed) utilized a formal system to evaluate subordinate administrators. Table 20 presents an overview of this information.

TABLE 20

A Comparison of School Districts Utilizing a Formal System to Evaluate the Superintendent to Those Which Do Not, With Regard to Formal Systems to Evaluate Subordinate Administrators

	Evaluate Administrators on Formal Systems Yes	No	Total
Districts with Formal Superintendent Evaluation System	16 (16)	0	16
Districts without Formal Superintendent Evaluation System	4 (21)	17	21

There appeared to be a trend regarding formal personnel evaluation systems. In a majority of the school districts where the superintendent was evaluated on the basis of a formal evaluation system, both the subordinate administrators and the teachers were also evaluated on the basis of a formal system. It is possible that in these districts administrators have taken a leadership position in the accountability movement and have taken the position that all personnel (including themselves) would be accountable. The formal evaluation system thereby may

have become the system of accountability. In addition, superintendents interested in formal evaluation procedures for their administrators and teachers no doubt have felt obliged to carry their beliefs to their own position and by so doing, set an example for the district.

The superintendent--personal characteristics--The data revealed that superintendents who were evaluated on the basis of a formal evaluation system were younger, were employed fewer years as a superintendent, were in their current district as superintendent for fewer years, and held a higher degree than their peers in districts which did not utilize a formal system. Table 21 presents this comparison.

TABLE 21

Personal Characteristics of Superintendents Employed by Districts Which Utilize a Formal Superintendent Evaluation System and by Districts Which Do Not Utilize a Formal Evaluation System

	Mean Age of Supt.	Mean Years Employed as Supt.	Mean Years Employed in Current Dist.	Number Supts. Holding Doctorate Degree
Districts Utilizing a Formal System	43.6	9.8	5.9	9
Districts Not Utilizing a Formal System	51	12.3	9.95	3

It was reported previously that the size of a school district may be an indicator of the existence of a formal system to evaluate the superintendent. The view was also expressed that school size, if at all influential, was probably indirectly influential. To examine this possibility further, the size of school districts (which utilized a formal

system) employing doctorate degree superintendents was reviewed. It was found that the mean size of these districts was 1,899 students and the median enrollments for these districts was 1,650 students. Thus, superintendents holding doctorate level degrees were more often employed in larger school districts than in smaller ones.

The age and level of degree of a superintendent were important indicators of whether or not a district had a formal system to evaluate the superintendent. Age and advanced academic training may be related to the interest expressed by superintendents in the concept of accountability. In addition, if university training programs today are stressing accountability plans such as management by objectives and the entire evaluation component in their training programs, it may be possible that administrators trained more recently and at higher levels, would have an increased interest in accountability plans and the evaluation process.

Factors related to age were brought out in the interview process. One superintendent reported that his board was currently in the process of developing an evaluation system, but stressed that "they are not interested in evaluating me" as he would be retiring in a few years. Rather the board was more interested in developing a system to evaluate the "new" superintendent. Another superintendent, who had been employed by the same district as superintendent for 30 years, reflected a view that after 30 years, the board knows the kind of job he is doing and that a formal system would not improve anything.

On the other hand, a "younger" superintendent responded in the interview process that he requested a formal evaluation system because he saw it as a "protectorate." He indicated that once he understood the

basis upon which his board of education would evaluate his performance, he was ultimately "protected" in his job. While it is recognized that the previous comments represented the opinion of only one superintendent, it is possible that younger superintendents could find the formal system as a means of security and as an assurance that they will be judged on the basis of some known measure; whereas older superintendents (particularly those nearing retirement) see little need for that kind of security.

A Review of Responses from Superintendents and Board of Education Presidents that Represent Districts that Do Not Utilize a Formal System to Evaluate the Superintendent

Twenty-one superintendents and nine board of education presidents representing districts which do not utilize a formal system to evaluate the superintendent participated in the study.

Explanations provided for not conducting an annual evaluation of the superintendent--Superintendents and board of education presidents seemed to be in general agreement when they provided explanations as to why their district did not utilize a formal system to evaluate the superintendent. Generally, they indicated that the superintendent was constantly evaluated by the board, and in many cases the public, as he performs his daily responsibilities. They indicated that they have not found it necessary to establish a formal evaluation system. One board president responded that "the one thing we do have is good communication between our board and superintendent. Each month we take care of any problem that might exist." Similarly, responding to an interview question, one superintendent reported that "there is a high degree of communication at all levels of the administration and with the board."

Further, the superintendent indicated that he has a close working relationship with the board and if the board had a formal evaluation system "They would feel uncomfortable with me." For the most part, neither the board nor the superintendent saw a particular need for a formal system. Perhaps a statement from one superintendent summarized the mood of the various explanations provided: "The subject has never arisen." Thus, it may be possible that if the superintendent and the board of education complement each other in their respective roles, the need for a formal evaluation system may be diminished. Further, if the board assumes a role of "rubber stamp" for the actions of the superintendent, and if the superintendent simply carries out board orders without leadership or challenge, then it is likely that a formal evaluation of the superintendent would only reveal what is already known.

There was also a general consensus among the board presidents and superintendents that while the superintendent was not evaluated on the basis of a formal system, an informal evaluation occurred annually. For the most part, this informal evaluation occurred in the spring and was usually tied together with contract renewal and salary considerations. These factors are consistent with the views of superintendents in this group. When they were asked to rate the degree of importance of six possible purposes for board evaluation of the superintendent, out of a possible high of "7" (extremely important) and a low of "1" (not very important) they rated compensation for the superintendent a mean of 5.42 and dismissal of the superintendent a mean of 5.16.

While one superintendent responded, "I have no idea," when asked to describe the informal process of the board evaluation of the superin-

tendent, most reported that the board would retire into executive session with the superintendent present, and discuss the various aspects of the district operations. One superintendent reported, "they (the board) toss the ball around" as he described how his board of education reviewed his performance as superintendent.

Thus, while none of the respondents specifically indicated that the evaluation of the superintendent was tied to re-employment and salary, the timing of such informal evaluation implied that the board did evaluate the superintendent for those purposes. Further, even though there was no formal system to provide a standard of effectiveness, no doubt size of salary increases could be a basis of determining a board's satisfaction with the performance of the superintendent. If boards tie salary considerations to the evaluation process, they should be cautious. Whether or not the board utilizes a formal evaluation system, it remains possible that although the superintendent may have performed in an exceptional manner, financial limitations could restrict the ability of the board to compensate him accordingly.

Five superintendents who had reported that their district did not conduct a formal evaluation of the superintendent were interviewed in an effort to gain further insights as to their views of the evaluation process. Aspects of their responses have been noted previously regarding rationale for not utilizing a formal evaluation system. Additional analysis of their responses to other issues is also presented.

All of the superintendents indicated that they did not believe that their district could benefit from a formal system to evaluate the superintendent. The general feeling seemed to be that a formal system

might stifle the "give and take" currently available between the board and the superintendent. One superintendent summarized this feeling when he indicated his belief that if a formal system were used, "it would become the main goal, instead of what the superintendent was actually doing." Similarly, two superintendents indicated that they felt a formal system would get them "caught up in performing for the benefit of the board," and thus limit their overall effectiveness. Finally, one superintendent felt that his situation was "unique." Although, he believed a formal system would be good for most districts, he did not believe his district could benefit from a formal system as "his length of service (30 years) as superintendent in the district and unusually low turnover of board members allowed everyone to keep in close contact and freely express his evaluative opinions."

Thus, the need for a formal evaluation system may be situational depending upon the type of district, the stability of the board and the superintendent, and the relationship that has developed between the board and the superintendent. However, if any of the above factors should change; i.e., a new board or a new superintendent, the need for a formal evaluation system may change as well.

When the superintendents interviewed were asked to identify what they felt to be the purpose of a board evaluation of the superintendent, the following responses were provided:

1. To improve the school program and fire the superintendent
2. To fire the superintendent
3. To help the superintendent grow professionally
4. To help the superintendent improve

5. To help the superintendent assess how he is doing in meeting the district goals

Thus, all of the superintendents selected a purpose which had been listed in the literature as a possible purpose. In addition, their responses were also reflective of the total responses received on the written questionnaires regarding the same question. One superintendent expounded his view on this issue and suggested that while the purpose should be to help the superintendent grow professionally, he "doubted that the board is intelligent enough to assist in this process." Another superintendent, who indicated the purpose was to fire the superintendent, indicated that "if he were a new superintendent, he would insist upon a formal system." It was his view that it would be better to implement an evaluation system before the board was in a position to fire the superintendent. Therefore, the board would not be in a position to develop an evaluation system that was geared toward firing the superintendent.

Three of the superintendents interviewed expressed an interest in a management by objectives format for an evaluation system. One superintendent preferred a checklist format and another superintendent preferred an "open ended" format. It should be noted, however, that none of the superintendents expressed an interest in developing a formal system and thus, their preference relative to their choice of format should be viewed simply as a forced response. One superintendent noted in his selection of a management by objectives format that his board would not be sophisticated enough to benefit from such a format, even though he felt it to be the best format available. It may be advantageous for this superintendent, and others like him, to consider presenting inservice programs to his board in an effort to raise the level of sophistication.

The five superintendents were mixed in their views regarding whether or not subordinate administrators should provide input to the board about the evaluation of the superintendent. In this regard, two superintendents indicated that subordinate administrators should provide input to the board and two said they should not. Another superintendent also indicated that subordinate administrators should provide input but he further stated that this would not contribute any pertinent information because his administrators were clearly loyal to him and would never say anything negative about him. One superintendent said that, in essence, any evaluation of the superintendent is an evaluation of the administrative team. This view is not necessarily a new idea. Knezevich supports the idea that the team concept of administration means that the evaluation of any team member must be carried to the entire administrative team, including the dismissal of the superintendent.[3]

The superintendents were unanimous in their view that the development of a formal instrument needed to be worked out mutually by the board and the superintendent. There existed an overriding view that the board should not be left to the task alone, apparently for two reasons; (1) the board members would not be sophisticated enough to develop a system on their own, as they would not have the necessary background and insights as to what an evaluation system should include and (2) the topic of superintendent evaluation is too important an issue for superintendents--it is in effect the vehicle which will determine whether or not the superintendent can provide effective leadership--and thus, he should not trust this topic to the board alone.

---

[3]Ibid. pp. 355-359.

The superintendents anticipated a number of different problems regarding the development of a formal system. Most importantly, they indicated the simple time commitment to such a project would be prohibitive. Secondly, they believed a major obstacle would be the determination of what should be included and what should be excluded from such a system. One superintendent, for example, feared that the board would ultimately want to evaluate the physical education program. Thus, a need was expressed to find a balance between the general and the specific information needed for inclusion in the system.

Interestingly, only one superintendent discussed the need to provide an inservice program pertaining to the evaluation process for his board of education. The superintendent stressed the importance of clearly explaining the role of the board in the process, the criteria for measurement, and the actual process of evaluation itself. This superintendent went on to say that he would insist upon the use of consultants, possibly the Illinois School Boards Association, to assist in such an inservice. As will be described later, the provision of inservice programs for the board of education has been an important component to successful evaluation systems.

Only one superintendent (noted above) indicated that he may need assistance if he were to develop a formal system of evaluation. This one superintendent stressed workshop attendance, use of consultants, and professional readings as possible sources of assistance. For the most part, the other superintendents indicated that all that would be needed would be some copies of systems that are used in neighboring districts.

The Formal Evaluation of the Superintendent: An Analysis of Responses from Superintendents and Board Presidents Representing Districts That Utilized a Formal System to Evaluate the Superintendent

Twelve of the seventeen superintendents who represented districts where a formal system was utilized to evaluate the superintendent indicated that the evaluation system utilized was based upon a combination of a management by objectives format combined with either a checklist or a rating scale. Five superintendents reported that their system was either rating scale or checklist, exclusive of management by objectives. Interestingly, seven doctorate level superintendents reported a management by objectives format, which may reflect the influence of advanced academic training. If sophistication pertaining to evaluative techniques does not exist within a given board of education, then the use of a combination of management by objectives and a rating scale or checklist may enable a sophisticated technique to be adapted gradually to such a board of education.

As most of the evaluation systems had been recommended to the board by the superintendent, the major responsibility for having a formal system, and the format for that system, probably fell upon the superintendent. It was likely then that factors related to the personal characteristics of the superintendent, such as job security, academic training, and previous experiences, may be some of the more important factors related to evaluation systems utilized to evaluate the superintendent.

While most of the systems in use had been recommended to the board by the superintendent, a few had been developed by the board with assistance from the Illinois School Boards Association, and in the absence of the superintendent. One superintendent reported that the board apparently was looking for his weaknesses, and thus developed a system that

looked like it was intending to fire him. He further reported that the board itself was very divided on the issue of evaluating the superintendent, and while a formal system does currently exist, its purpose today is not what it was when originally developed.

For the most part, the formal systems were developed in cooperation with the superintendent and the board of education. In some instances, outside assistance was utilized, such as consultants from the Illinois School Boards Association. None of the superintendents reported any involvement from faculty groups in the development of the system. The process of development primarily utilized the following steps: (1) the superintendent suggested to the board that a system be developed; (2) the superintendent developed a system and presented it to the board; (3) the board reworked, edited, added, and deleted; (4) the board and superintendent indicated their mutual support for the product; and (5) the board adopted the system.

In some cases, the process became more intense and one superintendent reported that both he and his board attended workshops and participated in a three day retreat where a university consultant was utilized to assist in the development of the system.

Inservice to board of education--During the interview process, the discussion of inservice to the board of education came up on many occasions. Both the superintendents and board presidents indicated that an inservice program for the board of education was important to a successful evaluation system. The inservice process was divided into two components. The first component was the actual process of evaluating the superintendent. The superintendents recommended that this inservice

be conducted by the Illinois School Boards Association (IASB) in conjunction with the superintendent. Apparently, the superintendents believed that as the IASB represents the interests of the school board; they can be effective in explaining the evaluation process and supporting the basis for evaluation. Secondly, the superintendents indicated that they had an ongoing responsibility to provide the board with inservice relative to the various components, including programs they had developed, which would utlimately be considered in the evaluation process.

If orchestrated carefully, superintendents could take advantage of their leadership function in the inservice process and could ultimately guide the board to a desired evaluation of their own performance.

Data collection devices available to the board to obtain information to complete the formal evaluation of the superintendent--The majority of the board of education presidents and superintendents reported that the board relied primarily upon its own observations and perceptions in determining an evaluation of the superintendent. Thus, the board collected the information to evaluate the superintendent through such items as close communication, daily contacts, community relations and student accomplishments. However subjective this method may be, it appeared to be accepted as the "bottom line" of how the ultimate decision pertaining to the evaluation of the superintendent would be made.

Only a few of the boards received input from subordinate administrators pertaining to their evaluation of the superintendent. However, two superintendents reported that subordinate administrators were requested to complete an evaluation of the superintendent anonymously to be presented to the superintendent. This consideration warrants further

examination as its intentions, although well-founded, could lead to dissention and affect staff morale if the information is not truly anonymous, or if it is not used with discretion. One superintendent who utilized this technique admitted that he could tell which administrator completed a certain evaluation of him. Thus, concerns regarding the validity and usefulness of this technique warrant careful review.

Ten of the superintendents indicated that they provided the board with a written self-appraisal. This technique was utilized to report the various accomplishments and to keep the board informed as to the progress being made in various programs. The self-appraisal was seen as an excellent leadership technique utilized by the superintendents; it allows the superintendent to keep himself out front with the board and ultimately allows him to lead them to a good evaluation of his performance. Self-appraisal and self-conducted inservice for the board should keep the superintendent in the administrative process of the district and thus, limit board activities to policy development. Thus, these superintendents set the framework for what will ultimately become their own evaluation.

The establishment of district goals and objectives--A number of superintendents and board of education presidents, including those utilizing a rating scale or checklist (as opposed to a management by objectives) format for evaluation, indicated that the mutual establishment of district goals and objectives was an important component of the board evaluation of the superintendent. One superintendent commented that his most important responsibility was to determine the priorities of the board for each school year. It was his contention that his goals and

objectives needed to be identical to those of the board. He further assumed responsibility for directing his board toward accepting his goals as part of their own. This process, whether formally completed or not, becomes the framework for a management by objectives technique.

If processed carefully, the development of mutual goals and objectives can become the major vehicle for communication between the board and the superintendent. It can become the framework for a self-appraisal by the superintendent, board inservice, and ultimately the final evaluation of the superintendent.

The literature supported overwhelmingly the need for boards and superintendents to establish mutually acceptable goals and monitor those goals throughout the year. The literature also suggested that the goals established should utlimately become the yardstick for determining the successful performance of the school superintendent.

Determining the purpose of board evaluation of the superintendent--The literature suggested that in the process of developing an evaluation system to evaluate the superintendent, the board should understand the purpose behind such an evaluation. The literature primarily suggested that there were six possible purposes behind the board evaluation of the superintendent. They are:

1. Dismissal of the superintendent
2. Compensation for the superintendent
3. Improve board/superintendent relations
4. To determine the attainment of district goals
5. Professional growth of the superintendent
6. Placate teacher unions.

Both the superintendent and the board president were asked to rate the above items in terms of their view of the importance of each item as a purpose behind the board evaluation of the superintendent. Table 22 compares the level of importance, based upon the mean response, of both superintendents and board of education presidents.

TABLE 22

Rankings, in Terms of Level of Importance, of Possible Purposes of Board of Education Evaluation of the Superintendent as Determined by Superintendents and Board of Education Presidents

		Bd. Pres. Response		Supt. Response	
		Mean*	Rank	Mean*	Rank
1.	Dismissal of Superintendent	3.36	5	3.59	5
2.	Compensation for Superintendent	4.91	3	5.18	2
3.	Improve Board/Superintendent Relations	5.18	2	5.35	1
4.	To Determine Attainment of District Goals	5.91	1	5.18	2
5.	Professional Growth of Superintendent	4.64	4	5.0	4
6.	Placate Teacher Unions	1.30	6	1.88	6

*Highest possible mean was 7 "extremely important," while the lowest possible mean was a 1 "not very important."

As the above table points out, the responses provided by the superintendents and board presidents are nearly identical. The only difference between the two is the ranking of the most important purpose. While board presidents chose "to determine the attainment of district goals" as the most important purpose, the superintendents chose "to improve board/superintendent relations" as the most important purpose behind the evaluation of the superintendent by the board. The differ-

ences between the superintendents and the board of education presidents in their rankings of the first two items may be a moot point. However, it is possible that the superintendents selected "to improve board/superintendent relations" because they felt that good board/superintendent relations may in effect influence some of the other options, including the attainment of the district goals and compensation for the superintendent. Thus, if they are successful in the achievement of good relations with their board, they may obtain further successes in the achievement of other purposes.

In addition, neither the board presidents nor the superintendents considered the "dismissal of the superintendent" to be an important purpose in conducting an evaluation of the superintendent. Also, both groups indicated that "to placate teacher unions" was not very important. This response is consistent with the earlier information presented which suggested that current collective bargaining agreements did not contain any items pertaining to administrative evaluation.

One superintendent encouraged superintendents and boards of education to develop an evaluation system cooperatively and to agree upon the purpose behind that system early in its development. He, in particular, felt that he had become the victim of a single purpose system--to dismiss him. The experience of this superintendent can provide valuable insights for those considering the development of an evaluation system. Most importantly, it might suggest that the existence of a carefully planned system may provide a means to prevent problems before they occur or facilitate the working through of existing problems.

Nearly all of the superintendents and board presidents agreed

that the evaluation system they utilized fulfilled what they felt to be the purpose behind the evaluation system. Based upon what the superintendents and board presidents indicated to be the most important purposes, i.e., to determine the attainment of district goals, improve board/superintendent relations, and compensation for the superintendent, it is likely that if they utilized their evaluation systems effectively such use would guide them in fulfilling these various purposes. One board president emphasized the purpose of improving board/superintendent relations. He pointed out that since the implementation of this system, there is greater communication between the board and the superintendent, the board feels informed, and the board has greater confidence in the district leadership.

A Review of Evaluation Systems Provided by Superintendents

Because the formats of a number of the evaluation systems were similar, it is possible that many of the superintendents and/or boards of education had attended a common workshop or had received materials from a common source. As had been mentioned previously, a number of superintendents reported that they or their boards had utilized the Illinois Association of School Boards as a resource. However, even though many of the systems were similar, there existed evidence that adaptations had been made, probably to fit specific local circumstances.

In addition, it was evident that six of the evaluation systems provided had been created independently and that they addressed concerns that were unique to each individual district.

The Trend Toward the Formal Evaluation of the Superintendent

Writing in 1975, Stephen J. Knezevich predicted that "before this decade is out practically all school systems will have formal administrator appraisal systems."[4] In Lake County, Illinois, seventeen out of thirty-eight participating school districts reported the existence of a formal system to evaluate the superintendent. In addition, five superintendents reported that they and their boards were in the process of developing a formal system. Further, it should be noted that the systems existing in Lake County are relatively new systems. The oldest system was in existence for only five years, while more than half of the systems were in existence two or fewer years.

While the accountability movement no doubt was in part responsible for this recent interest in evaluating the superintendent, other factors are likely to be responsible as well. Noted in Lake County, Illinois, was the impact of younger administrators, the impact of administrators with advanced academic training, and the impact of the interest in the topic by the Illinois Association of School Boards, as possible contributing factors.

---

[4]Ibid. p. 605.

CHAPTER VI

CONCLUSIONS, SUMMARY, AND RECOMMENDATIONS

This study has attempted to analyze systems utilized by boards of education in the evaluation of school superintendents. Further, a major purpose of this study was to determine the relationship between evaluation systems utilized by boards of education to evaluate their superintendents and the commonly identified administrative functions. A secondary purpose was to develop an evaluation model which could be utilized by boards of education and superintendents as they develop or revise their formal system to evaluate the superintendent.

Conclusions

The data presented and analyzed in this study were received as a result of a survey conducted among all public school superintendents and board of education presidents in Lake County, Illinois. Further, information and insights were obtained as a result of personal interviews conducted with ten superintendents and five board of education presidents.

In addition, thirteen Lake County, Illinois, school superintendents provided copies of the evaluation systems utilized by their boards of education to evaluate the superintendent. Also, two school superintendents, one from the state of Michigan and one from the state of Connecticut, provided copies of the evaluation systems utilized by their

board to evaluate the superintendent. (The latter two systems were obtained because the literature identified them as exemplary systems.) The Lake County, Illinois, systems were reviewed and compared to: (1) the sixteen administrative functions developed by Stephen J. Knezevich, and (2) the evaluation systems received from the two superintendents from Michigan and Connecticut.

All of the above provided the basis for the following conclusions.

The Relationship Between Evaluation Systems Utilized by Boards of Education to Evaluate Their Superintendents and the Commonly Accepted Administrative Functions

Evaluation systems utilized in Lake County, Illinois, to evaluate the superintendent were, at least minimally, based upon administrative functions. The function of communicating was the most frequently cited in the Lake County evaluation systems. Other functions frequently cited were: resourcing, leading, appraising, programming, coordinating, staffing, politicking, and anticipating.

By utilizing evaluation systems provided by superintendents in Lake County, Illinois, and comparing those systems to the administrative functions developed by Stephen J. Knezevich, it was determined that at least minimally the evaluation systems utilized in Lake County, Illinois, were based upon administrative functions. Each of the Knezevich functions was cited, with varying frequency, in the Lake County systems. However, it was not possible to identify all sixteen of the Knezevich functions in any one Lake County, Illinois, evaluation system.

The Knezevich function of communicating was the most frequently cited function in the Lake County evaluation systems and Lake County boards of education saw the communicating function as the most important

responsibility of the superintendent. This function was noted in each of the evaluation systems and was identified twenty-seven times in those systems. The importance of this function was further emphasized in that many of the other administrative functions were at least to some degree dependent upon effective communication skills. Thus, if a superintendent convinced his board that he is an effective communicator, he would probably be successful in convincing his board that he is also effective in carrying out the other administrative functions.

Resourcing was the second most frequently cited function as it was identified twenty times within the Lake County systems. The concern for fiscal accountability was evident in the Lake County evaluation systems and it was clear that a satisfactory evaluation of the superintendent would depend heavily upon the effectiveness of the superintendent in handling financial matters.

Leading and appraising were the third most frequently cited functions as they were identified eighteen times within the Lake County systems. The effective superintendent provides leadership and direction for the school district by formulating goals and objectives, presenting them to the board of education, and ultimately gaining board approval for his recommendations. Likewise, the superintendent demonstrates his skills in appraising by determining the needs of the district and by evaluating programs and personnel. To maximize his opportunities to demonstrate his abilities in these areas, the superintendent must keep the board informed and involved throughout the appraising process.

Both coordinating and programming were identified fourteen times in the evaluation systems. The Lake County systems focused on the

ability of the superintendent to coordinate the various school activities and staff. Therefore, the superintendent must make certain that the various components of the district are working toward the fulfillment of the common objectives of the district. The programming function was most prevalent in systems that utilized a management by objectives format. Because programmming is concerned with the generation of alternatives or strategies which are utilized to reach objectives, the use of systems which are based upon a management by objectives format should facilitate the ability of the superintendent to perform this function.

Staffing was identified thirteen times in the evaluation systems and was found to be consistent with the Knezevich descriptor of this function. Staffing would include responsibility for personnel employment, evaluation, and dismissal.

The functions of politicking and organizing were both identified twelve times within the evaluation systems. Regarding politicking, the Lake County systems were concerned with public and community relations. Effective politicking would entail the identification of the various organizations which relate to education and the establishment of working relations with the power structures within these organizations. The responsibility of the organizing function requires that the superintendent effectively sub-divide the district into manageable components. Further, he must administer and supervise their operation.

Anticipating was identified ten times within the evaluation systems reviewed. The items noted revealed that the superintendent would be evaluated on his ability to anticipate the enrollment and financial needs of the district and to develop programs based upon those needs.

The following Knezevich functions were also noted, but with limited frequency. Orienting, executing, changing and controlling were all cited six times. Diagnosing--analyzing conflict was cited four times and deciding--resolving was the least frequently cited function as it appeared three times in the evaluation systems reviewed. Despite the fact that many of the functions were cited with limited frequency, it was noted that in many cases the functions were interrelated. For example, executing was identified six times in the Lake County evaluation systems. Because executing referred to the day-to-day operating functions that a superintendent must perform, it may be that the superintendent fulfilled his responsibilities for the day-to-day operations through the successful performance of the other administrative functions.

The evaluation systems reviewed were to varying degrees based upon commonly identified administrative functions. However, the systems utilized in Lake County, Illinois, did not consider the commonly accepted administrative functions as the major topics in the evaluation process.

Comparison of Evaluation Systems Utilized in Lake County, Illinois, to Systems that Have Been Identified as Exemplary Systems

Evaluation systems which had been identified in the literature as exemplary were similar to the systems utilized in Lake County, Illinois.

The comparison made between Lake County, Illinois, evaluation systems and the evaluation systems provided by two superintendents from Michigan and Connecticut, revealed that those exemplary systems were no further advanced than the systems utilized in Lake County, Illinois. Both the Michigan and Connecticut evaluation systems were based upon management by objectives, which was also the prevalent system utilized

in Lake County, Illinois. One of the exemplary systems also utilized "a superintendent image questionnaire" which was similar to an "administrator image questionnaire" utilized by two school districts in Lake County. In addition, the exemplary systems followed the same basic procedures which were utilized in the Lake County systems.

It was determined that the evaluation systems utilized by boards of education in Lake County, Illinois, compared favorably to the exemplary systems.

District Demographics

The type, size, and wealth of the school district were not considered to be important factors related to the existence of formal systems used to evaluate the superintendent.

The relationship between the existence of formal evaluation systems in Lake County, Illinois schools, and the type of school district; i.e., unit, secondary, elementary; the size of the school district as determined by student enrollment, and the wealth of the school district as determined by the 1975 assessed valuation per pupil average daily attendance was not very important. While the data indicated that more elementary school superintendents were evaluated on the basis of a formal evaluation system then were either unit district superintendents or secondary district superintendents, it should be noted that the limited number of responses from superintendents representing unit districts and secondary districts prohibited any absolute conclusions regarding the type of school district and its relationship to the presence or absence of a formal evaluation system. Further, while the data indicated that larger Lake County school districts evaluated the superintendent by use

of a formal system more often than smaller districts, a more thorough investigation regarding the relationship between the size of a school district and the existence of a formal evaluation system should be undertaken before any absolute conclusions can be made.

Instructional Staff

Nearly all of the teachers employed by Lake County, Illinois, schools were evaluated on the basis of a formal evaluation systems. Further, through the collective bargaining process, the teachers may be providing subtle pressures on school boards and superintendents to adopt administrator appraisal systems.

Thirty-three out of the thirty-eight superintendents who responded reported that their teachers were evaluated on the basis of a formal evaluation system. In addition, an interesting observation was made regarding the instructional staff as it related to unionism and collective bargaining agreements in school districts.

Although the literature suggested that one reason that boards of education chose to evaluate the superintendent was because of pressures from teachers' unions, none of the superintendents reported any reference to administrative evaluation in the collective bargaining agreements that existed in their districts. However, it is possible that, in those school districts where a formal evaluation system was utilized to evaluate the teachers, there may have been a subtle pressure from the unions to extend the evaluation process to administrators and the superintendent. This observation was made because the data revealed that sixteen out of the seventeen school districts which utilized a formal system to evaluate the superintendent also had a collective bargaining agreement, and seven of those agreements described the evaluation procedures for teachers. While

only twenty-two superintendents reported that their districts had a collective bargaining agreement, it was interesting to note that sixteen of those collective bargaining agreements existed in districts where the superintendent was evaluated on the basis of a formal evaluation system. Superintendents and boards of education had been successful in keeping administrative evaluation out of the negotiations process as witnessed by the absence of any langauge pertaining to administrative evaluation in collective bargaining agreements. However, the fact that sixteen out of seventeen school districts which utilized a formal system to evaluate the superintendent also had a teacher collective bargaining agreement suggests that subtle pressures from unions may have influenced the development of formal systems to evaluate the superintendent.

Administrative Staff

Nearly all of the superintendents evaluated their subordinate administrators annually, although only slightly more than half utilized a formal system to complete the evaluation.

While thirty superintendents reported that they evaluated their administrative staff annually, only seventeen of those superintendents reported that they evaluated their administrators on the basis of a formal evaluation system. Further, sixteen of those seventeen formal evaluation systems used to evaluate subordinate administrators were utilized by superintendents who themselves were evaluated on the basis of a formal evaluation system. It was clear that superintendents who were evaluated on the basis of a formal evaluation system were also likely to evaluate their subordinate administrators on the basis of a formal evaluation system. Further, in a majority of the school districts where the super-

intendent was evaluated on the basis of a formal evaluation system, both the subordinate administrators and the teachers were also evaluated on the basis of a formal evaluation system. Thus, a complete personnel evaluation system encompassing all professional personnel existed in a majority of the school districts where the board of education utilized a formal system to evaluate its superintendent.

The Superintendent--Personal Characteristics

Superintendents who were evaluated on the basis of a formal evaluation system were younger, were employed fewer years as a superintendent, were in their current district as superintendent for fewer years, and held a higher academic degree, than their peers in districts which did not utilize a formal system.

The age of the superintendent was a very important factor in influencing the existence of formal evaluation systems, as evidenced by the fact that the mean age of superintendents representing districts that utilized a formal evaluation system was 43.6 years as opposed to 51 years for superintendents representing districts that did not utilize a formal evaluation system. Also, these "younger" superintendents expressed a greater concern for security in their positions and a greater interest in developing accountability systems such as management by objectives as compared to their peers who were older, nearing retirement, and probably more secure in their positions.

Consistent with the above conclusion was the fact that superintendents who represented districts that utilized a formal evaluation system were employed fewer years as a superintendent when compared to their peers who represented districts that did not utilize a formal system; i.e., 9.8 years as compared to 12.3 years. In addition, those superintendents

who were evaluated on the basis of a formal system were employed a mean of 5.9 years in their current district as compared to their peers who were employed a mean of 9.95 years and were not evaluated on the basis of a formal system. This finding suggested that superintendents who were evaluated on the basis of a formal system were comparatively "new" to their district.

As a result of an examination made pertaining to the academic degree held by the superintendent, it was determined that school boards which utilize a formal system to evaluate the superintendent employ a superintendent with a higher degree more often than those school boards which do not utilize a formal system. It was likely that if the superintendent held a doctorate degree then he was evaluated by the board of education on the basis of a formal system. The academic degree held by the superintendent was also examined in the context of the size of the school district as measured by student enrollment. The results of that examination suggested the possibility that the size of the school district influenced the degree level of the superintendent they employed since doctorate level superintendents were employed more often in larger school districts than smaller school districts. The size of the school district possibly influenced the degree level of the superintendent they employed, which may have further influenced whether or not a district would utilize a formal system to evaluate the superintendent.

Explanations Provided for Not Conducting an Annual Formal Evaluation of the Superintendent

Superintendents and board of education presidents who represented school districts that did not utilize a formal evaluation system for super-

intendents indicated that a formal evaluation system was not necessary. There existed an overall view that the superintendent was continually evaluated by the board of education and that if a formal evaluation system was used, such a system might stifle the "give and take" that existed between the board and the superintendent.

In addition, it was the general consensus between the board of education presidents and the superintendents that although a formal evaluation system did not exist, an informal evaluation of the superintendent occurred annually. This informal evaluation typically occurred during the time of contract renewal and salary considerations. Although there did not exist any formal system to provide a standard of effectiveness, the size of salary increases could reflect the degree to which a board of education was satisfied with the performance of a superintendent.

Conclusions Regarding Formal Evaluation Systems to Evaluate the Superintendent

For the most part, formal systems utilized to evaluate the superintendent had been developed by the superintendent and presented to the board for adoption. In some cases, systems were developed with assistance from the Illinois School Boards Association or an outside consultant. Generally, the systems were developed as a cooperative effort between the school board and the superintendent, with the superintendent providing the leadership, presenting a working model for the board to edit and rework, and finally the board adopting the system.

The systems that were developed were overwhelmingly based upon a management by objectives format combined with either a rating scale or a check list. The management by objectives system was particularly

prevalent in districts that employed doctorate level superintendents. As the literature encouraged the use of a management by objectives format as a part of the evaluation of the superintendent, it was clear that most of the districts that utilized a formal system to evaluate the superintendent in Lake County, Illinois, had been attuned to the trends described in the literature.

Inservice to board of education--Inservice to the board of education was seen as an important component to the successful evaluation system. Such inservice was typically divided into two components. The first component was the actual process of evaluating the superintendent. The second component was an ongoing inservice program for the board relating to the various components and programs that the board and the superintendent had cooperatively developed within the evaluation process. Further, it was suggested that if superintendents utilized the inservice process effectively, they would have an excellent opportunity to guide their board of education to a desired evaluation of their own performance.

Data collection devices available to the board to obtain the information to complete the formal evaluation of the superintendent--Boards of education relied primarily upon their own observations and perceptions in determining the evaluation of the superintendent. A few boards of education received input from subordinate administrators regarding their evaluation of the superintendent and over half of the boards of education accepted written self-appraisals from the superintendent.

The technique of the superintendent conducting a self-appraisal of his performance as well as conducting inservice for the board of edu-

cation provided the superintendent with an opportunity to exert his leadership in the district, maintain him as the administrator of the district, and ultimately limit the activities of the board to policy development. Thus, the utilization of these techniques by the superintendent sets the framework for what would become his own evaluation.

The establishment of district goals and objectives--An important component behind the formal evaluation of the superintendent was the mutual establishment of goals and objectives by the board of education in conjunction with the superintendent. The literature suggested that the established goals should ultimately become the yardstick for determining the successful performance of the superintendent. This position was generally agreed upon by all superintendents who were evaluated on the basis of a formal evaluation system regardless of whether or not their formal system utilized the management by objectives format or a rating scale or a check list. Further, the mutual establishment of goals and objectives could become the major vehicle for communication between the board and the superintendent and ultimately the basis for the final evaluation of the superintendent.

The purpose of the board of education evaluation of the superintendent--The literature suggested that there were primarily six possible purposes behind the board of education evaluation of the superintendent. Those possible purposes were:

1. Dismissal of the superintendent
2. Compensation for the superintendent
3. Improve board/superintendent relations

4. To determine the attainment of district goals
5. Professional growth of the superintendent
6. Placate teacher unions

Board of education presidents and superintendents were in general agreement as to the importance of the above possible purposes. While the board of education presidents ranked "to determine the attainment of district goals" as the most important purpose behind the board evaluation of the superintendent, superintendents ranked "to improve board/superintendent relations" as the most important purpose. In addition, both the board of education presidents and superintendents were in agreement that with the exception of "dismissal of the superintendent" and "to placate teacher unions," the remaining four possible purposes were all considered to be fairly important purposes behind the evaluation of the superintendent. There was also agreement that "to placate teacher unions" was not very important as a purpose for evaluating the superintendent.

The trend toward the formal evaluation of the superintendent--While the literature suggested that there had been an increased interest by the board of education to evaluate the superintendent and that "before this decade is out practically all school systems will have formal administrator appraisal systems"[1] only seventeen superintendents in Lake County, Illinois, reported the existence of a formal system to evaluate the superintendent. The systems that existed in Lake County, Illinois, were relatively new systems with only one in existence for more than five years, while the remaining systems were in existence for two or fewer years.

---

[1]Stephen J. Knezevich, Administration in Public Education, 3rd ed., (New York: Harper and Row, Publishers, 1975), p. 605.

However, there did seem to be an increased interest in the development of formal systems to evaluate the superintendent as five additional superintendents in Lake County, Illinois, reported that they and their boards were in the process of developing a formal system. Additionally, there had been considerable interest on the part of the Illinois School Boards Association in this topic as they had conducted a number of workshops for boards of education to assist them in developing such systems. Also, the American Association of School Administrators has taken an interest in the topic and recently published a pamphlet to assist superintendents with the process of the development of a formal system.

Summary

This study has attempted to analyze evaluation systems utilized by boards of education to evaluate the superintendent of schools. As a part of that analysis, an effort was made to determine the relationship between commonly accepted administrative functions and currently existing evaluation systems. In addition, exemplary evaluation systems were compared to those evaluation systems utilized in Lake County, Illinois.

To complete this study, a comprehensive examination of the literature was conducted. That examination included a review of administrative functions determined by the authorities, a review of the literature pertaining to the evaluation of administrators, and a review of the literature pertaining to the evaluation of school superintendents. As a result of the review of the literature, the administrative functions developed by Stephen J. Knezevich were selected as the functions for determining whether or not existing evaluation systems were based upon

administrative functions. Because the literature suggested that some systems utilized throughout the United States were exemplary systems to evaluate the superintendent, efforts were made to obtain such systems. Two evaluation systems were received as a result of that effort, and those two systems were utilized for purposes of comparing exemplary systems to currently existing evaluation systems in Lake County, Illinois.

A questionnaire was developed, field tested, and disseminated to fifty-two superintendents and board of education presidents in Lake County, Illinois. In addition, interviews were held with superintendents and board of education presidents in an effort to gain further insights and to obtain further explanations pertaining to the evaluation of the superintendent. The questionnaire and the personal interviews were the primary source of the data which was utilized in this study.

As a result of a thorough analysis of the systems utilized in Lake County, Illinois, to evaluate the superintendent, it was determined that to at least some degree, those systems were based upon commonly accepted administrative functions.

The Knezevich function of communicating was the most frequently cited administrative function in the Lake County evaluation systems. Other Knezevich functions which were frequently noted in Lake County evaluation systems were (in order of most frequently cited) resourcing, leading, appraising, programming, coordinating, staffing, politicking, and anticipating. Other Knezevich functions were noted in the evaluation systems reviewed, however, with limited frequency. In particular, the Knezevich function, deciding--resolving, was cited only three times in all of the evaluation systems that were reviewed.

The systems utilized in Lake County, Illinois, to evaluate the superintendent did not consider the commonly accepted administrative functions as the major topics in the evaluation process. Instead, the Lake County systems focused on major categories that had been established by the board of education and the superintendent.

The results of the data suggested that evaluating school superintendents on the basis of a formal evaluation system was a relatively new trend in Lake County, Illinois. Less than half of the superintendents indicated that their board of education conducted a formal evaluation of the superintendent.

Boards of education which conducted a formal evaluation of the superintendent employed a younger superintendent, who was likely to hold a doctorate level degree. In addition, the school district was probably an elementary school district and a larger school district. In most districts, the formal system that was utilized was based upon a management by objectives format and was developed mutually by the board and the superintendent, although the superintendent provided most of the leadership throughout the process of developing the system. Both board of education presidents and superintendents agreed that the two most important purposes behind the evaluation of the superintendent were "the attainment of district goals and objectives" and "to improve board/superintendent relations."

Finally, it was determined that the systems utilized to evaluate the superintendent in Lake County, Illinois, compared favorably to both systems that had been identified as exemplary, and to what the literature revealed pertaining to good evaluation systems.

Recommendations

An important purpose of this study was to develop an evaluation model which could be utilized by boards of education and superintendents as they develop or revise their formal system to evaluate the superintendent. Therefore, a model was developed based upon the characteristics of a good evaluation system as gleaned from the literature, the information obtained from the exemplary systems, and the information and techniques gleaned from Lake County, Illinois, superintendent evaluation systems. This section presents that model and recommendations for further study.

An Evaluation Model: A Guide for Developing or Revising Formal Evaluation Systems to be Utilized by Boards of Education to Evaluate the Superintendent

It is recommended that boards of education and superintendents consider the following model, or components therein, as they develop or revise formal systems to evaluate the superintendent.

"Evaluation Model"

1.0 Agreement that a Formal Evaluation of the Superintendent is Necessary

It is essential that both the board of education and the superintendent agree that a formal evaluation of the superintendent is worthwhile. The superintendent should assume leadership in this endeavor by inservicing the board as to the advantages of conducting such an evaluation. Other resources, such as university personnel or an agency such as a state school board association, should be considered as consultants for the board.

2.0 Determination of the Purpose of Evaluating the Superintendent

The board of education and superintendent should mutually agree upon the overall purpose behind evaluating the superintendent. Two major considerations should be: (1) to determine the attainment of district goals and (2) to improve board/superintendent relations. The purpose that is established should set the stage for both the development and implementation of the formal evaluation system.

3.0 Selection of Evaluation Format

A format for conducting the evaluation must be selected. It is recommended that a system based upon management by objectives be adopted. Such a system can be adapted to the overall evaluation purpose and is very amenable to goal oriented superintendents and boards of education.

Other systems' approaches to management such as Program, Planning, Budgeting System (PPBS) are also adaptable to an evaluation system and should be considered.

4.0 Recognize that Goal Attainment May Not Result in Board Satisfaction With the Superintendent's Performance

While goal attainment is considered to be an important consideration in evaluating the superintendent, boards of education and superintendents should understand that in the achievement of goals, the superintendent must perform basic administrative functions. The degree to which the board is satisfied with the superintendent's performance of the administrative func-

tions, coupled with the successful completion of goals, ultimately should be the board's evaluation of the superintendent.

4.1 Agreement upon Administrative Functions

The board and the superintendent should review the commonly accepted administrative functions that have been developed by the authorities. These functions can serve as organizers, or major "headings," for the board to consider as they evaluate the superintendent's effectiveness in working toward the achievement of goals.

The functions developed by Stephen J. Knezevich are recent (1975) and include the functions noted by most other authorities; and therefore, are recommended for consideration. Particular efforts should be made to review the superintendent's performance in the following (Knezevich) functions: communicating, resourcing, leading, appraising, programming, coordinating, staffing, politicking, and anticipating.

4.2 Establish an Instrument for Recording the Board of Education Evaluation of the Superintendent

By using common administrative functions as organizers, a rating scale should be devised. This rating scale can serve as the instrument to record the board's views as to the effectiveness of the superintendent in performing the administrative functions.

5.0 Sources of Information to Assist the Board in Reviewing the Performance of the Superintendent

The board must be continually cognizant that the evaluation of the superintendent should be based upon: (1) the attainment of established goals, and (2) the superintendent's successful performance of the administrative functions.

5.1 Board of Education Observation of the Superintendent

The board's own observation and perceptions of the superintendent most likely will be the source of information for reviewing the performance of the superintendent. Depending upon the particular goals that have been established, the board should decide when the board, as a committee of the whole, will review the superintendent's performance, versus, when the board should rely upon committees of the board for input.

5.2 Superintendent Monthly Progress Report

The superintendent should provide the board with a monthly progress report pertaining to the achievement of goals. This progress report should be discussed and it should be noted in the official board minutes that it had been reviewed.

5.3 Superintendent Self-Appraisal

The superintendent should provide an annual self-appraisal to the board. This self-appraisal should describe the progress that was made toward the completion of goals,

and should be geared to demonstrate competencies in the various administrative functions. If an evaluation instrument is utilized, the superintendent should complete the instrument and prepare a narrative to justify his choices.

6.0 The Process of Evaluation of the Superintendent

6.1 Inservice to the Board of Education

As close to the first board meeting following the seating of new board members (after spring elections), the superintendent should inservice the board on the complete board evaluation process.

6.2 Presentation of Goals and Objectives

Annually, at the first board meeting of each new fiscal year (July), the superintendent should provide the board with his assessment of "The State of the School District," and with his recommended goals and objectives for the new school year.

6.3 Board/Superintendent Collaboration and Agreement on Goals and Objectives

At the next board meeting following the superintendent's presentation of goals and objectives, the board and the superintendent should carefully review those goals and objectives, discuss them, and reach an agreement as to which goals and objectives the board would like the superintendent to pursue.

6.4 Superintendent's Progress Reports and Updating

At each subsequent board of education meeting, the superintendent should provide the board with a progress report pertaining to the goals and objectives. Further, as objectives are achieved during the course of the year, the superintendent should review the total objective and note specifically what had been achieved. The progress reports and particularly the reports pertaining to goal achievement should be recorded in the official minutes of the board of education meeting.

6.5 Annual Formal Evaluation of the Superintendent

The annual formal evaluation of the superintendent should occur prior to the annual board of education election. Thus, typically, a formal evaluation session should be scheduled for late March or early April of each year.

6.51 Inservice to Board

At the meeting preceding the formal evaluation session, the superintendent and the board president should conduct a brief inservice for the board pertaining to the evaluation process. At this meeting, the board president should distribute the evaluation instrument to all board members, with a specified due date for return to the board president.

6.52 Superintendent Self-Appraisal

At the meeting preceding the evaluation session, the superintendent should distribute copies of a self-appraisal of his performance. This self-appraisal should be a completed evaluation instrument accompanied with a narrative justification which discusses progress being made toward the district goals and objectives.

6.53 The Evaluation Session

The actual evaluation session should be conducted in executive session. Initially, the board should meet without the superintendent to review the compilation of the responses provided to the board president. Based upon this compilation, a composite evaluation should be prepared.

Once the composite evaluation has been completed, the superintendent should be called into the executive session and the evaluation should be presented to him.

Upon retiring from executive session, the board president should present a summary of the evaluation in open session, and the summary should be recorded in the official board minutes.

Recommendations for Further Study

Develop and field test an evaluation instrument to evaluate the superintendent, which is based upon commonly accepted administrative functions--An instrument could be constructed, which is based upon administrative functions, for purposes of board of education evaluation of the superintendent. This instrument should be field tested among varying types and sizes of school districts in an effort to obtain feedback on its usefulness, effectiveness, and ease of administration.

Conduct a similar study pertaining to the evaluation of subordinate school administrators by the superintendent--Although limited to the evaluation of the superintendent by the board of education, many aspects of this study could be applied to the evaluation of subordinate administrators by the superintendent. It would be of particular interest to determine whether or not those formal systems utilized by superintendents to evaluate subordinate administrators were related to the commonly accepted administrative functions. A study focusing on administrative evaluation systems could be beneficial to superintendents, particularly as the increased trend to evaluate administrators will probably increase pressure on superintendents to develop administrator evaluation systems.

Conduct a study pertaining to the appraisal of the performance of the board of education--While this study focused on the evaluation of the superintendent's performance, it was clear that the trend toward evaluation systems based upon goal attainment would mean that the board of education must also assume some responsibility for the success or failure of meeting district goals and objectives. Questions such as,

"How do boards of education demonstrate their accountability?", warrant exploration. Accordingly, a study which would explore the process of evaluating the performance of boards of education would have merit.

Conduct a study pertaining to the use of input of subordinates in determining the evaluation of the superintendent, or other subordinate administrators--This study noted that on a limited basis, some boards of education utilized input from subordinate administrators in performing the evaluation of the superintendent. It would have merit to investigate further how widespread this process is utilized. In addition, it would be interesting to examine the advantages and disadvantages of this process, and to determine if any serious repercussions have occurred, such as impaired relations between the superintendent and his subordinate administrators, as a result of this process.

REFERENCES

American Association of School Administrators. Staff Relations in School Administration, Thirty-third Yearbook. Arlington, VA: The Association, 1957.

Barnard, Chester I. The Functions of the Executive. 20th ed. Cambridge: Harvard University Press, 1938-1971.

Bartley, Mary Lou. "The Ways Superintendents and Board Members Coax Each Other to Agree." The American School Board Journal. (February 1977): 24-26.

Bauersachs, L. D., reporter. "Evaluation of the Administrative Staff." Illinois School Board Journal (March-April 1976): 52-53.

Bell, Terrel H. A Performance Accountability System for School Administrators. West Nyack, NY: Parker Publishing Company, Inc., 1974.

Best, John W. Research in Education. Englewood Cliffs: Prentice-Hall, Inc., 1959.

Boyd, James B. "How to Appraise School Superintendents." Nation's Schools 78 (July 1966): 34-38.

Browder, Lesley H. (ed.). Emerging Patterns of Administrative Accountability. Berkeley, CA: McCutchan Publishing Corporation, 1971.

Browder, Lesley H. Jr.; Atkins, William A.; and Kaya Esin. Developing An Educationally Accountable Program. Berkeley, CA: McCutchan Publishing Corporation, 1973.

California School Boards Association. "Guidelines for Evaluating A Superintendent." Cited in Educational Research Service, Inc., Evaluating Superintendents and School Boards, pp. 91-107. Arlington, VA: Educational Research Service, Inc., 1976.

Campbell, Roald F.; Corbally, John E.; and Ramseyer, John A. Introduction to Educational Administration. 2d ed. Boston: Allyn and Bacon, Inc., 1960.

Campbell, Roald F., and Gregg, Russell T., (eds.). Administrative Behavior in Education. New York: Harper and Brothers Publishers, 1957.

Coleman, James S. et al, Equality of Educational Opportunity. U.S. Department of Health, Education and Welfare. Washington, D.C.: U.S. Government Printing Office, 1966.

Doty, Stephen L. Memorandum Pertaining to Appraisal and Evaluation of Administrators. Springfield: Illinois Association of School Boards, not dated.

Educational Research Service, Inc. Evaluating Superintendents and School Boards. Arlington, VA: Educational Research Service, Inc., 1976.

Educational Research Service, Inc. Evaluating the Superintendent of Schools. Washington, D.C.: Educational Research Service, Inc., 1972.

Fayol, Henri. "The Administrative Theory In The State," trans. Sarah Greer. In Papers on the Science of Administration, pp. 101-114. Edited by Luther Gulick and L. Urwick. New York: Institute of Public Administration, 1937.

Fitzgerald, Ronald J. The Role of the Superintendent of Schools in Massachusetts. Boston: The Massachusetts Advisory Council on Education and the Massachusetts Association of School Superintendents, 1975.

Fowler, Charles W. "How to Let (and Help) Your Superintendent be a SUPERINTENDENT." The American School Board Journal (September 1975): 19-22.

Fowler, Charles W. "When Superintendents Fail." The American School Board Journal (February 1977): 21-23.

Genck, Fredric H.; and Klingenberg, Allen. "How to Monitor Your Management Performance." Illinois School Board Journal. (May-June, 1974): 57-65.

Gulick, Luther. "Notes on the Theory of Organization." In Papers on the Science of Administration, pp. 1-45. Edited by Luther Gulick and L. Urwick. New York: Institute of Public Administration, 1937.

Gulick, Luther, and Urwick, L. (eds.). Papers on the Science of Administration. New York: Institute of Public Administration, 1937.

Gregg, Russell T. "The Administrative Process." In Administrative Behavior in Education, pp. 269-317. Edited by Roald Campbell and Russell T. Gregg. New York: Harper and Brothers Publishers, 1957.

Halpin, Andrew W. (ed.). Administrative Theory in Education. Danville, IL: The Midwest Administration Center, University of Chicago, 1958.

Herman, Jerry J. Developing an Effective School Staff Evaluation Program. West Nyack, NY: Parker Publishing Company, Inc., 1973.

House, Ernest R. School Evaluation: The Politics and Process. Berkeley, CA: McCutchan Publishing Corporation, 1973.

Illinois Association of School Boards. Planned Appraisal of the Superintendent. Springfield, IL: Illinois Associations of School Boards, 1976.

Illinois Association of School Boards. "Some Suggestions for Better Board/Administrator Relations." Illinois School Board Journal (November-December 1975): 6-8.

(Illinois) Office of the Superintendent of Public Instruction, Action Goals for the Seventies: An Agenda for Illinois Education, Springfield, IL: The Office of the Superintendent of Public Instruction, 1973.

Klingenberg, Allen. "Superintendent's Evaluation Program--Lake Forest Model." Speech presented to Illinois Association of School Boards. Chicago, IL: September, 1976.

Knezevich, Stephen J. Administration of Public Education, 3d ed. New York: Harper and Row, Publishers, 1975.

Knezevich, Stephen J. (ed.). Creating Appraisal and Accountability Systems: New Directions for Education. Washington: Jossey-Bass Inc., Publishers, 1973.

Knezevich, Stephen J. "Designing Performance Appraisal Systems." In New Directions for Education, volume 1, number 1. pp 37-51. Washington: Jossey-Bass Inc., Publishers, 1973.

Mc Call, Robert B. Fundamental Statistics For Psychology. New York: Harcourt Brace Jovanovich, Inc., 1975.

Mc Carty, Donald J. "Evaluating Your Superintendent." School Management 15 (July 1971): 38-39.

Marland, Sidney P. "Accountability in Education," Teachers College Record, volume 73, 1973. Quoted by Allan C. Ornstein, Daniel U. Levine, and Doxey A. Wilkerson, Reforming Metropolitan Schools, p. 76. Pacific Palisades: Good Year Publishing Co., Inc., 1975.

Metzger, Melvin Augusta. "Identification and Analysis of the Current Methods of Evaluating Principals in the Public Schools of the State of Maryland." Ed.D dissertation George Washington University, 1976. Cited by Dissertation Abstracts International, p. 4756-A. Volume 37A #8, February, 1977.

Morphet, Edgar L.; Johns, Roe L.; and Reller, Theodore L. Educational Organization and Administration. Englewood Cliffs: Prentice-Hall, Inc., 1974.

National School Boards Association. "Policies to Set Up a Mutual Board-Superintendent Evaluation." The American School Board Journal. (February 1977): p. 23.

Nixon, Richard M. Presidential "Education Message." (March 1970). Quoted by William Bernard Thiel, "Trends in Accountability and Educational Assessment Through State Legislative Action." Ed.D dissertation, Loyola University of Chicago, 1975.

(Olds, Robert.) How to Evaluate Administrative and Supervisory Personnel. Volume IX AASA Executive Handbook Series. Arlington, VA: American Association of School Administrators, 1977.

Ornstein, Allan C.; Levine, Daniel U.; and Wilkerson, Doxey A. Reforming Metropolitan Schools. Pacific Palisades: Good Year Publishing Co., Inc., 1975.

Redfern, George B. "Accountability: Echoes from the Field." The National Elementary Principal. 55 (March/April 1976): 42-46.

Redfern, George B. How to Evaluate Teaching: A Performance Objectives Approach. Westerville, Ohio: School Management Institute, 1972.

Ricketts, Kenneth E. "Accountability Starts with the Superintendent." Phi Delta Kappan. 55 (September 1973): 70-73.

Rowland, Virgil K. Evaluating and Improving Management Performance. New York: McGraw-Hill Book Company, Inc., 1970.

Shakman, Richard J.; and Roberts, Ray C. Jr. "An Evaluation of Management Effectiveness." University of Michigan Business Review. 29 (January 1977): 24-27.

Simon, Herbert A. Administrative Behavior: A Study of Decision Making Processes in Administrative Organizations. New York: The Macmillan Company, 1951.

Smith, Thomas A. "How to Evaluate Your Superintendent." Illinois School Board Journal. (May-August 1976): 53-56.

Theil, William Bernard. "Trends in Accountability and Educational Assessment through State Legislative Action." Ed.D. dissertation, Loyola University of Chicago, 1975.

Turner, Lloyd L. "Your Superintendent: When to Recharge Him--or Discharge Him." American School Board Journal (July 1971): 16-19.

Warner, Peter B., and Genck, Fredric H. "Three Ways to Improve the Board-Superintendent Relationship." (January-February 1976): 32-36.

Winkler, Dwight Donald. "The Role of the Superintendent in Texas as Perceived by the Superintendent and His School Board President." Ph.D. dissertation, Texas A and M University, 1976. Cited in Dissertation Abstracts International, p. 4756-A. Volume 37A #8, February, 1977.

APPENDIX A

PUBLIC SCHOOLS, LAKE COUNTY, ILLINOIS

Appendix A

PUBLIC SCHOOLS, LAKE COUNTY, ILLINOIS

1977-1978 SCHOOL YEAR

	District Number	Name of District	Enrollment
Elementary Districts	#1	Winthrop Harbor	860
	#3	Beach Park C. C.	1101
	#6	Zion Elementary	2831
	#10	Lotus	213
	#11	Newport C. C.	230
	#24	Millburn C. C.	185
	#33	Emmons	193
	#34	Antioch C. C.	1672
	#36	Grass Lake	316
	#37	Gavin	964
	#38	Big Hollow	500
	#41	Lake Villa C. C.	1570
	#46	Grayslake C. C.	705
	#47	Avon Center	612
	#50	Woodland C. C.	2297
	#56	Gurnee Grade	1114
	#64	North Chicago	3872
	#65	Lake Bluff	873
	#67	Lake Forest	1837
	#68	Oak Grove	489
	#70	Libertyville	2356
	#72	Rondout	114

	District Number	Name of District	Enrollment
	#73	Hawthorn C. C.	1478
	#75	Mundelein	1634
	#76	Diamond Lake	710
	#79	Fremont	534
	#96	Kildeer Countryside	1493
	#102	Aptakisic-Tripp	408
	#103	Lincolnshire-Prairie View	1104
	#106	Bannockburn	187
	#107	Highland Park	1057
	#108	Highland Park	2781
	#109	Deerfield	1632
	#110	Deerfield-Riverwoods	1550
	#111	Highwood-Highland Park	1402
	#114	Fox Lake Grade	682
High School Districts	#113	Township High School	4836
	#115	Lake Forest Community	1767
	#117	Antioch Community	1807
	#120	Mundelein Consolidated	1555
	#121	Warren Township	1674
	#123	North Chicago Community	1423
	#124	Grant Community	1164
	#125	Adlai E. Stevenson	1287
	#126	Zion-Benton Township	2255
	#127	Grayslake Community	1021
	#128	Libertyville Community	2140

	District Number	Name of District	Enrollment
Unit Districts	#60	Waukegan	13282
	#95	Lake Zurich	3114
	#116	Round Lake	5380
	#118	Wauconda	2940
	#220	Barrington	7294

APPENDIX B

LETTER TO MEMBERS OF JURY REGARDING FIELD TESTING THE SURVEY INSTRUMENT

SPECIAL EDUCATION DISTRICT of LAKE COUNTY

4440 West Grand Avenue Gurnee, Illinois 60031 312-623-0021

August 16, 1977

Dear

Thank you very much for your willingness to assist me with my dissertation by serving as a member of a jury to field test my questionnaire. For your information, the jury is made up of the following members:

My dissertation will attempt to analyze systems utilized by Boards of Education to evaluate superintendents. As a part of this analysis, I will attempt to determine the relationship between evaluation systems that are utilized and commonly accepted administrative functions. (I will be utilizing the sixteen functions developed by Stephen Knezevich for purposes of comparison). In addition, as a result of this study, I hope to develop an "evaluation model" which can be utilized by Boards of Education and superintendents as a sample evaluation system.

My purpose in seeking your assistance is to obtain your comments on the questionnaire itself before it is distributed to my total population. The population will include all superintendents and Board of Education presidents in all of the public schools in Lake County, Illinois.

Inasmuch as I am seeking data from both the superintendent and the president of the Board of Education, two questionnaires will be utilized. However, the only difference between the two is that the superintendent is asked to provide additional information pertaining to District Demographics, Instructional Staff, and (himself) the superintendent.

Accordingly, at this time, you are not asked to answer the questions on the questionnaire, but rather I am asking you to comment on the actual questionnaire. I am seeking your advice and counsel as to:

1. Content: In your opinion, do each of the questions seem to be soliciting information that will be useful for fulfilling my dissertation goals? If not, how can the question be modified or should it be eliminated?

2. Construction: In your opinion, is the format of the questionnaire and individual questions, easy to handle and easily understood? Do any of the questions lend themselves to ambiguities? If so, how can the question be modified?

Please write your comments directly on the questionnaire and do feel free to offer comments and/or suggestions as you feel appropriate.

Finally, as a matter of protocol, it is my plan to ask the superintendent to provide the Board President with his questionnaire, as opposed to mailing directly to the Board President. Do you agree with that plan, or do you feel that a direct mailing to Board Presidents may facilitate an increased number of returned questionnaires? Please let me know.

Thank you very much for your assistance. I have enclosed a stamped, self-addressed envelope for your convenience and would appreciate hearing from you by August 29, 1977.

Sincerely yours,

Robert J. Roelle

RJR:de

APPENDIX C

QUESTIONNAIRE COMPLETED BY SUPERINTENDENTS

APPENDIX C
BOARD OF EDUCATION EVALUATION OF SUPERINTENDENT

Questionnaire

(To be completed by the Superintendent)

DISTRICT DEMOGRAPHICS:

Type of District: (please check) Elementary ____ Secondary ____ Unit ____

Size of District: (Enrollment) _____

Geographic Location: (please check) Urban ____ Suburban ____ Rural ____

1975 (tax year) Assessed Valuation Per Pupil A.D.A.: _____

INSTRUCTIONAL STAFF:

Total number of professional staff (non-administrative) _____

Are the teachers evaluated annually be Administrative/Supervisory staff, on the basis of a formal evaluation system? Yes ____ No ____

Does the district have a collective bargaining agreement with the teachers? Yes ____ No ____

If yes, does the agreement describe procedures for evaluating the teachers? Yes ____ No ____

If yes, does the agreement make any reference to the evaluation of the administrative staff? Yes ____ No ____

ADMINISTRATIVE STAFF:

Please indicate the number of administrators your district employs in the following categories:

Assistant Superintendents _____

Business Managers _____

Curriculum Coordinators _____

Pupil Personnel Coordinators _____

Principals _____

Assistant Principals _____

Other (please name) _____

Are the administrators (above) evaluated by the superintendent on an annual basis? Yes ____ No ____

Is a formal evaluation system uitlized to evaluate the above administrators? Yes ____ No ____

SUPERINTENDENT:

What is your age? _____

How many years have you been employed as a superintendent? _____

How many years have you been superintendent in this district? _____

Please indicate the highest degree you have obtained by checking (✓):

Masters Degree _____

Certificate of Advanced Standing (CAS) _____

Doctorate Degree _____

BOARD OF EDUCATION EVALUATION OF SUPERINTENDENT:

Does the Board of Education conduct an annual evaluation of the superintendent's performance? Yes ____ No ____

If "No," why not? Please explain.

If yes, is a formal evaluation system utilized by the Board to evaluate the Superintendent? Yes ____ No ____

If a formal system is not utilized, (but the superintendent is evaluated) how is the evaluation completed? Please explain.

If a formal system is utilized, how would you describe it? (Please check).

Management by Objectives _____

Checklist _____

Rating Scale _____

Essay or "Blank Narrative" _____

Other (please explain) _____

How long has the Board utilized this system? _____

Why was this particular format chosen? Please explain.

Please briefly describe the role, if any, each of the following played in the initiation and development of the evaluation system:

The Board:

The Superintendent:

The Faculty:

Other (please define and explain):

In considering the data collection devices available to the Board to obtain information to complete the formal evaluation of the superintendent:

Does the superintendent provide the Board with a written self-appraisal? Yes ____ No ____

Do subordinate administrators provide written input to the Board regarding their evaluation of the superintendent? Yes ____ No ____
If yes, please briefly describe this process:

To what degree does the Board rely upon its own observations and perceptions? Please explain:

The literature has suggested that the items listed below are often cited as the purposes of the Board of Education evaluation of the superintendent. In considering the purpose of the Board's evaluation of the superintendent, how important do you feel the following items to be? Please indicate by checking the appropriate number which is closest to the descriptor you believe to most accurately describe the importance of each item.

		1*	2	3	4	5	6	7**
1.	Dismissal of Superintendent							
2.	Compensation for Superintendent							
3.	Improve Board/Superintendent Relations							
4.	To determine attainment of District goals							
5.	Professional growth of Superintendent							
6.	Placate teacher unions							

* Not very important
** Extremely important

To what degree does the evaluation system fulfill its stated purpose(s)? Please explain:

Does the Board approve a job description for the superintendent?
Yes ____ No ____

If yes, please briefly explain the respective roles of the Board and the superintendent in the development of the job description:

Is the job description included as a part of the superintendent's contract? Yes ____ No ____

Is the system to evaluate the superintendent included as a part of the superintendent's contract? Yes ____ No ____

Name of person completing questionnaire _____

Name of school district and number _____

Request for Copy of Board of Education Evaluation System to Evaluate the Superintendent:

Dear Superintendent:

If your Board utilizes a formal system (of any kind, i.e., rating scale, checklist, etc.) to evaluate your performance, I would appareciate your sending a copy along with this questionnaire.

Have you included a copy? Yes _____ No _____

Please return to: Robert Roelle
Special Education District of Lake County
4440 West Grand Avenue
Gurnee, IL 60031

Thank you.

APPENDIX D

QUESTIONNAIRE COMPLETED BY BOARD OF EDUCATION PRESIDENTS

APPENDIX D

Questionnaire

(To be completed by Board of Education President)

BOARD OF EDUCATION EVALUATION OF SUPERINTENDENT:

Does the Board of Education conduct an annual evaluation of the superintendent's performance? Yes ____ No ____

If "No," why not? Please explain.

If yes, is a formal evaluation system utilized by the Board to evaluate the superintendent? Yes ____ No ____

If a formal system is not utilized, (but the superintendent is evaluated) how is the evaluation completed? Please explain.

If a formal system is utilized, how would you describe it? (Please check).

Management by Objectives _____

Checklist _____

Rating Scale _____

Essay or "Blank Narrative" _____

Other (please explain) _____

How long has the Board utilized this system? _____

Why was this particular format chosen? Please explain.

Please briefly describe the role, if any, each of the following played in the initiation and development of the evaluation system:

The Board:

The Superintendent:

The Faculty:

Other (please define and explain):

In considering data collection devices available to the Board to obtain information to complete the formal evaluation of the superintendent:

Does the superintendent provide the Board with a written self-appraisal? Yes ____ No ____

Do subordinate administrators provide written input to the Board regarding their evaluation of the superintendent? Yes ____ No ____
If yes, please briefly describe this process:

To what degree does the board rely upon its own observations and perceptions? Please explain:

The literature has suggested that the items listed below are often cited as the purposes of the Board of Education evaluation of the superintendent. In considering the purpose of the Board's evaluation of the superintendent, how important do you feel the following items to be? Please indicate by checking the appropriate number which is closest to the descriptor you believe to most accurately describe the importance of each item.

		1*	2	3	4	5	6	7**
1.	Dismissal of Superintendent							
2.	Compensation for Superintendent							
3.	Improve Board/Superintendent Relations							
4.	To determine attainment of District goals							
5.	Professional growth of Superintendent							
6.	Placate teacher unions							

* Not very important
** Extremely important

To what degree does the evaluation system fulfill its stated purpose(s)? Please explain:

Des the Board approve a job description for the superintendent?
Yes ____ No ____

If yes, please briefly explain the respective roles of the Board and the superintendent in the development of the job description:

Is the job description included as a part of the superintendent's contract? Yes ____ No ____

Is the system to evaluate the superintendent included as a part of the superintendent's contract? Yes ____ No ____

Name of person completing questionnaire _____

Name of school district and number _____

APPENDIX E

LETTER FROM DISSERTATION ADVISOR

APPENDIX E

Dear Sir:

This letter is to introduce to you Mr. Robert Roelle, a doctoral student at Loyola University. Please be advised that the doctoral study Mr. Roelle is conducting has been approved by his dissertation committee. As his faculty adviser, I have encouraged him in this project and hope you will take time to assist him in his data gathering procedures.

Be assured that Mr. Roelle is a capable, professional, ethical person. I am certain he will respect your confidentiality and anonymity as you desire.

Your cooperation is sincerely appreciated by Mr. Roelle and by myself.

Sincerely,

Dr. Robert L. Monks
Assistant Professor
Department of Educational Administration

RLM:mc

APPENDIX F

LETTER FROM EMPLOYING SUPERINTENDENT

APPENDIX F

SPECIAL EDUCATION DISTRICT of LAKE COUNTY

4440 West Grand Avenue Gurnee, Illinois 60031 312-623-0021

September 6, 1977

Dear Member District Superintendent and Board of Education President:

I am writing to seek your assistance and cooperation on behalf of Robert Roelle, SEDOL's Assistant Superintendent.

Mr. Roelle is completing work leading to the Doctorate of Education at Loyola University of Chicago, and is now preparing his dissertation which will focus on Board of Education Evaluation of the Superintendent. Mr. Roelle has done extensive work for SEDOL in all areas of personnel evaluation, and I feel that the study he has undertaken can be of further benefit to SEDOL and the member districts.

Mr. Roelle has assured me that the results of his study will be shared with all member districts should they desire.

I, therefore, endorse Mr. Roelle's study as an approved SEDOL study and seek your cooperation in completing the questionnaire and returning it to Mr. Roelle.

Sincerely yours,

SPECIAL EDUCATION DISTRICT
OF LAKE COUNTY

L. D. Vuillemot
Superintendent

LDV:de

APPENDIX G

EXPLANATORY LETTER ACCOMPANYING SUPERINTENDENT QUESTIONNAIRE

APPENDIX G

SPECIAL EDUCATION DISTRICT of LAKE COUNTY

4440 West Grand Avenue Gurnee, Illinois 60031 312-623-0021

September 6, 1977

Dear Superintendent:

This letter is to seek your assistance with my dissertation research, which I am conducting as a doctoral student at Loyola University of Chicago.

My topic is "Analysis of Systems Utilized for Evaluating School Superintendents." As a part of this analysis, I will attempt to determine the relationship between evaluation systems utilized to evaluate Superintendents, and commonly accepted administrative functions. In addition, as a result of this study, I plan to develop an "evaluation model" which can be utilized by Boards of Education and Superintendents as a model for developing or revising evaluation systems to evaluate the Superintendent.

To complete this research, I am seeking your assistance by asking you to:

1. Complete and return the enclosed questionnaire.

2. If your Board of Education completes a formal evaluation of your performance, and a written format describes that process, would you please provide a copy of that written evaluation process?

3. Ask the President of your Board of Education (or another Board of Education member if you desire) to complete and return a similar questionnaire which is enclosed.

I assure you that all responses will remain confidential and that there will be no duplication of materials that you provide without your permission.

To facilitate the completion of this study, I would appreciate hearing from you by September 24, 1977. I recognize that you maintain a busy schedule and am hopeful that this will provide you with ample time to complete and return the materials.

I thank you in advance for your assistance and cooperation.

Sincerely yours,

Robert J. Roelle

RJR:de

Enclosures: Self-addressed envelope
Questionnaire
Materials for the Board of Education President

APPENDIX H

EXPLANATORY LETTER ACCOMPANYING BOARD OF EDUCATION PRESIDENT QUESTIONNAIRE

APPENDIX H

SPECIAL EDUCATION DISTRICT of LAKE COUNTY

4440 West Grand Avenue Gurnee, Illinois 60031 312-623-0021

September 6, 1977

Dear Board of Education President:

This letter is to seek your assistance with my dissertation research, which I am conducting as a doctoral student at Loyola University of Chicago.

My topic is "Analysis of Systems Utilized for Evaluating School Superintendents." As a part of this analysis, I will attempt to determine the relationship between evaluation systems utilized to evaluate Superintendents, and commonly accepted administrative functions. In addition, as a result of this study, I plan to develop an "evaluation model" which can be utilized by Boards of Education and Superintendents as a model for developing or revising evaluation systems to evaluate the Superintendent.

To complete this research, I am seeking your assistance by asking you to complete and return the enclosed questionnaire. I have also asked your Superintendent to complete a very similar questionnaire.

I assure you that all responses will remain confidential and that there will be no duplication of materials that you provide.

To facilitate the completion of this study, I would appreciate hearing from you by September 24, 1977. I recognize that you maintain a busy schedule and am hopeful that this will provide you with ample time to complete and return the materials.

I thank you in advance for your assistance and cooperation.

Sincerely yours,

Robert J. Roelle

RR:de

Enclosures: Self-addressed envelope
Questionnaire

APPENDIX I

INTERVIEW GUIDE

APPENDIX I

Interview Guide

The questions listed below were utilized to guide the interview with superintendents who had indicated that their district did not utilize a formal system to evaluate the superintendent. Each question was asked in order, and in the same way, in an effort to make the responses comparable.

1. Is there a reason why you or your school board have not developed a formal system to evaluate the superintendent? Please explain.

2. Do you think your school board and you, as the superintendent, could benefit from a formal system to evaluate the superintendent? Why?

3. While your district does not evaluate you by utilizing a formal system, do they evaluate you informally? If so, how does the process work?

4. What do you think the purpose of a board of education evaluation of the superintendent should be?

5. If you were to develop an evaluation system for the board to evaluate the superintendent, would you utilize a rating scale?, a checklist?, a management by objectives system?, or some other system? Why?

6. If you were to develop an evaluation system, would you provide opportunities for subordinate administrators, and/or faculty to provide input to the board regarding their evaluation of the superintendent? Please explain the reasons for your response.

7. If you were to develop a formal system to evaluate the superintendent, would you do it yourself and present it to the board for adoption; or would you request board input and involvement during the development of the system? Please explain.

8. If you and/or your board were to decide to develop a system to evaluate the superintendent, what problems might you anticipate in the process of developing such a system?

9. If you were to develop a formal system to evaluate the superintendent, what kind of information and/or assistance do you think would be helpful to you? Please explain.

APPROVAL SHEET

The dissertation submitted by Robert J. Roelle has been read and approved by the following committee:

Dr. Robert L. Monks, Director
Assistant Professor, School of Education, Loyola University

Dr. Melvin P. Heller, Chairman and Professor
Department of Administration and Supervision
School of Education, Loyola University

Dr. Jasper J. Valenti, Professor and Associate Dean
School of Education, Loyola University

The final copies have been examined by the director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the Committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Education.

12-9-77
Date

Dr. Robert L. Monks
Director's Signature