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An Analysis of the Art of Evaluating Public School Principals between 1968 and 1978 in Selected Public School Districts in Lake County, Illinois

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AN ANALYSIS OF THE ART OF EVALUATING PUBLIC SCHOOL PRINCIPALS
BETWEEN 1968 AND 1978 IN SELECTED PUBLIC SCHOOL DISTRICTS
IN LAKE COUNTY, ILLINOIS

The Purpose and Procedures of the Study

The general purpose of this study was to analyze the development of principal evaluation systems in public school districts in Lake County, Illinois, over a ten year period, 1968-1978. Specifically, the study sought to identify the current methods and procedures utilized in the evaluation of public school principals at the time of this research; to identify the methods and procedures used previously to evaluate public school principals; to determine in which direction the evaluation of public school principals proceeded from the 1968-69 school year to the 1977-78 school year; and to ascertain, according to superintendents and principals, where the evaluation of public school principals was heading in the future. Questionnaires were mailed to fifty-one superintendents in Lake County, Illinois. Of the fifty-one superintendents, thirty-nine superintendents, or seventy-six percent, responded to the questionnaire. Personal interviews were conducted with twelve superintendents and twelve principals who achieved tenure of ten years or more in their respective administrative positions in the same school district.

Findings of the Study

As a result of this study the following findings were reached:

1. Ninety-seven percent of the superintendents who responded to this

study evaluated their principals annually; fifty-five percent of the responding superintendents utilized formal procedures in the evaluation of principals. (2) Two trends were uncovered between 1968 and 1978 relative to the methods and procedures utilized to evaluate public school principals, - one trend indicated a movement toward the adoption of formal procedures to evaluate principals; and the second trend indicated a movement toward the utilization of management by objectives techniques to evaluate principals. (3) Both of these trends will continue into the future.

Recommendations

The following recommendations are in order: (1) principals should be formally evaluated annually; (2) boards of education should adopt an official policy statement relative to the evaluation of principals; (3) purposes for the evaluation of principals must be delineated; (4) performance standards against which a principal's performance will be assessed must be developed; (5) the principal should be involved in the development of the principal evaluation system; (6) the principal should play an active role in the evaluation process; (7) opportunities should be provided for the principal to respond and appeal the evaluative findings; (8) suggested corrective measures in writing, along with sufficient time to correct identified deficiencies, should be provided principals; (9) a multi-dimensional approach should be employed in the formal evaluation of principals; (10) the formal principal evaluation system must be evaluated annually.

AN ANALYSIS OF THE ART OF EVALUATING PUBLIC SCHOOL PRINCIPALS
BETWEEN 1968 AND 1978 IN SELECTED PUBLIC SCHOOL DISTRICTS
IN LAKE COUNTY, ILLINOIS

by

Albert James Palucci

A Dissertation Submitted to the Faculty of the Graduate School
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VITA

The author, Albert James Palucci, is the son of Albert and Della Palucci. He was born March 16, 1940, in Chicago, Illinois.

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CHAPTER I

INTRODUCTION

As a result of the increasing growth in the size and complexity of educational institutions during the last two decades, the role of the public school principal has changed radically. The present-day principal is now responsible for many varied managerial and instructional functions. The role of the principal during the seventies was very eloquently and precisely described by Knezevich, when he wrote:

The principal in a public school, whether at the elementary or secondary school level, is a counselor of students, the school disciplinarian, the organizer of the schedule, the supervisor of the instructional program, the pupil-relations representative for the attendance area, the liason between teachers and the superintendent, the director and evaluator of teaching efforts, the manager of the school facilities, the supervisor of custodial and food-service employees within the building, and a professional leader.¹

Knezevich goes on to say, "little wonder that it is a demanding position as well as one of considerable significance in determining the direction of public schools."²

Concomitant with the changing role of the principal in the last two decades has been the movement towards accountability, which had its origins in the business world. There are as many definitions given for

¹Stephen J. Knezevich, Administration of Public Education (New York: Harper & Row, 1975), p. 395.

²Ibid.

the concept of accountability in education as there are writers who have written about it. Probably the most simplistic definition of accountability was given by Ornstein, when he wrote, "accountability . . . in its simplest form, means to hold someone (or some group or agency) responsible for his behavior or action."³ When one talks about holding a system or person accountable for some predetermined actions, one in effect is speaking of evaluation. The manner in which public school principals has been evaluated has not kept pace with the principal's changing role. Hunt and Buser have written that, "all too often in the past the evaluation of principals has been perfunctory."⁴

Prior to the initiation of the accountability movement, the evaluation of school administrators was very informal in nature. However, as the accountability movement accelerated, and the size and complexity of educational institutions increased, a need for more formal procedures arose. This need for more formality in the evaluation procedure was illustrated by the following quote:

When schools were small and simply structured, top administrators did not need a formal procedure because they could assess the strengths and weaknesses of their subordinates from firsthand knowledge. 'The accelerated growth of most school systems within the past three decades, however, has produced

³Allan C. Ornstein, Teaching in a New Era (Champaign, Illinois: Stipes Publishing Company, 1976), p. 57.

⁴John Hunt and Robert L. Buser, "Evaluating the Principal - Partnership or Paternalism?" National Association of Secondary School Principals (December 1977), p. 10.

organizations of greater size and complexity, and formal procedures for evaluating administrators have become a necessity.⁵

In referring specifically to principal evaluation, Rancic wrote:

Too often you will hear principals comment "I must be doing well, I haven't heard from anyone." Another familiar remark is 'The only time a principal gets evaluated is when he makes a serious mistake.'⁶

Rancic went on to ask the question, "Are principals evaluated only when there are complaints leveled against them?"⁷ In the age of informality an answer of "yes" would have been acceptable; but today, hopefully the answer is "no".

This dissertation sought to answer the question posed by Rancic. Furthermore, it sought to aid in the development of viable procedures and processes that would make the evaluation of principals more meaningful and productive in the future.

Purpose of the Study

The general purpose of this study was to analyze the development of principal evaluation systems in public school districts in Lake County, Illinois, over a ten-year period, 1968-1977. Specifically, this study sought to answer the following questions:

⁵Terry Barraclough, "Evaluation of School Administrators," School Leadership Digest, 1974, p. 1.

⁶Edward T. Rancic, "Superintendents! Take Stock of Your Principals," Illinois Principal (September 1971): p. 6.

⁷Ibid.

- 1) What were the current methods and procedures being utilized in the evaluation of public school principals at the time of this research?
- 2) What were the methods and procedures used previously?
- 3) In what direction (i.e. evolvement from informal to formal; shift in emphasis from procedures based primarily on checklists or rating scales to procedures based upon the accomplishment of predetermined goals and objectives) did the evaluation of public school principals proceed from the 1968-69 school year to the 1977-78 school year?
- 4) According to superintendents and principals, where was the evaluation of principals headed?

Along with fulfilling the general purpose of this study, the relationship between a given set of selected factors (i.e. the makeup of the Board of Education, the size of the school district, the tenure of the superintendent and principal, etc.) and the manner in which public school principals were evaluated was researched and analyzed. It was felt that a relationship existed between these factors and the manner in which public school principals were evaluated. An additional aspect of this study was to elicit the responses of principals and superintendents relative to an ideal principal evaluation system.

A concluding purpose of this research, which was a direct spinoff from the responses received from the principals and superintendents relative to their observations concerning an ideal

evaluative process, was the development of an evaluative model for the evaluation of principals. The model reflected an evaluative procedure which encompassed input from both the superintendents and principals as a result of the questionnaire and the interview process. Data were also obtained for the construction of the model as a result of the review of the literature and also a review of copies of evaluative procedures supplied by superintendents who participated in the research and by George Redfern. The model, therefore, is a direct result of the research conducted for this dissertation.

Rationale for Study

The major or guiding rationale behind this study was derived from what has been called by Nicholson the "Accountability Syndrome"⁸ of the seventies. According to Knezevich, "Accountability has replaced relevance as the most popular word in the vocabulary of writers and speakers on education."⁹ Redfern, in a book on evaluating teachers, proclaimed that "This is the age of accountability."¹⁰ Nicholson has written, "There is little doubt that accountability has been the key word in the early seventies, and from all indications will continue

⁸Everett W. Nicholson, "The Performance of Principals in the Accountability Syndrome," NASSP Bulletin 56 (May 1972): p. 94.

⁹Stephen J. Knezevich, Administration of Public Education (New York: Harper & Row, 1975), p. 598.

¹⁰George B. Redfern, How to Evaluate Teaching: A Performance Objectives Approach (Worthington, Ohio: School Management Institute, 1972), p. 1.

to be increasingly important."¹¹ According to Rentsch, "Accountability is a current catchword of educational institutions."¹² Even former President Nixon was interested in accountability, - "School administrators and school teachers alike are responsible for their performance, and it is in their interest, as well as the interest of their pupils, that they be held responsible."¹³ All of the above statements were generated during the early part of the seventies, but they still, and maybe even more so, are applicable today.

For the past few years the field of education has been faced with a multitude of problems, - decreasing enrollment, national demand for equality of education, student unrest and boredom, student demand for relevancy in education, teacher militancy and negotiation, inadequate financial resources (both locally and on a state level), an over-production of teachers in a majority of fields - which have and will continue to highlight and intensify the accountability syndrome of the early seventies. Accountability is here to stay. Competent and far-sighted administrators will realize this fact and even capitalize on it to provide for more relevant and meaningful educational programs for youth.

¹¹Nicholson "The Performance of Principals in the Accountability Syndrome," p. 94.

¹²George J. Rentsch, "Assessing Administrative Performance," NASSP Bulletin 60 (September 1976): p. 77.

¹³Richard M. Nixon's 1970 Message on Education, cited by Allan C. Ornstein, Teaching in a New Era (Champaign, Illinois: Stipes Publishing Company, 1976), p. 59.

Once one has accepted the fact that accountability is a reality, a necessary one in education, and has furthermore established a clear understanding of what accountability is, then the next step is to identify who will be held accountable and for what. Traditionally, the major thrust of accountability in education has had to do with financial responsibility. Nicholson has widened the traditional connotation to be more representative of our contemporary society by indicating that "the phrase (accountability in education) now is used in reference to student achievement in cognitive and affective domains, curricular programming, and teaching and administrative performance, among others."¹⁴ Nicholson's rather simplistic statement clearly and precisely identifies who is to be held accountable--pupils, teachers, and administrators. Pupils have long been held accountable by teachers and their parents for achievement, and teachers, in turn, have been held accountable for providing a service, not necessarily for bringing about any behavioral change either cognitively or affectively in students. The notion of teacher accountability is another dissertation project in and of itself. But what of the accountability of administrators, - particularly principals?

It has often been stated that there is a direct correlation between the competencies exhibited by the school administrator at the building level and the apparent success or failure of the unit to

¹⁴Nicholson "The Performance of Principals in the Accountability Syndrome," p. 94.

achieve its stated goal - the improvement of instruction. Writing in rather general terms about the person most directly responsible for making resource allocation decisions, Rentsch stated that the school administrator "is the person usually considered to be most accountable for the quality and quantity of teaching and learning taking place in his unit."¹⁵ More specifically, Pharis, in referring to accountability and the principal, wrote, "evaluation is an acknowledgment of our often uttered preachment that the principal is the single most important determiner of educational climate in the school."¹⁶ Carrying this concept further, Knezevich, in writing about the principal stated that "the principal is the chief executive officer or administrator of the attendance center and influences to a considerable extent what occurs at this level."¹⁷ Thus, we see that the school principal plays a major role in the successful operation of a school. Who better to hold accountable for achieving its desired goals and objectives.

As the moving force behind a school unit there can be little argument that the principal is the person usually held accountable for the success or failure of the unit achieving its goals, providing the necessary support systems have been made available to him by the Board of Education and the central office. The accountability of the

¹⁵Rentsch "Assessing Administrative Performance," p. 77.

¹⁶William L. Pharis, "The Evaluation of School Principals," The National Elementary Principal 62 (February 1973): p. 36.

¹⁷Knezevich Administration of Public Education, 376.

principal is accomplished via evaluation. Reinforcement for the above was provided by Rosenberg, when he wrote:

In analyzing American education, a very large number of observers are indeed in agreement that the school principal holds the most strategic position in the educational system. It is the principal, more than anyone else, who has key responsibility for determining the condition and standards of the school. Therefore, it is being argued, it is the principal, more than anyone else, whose role performance must be evaluated.¹⁸

Not until the seventies was any significant attention paid to the evaluation of administrators, particularly principals. What evaluation did take place before that time was basically informal in nature. Three different studies conducted by Educational Research Service, which will be reviewed in Chapter II, were undertaken during the past decade to determine the status of administrative evaluation. These studies have shown a growing trend on the part of school districts to adopt more formal evaluation procedures relative to administrator evaluation. Knezevich wrote, "before this decade is out, practically all school systems will have formal administrative appraisal systems."¹⁹

In summing up the rationale behind this study, there is an acknowledgment of the existence and necessity of accountability in education. Redfern has written, "the pressure for greater accountability in the delivery of educational services makes evaluation a critical component in the fulfillment of this trust."²⁰ In addition, there is

¹⁸Max Rosenberg, "The Values of School Principal Evaluation," Education 91 (February-March 1971): p. 212.

¹⁹Knezevich Administration of Public Education, 605.

²⁰George B. Redfern, "Legally Mandated Evaluation," National Elementary Principal, February 1973, p. 50.

considerable support for the idea that principals play a major role in the achievement of a school's goals and objectives. There are also indications that too little attention has been paid to the formal evaluation of principals but that some impetus has been provided for remediating the problem, namely, increased efforts to develop satisfactory principal evaluation systems.

Questions to be Answered by the Study

In pursuing an analysis of the status of the evaluation of public school principals between 1968 and 1977 in selected public school districts in Lake County, Illinois, a series of questions was developed to provide the framework for the study. Following are the questions for which answers were sought by the study:

- 1) What is the relationship between the manner in which public school principals are evaluated and the following factors:
 - a. the size of the school district;
 - b. the tenure of the superintendent in current district;
 - c. the tenure of the principal;
 - d. the educational background of the superintendent;
 - e. the job assignment of the principal, i.e. elementary, junior high school, high school. It was the purpose of this question to determine whether or not a relationship existed between the manner in which principals were evaluated and the above factors.

- 2) How were principals being involved in the process of developing the criteria, methods and procedures utilized in their evaluation? The purpose of this question was to determine whether or not principals were involved in the process, and, if they were, at what point were they involved and what form did the involvement take.
- 3) How were principals involved in the actual evaluative process? This question sought to ascertain whether or not principals were actively involved in the evaluation process, and if they were, what was the level and type of involvement.
- 4) What means were provided for principals to react to their evaluation? Answers to this query were utilized to determine whether or not principals were being given the opportunity to present their views relative to the final conclusions reached by the evaluator.
- 5) What was the purpose or purposes for evaluating principals? The goal of this inquiry was to determine the real use that was made of the evaluation, i.e. improvement of instruction, to determine salary, to determine employment status, etc.
- 6) What criteria and standards were utilized in the evaluation of principals? The intention here was to establish the pre-existence of criteria and standards, and furthermore to ascertain knowledge on the part of the principal as to the existence of these before the evaluation was initiated.

- 7) What methods and procedures were employed to evaluate principals? With this question it was sought to establish the type and range of methods in use, i.e. checklist, rating scale, narrative, management by objectives, etc.
- 8) Did the Board of Education have formal policy statements relative to the evaluation of school principals? The intent of this question was to ascertain the level of the pre-existence of policy statements in this area, and also to determine the nature of the statements in force.
- 9) Who was involved in the total process of evaluating the principal? The goal of this inquiry was to identify all those persons, - Superintendent, Board of Education, central office personnel, principal self-evaluation, teachers, etc. - who were involved in the process of evaluating principals. In addition, the identification of the person who played the most predominant role was sought.
- 10) What similarities and differences existed in the manner in which principals were evaluated in the sample districts? The goal of this query was to determine the existence of a set of criteria, standards and procedures that was shared by a significant number of school districts sampled. This information was used in the subsequent development of a model principal evaluation system.
- 11) What observations did public school principals and superintendents have relative to the manner in which principals should

be evaluated? The purpose in asking this question was two-fold. First, input was sought from both parties to be utilized in the development of the aforementioned model. Secondly, it was sought to determine whether or not superintendents and principals shared any common views or beliefs relative to principal evaluation.

- 12) What trends and developments were evidenced by an analysis of current and past principal evaluative practices? The purpose in asking this question was to identify the existence of any trends and developments that might have had an influence on the manner in which principals would be evaluated in the future.
- 13) What elements played a major factor in the development of principal evaluation systems in use at the time of this study? This question was designed to determine what motivational elements were influential in construction and implementation of the principal evaluation systems in use.
- 14) What model for the evaluation of principals was derived from an analysis of the literature and the findings of the study? The purpose of this final question was to gather data to be utilized in developing a principal evaluation system that reflected the current thinking of practicing administrators--superintendents and principals--that would serve as a model system that could be adopted by school districts to meet their local needs.

Procedures were developed, as shown in the following section, to gather data to answer the above questions.

Procedures to be Followed

The procedures followed in this study were designed specifically to seek answers to the fourteen questions posed above. Basically, the research utilized three different data-gathering techniques: (1) review of the literature relevant to the evaluation of school administrators, particularly principals; (2) the development, administering, and analysis of a questionnaire; and (3) the interviewing of a selected subset of the target group for the research. The manner in which the three techniques were utilized is described in the remaining part of this section.

An extensive review of literature was conducted regarding the evaluation of administrators, particularly principals, for the period 1968-1977. This review was conducted for a variety of purposes. The first purpose was to determine the extent and nature of the principal evaluative processes utilized on a national basis beginning and ending with the 1968-69 and 1977-78 school terms respectively. The 1968-69 school term served as the base or reference point for this study, as it was approximately at this time that the accountability movement in education surfaced. A second purpose of the review was to ascertain the range of the purposes which were advocated for the evaluation of principals beginning with the 1968-69 school term. A third purpose

was to identify trends that had occurred in the past which had, and would continue to have, an influence on principal evaluation systems. The fourth and final purpose was to gather information which would aid in the construction of techniques - questionnaires and interview formats - that would be utilized to secure information relative to the evaluation of principals at the local level.

A questionnaire, which appears in Appendix A, was used for several purposes: one, to identify practices and procedures being utilized on a local basis in the evaluation of principals during the 1977-78 school term; two, to identify changes in the principal evaluative practices and procedures on a local basis during the target years; three, to ascertain trends that might be apparent from the changes that had occurred; and fourthly, to assist in constructing a model evaluative procedure that could be adopted by local school districts in the future evaluation of principals.

The questionnaire was field-tested with two superintendents from the Chicago area. The intent of the field-test was to gather information that would be of assistance in the development of a questionnaire that would solicit viable information which could subsequently be used in answering the questions posed in this study. In addition, members of the doctoral committee provided input concerning the appropriateness of the questions asked and the form and style of the instrument. As a result of the above, the original questionnaire was revised and subsequently administered.

Lake County in northern Illinois was selected as the target area for obtaining firsthand or primary source data for this study. The questionnaire was sent to fifty-one school district superintendents serving in the county at that time. Of those surveyed, thirty-nine, or seventy-five percent, returned a completed questionnaire. Upon return of the instrument, the data provided by each question was compiled and analyzed and subsequently used in answering the initial questions posed by the research. The analysis of the data is provided in chapter 3 of this dissertation.

Upon return of the questionnaire and an analysis of the data provided by it, twelve superintendents and twelve principals from school districts in Lake County who had been employed by the same school district in their respective administrative capacities for at least the past ten years were interviewed. At the time of this research, there were thirteen pairs of superintendents and principals in Lake County who met the above criteria. Twelve pairs who indicated their willingness to participate in the interview phase of the study were identified. The purposes of the interview were:

One, to verify the responses received in answer to the questionnaire;

Two, to gain further insight relative to a selected group of questions;

Three, to identify in more detail the principal evaluation practices in use ten years ago (1968-69 school term);

Four, to ascertain the reason or reasons for the changes which

had occurred over the past ten years in the evaluation of principals; and

Five, to collect data to be utilized in the construction of a model principal evaluation system.

The involvement of principals at this time was sought mainly for the purpose of getting their input relative to the model system. It was also solicited to see how their views concerning the model compared with those expressed by their superintendents. The interview format for the two, superintendents and principals, was similar in nature, but with the principals more emphasis was placed on their observations relative to the model system. The interview formats are presented in Appendix B.

The model was developed as a result of a review of the literature and the findings of the research conducted in conjunction with this dissertation. The model was based upon data collected through the questionnaire mailed to the superintendents, the interview process with both the superintendents and principals, and by an examination of several principal evaluation system documents returned by participating superintendents. Also utilized in the development of the model were two handbooks supplied by George Redfern relative to models he worked on as a consultant with public school districts. Upon completion of an operational model, three pairs of superintendents and principals were interviewed who had been interviewed previously. They were picked at random from the original group of twelve. They were

presented with the operational model and were asked to critique it. The model is presented in chapter 4.

Rationale for Sample

The rationale for the selection of Lake County, Illinois, as the source of the sample for this research, was based upon the fact that there was a sufficient number of practicing superintendents and also principals who had tenure in their respective administrative positions with their district for at least ten years.

The range of the tenure for the 1977-78 school term of all superintendents employed in Lake County was from one year in their present position to twenty-eight years. There were twenty-two superintendents who had tenure in their then current position for ten years or more--sixteen elementary and six high school. The average tenure of superintendents was eight and one-half years, with a median of five and a mode of eight. Of the twenty-two superintendents with tenure of ten years or more, thirteen of them also had personnel who had served as principals in the same district as themselves for at least the past ten years. Thus, there was an adequate sample available of administrative personnel--superintendents initially and later pairs of superintendents and principals--to conduct this research.

In addition to the above, Lake County was chosen as the target area from which to draw the sample due to the extreme diversification present in terms of socio-economic factors and the types of communities served by public schools, i.e. urban, suburban, and rural.

Lake County was also characterized by a wide multiplicity of ethnic backgrounds. Lake County, therefore, served to provide excellent source material for answering the questions posed by the research.

Limitations of Study

Steps were taken to minimize the limitations of this research, but like any research, it still had some; one of which was the size of the original sample--fifty-one superintendents. Many practicing researchers, such as Kerlinger, advocate using "as large a sample as possible."²¹ The use of as large a sample as possible controls for external and internal variance. The larger the sample size, the more control one has over error. Even though this research meets the minimum requirements of a sample size of at least thirty, a large sample size would have been better as a basis from which to predict and draw conclusions about the research as it applied to its population. In fact, of the fifty-one superintendents who formed the basis of the population for this study, eight were employed by local school districts whose student population did not warrant or justify their having a principal under their charge. Thus, the sample size for the administration of the original questionnaire was reduced to forty-three. The fact that the sample size was reduced resulted in a subsequent reduction in the availability of superintendents with ten years of experience or more in their respective districts in their

²¹Fred N. Kerlinger, Foundations of Behavioral Research (New York: Holt, Rinehart and Winston, Inc., 1973), p. 127.

positions from twenty-two to twenty.

Another limitation of this study was the small number of districts sampled which had a superintendent and a principal who had both been employed by the same district in their respective administrative positions for ten years or more. Thirteen were identified, plus one district where the past superintendent, who met the required criteria of ten or more years service, was serving as interim principal until the time of his retirement at the end of 1977.

A further limitation of this research was the inadequacies inherent in the use of a questionnaire. According to Kerlinger, there are two major drawbacks, - "lack of response and the inability to check the response given."²² Although Kerlinger indicates that responses to mail questionnaires are generally poor, with a return rate of forty or fifty percent being common under normal circumstances, and fifty or sixty percent under atypical situations,²³ a return rate of seventy-six percent was achieved in this instance. This was accomplished by informing the intended sample population in advance of the research to be conducted and the purposes of it by attendance at local professional meetings and by telephone contact. The second drawback mentioned by Kerlinger, - the inability to check the response given - was minimized by the fact that the interview was used to verify previously gathered data.

²²Kerlinger Foundations of Behavioral Research, 414.

²³Ibid., p. 414.

A final limitation of this study was the possible reluctance of the principals interviewed to speak freely with reference to the manner in which they were evaluated presently and in the past. Many of these administrators had developed personal relationships with their superintendents and thus their candidness and frankness in responding to the questions is not clear or known.

In analyzing and interpreting the data the above limitations were kept in mind.

CHAPTER II

REVIEW OF LITERATURE

This chapter is devoted to a review of literature for the past ten years as related to the practices and procedures utilized in the evaluation of principals. As stated in the procedure section of chapter 1, the review was conducted for the following purposes:

1. to determine on a national basis the nature and extent of the methods and procedures utilized to evaluate principals beginning with the 1968-69 school term;
2. to ascertain the range of the purposes which have been advocated for the evaluation of principals beginning with the 1968-69 school term and ending with the 1977-78 school term;
3. to uncover and report trends that have had, and will have in the future, an effect on the manner in which principals were/will be evaluated;
4. to assist in developing data-gathering procedures which would secure information relative to the then current practices and procedures utilized in evaluating principals in Lake County, Illinois.

Three major subdivisions, corresponding to the first three purposes of the review of literature, comprise the body of this chapter.

National Status of Principal Evaluation From 1968 Through 1978

In this section of chapter 2, dealing with the national status of principal evaluation from 1968 through 1978, eight studies were reviewed. Four of the studies examined the evaluation of principals on a national level, and the four remaining studies examined evaluation of principals on a state level. The first three of the national studies were conducted by Educational Research Service in 1968, 1971 and 1974 respectively, and thus it was possible to make a comparison among the findings. The fourth national study, conducted by MacQueen, although not as extensive as the studies conducted by ERS, provided data for this section of chapter 2.

Of the four state studies reviewed, two were conducted during the early part of the decade under consideration, and the latter two were conducted during the final part of the target period. In addition, of the four state studies selected, two were conducted in the same state but at different ends of the continuum as far as the decade was concerned. Even though other studies pertinent to this subject were conducted during the period 1968-1978, they were localized in nature, and due to their limited scope were not reported.

In November of 1968, ERS published the results of a study it conducted on a national basis entitled "Evaluating Administrative Performance."¹ It offered as its opening statement the following

¹Circular No. 7, November 1968, Educational Research Service, p. 1.

quote derived from a guide developed for the purpose of evaluating administrators by the Madison, Wisconsin, School District in 1966:

'As educators we have always considered evaluation one of the cornerstones of education. We tend to apply this process primarily to the student (and teacher). Just as it is essential to judge the progress of students toward certain goals, so it is equally important that we evaluate our progress as educational leaders toward the larger overall goal.'²

A subsequent study conducted by the same organization in 1971 points out in the opening paragraph that "the 1971 Gallup Poll on education reports that, of a list of 16 possible ways to cut school costs, reducing the number of administrative personnel was the second most frequently favored option."³ In a third study conducted by ERS in 1974 relative to the evaluation of administrative performance, the following was presented as the opening statement: "Formal evaluation of school administrators is a recent development in the widespread movement toward accountability. Indicative of this development is the mandating of administrative evaluation in seven states since 1970."⁴ The above are all excerpts taken from the opening paragraphs of three important nation-wide studies relative to the evaluation of administrators during the target period.

²Circular No. 7, November 1968, Educational Research Service, p. 1.

³Circular No. 6, November 1971, Educational Research Service, p. 1.

⁴ERS Report, "Evaluating Administrative Performance," (1974), p. 1.

The 1968 study conducted by Educational Research Service was a follow-up to one previously undertaken in 1964. The former study took two years to conduct a worthwhile study, whereas the latter study took only a few months. The format of the 1968 study was a questionnaire concerning the status of evaluating administrative and supervisory personnel sent out in the summer of 1968 to all school systems enrolling over twenty-five thousand students plus thirty-one smaller school districts selected at random. One hundred fifty-seven replies were received for a return rate of seventy-nine percent. A considerable portion of the published study is devoted to a brief digest/review/synopsis of sixty-two administrative evaluation plans. Information is provided relative to the personnel evaluated, the frequency of evaluations, the evaluative procedures utilized, the method by which the evaluatee is apprised of the findings of his evaluation, and lastly, the procedure that the evaluatee may follow if he should want to appeal the evaluation results.

In 1964 only forty-five plans were identified as being used to evaluate administrative performance, whereas in 1968 sixty-two plans were uncovered. The 1968 report indicates that "of the 157 systems which submitted complete replies, 79 (51 percent) said either that their system did not evaluate administrators or that the procedures were rather informal. Another 16 systems reported that the evaluation procedures were either in the process of formulation or of

revision."⁵ Thus, roughly thirty-nine percent (sixty-two) of the school systems which replied had operational administrator evaluative systems. Of the sixty-two districts, twenty-five had established their procedures during the preceding five years, twenty-two had undergone revision in the previous year, and only sixteen had some form of administrative evaluation for more than ten years.⁶ From this, ERS concluded that a trend toward the evaluation of administrative personnel was evidenced.

Three tables and one figure summarizing the data collected were provided in the body of the report published by ERS. Highlights of these data were condensed as follows:

1. More than half of the sixty-two procedures examined evaluated all administrators and supervisors including central office personnel, principals, and assistant principals, but not including the superintendent; and an additional eighteen reviewed the effectiveness of all administrative and supervisory personnel below the rank of assistant superintendent.⁷
2. Most commonly, each administrator is evaluated by his immediate superior.⁸

⁵Circular No. 7, November 1968, Educational Research Service, p. 1.

⁶Ibid., p. 1.

⁷Ibid., p. 2.

⁸Ibid., p. 2.

3. Concerning the frequency of evaluation:
 - a. Nine districts evaluated both probationary and permanent administrators semi-annually;
 - b. Fifty-five evaluated both annually;
 - c. Twelve evaluated both on an irregular basis; and
 - d. Nineteen evaluated permanent employees less frequently than probationary.⁹

4. For purposes of this study the evaluation procedures were broken down into two broad categories - evaluation according to predetermined job standards or performance, and accomplishment of predetermined job targets or objectives (management by objectives, performance appraisal, evaluation by objectives, etc.). They were referred to by Educational Research Service as Type A¹⁰

⁹Circular No. 7, November 1968, Educational Research Service, p. 2.

¹⁰Type A: Procedures that stress RATING.

Administrators and supervisors are rated in accordance with established performance criteria which are organized in the form of a rating sheet. Evaluators may confer with the evaluatee prior to beginning the evaluation period; may make contacts (visitations) with him during the year; may confer with him at the close of the evaluation period; and may provide him with a copy of the ratings. Basically, however, the evaluator(s) make the assessment of his performance by rating him on a value scale that may have varying degrees of excellence. In short, the essential characteristics of this type of evaluation are: (a) predetermined performance criteria; (b) an established rating form; (c) a value scale that provides for varying degrees of excellence; and (d) rating by the evaluator(s). Circular No. 7, November 1968, Educational Research Service, p. 4.

and Type B¹¹ respectively. Four different categories were devised for the former and three for the latter. The criteria utilized for the development of these centered around the nature and extent of the involvement in the evaluative procedures by both the evaluator and the evaluatee. In general, fifty-four districts utilized procedures which fell into the first category and eight (thirteen percent) which fell into the second. In forty-seven of the districts utilizing prescribed performance standards and eight (all) utilizing the job targets approach, a post-evaluation conference was conducted involving both the evaluator and the evaluatee. An additional sixteen districts - eleven in the former and five in the latter - had procedures involving self-evaluation by the evaluatee.

5. "The type of evaluation form used generally falls into one of three categories: those which rate the individual on a scale in certain areas, those which provide space only for the evaluator to make statements about the evaluatee's performance in specific areas or in general, and those which combine these two features."¹² Of the respondents providing data relative to the form/forms used, the following replies were received:

¹¹Type B: Procedures that emphasize establishment of JOB TARGETS or performance objectives tailored to the needs of the evaluatee.

This form of evaluation is less formalized than Type A. It is based upon the assumption that there are broad areas of responsibility which apply to all administrators and supervisors, e.g., organizational and management skill, public relations competence, professional and technical knowledge, effectiveness in decision-making, etc. Each evaluatee, in consultation with his evaluator(s) determines his specific performance targets which become the goals toward which he strives during the evaluation period. The evaluator judges the evaluatee's effectiveness in terms of how well the performance targets were achieved. Assessment may also be made of overall performance, but evaluation is focused primarily on the performance goals or targets. Self-evaluation is usually encouraged; an evaluation conference is an important part of the process. The evaluator regards his job as more of a "coach" than an "umpire". A rating scale, if used, is only a secondary factor in the evaluation process. Circular No. 7, November 1968, Educational Research Service, p. 4.

- a. Twenty-one used a rating type of instrument only;
 - b. Twelve used a form calling for a narrative only;
 - c. Twenty-five used a form calling for both of the above.
6. As implied in item 4 above, a survey of fifty-five of the sixty-two school districts who had formal current administrator evaluative procedures indicated that a post-evaluation conference was conducted involving the evaluator and the evaluatee.
 7. It is interesting to note that thirty-three of the sixty-two evaluative procedures studied made provisions for "automatic review by individual or group other than original evaluator."
 8. Finally, concerning the matter of the evaluatee's right to appeal the findings of an evaluation, the data collected indicates that forty-seven of the sixty-two school districts with evaluative procedures made provisions for it in one manner or another.

Data garnered from this report concerning the stated purpose/s of the evaluation of administrative personnel, along with the identification of a set of common characteristics used by evaluators, are presented later on in chapter 2.

In summary, the 1968 report of the administrative evaluative practices utilized on a national basis indicated that when compared to a previous study conducted by ERS in 1964, the evaluation of administrative personnel was receiving considerably more attention. The most common method or procedure used in 1968 involved evaluation according to prescribed standards or criteria, - checklist, rating scale, narrative, etc. - and what has become commonly known as management by objectives or the job targets approach was just beginning to surface in the field of education in 1968.

In 1969, MacQueen,¹³ in pursuing his doctorate, conducted a national study which sought in part to determine how the effectiveness of the services performed by principals of large public schools was evaluated. MacQueen found that forty-four percent of two hundred sixty-three public school districts with large high schools in the United States employed systems for evaluating principals. The fact that forty-four percent of the public school districts in MacQueen's study conducted an evaluation of principals was consistent with the thirty-nine percent reported by ERS in their 1968 study.

In 1971 Educational Research Service conducted a follow-up study¹⁴ to the 1968 one. In fact, this was the third survey relative to the state of the art of evaluating administrative and supervisory personnel that ERS had performed. This study differed from the 1968 one in that it was limited to school districts having an enrollment of 25,000 or more pupils. The 1971 study commenced in May of that year and continued through the fall months. ERS, after compiling and analyzing the data gathered, felt that the short duration of the study might have been a limitation of the project. The editorial staff felt that a higher percentage of schools employing administrative evaluative procedures would have been realized had the study covered the entire 1971-72 school term, in that some schools

¹³Warren Finley MacQueen, "Evaluating the Job Performance of the Public High School Principal," Ed.D. dissertation, University of Southern California, 1969.

¹⁴Circular No. 6, November 1971, "Evaluating Administrative/Supervisory Performance," Educational Research Service.

were in the process of adopting formal evaluative procedures or were in the process of revising procedures already in use. As it was, out of one hundred fifty-four replies received, eighty-four systems (fifty-four and one-half percent of the respondents) indicated that they had formal procedures for evaluating administrators and supervisors. This represented an increase compared to the sixty-two systems (thirty-nine percent of the respondents) in the 1968 study which had formal procedures.

In the table below are the responses of the one hundred fifty-four school districts to the question, "Does your school system have a formal method for periodically evaluating the performance of administrative and supervisory personnel?"¹⁵ Stratum 1 represented school districts with an enrollment of 100,000 or more; Stratum 2 an enrollment of 50,000 to 99,999; and Stratum 3 an enrollment of 25,000 to 49,999.¹⁶

	Yes	No	Total ¹⁷
Stratum 1	18(78.3%)	5(21.7%)	23(100.0%)
Stratum 2	26(52.0%)	24(48.0%)	50(100.0%)
Stratum 3	40(49.4%)	41(50.6%)	81(100.0%)
Totals	84(54.5%)	70(45.5%)	154(100.0%)

An examination of the data provided in the table seems "to indicate that the larger the school system the more likely it is to have an

¹⁵Circular No.6, November 1971, "Evaluating Administrative/Supervisory Performance," Educational Research Service, p. 1.

¹⁶Ibid., p. 1.

¹⁷Ibid., p. 1.

evaluation program for administrative and supervisory employees."¹⁸

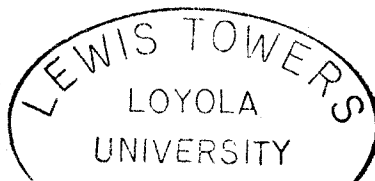
The information obtained from the entire survey can be summarized as follows:

1. Seventy-seven of the eighty-four respondents who indicated that they had formal evaluative procedures supplied data relative to the personnel evaluated. Of these seventy-seven, more than half--forty-two--indicated that they evaluated all administrative and supervisory personnel under the rank of superintendent. This was similar to the results obtained in the 1968 study. It was interesting to note that thirteen of the districts did not evaluate the same personnel after they attained permanent status as employees.
2. The majority of districts evaluated both probationary and permanent personnel on an annual basis.
3. As with the 1968 study, the evaluative procedures were broken down into two broad categories--performance standards and job performance goals (management by objectives approach). In this situation there were eight versions of methods or procedures employing performance standards and four approaches to job performance goals. Information was supplied in terms of the number of respondents utilizing each procedure, along with data pertaining to how the results of the evaluation

¹⁸Circular No. 6, November 1971, "Evaluating Administrative/Supervisory Performance," Educational Research Service, p. 1.

were disseminated and the rights available to the evaluatee concerning appeal. Sixty-five of the respondents indicated that they utilized a version of the performance standards method, and nineteen (twenty-three percent) employed a version of the job performance goals approach. It is interesting to note the increase in the percentage of respondents using the second approach in 1971 over those using it in 1968, - twenty-three percent versus thirteen percent respectively. Again, a majority of the schools utilizing either approach indicated that a post-evaluative conference was held between the evaluator and the evaluatee. Of further interest was a comparison made among the three types of districts surveyed relative to the size of the district in terms of enrollment and the employment of the evaluative approach based on management by objectives. ". . . none of the systems in the largest enrollment stratum used job targets (performance goals), and only five of the twenty-six systems in the next largest enrollment group used job targets . . . In Stratum 3, one-third of the responding systems used this approach."¹⁹ Size and the amount of time available to do justice to the job targets approach are probably responsible for this observation.

¹⁹Circular No. 6, Educational Research Service, pp. 7-8.



4. Concerning the type of form or instrument used to report the findings of the evaluation, the following data were obtained:
 - a. Fifty-four districts used a form which called for a rating on a prescribed scale against performance standards;
 - b. Nineteen districts used a form which called for rating against individual job targets;
 - c. Eighteen used a narrative form with space for the evaluator's comments only; and
 - d. Eight districts used no form.²⁰
5. Seventy-one respondents indicated that a post-evaluation conference was held with the evaluatee.
6. Fifty-four districts had provisions for the automatic review of the evaluation by a third party.
7. Finally, seventy-three districts made provisions for the evaluatee in one form or another to appeal the final evaluation.

As was the case when the results of the 1968 survey were compared with those of 1964, the same general conclusions can be ascertained when comparing the results of this study (1971) with those of the 1968 study. One, the evaluation of administrative and supervisory personnel received more attention in 1971 than in 1968, - fifty-four and one-half percent of the respondents versus thirty-nine percent conducted a formal evaluation. Two, the most common method of evaluating administrative and supervisory personnel utilized procedures related to ratings

²⁰Circular No. 6, Educational Research Service, p. 7.

compared to prescribed standards. However, there was an increase in the percentage of school districts using the management by objectives approach in evaluating administrative and supervisory personnel-- twenty-three percent of the school districts in 1971 versus only thirteen percent in the 1968 study. This was an expansion of the initial development of a trend toward the use of management by objectives for the evaluation of administrative and supervisory personnel.

The third major study undertaken by Educational Research Service reviewed in this chapter relative to the procedures utilized to evaluate administrative personnel was accomplished in 1973. This project differed from the previous two reviewed in this dissertation in many ways. One, the actual survey conducted in 1973 "inquired specifically about the use of MBO by local school systems, and particularly about administrative evaluation procedures based on performance objectives (also termed job targets or performance goals) in systems utilizing MBO."²¹ Two, questionnaires were sent to all school systems enrolling 12,000 or more pupils and to a group of 201 smaller suburban school systems."²² Three, this study relied heavily on data gathered from a review of the literature and research findings available at that time relative to the evaluation of administrative personnel. A copy of the questionnaire used to survey the school districts mentioned was not provided. It should

²¹ERS Report, "Evaluating Administrative Performance," 1974, Educational Research Service, p. 18.

²²Ibid., p. 18.

also be noted here that this study reviewed extensively the results of the previous two studies, and also devoted an entire segment to the status of state-mandated evaluation programs.

Due to the nature of this survey as compared to the prior two, the data gathered from the surveying of school districts can be summarized in a more condensed form. Fifty and four-tenths percent of the respondents to the questionnaire indicated that they employed some type of management by objectives technique in the management of the district. Of this fifty and four-tenths percent, twenty-nine and two-tenths percent acknowledged their use of a performance-based evaluation system as their procedure for the evaluation of administrative personnel. In other words, this twenty-nine and two-tenths percent utilized an administrative evaluation system based upon the degree of success of the respective administrators in achieving predetermined and agreed to objectives. This is an evaluation by objectives approach to evaluation. ERS points out that the results of the 1973 survey on the use of performance objectives evaluation of administrators in systems utilizing MBO were not comparable to the other two studies. However, they emphasize that the results "do support the trend to greater use of performance objectives as the basis for administrative evaluation."²³ This was a significant statement, as it pertained to the future of administrative evaluative techniques.

²³ERS Report, "Evaluating Administrative Performance," 1974, Educational Research Service, p. 19.

In May of 1975, Bolton²⁴ conducted a survey of the status of practices relative to the evaluation of administrators in the State of Washington. He queried eighty-five first-class districts (districts with an enrollment of more than 2,000 pupils) in Washington. Data were obtained via the use of a questionnaire and the analysis of written evaluative documents used by the districts. Responses were received from sixty of the eighty-five districts.

The questionnaire utilized was composed of two sections. The first part sought responses "to 10 items in terms of whether a given described condition: (a) existed, (b) was considered important, and (c) was to be initiated within a six-month time period."²⁵ In the second part the respondents were requested to forward data concerning policies and/or procedures utilized. A copy of Section 1, which indicates the instructions given, the ten questions asked, and the percent of responses to each, appears in Appendix C of this study. This is followed by the reproduction of a table which ranked the responses concerning the ten questions. This table appears as Appendix D.

An examination of the data provided by the responses to the first section of the questionnaire indicated that the most important aspect of an administrative evaluation system was a description of

²⁴Dale L. Bolton, "Practices and Priorities in the Evaluation of Educational Administrators," The Administrator 6 (Spring 1976): pp. 9-17.

²⁵Ibid., p. 9.

the position held by the administrator and the subsequent measurement of the performance of the administrator in terms of how well he was meeting the requirements of the position as set forth in the job description. The second most important aspect concerned the clarity of the format for recording and purveying information relative to the administrator's performance. The next item receiving the most attention from the respondents dealt with the use of performance evaluation systems based upon management by objectives. It is interesting to note that self-evaluation was not ranked highly, and that the system of measurement (scaling) used to describe an administrator's performance was placed second to last in terms of importance. The use of outside consultants in the development of evaluative procedures received the fewest number of responses.

In analyzing the documents and statements describing the evaluative procedures, answers to eleven questions were sought:

1. Who evaluates the administrator?
2. What information is usually discussed in conjunction with setting goals and objectives?
3. What are the expressed purposes for evaluating administrators?
4. What are the areas of performance covered in the evaluation?
5. What are the sources of information for evaluation of administrators?
6. What ways are data usually collected?
7. What types of measurement scaling are used?
8. Is a single form used for multiple purposes?
9. What method is used to provide feedback to the evaluatee?
10. How frequently are administrators evaluated?
11. What elements are included in administering the evaluation process?²⁶

²⁶Bolton "Practices and Priorities in the Evaluation of Educational Administrators," pp. 13-15.

The results of the responses to the above questions can be summarized as follows:

1. Eighty percent of the districts followed a procedure in which the immediate supervisor/superior or a combination of the supervisor and the evaluatee were involved in the evaluation process. Seven different practices were employed in the remaining twenty percent.
2. Many of the districts showed a high level of consideration for their administrators and their needs, as was indicated by the intended purpose/s of evaluation and the feedback procedures employed.²⁷
3. Many districts emphasized what the administrator should do for the entire district more than what he should do for his individual unit (school).²⁸
4. Roughly ninety-five percent of the districts evaluated administrators on an annual basis. In conjunction with this, Bolton expressed the belief that the frequency of evaluation had no positive correlation with the often-stated purpose of evaluation, - that being the improvement of administrator and programs.
5. Districts depended heavily on written descriptions by supervisors, seldom using more precise measurement involving

²⁷Bolton "Practices and Priorities in the Evaluation of Educational Administrators," p. 16.

²⁸Ibid., p. 16.

comparisons against criterion-referenced standards.²⁹

6. Most districts used the same forms for all administrative personnel evaluated, and also for recording information and for making final summary reports.
7. Policies and procedures generally contained detailed technical information regarding what actions were to be taken; but no evidence was uncovered to provide for an evaluation of the evaluative system or the training of the evaluator.³⁰

Metzger³¹ in 1976, in pursuing research that led to his doctorate in education, analyzed the practices in use at the time in the evaluation of principals employed in the public schools of Maryland. He found that the evaluation of principals was a common practice in that state. His research disclosed that ninety percent of all principals were evaluated, due to the fact that a majority of the Boards of Education in Maryland had developed official policies relative to principal evaluation. The boards had also developed, in conjunction with concerned professionals, the rules, regulations, and procedures to be followed in the implementation of the policies. A further

²⁹Bolton "Practices and Priorities in the Evaluation of Educational Administrators," p. 16.

³⁰Ibid., p. 16.

³¹Melvin A. 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).

finding of the study revealed that the involvement of parents, teachers and students in the evaluation of principals was considered to be nonessential. Self-evaluation on the part of the principal was directly related to procedures utilizing the performance by objectives approach. Lastly, Metzger found that there was no consistency in the methods and procedures being used to evaluate principals, and indicated that a comparative study of the approaches might possibly reveal the relative effectiveness of those in use. He advocated that in the future, school districts consider utilizing a performance objectives technique.

An earlier study, similar in nature to Metzger's, was conducted by Ellinger³² in 1968. The purpose of Ellinger's dissertation was "to reveal the current status of the programs used to evaluate professional public school personnel (teachers and principals) in twenty-four county school systems in the State of Maryland."³³ Ellinger sampled two hundred eighteen elementary and secondary principals and sixteen superintendents by the use of two questionnaires--one for principals and one for superintendents. In addition, twenty forms used to evaluate teachers were examined. The study revealed that thirty-seven and one-half percent of the school systems conducted an evaluation of principals on a regular basis. A comparison

³²William Belven Ellinger, "A Study of the Procedures Used to Evaluate Professional School Personnel in the Public Schools of the State of Maryland" (Ed.D. dissertation, The George Washington University, 1968).

³³Ibid., p. 1.

of the results reported in Metzger's study, which showed that ninety percent of all principals were evaluated, with Ellinger's findings, confirms the trend towards an increase in the practice of evaluating principals illustrated earlier by the three ERS studies. The significance of the studies by Ellinger and Metzger was that they were both conducted in the same state but at different ends of the continuum as far as the target period of this dissertation was concerned.

Ruocco³⁴ in 1976, conducted research in pursuit of his doctorate, the purpose of which was:

to review the literature related to evaluation of elementary school principals to identify current practices, and to develop a model which would include evaluation areas of responsibility, the nature of elementary principal responsibilities and competencies, the procedure for evaluating elementary school functions, and how much evaluation should be utilized.³⁵

He surveyed, by questionnaire, one hundred four superintendents, sixty-seven of whom responded, and one hundred elementary principals (sixty-five responded), in school districts in the State of New York with an average daily attendance of five thousand to twenty thousand pupils.

An analysis of the data collected revealed the following generalizations:

1. In a majority of the school districts surveyed, elementary principals are evaluated periodically; procedures for evaluation are informal; visitations are not conducted on a regular

³⁴Anthony Francis Ruocco, "Evaluation of Elementary Principals in New York State," Ed.D. dissertation, University of the Pacific, 1976.

³⁵Ibid., p. 1.

basis; and evaluations are in written form.

2. There is substantial disagreement between the superintendents and elementary principals surveyed as to whether or not regular conferences for evaluative purposes are held with elementary principals.
3. Superintendents in a majority of the school districts surveyed conducted two or three yearly visitations for evaluative purposes during the year preceding the survey.
4. A majority of the administrators surveyed suggested that two, three, or four evaluations be conducted before tenure, with one or two after tenure.³⁶

In summarizing this section of the review of literature concerning the national status of the evaluation of principals, it is reasonable to say that over the past ten years more and more attention on a national basis has been devoted to this function. Data gathered by Educational Research Service on a national basis, and data obtained from other sources concerning individual state practices, all reveal a movement toward an increased activity in this area. In addition to more attention being paid to the level of efficiency of principals, a trend has emerged relative to the procedures and practices being utilized in the evaluation of principals. This trend will be reviewed in a subsequent section of this chapter.

³⁶Ruocco "Evaluation of Elementary Principals in New York State," p. 2.

Purposes of Evaluation

Essential and critical to the development and effective utilization of any evaluative system is the early identification and specification of the intended purposes of evaluation. The purposes give direction to the manner in which evaluation will be carried out.

Barracough, in a booklet developed for the National Association of Elementary School Principals on the evaluation of school administrators, indicates that the planners of any evaluative system must address themselves to four basic questions: "What information should the system provide? How will that information be used? Which personnel will be evaluated? Who will evaluate them?"³⁷ The second question, - "How will the information be used?"; which can be paraphrased as posing the question "For what purposes will the evaluation be carried out?" must be answered first before the other three can be pursued. The intent of this section of the review of literature was to ascertain the range and magnitude of the purposes advocated for the evaluation of principals.

Educational Research Service, in conducting and reporting the results of the three studies previously reviewed in this chapter, recognized the importance of identifying the intended purposes of the administrative evaluation process, and subsequently made provisions for the inclusion of data pertaining to this aspect of evaluation in the

³⁷Terry Barracough, "Evaluation of School Administrators," NAESP School Leadership Digest Series, Number Five (1974), p. 3.

studies. Reproduced below are the major purposes identified by ERS after compiling the results of the 1968 and 1971 questionnaires, respectively:

1968 Questionnaire (62 systems reporting)³⁸

<u>Purpose</u>	<u>Frequency</u>
To identify areas in which improvement is needed.	60
To assess evaluatee's present performance in accordance with prescribed standards.	52
To help evaluatee establish relevant performance objectives and work systematically toward their achievement.	52
To have records of performance to determine qualifications for promotion.	40
To determine qualifications for permanent status.	25
To qualify for salary increments.	11
To comply with board policy.	8

³⁸Circular No. 7, November 1968, Educational Research Service, pp. 1-2.

1971 Questionnaire³⁹

<u>Purposes of Evaluations</u>	<u>Number of Systems Reporting</u>
Identify areas needing improvement	77
Assess present performance in accordance with prescribed standards	70
Establish evidence for dismissal	60
Help evaluatee establish relevant performance goals	60
Have records to determine qualifications for promotion	55
Determine qualifications for permanent status	35
Determine qualifications for salary increments (regular)	9
Comply with board policy	8
Determine qualifications for merit pay	3
Comply with state law/regulation	3
Point out strengths	2

The purpose of identifying areas needing improvement received the most responses from the schools responding to the questionnaire in both 1968 and 1971. This was followed by the stated purpose of assessing the administrator's then current level of performance as compared to predetermined standards. Running a close third was the purpose of

³⁹Circular No. 6, November 1971, Educational Research Service, p. 3.

helping the administrator being evaluated in the process of establishing performance goals or objectives for accomplishment in the future. It is interesting to note that the purpose of determining salary increments was near the bottom of both lists. The all-encompassing purpose of determining future job status (dismissal, promotion, retention, tenure, etc.) received neither a high nor low priority from the respondents. It fell somewhere in the middle.

The 1973 study conducted by ERS provided a list of possible purposes for the evaluation of administrators. It was compiled as a result of the review of the research pertinent to the evaluation of administrative personnel, and there were no indications as to how the respondents surveyed felt concerning this matter. There was a wide range in the purposes outlined by ERS. Among those not listed in the two previous studies were the following:

To help or prod supervisors to observe their subordinates more closely and to do a better coaching job;

To motivate employees by providing feedback on how they are doing;

To establish a research and reference base for personnel decisions;

To motivate self-improvement;

To offer suggestions and assistance to the principal for the improvement of the educational program in his school; and

To establish a procedure by which long-range goals of the school district can be translated into goals for effective performance for individual employees.⁴⁰

⁴⁰ERS Report, "Evaluating Administrative Performance," 1974, pp. 3-4.

In the research cited earlier by Bolton, responses were sought to the question "What are the expressed purposes for evaluating administrators?"⁴¹ Several purposes were identified and categorized according to the frequency with which they were mentioned (often, occasionally, seldom, and never) by participating respondents. The most often mentioned purposes were:

improvement of performance and program
 personal/professional development
 facilitating self-evaluation
 recognizing or reinforcing strengths⁴²

Seldom mentioned were:

salary adjustment
 promotion decisions
 protection of individuals or the organization
 determining group management development needs
 promoting credibility/accountability of the unit or evaluatee⁴³

Lipham cited the following as being typical reasons for evaluating administrators: "to change goals or objectives, to modify procedures, to implement programs, to hire or promote personnel, to protect organizational participants, to change role assignments, to change and improve behavior, to terminate services, or to reward role performance."⁴⁴ In commenting further on the need for purposes he

⁴¹Bolton "Practices and Priorities in the Evaluation of Educational Administrators," p. 13.

⁴²Ibid., p. 13.

⁴³Ibid., p. 14.

⁴⁴James M. Lipham, "The Evaluation of Administrative Performance," The Evaluation of Administrative Performance: Parameters, Problems & Practices (Bloomington, Indiana: Phi Delta Kappa, 1974), p. 22.

wrote, "In any event, in implementing an administrative evaluation system, it is absolutely essential that the purposes for the evaluation be raised from an implicit to the explicit level."⁴⁵ He concluded his comments on this topic by observing, "Suffice it to observe, therefore, that the time at which the inauguration or revitalization of a system for evaluating administrators is discussed, one must seriously question the overt and covert reasons for engaging in the administrative evaluation process."⁴⁶

Redfern, in an article entitled "Principals: Who's Evaluating Them, Why, and How?" cites four predominant purposes for evaluation:

- (a) to identify areas needing improvement,
- (b) to measure current performance against prescribed standards,
- (c) to establish evidence to dismiss personnel,
- (d) to enable the individual to formulate appropriate performance objectives.⁴⁷

Rosenberg, in writing about "The Values of School Principal Evaluation" stated, "The clear and proper goals of any administrator evaluation program ought to be constructive and developmental, and grounded in a guidance and counseling approach."⁴⁸ He indicated that the ultimate purpose of any administrator evaluative program is the improvement of administrator performance. He specified the following

⁴⁵Lipham "The Evaluation of Administrative Performance," p. 22.

⁴⁶Ibid., p. 22.

⁴⁷George B. Redfern, "Principals: Who's Evaluating Them, Why, and How?" NASSP Bulletin 56 (May 1972): pp. 85-86.

⁴⁸Max Rosenberg, "The Values of School Principal Evaluation," Education 91 (February-March 1971): pp. 212-213.

ten values to be derived from an evaluative program for principals:

- (1) A good administrator evaluational program will result in a comprehensive, valid and reliable appraisal of the effectiveness of each and every school principal in a school district.
- (2) This program will provide for, and concerning, each principal invaluable insights into specific areas of strength, of needed improvement, and clues to greater effectiveness.
- (3) If the evaluations are used periodically, they will serve as measures of administrator growth and development.
- (4) Such procedures will help clarify and concretize for each individual school principal the role expectations held for him by himself, students, staff, community and central administration.
- (5) Every school principal is in need from time to time of a sound and systematic review of his performance; this need for dependable feedback would be satisfied.
- (6) A valid and reliable evaluation is obviously much more desirable than what we have now. Now all principals are being appraised, however the current appraisals are woefully inadequate and unfair, for they are based upon hearsay or rumor or conjecture--in a word, unacceptable evidence collected with undesirable methods from unreliable sources.
- (7) The development and use of widely recognized performance standards will undoubtedly result in improved inservice training and re-training programs for principals.
- (8) A sound evaluation program would stimulate the school principals of a district to achieve ever finer degrees of effectiveness, and to develop higher, more desirable levels of administrative competency.
- (9) Special emphasis upon principal performance standards will promote greater understanding and appreciation of the principals proper role in the vital learning-teaching process.
- (10) Such evaluations can serve in a career development program to identify those individuals whose strengths and potential indicate future advancement to other specialized roles in

the school system.⁴⁹

In a later article, Rosenberg noted that, "The whole idea of the evaluation process is to guide and counsel the principal--not to check up on him."⁵⁰

A 1976 publication by the Illinois Principals Association dealing with the evaluation of principals pointed out that the most common reasons for the evaluation of principals was to collect information:

- . . . to assist the principal in his professional development
- . . . to identify job targets or professional competencies to be reached in the future
- . . . to use in making recommendations for salary increments
- . . . to use in recommending retention or dismissal
- . . . to determine tenure recommendations
- . . . to serve as a basis for decisions regarding transfer, re-assignment or promotion⁵¹

The primary purpose of such evaluation, according to the IPA, was "to assist him in his professional development."⁵²

In conducting the research relative to the topic of this dissertation, two contemporary administrator evaluative programs were

⁴⁹Rosenberg "The Values of School Principal Evaluation," p. 213.

⁵⁰Max Rosenberg, "How to Evaluate your Principals Without Scaring (or Turning) Them Off," The American School Board Journal (June 1973): p. 36.

⁵¹Robert L. Buser and Dean L. Stuck, Evaluation and the Principal (Springfield, Ill.: Illinois Principals Association, 1976), p. 14.

⁵²Ibid., p. 14.

reviewed that had been developed by two school districts in collaboration with George Redfern. A Handbook of Evaluation Procedures for Administrators and Supervisors subtitled "Evaluation: Not to Prove but to Improve," developed by the Andrews Independent School District of Andrews, Texas, stated the following as the fundamental purpose of evaluation of administrators: "The primary purpose of the administrator evaluation program is to improve the performance and to promote the professional growth of the administrator within the framework of the operative goals and objectives of the district."⁵³ Here again, reference is made to a more encompassing purpose of evaluation than most of those listed previously. Very few resources perused cited this as a purpose for administrator evaluation. The handbook went on to list five ensuing specific purposes:

1. To relate evaluation to general ongoing duties and responsibilities and specific objectives.
2. To motivate and re-enforce successful performance.
3. To provide data that may be useful in making personnel management decisions.
4. To improve and strengthen the morale of those involved in the evaluation process.
5. To make communication between the evaluatee and evaluator more meaningful.⁵⁴

⁵³Handbook of Evaluation Procedures for Administrators and Supervisors (Andrews, Texas: Andrews Independent School District), p. 1.

⁵⁴Ibid., p. 1.

The second school district which employed George Redfern as a consultant in developing a modern set of procedures for evaluating administrative and supervisory personnel was the Community Unit School District 100 of Belvidere, Illinois. This district produced a document entitled Handbook of Evaluation Procedures for Administrators and Supervisors in May of 1977. The identified purposes of the administrator evaluative program were to:

- Increase the competencies of the person being evaluated
- Motivate self-endeavor on the part of the individual
- Increase cooperation between the parties
- Clarify job content of administrators
- Provide better supervisory assistance
- Build higher morale
- Generate improved working conditions
- Promote a more meaningful way to ascertain levels of accountability
- Produce a logical way to relate the quality and quantity of performance to salary determination⁵⁵

In summarizing this section of the review of literature a majority of the sources cited specified or alluded to the improvement of the individual administrator's performance as the major or overriding purpose of administrative evaluation. Hardly any mention was

⁵⁵Handbook of Evaluation Procedures for Administrators and Supervisors (Belvidere, Illinois: Community Unit School District 100, May 1977), p. 1.

given to the evaluation for the purpose of determining future salary increments and notions were just beginning to surface relative to evaluation for the purpose of helping the district to achieve its goals.

In concluding this portion of the review, the following quote would appear to be pertinent:

"If you treat people as they are, they will remain as they are. If you treat them as they ought to be and should be, they will become what they ought to be and should be"

--Goethe⁵⁶

Administrative Evaluative Trends

This part of the review examined the trends that had occurred between 1968 and 1978 in the practices and procedures utilized to evaluate principals. It also established the path that evaluation of administrators will likely take in the future. The 1968 Educational Research Service study which has been quoted extensively in the two preceding sections of the review of the literature served as the reference point for this section. Educational Research Service examined sixty-two administrative evaluative systems in detail. Two broad classifications of methods of evaluation were defined, - systems based upon prescribed performance standards⁵⁷ (checklists, rating scales, etc.) and systems

⁵⁶Belvidere, Illinois, Handbook of Evaluation Procedures for Administrators and Supervisors, p. 1.

⁵⁷For a detailed description of this matter see footnote 10, p. 27 above.

employing procedures based upon individual performance goals⁵⁸ (management by objectives, evaluation by objectives, performance evaluation, etc.). Fifty-four of the sixty-two methods examined and reported by ERS employed a version of the prescribed performance standards approach; whereas only eight utilized the individual performance technique. Thus, it can be concluded in response to the 1968 ERS study that the manner in which administrators were being evaluated at that time, where formal evaluation did exist, was overwhelmingly in terms of checklists/rating scales.

An examination of the data reported by ERS in their follow-up study of 1971 relative to the procedures being utilized at that time revealed more attention being paid to the individual performance goals approach. Of the eighty-four systems perused, sixty-five used the prescribed performance standards approach, and nineteen employed the individual performance goals technique. The nineteen systems represented twenty-three percent of the total eighty-four. The 1968 study showed only thirteen percent of the systems studied following the individual performance goals approach. As was mentioned previously in this chapter, there appeared to be a relationship between the size of the school district in terms of enrollment and the approach utilized to evaluate administrators, i.e. the smaller the district the greater the tendency to utilize an evaluative system employing some form of

⁵⁸For a detailed description of this matter see footnote 11, p. 28 above.

evaluation by objectives, job targets, management by objectives, etc. Redfern, in reviewing the ERS studies just mentioned for an article on the evaluation of principals, confirmed this supposition by this statement: "Larger school systems tend to use predetermined performance standards to evaluate administrative and supervisory personnel, while the performance objectives approach is used most often in smaller systems."⁵⁹

The study conducted by ERS in 1973, speaking to the issue of administrative evaluation, yielded data indicating that twenty-nine and two-tenths percent of the school districts that participated in the research utilized an evaluative process employing the performance objectives approach; i.e. evaluation by objectives, job targets, management by objectives, etc. This is an increase over the percentage of school districts reported to be using this method in the two previously cited studies. Here again, reference was made to the technique employed and the enrollment of the district: "This distribution indicates an inverse relationship between size of school district (over 25,000 enrollment) and frequency of the performance goals approach to administrative evaluation."⁶⁰ After an analysis of the data obtained by the questionnaire used in this project, and a careful review of the literature on the topic of administrative evaluation, ERS acknowledged the existence of a trend towards greater employment of

⁵⁹Redfern "Principals: Who's Evaluating Them, Why, and How?", p. 86.

⁶⁰ERS Report, "Evaluating Administrative Performance," (1974), p. 19.

techniques utilizing a performance objectives approach to evaluation. Referring specifically to the results obtained by this 1973 study ERS reported, "They do support the trend to greater use of performance objectives as the basis for administrative evaluation."⁶¹ Furthermore, ERS went on to report, "Although there are no current national figures available to indicate the extent to which evaluation by objectives has spread, a current trend toward greater use of this evaluation procedure is evident."⁶²

Bolton, in a study previously cited in this chapter, reported data concerning the utilization of an administrative evaluation system employing management by objectives. Fifty-eight percent of the school systems that participated in the research indicated that they used the management by objectives approach to evaluation. Seventy-eight percent indicated that management by objectives procedures were considered to be important. Finally, twenty-seven percent planned to initiate the management by objectives approach to administrative evaluation in the next six months. In ranking the responses received in reply to his ten-item questionnaire, management by objectives evaluation came in second. Defining and describing the role of the administrator came in first. Bolton concluded, "Currently, emphasis is placed on specific statements of roles and responsibilities of administrative positions, clear

⁶¹ERS Report, "Evaluating Administrative Performance," (1974), p. 19.

⁶²Ibid., p. 21.

information format for transmitting information to the administrator, and management by objectives procedures."⁶³

A further perusal of the literature relative to the evaluation of administrators revealed that attention was frequently given to the advantages of utilizing an administrative evaluative system employing some form of management by objectives approach; i.e. performance evaluation/job targets/evaluation by objectives. The most notable of the authors reviewed was George Redfern. Redfern, in numerous articles, addresses, and books has advocated the use of a management by objectives approach to the evaluation of not only administrators but all educational personnel. Writing with reference to the ills of the traditional checklist/rating scale methods of evaluation in an article published in 1973, Redfern wrote, "This approach to evaluation is not only oversimplified, there is little evidence that it does more than provide a 'report card' estimate of competence."⁶⁴ In commenting further he wrote, "there is real doubt that it motivates the individual to improve."⁶⁵ In a prior article written for the National Association of Secondary School Principals Redfern wrote, referring to the inadequacy of the traditional checklist/rating scale, "I find this an over-simplified approach to evaluation. I doubt its validity, I am dubious about its usefulness, and I am apprehensive about its

⁶³Bolton "Practices and Priorities in the Evaluation of Educational Administrators," p. 16.

⁶⁴George B. Redfern, "Legally Mandated Evaluation," National Elementary Principal, February 1973, p. 46.

⁶⁵Ibid., p. 46.

consequences."⁶⁶ Writing for The Buckeye Association of School Administrators in the Spring of 1976 Redfern indicated, referring to trait ratings, that such ratings "often reflected biases of evaluators more than the actual accomplishments of the individual."⁶⁷ This comment clearly demonstrated Redfern's displeasure with the traditional checklist/rating scale method of evaluating administrators in the past.

Redfern's solution to the inadequacy of the old methods is the development and subsequent implementation by school districts of administrative evaluation techniques utilizing what he calls the job targets approach. This term is synonymous with performance evaluation, evaluation by objectives, and management by objectives. In fact, Redfern and Knezevich are probably the two most influential proponents of this approach to evaluation. Writing in May of 1972 concerning evaluation, Redfern set forth the following five basic assumptions or beliefs:

1. The principal's productivity can be evaluated. Not only can it be, but it should be evaluated.
2. The principal should understand what's expected of him. Responsibilities and expectations should be stated in written form and, if not in writing, oral understandings should be clear and carefully delineated.
3. The principal should know to whom to look for direction and supervision and should understand that evaluation is an inherent component of accountability.
4. Standards of excellence should be designed to be used by the

⁶⁶Redfern "Principals: Who's Evaluating Them, Why, and How?", p. 88.

⁶⁷George B. Redfern, "Why Evaluate School Administrators?" The Administrator 6 (Spring 1976): p. 4.

principal as "yardsticks" against which his performance may be measured.

5. Performance objectives, related to the standards of excellence, should be formulated cooperatively by the principal and his evaluator and used to evaluate performance.⁶⁸

Redfern's basic thesis at that time was "that evaluation is more meaningful if based upon performance objectives than upon predetermined performance standards with unilateral ratings by the principal's superiors."⁶⁹

In the above article from May of 1972, Redfern set forth an evaluation system for principals which he felt was more meaningful than the then traditional approaches. This system, which also provided for the improvement of instruction, was to be the forerunner of the systems of the future. It consisted of basically determining what is expected of the principal and then informing him of such; the mutual setting of performance objectives to be achieved by the principal over a given period of time; the establishment of a predetermined procedure for validating the success or lack of success of the principal in achieving his goals; a system of self-assessment along with assessment by a competent evaluator; the conducting of an evaluation conference, and provisions for follow-up activities. In this same article Redfern stated that the process of evaluation, if it is to achieve its primary function of improving leadership performance, should require:

⁶⁸Redfern "Principals: Who's Evaluating Them, Why, and How?" pp. 86-87.

⁶⁹Ibid., p. 87.

- establishment of appropriate work goals
- development of clear-cut program of action
- collection of evidence of leadership productivity
- more frequent contacts between administrator and evaluator
- self-assessment of performance by administrator
- assessment of administrator's performance by evaluator
- evaluation conference
- appropriate follow-up action⁷⁰

Before leaving this article one must make reference to a comment by Redfern with respect to the attainment on the part of the principal of the objectives he has established:

The principal need not confine his efforts only to attaining the performance objectives. He is obliged to do the whole job. Job targets are agreed upon as areas of emphasis in which special efforts are directed during the evaluation period. Flexibility should be exercised in assessing the importance of various tasks to be accomplished and to fix upon those that have particular significance for a given time and circumstance.⁷¹

Thus, what Redfern said in effect was that the evaluation of a principal is not only based upon his successful/unsuccessful attainment of job targets but also upon the degree of competence he exhibited in accomplishing all of the tasks related to the job of being an administrator. Evaluation must take into consideration the sum of the whole, not just specific parts of it.

Redfern, in speaking of the human consequences derived from

⁷⁰Redfern "Principals: Who's Evaluating Them, Why and How?" p. 92.

⁷¹Ibid., p. 90.

evaluation in 1976, cautioned those who design and implement appraisal systems to:

1. Resist the temptation to design an evaluation program calculated to accomplish every purpose which the school system seeks to achieve . . . To expect one program of evaluation to achieve all of these (purposes of evaluation) equally well may turn out to be an unrealistic expectation.
2. In using evaluation as a tool for consultation with administrators, recognize that different approaches have to be used with different administrators.
3. Avoid using a closed-system evaluation program. It should be open-ended and future-oriented.
4. Be advised that the gulf between good intentions and desired results may be wide.⁷²

On the other hand, speaking of the positive results to be anticipated from the development and implementation of a program of personnel evaluation utilizing job targets, Redfern said:

1. There will be a clearer understanding of performance expectations.
2. Feedback can be used more effectively.
3. More valid evaluative data are available.
4. Relationships between administrator and evaluator can be reinforced.
5. The concerns and needs of 'clients' will be served more sensitively.
6. Since increased practitioner proficiency is the focus of the evaluation process, a strong emphasis upon improvement is maintained.
7. When continuance in the position may be an issue, this type of evaluation will provide more adequate documentation of

⁷²Redfern "Why Evaluate School Administrators?" p. 7.

dimensions of deficiency than checklist types of evaluation.⁷³

Poliakoff examined what was happening immediately preceding February 1973 in terms of not only teacher evaluation but also administrative evaluation, including principals. In fact, the first three pages of the article were devoted to an examination of a trend which had emerged relative to principal evaluation. In her article reference was made to the two studies, - 1968 and 1971 - conducted by Educational Research Service, Inc.

Poliakoff indicated that her review of the literature revealed a trend toward the use of the job targets approach to evaluation. She wrote, "The approach focuses, basically, on the improvement of a person's job performance in a nondefensive atmosphere."⁷⁴ This is accomplished by both the evaluator and evaluatee agreeing "on the design and operations of the evaluation process; subsequently, they work together to set goals for the evaluatee, develop a plan by which the goals can be reached, and monitor progress."⁷⁵ The primary purpose of this evaluative process "is not to collect evidence for retaining or dismissing personnel; rather, it is to improve their performance of tasks."⁷⁶

⁷³Redfern "Why Evaluate School Administrators?" p. 6.

⁷⁴Lorraine Poliakoff, "Recent Trends in Evaluating School Personnel," The National Elementary Principal 52 (February 1973): 39.

⁷⁵Ibid., p. 39.

⁷⁶Ibid., p. 40.

The approach of Poliakoff is the same as those employing evaluation by objectives, management by objectives techniques, performance evaluation strategies, etc. The sequence of steps utilized in this method begins with the board of education establishing broad goals and objectives for the school district. Implicit at this stage is the identification of the objectives to be achieved by each administrative unit of the school system. With this accomplished, a conference is then held between the principal and his superior or evaluator. At this conference the participants agree upon a set of goals that the principal will accomplish within a given period of time under a given set of conditions. In reaching this agreement, both parties "keep in mind the broad objectives for the school and principalship that they and their colleagues established earlier."⁷⁷ Following this agreement, a program of action outlining how the objectives will be achieved and subsequently evaluated is developed. The program is then put into action and periodic interim evaluation conferences are conducted. After a final evaluative conference, the whole procedure is repeated.

Poliakoff made two interesting observations concerning the job targets approach. The first one dealt with the use of evaluation instruments, and the second spoke to the issue of evaluation by subordinates. Speaking of the former Poliakoff said:

⁷⁷Poliakoff "Recent Trends in Evaluating School Personnel," p. 40.

It is interesting that the job targets literature does not emphasize the use of evaluation instruments; one writer stresses that technique is incidental and that, if instruments are used, they can be of low precision. Does this attitude represent a trend away from instrumentation, which counters another trend--still strong--to perfect the reliability and validity of measurement instruments?⁷⁸

Her answer to the question is "no". Instruments can be utilized with this approach, but the emphasis is on the person and the tasks he is to accomplish and not the mechanics of evaluation. Referring to her second observation relative to the job targets approach she said, "its structure does not call for the participation of parents or students (or teachers, unless they had a voice in the original design)."⁷⁹ She questioned whether or not this trend will encompass evaluation by subordinates in the future.

In an article published in July of 1976, The American School Board Journal referred to a study which had just been completed by Paul Hersey for the National Association of Secondary School Principals. In referring to the kind of evaluation systems/procedures that principals felt should be utilized to evaluate them, Hersey was quoted as saying, "instead of a report-card like 'pass performance system,' most school principals would prefer to be measured by a method that evaluates on the basis of objectives."⁸⁰ Hersey wrote further, "It is especially important . . . that a principal sit down with his supervisor and set

⁷⁸Poliakoff "Recent Trends in Evaluating School Personnel," p. 40.

⁷⁹Ibid., p. 42.

⁸⁰"How School Systems are Evaluating Their Principals", The American School Board Journal 163 (July 1976): 25.

improvement of his school. Then the principal can be evaluated constructively on his success in meeting these goals."⁸¹ According to Hersey, "once goals have been set, the principal should be rated on how well he achieved specific objectives, and what qualities of leadership he displayed while administering his projects."⁸²

Knezevich devoted an entire chapter in Administration of Public Education to the issue of administrative accountability and how it can be appraised. He discussed the accountability movement and spoke of the past, present, and future of administrator appraisal systems. It was his contention "that the results-oriented emphasis identified with MBO/R [Management by Objectives/Results] will have more to offer in the design of administrator evaluation than any other approach."⁸³ Specifically, he recommended an approach called competency-based evaluation (CBE). He defined it as follows:

- Step 1: Specification of objectives or results to be achieved by a person in a given position.
- Step 2: Identification of professional competencies needed to satisfy predetermined objectives.
- Step 3: Conversion of competencies into performance or observed behaviors that can be measured.
- Step 4: Design of an assessment system to measure competencies from at least two vantage points, namely, were objectives achieved and did the person have the skills

⁸¹Hersey "How School Systems are Evaluating Their Principals," p. 25.

⁸²Ibid., p. 25.

⁸³Knezevich Administration of Public Education, 608.

necessary to meet the situation?

Step 5: Determination of which competencies are lacking in order to improve performance by coaching.

Step 6: Operation of inservice or 'coaching' clinics to improve effectiveness of personnel.⁸⁴

In a handbook entitled Administrative & Supervisory Evaluation published in 1977, the American Association of School Administrators discussed the need for administrative evaluation, the shortcomings of traditional administrative evaluation procedures, and advocated an evaluative system that it felt reflected the contemporary expectations for the evaluation of administrative personnel. In speaking of the necessity for evaluation, the AASA reported, "It is only through a system of evaluation that administrative and supervisory personnel can improve and strengthen their roles in the direction of America's public schools."⁸⁵ In commenting upon the traditional notion of how the improvement in performance levels of personnel in education took place, the AASA noted, "The general and historic assumption in education has been that improvement takes place away from the job. It has been measured by course credits and degrees acquired."⁸⁶ Reflecting upon the shortcomings of the traditional approach to personnel evaluation the AASA stated:

⁸⁴Knezevich Administration of Public Education, 608.

⁸⁵"How to Evaluate Administrative and Supervisory Personnel," Administrative & Supervisory Evaluation (Arlington, Virginia: AASA, 1977): 9-iv.

⁸⁶Ibid., p. v.

Most personnel evaluation programs in education are negative. Seemingly, they are operated primarily for the benefit of legal compliance and those who maintain personnel records.⁸⁷

Furthermore, "On the basis of results obtained, most school evaluation plans appear to have little value and purpose."⁸⁸ Speaking specifically of administrative evaluation procedures, the AASA reported, "Administrative and supervisory plans which have been developed tend generally to be crude adaptations of the teacher rating procedures now in use."⁸⁹ The evaluative procedure advocated by the AASA is in keeping with those proclaimed by Redfern and Knezevich, and is reflective of the trend toward management by objectives. The system was adapted from one developed by General Electric called "Work Planning and Review." The name given to the AASA system is "performance evaluation/appraisal." The goal of this program "is to help the evaluatee function more at higher levels of performance."⁹⁰ "It assumes a hard-nosed management desire to use evaluation as a sound approach to improved managerial and supervisory performance."⁹¹ The system follows basically the same steps as those advocated by Redfern in his job targets approach.

The review of the ERS studies revealed a trend among the

⁸⁷AASA "How to Evaluate Administrative and Supervisory Personnel," p. vi.

⁸⁸Ibid., p. vi.

⁸⁹Ibid., p. 4.

⁹⁰Ibid., p. 9.

⁹¹Ibid., p. 8.

school districts reporting toward the adoption and implementation of principal evaluation systems using, wholly or in part, evaluation by objectives (MBO). Furthermore, the fact that many writers in the field of education are paying a considerable amount of attention to the employment of management by objectives as a formal means for evaluating educational personnel, is in itself a trend. Hyde Park Central School District, Hyde Park, New York⁹² and the Madison Public Schools, Madison, Wisconsin⁹³ are two of the more well-known public school systems that have employed the management by objectives/job targets approach to administrator evaluation. George Redfern was employed as a consultant by the Andrews Independent School District in Andrews, Texas, and the Community Unit School District 100 in Belvidere, Illinois, to assist them in developing evaluation procedures to be used in evaluating administrators and supervisors. The Belvidere evaluation system was adopted as recently as May of 1977. Both plans are based upon techniques employing management by objectives/job targets/evaluation by objectives.

In summarizing this section of the review of the literature it is clear that a trend has been identified relative to the methods utilized to evaluate administrators. It is a movement away from the traditional checklist/rating scale techniques employed in the sixties and early part of the seventies to strategies relying upon the

⁹²Frank Gray, "Administrative Appraisal - A Practitioner's View" The Administrator 6 (Spring 1976): 26-32.

⁹³Douglas S. Ritchie, "Management System - Madison Public Schools" The Administrator 6 (Spring 1976): 33-36.

evaluation of administrators in terms of objectives which have been mutually agreed to by both the administrator and superior. Even though a multitude of names have been given to these approaches; i.e. management by objectives, performance evaluation, evaluation by objectives, job targets, etc., the basic technique is the same. The apparent reason for the movement in this direction rests upon the inadequacies that have been attributed to the traditional checklist/rating scale techniques and the need to utilize more sophisticated procedures required to illustrate the degree to which school administrators are accountable to the public.

Chapter Summary

A summarization of this chapter reveals three trends since 1968. First, there can be no doubt that more and more school districts are developing and implementing procedures designed to assess the effectiveness of administrators, particularly principals. The existence of this trend was verified by a review of the three studies conducted by Educational Research Service in 1968, 1971 and 1973 respectively. It was further substantiated by the research conducted by MacQueen in 1969 and by research in the State of Washington by Bolton. The research conducted by Ellinger and Metzger in the State of Maryland further substantiated the movement by school districts toward this evaluative approach. Concimant with this trend a second one was identified. The second trend pointed to a movement to

utilize formal versus informal procedures in evaluating administrative personnel. The third trend dealt with the increasing tendency of school districts to approach evaluation from a management by objectives technique, versus the traditional checklist/rating scale procedure.

Undoubtedly the accountability movement, which began in the mid-sixties and has continued on to the present, and in all probability will continue into the future, had a great deal to do with the three major trends. A direct result of this movement has been the action taken by many state legislatures and state offices and departments of education in enacting mandatory evaluation statutes or procedures. These enactments called for both the evaluation of teachers and administrators. The extent of the involvement by the legislatures and state offices was illustrated by a survey sent to the chief school officer of each state and the District of Columbia in the spring of 1974 by ERS, soliciting data relative to administrative evaluation policy. The survey results showed that nine states - California, Connecticut, Florida, Hawaii, Kansas, Nevada, Oregon, Virginia, and Washington - mandated the evaluation of local school building administrators.⁹⁴ New Hampshire, South Dakota, and New Mexico were in the process of developing programs relative to administrative evaluation

⁹⁴ERS Report, "Evaluating Administrative Performance," (1974), p. 23.

at that time. Although Maine did not have a statute requiring the evaluation of administrators, it did have one mandating school self-evaluation, which included self-evaluation of all school personnel.

According to ERS, the state mandates differ in terms of:

- (1) the frequency with which evaluation is to be conducted,
- (2) the extent to which procedures and criteria are dictated by the state statute or by the state department of education, and
- (3) the assignment of responsibility at the local district level for the development of evaluation procedures.⁹⁵

The important concept here is not the how of evaluation but the fact that it is required. Unless school districts take the initiative in the development and implementation of their own formal administrative evaluation procedures, this state-mandated evaluation could conceivably become a major trend.

A final quote from George Redfern, - "The pressure for greater accountability in the delivery of educational services makes evaluation a critical component in the fulfillment of this thrust, and competency based programs of evaluation are likely to increase as a consequence"⁹⁶ - appeared to be a most fitting way to conclude chapter 2.

⁹⁵ERS Report, "Evaluating Administrative Performance," (1974), p. 23.

⁹⁶Redfern "Legally Mandated Evaluation" p. 50.

CHAPTER III

PRESENTATION AND ANALYSIS OF DATA

This chapter pertains to a presentation and analysis of the data secured as a result of this study. The major purpose of the analysis and interpretation of the data was to answer the fourteen questions relative to the procedures and methods used to evaluate principals in Lake County, Illinois, during the 1977-78 school year. These fourteen questions were presented in chapter 1 of this dissertation, and are repeated below:

1. What is the relationship between the manner in which public school principals are evaluated and the following factors:
 - a. the size of the school district;
 - b. the tenure of the superintendent in current district;
 - c. the tenure of the principal;
 - d. the educational background of the superintendent;
 - e. the job assignment of the principal, i.e. elementary, junior high school, high school.
2. How were principals being involved in the process of developing the criteria, methods and procedures utilized in their evaluation?
3. How were principals involved in the actual evaluative process?

4. What means were provided for principals to react to their evaluation?
5. What was the purpose or purposes for evaluating principals?
6. What criteria and standards were utilized in the evaluation of principals?
7. What methods and procedures were employed to evaluate principals?
8. Did the Board of Education have formal policy statements relative to the evaluation of school principals?
9. Who was involved in the total process of evaluating the principal?
10. What similarities and differences existed in the manner in which principals were evaluated in the sample districts?
11. What observations did public school principals and superintendents have relative to the manner in which principals should be evaluated?
12. What trends and developments were evidenced by an analysis of current and past principal evaluative practices?
13. What elements played a major factor in the development of principal evaluation systems in use at the time of this study?
14. What model for the evaluation of principals was derived from an analysis of the literature and the findings of the study?

Three techniques were utilized to secure data that were used in answering the fourteen questions above:

First, a review of literature relative to the evaluation of administrators, particularly principals, was conducted. The review covered the time period beginning with the 1968-69 school year and terminating with the 1977-78 school year.

Second, a questionnaire was developed and mailed to fifty-one superintendents in Lake County, Illinois. The questionnaire consists of three sections. Section one solicited data concerning the superintendent's number of years in current position, total number of years as a superintendent, number of years in education, and highest level of educational attainment. In addition, section one requested general background information pertaining to the superintendent's school district, - current enrollment, assessed valuation, number of principals and their assignment, etc. Section two dealt specifically with questions pertaining to the current procedures and methods being utilized to evaluate principals. Section three of the questionnaire was used to obtain data relative to what superintendents thought an ideal principal evaluation system should entail.

The third technique employed in securing data involved the interviewing of twelve superintendents and twelve principals. Only superintendents and principals who had worked together in their respective administrative capacities for ten years or more in the same district were interviewed. The purposes of the interviews were to

verify the answers secured on the questionnaire and to gather information relative to what an ideal principal evaluation system should entail.

In reporting, analyzing and drawing implications from the data obtained by the procedures outlined above, chapter 3 was divided into fourteen major sections. Each of the sections corresponded to one of the fourteen questions asked in chapter 1 and restated here in the beginning of chapter 3. The partitioning of the chapter into fourteen sections was followed by subdividing each section into two or three subdivisions. If the data secured relative to a given question out of the fourteen were collected as a result of both the questionnaire and the interview process, then three subdivisions were used to report and analyze the data. The first subdivision reported the data obtained by the questionnaire. The second subdivision reported the data obtained by the interview process. The third subdivision analyzed and drew implications from the data. If the data were only secured by the questionnaire, then the first subdivision reported the data secured, and the second section analyzed the data. In addition, where a visual presentation of data was possible, the data were presented in tabular form. The tables were designed to be self-explanatory; however, an explanation and analysis of each table was given.

Thirty-nine out of fifty-one superintendents responded to the mailed questionnaire. Of the thirty-nine, six were superintendents of school districts which were too small in enrollment to employ the

services of a principal. The superintendent functioned in two capacities--principal and superintendent. Twelve of the fourteen questions posed by this study were concerned with how principals were being evaluated. The six superintendents whose districts did not employ a principal could not respond to these questions. Only the data secured from thirty-three superintendents were reported, analyzed, and interpreted relative to these twelve questions. Question number eleven, "What observations did public school principals and superintendents have relative to the manner in which principals should be evaluated?", and question number fourteen, "What model for the evaluation of principals was derived from an analysis of the literature and the findings of the study?", employed the data secured from all thirty-nine superintendents.

As a prelude to the remainder of this chapter, three major findings are presented here:

First, twenty-one out of thirty-three, or sixty-four percent of the respondents, indicated that their respective boards of education had not adopted any official policy or set of procedures relative to the evaluation of principals.

Second, thirty-two out of thirty-three, or ninety-seven percent of the respondents, answered in the affirmative to the question, "Is an evaluation of each principal's performance conducted annually?". The "no" response of the one dissenting superintendent was qualified in terms of the

fact that an evaluation was conducted after the first year of a principal's experience and then every five years thereafter.

Third, eighteen out of thirty-three, or fifty-five percent of the respondents, indicated that they employed a formal procedure to evaluate principals. Conversely, fifteen, or forty-five percent of the respondents, conducted an informal evaluation of principals.

Before proceeding with the remainder of this chapter, two terms need to be clarified, - formal evaluation and informal evaluation. Formal evaluation refers to an evaluative system that is utilized to evaluate principals according to predetermined methods and procedures. The evaluation process is conducted on a regular basis. Informal evaluation refers to an evaluative system which does not utilize any predetermined methods, procedures, standards, or criteria. Even though an evaluation of the principal's performance may be conducted on an annual basis, it is perfunctory in nature. An informal evaluation takes on no specific format and is conducted only at the discretion of the superintendent.

Question Number One: What is the relationship between the manner in which public school principals are evaluated and the following factors:

- a. the size of the school district;
- b. the tenure of the superintendent in current district;
- c. the tenure of the principal;

- d. the educational background of the superintendent;
- e. the job assignment of the principal, i.e. elementary, junior high school, high school.

Due to the complexity of this question, more time and space was devoted to the reporting, analyzing, and interpreting of the data relative to it than to any other subsequent question with the exception of question eleven. The responses of the thirty-three out of thirty-nine superintendents who returned questionnaires who had principals under their direction were utilized in reporting, analyzing, and interpreting the data pertaining to this question.

Size of District

Part "a" of question number one sought to determine the relationship that existed between the manner in which principals were evaluated and the size of the school district in terms of enrollment. Data relative to this question were secured by the questionnaire and the interviews with the superintendents.

Questionnaire Data:

The data secured from the questionnaire relative to the relationship that existed between the manner in which principals were evaluated and the enrollment of the school district were provided in table 1, which appears on page 80. In reporting these data the schools were rank-ordered according to their enrollment and the type of principal evaluation procedure employed was identified for each school.

TABLE 1

COMPARISON OF THE ENROLLMENT OF THE SCHOOL DISTRICT WITH THE TYPE OF PROCEDURE, FORMAL OR INFORMAL, UTILIZED TO EVALUATE PRINCIPALS

<u>Enrollment</u>	<u>Type of Principal Evaluation Procedure Employed</u>
500	Formal
538	Informal
687	Informal
720	Informal
750	Formal
860	Informal
870	Formal
962	Formal
1,012	Informal
1,057	Informal
1,105	Formal
1,150	Formal
1,287	Formal
1,495	Formal
1,510	Informal
1,520	Formal
1,550	Formal
1,601	Formal
1,650	Informal
1,670	Informal
1,673	Informal
1,750	Informal
1,850	Formal
2,150	Informal
2,255	Formal
2,300	Informal
2,372	Formal
2,812	Informal
2,945	Informal
3,000	Formal
4,000	Formal
4,858	Formal
14,400	Formal

An examination of the table revealed that the median enrollment was a high school district with 1,550 students. This district employed a formal method of evaluating its principal. Of the sixteen districts with enrollments under 1,550--the range was 500 to 1,520--nine utilized formalized procedures for evaluating principals and seven used informal means. Furthermore, of the sixteen districts with enrollments over 1,500--the range was 1,601 to 14,400--eight employed formalized systems and the remaining eight utilized informal procedures to evaluate principals. Of the thirty-three districts in question, eighteen used methods and procedures for evaluating principals that could be classified as formal in nature, whereas fifteen employed processes that were considered by their superintendents to be informal in nature.

An application of the Mann-Whitney U Test to the data in table 1, at an alpha level of .05, did not reveal the existence of any relationship between the size of the school district and the manner in which principals were evaluated--formal vs. informal. However, in analyzing the data obtained from the questionnaire in more detail, some interesting observations were uncovered, -

One, in districts with an approximate enrollment of between five and eleven hundred pupils (ten districts answered to this description), the probability of an informal procedure being utilized was six out of ten. There was no discernible reason apparent for one district employing one approach and another employing a different one. The socio-economic characteristics of the ten school districts ranged from those that could be classified as servicing constituents in the low to moderate income brackets to those servicing constituents in

the upper income brackets. Also, the tenure of the superintendent in his current position did not have an apparent effect on the system employed.

Two, seven out of eight districts with enrollments between eleven hundred and sixteen hundred utilized procedures for evaluating principals that were formal in nature. Of considerable note was the range in the tenure of the superintendents in their positions with their respective schools. It ranged from two years to twenty-three. More specifically, the breakdown was as follows: two superintendents with two years of service in their position, three with four years of service, one with five, one with ten, and one with twenty-three. The interesting observation here is that the superintendent with twenty-three years of experience was the only one who employed an informal approach to the evaluation of principals. Five of the districts were located in relatively high income areas, including the dissenting superintendents.

Three, in school districts with an enrollment between 1,650 and 2,945, eight out of eleven utilized procedures that were informal in nature. There was no discernible reason for this. The communities or school districts varied in terms of the income level of the constituents served, the tenure of the superintendent in his position, and the educational background of the superintendent, - M.A., M.A.+ , C.A.S., Ph.D./ Ed.D.

Four, all of the last four districts, whose enrollment ranged from 3,000 to 14,400, used formal methods and procedures for evaluating principals. Not only is it interesting to note the size of these districts, but also the fact that each was characterized by being urban in nature. Two were elementary school districts, one was a high school district, and the last one was a unit (kindergarten through twelfth grade) district. Each superintendent had earned a doctor's degree, and two had tenure of ten years or more in their positions.

Interview Data:

During the interview, each superintendent was asked the question, "Do you feel that the size of the school district in terms of enrollment has any effect on how principals are evaluated?". All twelve superintendents answered "yes." Each felt that as the

enrollment of the district increased so did the possibility that a formal principal evaluation would be employed. The rationale behind this belief rested on the opinion of the superintendents interviewed that in small school districts there was a greater opportunity on a daily basis for the superintendent and principal, or principals, to discuss situations requiring the combined efforts of both parties. Furthermore, the opinion was expressed that a superintendent who has a relatively small number of principals on his administrative staff has the opportunity to become more involved on a personal as well as a professional basis than one who has several principals under his leadership. Many of the superintendents interviewed indicated that the smaller the district the greater the accessibility of the superintendent to the principals, and also the greater chance for a more professional, intimate relationship to be developed between superintendent and principal. In summary, all of the superintendents interviewed felt that as the enrollment of the school district increased so did the number of principals, along with greater demands on the time of the superintendent. This increased demand upon the time of the superintendent ultimately results in the superintendent seeing less and less of his principals. These two elements taken together contribute to a need for a more formalized principal evaluation process.

Analysis and Implications of Data:

There was a dichotomy between the data secured by the questionnaire and the data obtained by the interviews with the

superintendents. As stated previously, the Mann-Whitney U Test did not reveal the existence of any relationship at an alpha level of .05 between the manner in which public school principals were evaluated and the enrollment of the school district. However, it was the opinion of all of the superintendents interviewed that a relationship would probably exist. The superintendents felt that small school districts were more likely to employ informal means to evaluate principals than large school districts. It was the belief of the superintendents that as the enrollment of the school district increased so did the probability that a formal system to evaluate principals would be utilized. The 1971 study conducted by Educational Research Service, reported earlier in chapter 2 of this dissertation, confirmed the belief of the superintendents. According to ERS, "the larger the school system the more likely it is to have an evaluative program for administrative and supervisory employees."⁹⁷ The evaluative program referred to by ERS was formal in nature.

No relationship was revealed by the data between the manner in which public school principals were evaluated and the size of the school district in Lake County. The determining factor relative to the type of evaluation system, formal or informal, employed to evaluate principals, was contingent upon the beliefs of the individual superintendents regarding the formality or informality of principal evaluation. Only when the enrollment of the school district reached

⁹⁷Circular No. 6, November 1971, "Evaluating Administrative/Supervisory Performance," Educational Research Service,

3,000 or more was there any consistency or agreement exhibited by the data collected relative to the formality or informality of principal evaluation. In that case, all four school districts with an enrollment of three thousand or more utilized formal procedures to evaluate principals. A possible cause for the latter can be attributed to the increase in the complexity of the superintendency brought about by enrollments of this magnitude. These superintendents find themselves devoting more and more time to the political aspects of school administration and less and less time relative to personnel matters. Thus, they find it necessary to employ formal means to evaluate principals.

The implications that can be drawn from the data relative to the existence of a relationship between the enrollment of the school district and the manner in which principals are evaluated are as follows:

First, due to the complexities of the role of superintendents in large school districts, and the belief that these superintendents do not have as much time to devote to evaluation as superintendents in small districts, it is necessary that they develop well-defined formal procedures for the evaluation of principals. The formal procedure will provide direction for the evaluative process and will probably be time-saving in the long run. In addition, the procedure will insure that within the realm of reality all principals will be evaluated equally.

Second, there is a greater probability that principals who are

employed by large school districts are more in need of formalized principal evaluation procedures than principals employed by small school districts. The need for a formalized procedure can be attributed to the fact that the superintendent of a large school district does not have the time or opportunity to become as well-acquainted with his principals and their level of performance as does the superintendent of a small district. The opportunities for the superintendent and principal to discuss the level of performance of the principal or the needs of the principal are limited in a large district by the demands placed upon the time of the superintendent.

Third, provisions for adequately in-servicing principals relative to the procedures to be used to evaluate them should be developed and implemented by superintendents no matter what the size of the district. However, more attention should be given to the topic of in-service in large school districts due to the lack of opportunities for the principal and superintendent to meet informally or formally to discuss the matter of principal evaluation.

Tenure of the Superintendent

Part "b" of question number one sought to determine what relationship existed between the manner in which public school principals were evaluated and the tenure of the superintendent in his current

position. Only data secured from the mailed questionnaire were utilized to determine the nature of the relationship.

Questionnaire Data:

The data collected by the questionnaire relative to the relationship that existed between the manner in which principals were evaluated and the tenure of the superintendent in his current position were reported in table 2, which appears on page 88. In reporting these data the superintendents were rank-ordered according to their years of tenure in their then current position, and the type of principal evaluation procedure utilized in their districts was identified.

An examination of table 2 revealed that the median length of tenure of a superintendent in his then current position was eight years. This superintendent possessed a C.A.S. degree; his board of education had adopted an official policy relative to the evaluation of principals; and evaluated principals on an annual basis utilizing an informal approach. Furthermore, this superintendent indicated that he felt there was a trend toward the utilization of some form of management by objectives in terms of principal evaluation techniques for the future.

The range in tenure status of superintendents who had served for more than eight years in their then current position was from ten to thirty years. An examination of the table revealed that five had ten years of tenure, with an additional three with fourteen years, and two with twelve years. There were six superintendents with sixteen or more years of experience in a given district. On the opposite side of the median there were five superintendents with a tenure

COMPARISON OF THE TENURE OF THE SUPERINTENDENT IN HIS THEN CURRENT
SCHOOL DISTRICT WITH THE TYPE OF PROCEDURE, FORMAL OR INFORMAL,
UTILIZED TO EVALUATE PRINCIPALS

<u>Years of Tenure of Superintendent</u>	<u>Type of Principal Evaluation Procedure Employed</u>
30	Informal
24	Informal
23	Informal
19	Formal
17	Informal
16	Informal
14	Informal
14	Informal
14	Formal
12	Formal
12	Informal
10	Informal
10	Formal
10	Formal
10	Formal
10	Formal
8	Informal
7	Informal
6	Informal
6	Formal
6	Formal
5	Formal
5	Formal
4	Formal
4	Formal
4	Formal
4	Informal
4	Informal
3	Informal
3	Formal
2	Formal
2	Formal
2	Formal

status of four years, three with a tenure status of six years, and an additional three superintendents with tenure status of two years. Furthermore, two superintendents had five years of tenure status and another two had tenure status of three years. Thus, the range in tenure was from two years to thirty years, with a median of eight.

The application of the Mann-Whitney U Test to the data portrayed in table 2 revealed that at an alpha level of .05 a relationship does exist between the manner in which principals are evaluated and the tenure of the superintendent in his current district. However, the Mann-Whitney U Test did not indicate the nature of the relationship. An examination of the table relative to the type of principal evaluation system, formal or informal, employed by superintendents with more than ten years of tenure, revealed that eight out of eleven, or seventy-three percent, utilized an informal technique or approach. Of the remaining twenty-two superintendents, fifteen, or sixty-eight percent, employed formal procedures to evaluate principals. In summary, fifteen out of the thirty-three, or forty-five percent of the superintendents responding to this question utilized informal methods and procedures to evaluate principals.

Analysis and Implications of Data:

The data supplied by the superintendents relative to the relationship that existed between the manner in which principals were evaluated and the tenure of the superintendent in his current position, revealed that a relationship did exist. However, the data did not indicate what type. An analysis of the data secured by the

questionnaire and subsequently presented in table 2, showed that a majority, seventy-three percent, of superintendents with more than ten years of experience evaluated principals in an informal manner. On the other hand, superintendents with tenure of ten years or less were more prone to utilize formal principal evaluation systems.

A possible explanation of the employment of formal approaches by superintendents with ten years or less of experience in their given positions can be attributed to the fact that it was approximately about the time they assumed their positions ten years ago that the movement for accountability in education gained impetus. As chapter 1 of this dissertation indicated, concomitant with this movement was the increased emphasis that was, and has continued to be, placed upon evaluation in education. The eleven superintendents with more than ten years of tenure were so ingrained in their positions that the accountability movement did not affect their power status, and thus they were not, and have not been, challenged by their boards of education to implement formal principal evaluation procedures. In discussing this phenomenon with many of the superintendents during the interview process, they felt that their boards had made them accountable by making them responsible for the manner in which they chose to evaluate principals.

An implication that can be derived from this research is that boards of education which have retained a superintendent for more than ten years in his current position should seriously examine the

procedures utilized to evaluate principals. There is a possibility that these boards are leaving too much to the discretion of the superintendents when it comes to the evaluation of principals. There is a chance that the informal nature of the principal evaluation system employed by superintendents with more than ten years of tenure is not meeting the needs of the school district or the needs of the principal.

A further implication that can be drawn is that superintendents with tenure of more than ten years who are utilizing informal means to evaluate principals should reexamine their philosophy and procedures relative to the evaluation of principals to see if they are consistent with contemporary thinking and practices. In fact, any superintendent employing an informal means to evaluate principals should review the professional literature to ascertain the current status of evaluation in education. A reexamination of the informal principal evaluation procedure in light of the advantages and disadvantages of this procedure should be undertaken. Serious consideration should be given to developing and implementing a formal procedure for evaluating principals. Superintendents who are not employing formal procedures and systems with respect to evaluation should attend seminars and workshops on contemporary issues relative to evaluation of educational personnel.

Another implication is that prospective principals who are interviewing for administrative positions should be concerned with

the system that will be utilized to evaluate their performance. A major question that prospective principals should ask of superintendents when interviewing for a position is how they will be evaluated by the superintendent or his designee.

A final implication that can be drawn from this research is that principals who have been evaluated informally by a superintendent for many years who find themselves faced with the task of working under the direction of a new superintendent in the same school district, should engage in a frank discussion with the new superintendent relative to the manner in which the evaluation of principals will be carried out. It is important that an open dialogue exists concerning how principals will be evaluated.

Tenure of Principal

The purpose of the third part of question number one, - "c", was to determine what relationship existed between the manner in which principals were evaluated and the tenure of the principal as an administrator in his current school district. The questionnaire mailed to the superintendents and the interviews with the superintendents were the source of data for making the above determination.

Questionnaire Data:

The following question appeared on the questionnaire: "Does the number of years that a principal has been employed in your district affect the manner in which he/she is evaluated and the procedures utilized?". In response to this question, twenty-eight

superintendents said "no", four said "yes", and one did not respond.

Interview Data:

Seeking to verify the response obtained from the questionnaire concerning this relationship, the question, "Does the number of years that a principal has been employed in your district affect the manner by which he is evaluated?" was asked of each superintendent who was interviewed. Eight replied "yes" and four replied "no". Those superintendents who answered "yes" indicated that there was a difference in the evaluation of a new or inexperienced principal versus a principal who had a reasonable amount of experience in his district. The evaluation of new principals focused upon determining the principal's strengths and weaknesses. On the other hand, the evaluation of an experienced principal was more clinical in nature. The strengths and weaknesses of this principal were already known, and thus the evaluation process concentrated upon determining the degree of success of the principal in overcoming the identified weaknesses.

Analysis and Implications of Data:

The implications of the findings of this study relative to the relationship that exists between the tenure of the principal in his current administrative position and the manner in which principals are evaluated are as follows:

One, superintendents should be cognizant of the fact that there can possibly be a relationship between the manner in which principals are evaluated and their tenure. Even though a

standardized procedure may be employed to evaluate principals, provisions should be made within that procedure which take into consideration the prior administrative experience of principals.

Two, superintendents should give serious consideration to establishing different purposes and subsequently different criteria for the evaluation of principals new to the school district as compared to experienced principals in the district.

Three, principals new to the school district should be thoroughly in-serviced on the manner in which they will be evaluated.

Four, principals new to a school district should expect to receive more attention in the principal evaluation system than principals with experience in the district. This can be attributed to the fact that the superintendent is not familiar with the competencies of the principal new to the district, and thus the superintendent will have to devote more time to an assessment of this person than to experienced personnel.

Five, principals new to a school district should seek out every opportunity to demonstrate to the superintendent their level of administrative performance.

Educational Background of Superintendent

Part "d" of question number one concerned itself with the relationship that existed between the manner in which principals were

evaluated and the educational background of the superintendent. Data relative to this question were secured from the mailed questionnaire. No data were secured from the interviews.

Questionnaire Data:

In ascertaining the relationship that existed between the manner in which principals were evaluated and the educational background of the superintendent, the data secured from the questionnaire were tabulated and reported in table 3 below:

TABLE 3

EDUCATIONAL BACKGROUND OF SUPERINTENDENTS

	<u>M.A.</u>	<u>M.A.+</u>	<u>C.A.S.</u>	<u>Ph.D./Ed.D.</u>	<u>Totals</u>
Formal		4	6	8	18
Informal	<u>2</u>	<u>5</u>	<u>2</u>	<u>6</u>	<u>15</u>
Totals	2	9	8	14	33

Several observations were made relative to the data in table 3:

First, eight of fourteen superintendents (fifty-seven percent) who possessed a doctorate utilized formal methods and procedures to evaluate principals.

Second, six out of eight superintendents (seventy-five percent) who had earned a certificate of advanced study were shown to have used the same approach, whereas four out of nine with graduate hours beyond the master's level (forty-four percent) employed formal procedures.

Third, two superintendents were identified as having earned a master's degree, and both utilized informal approaches to principal evaluation.

Fourth, the data did not reveal any significant trend toward the formality or informality of principal evaluation systems as determined by the educational level of the superintendent.

An application of the Chi-Square Test to the data in table 3, at an alpha level of .05, revealed that the evaluation of principals is independent of the educational level of the superintendents.

Analysis and Implications of Data:

There was no relationship between the manner in which principals were evaluated and the educational level of the superintendent. The possession of a doctorate by a superintendent does not guarantee that the superintendent will employ a formalized principal evaluation system, but the chances are better than fifty percent that a superintendent who possesses a doctorate will employ a formalized procedure to evaluate principals. Of considerable interest here was the practice revealed by an examination of the data relative to the type of formal evaluation system employed by superintendents with certificates of advanced study or doctorates who utilized formal methods. Six out of eight with doctorates and four out of six with certificates of advanced study employed formal procedures relying wholly or in part on evaluation using management by objectives techniques.

The reason behind this practice may be attributed to the fact that in recent years considerable attention may have been given in graduate level courses in administration and supervision to the use of management by objectives techniques in the evaluation of educational personnel. Also, considerable emphasis has been given to evaluation utilizing management by objectives practices in the professional literature.

The implications that can be drawn as a result of the findings of this study relative to the relationship which exists between the educational background of the superintendent and the manner in which principals are evaluated are:

One, the possession of a particular degree (M.A., C.A.S., Ed.D., etc.) by a superintendent does not indicate his feelings toward how principals should be evaluated. Boards of education which are seeking a new superintendent should specifically seek to determine the philosophy of any prospective superintendent relative to the evaluation of principals. The possession of a particular degree will not indicate the type of procedure (formal or informal, checklist, blank narrative, management by objectives) that a prospective candidate for the superintendency will use to evaluate principals. The board of education must make its desires known relative to this topic, and should seek a candidate whose beliefs are consistent with theirs.

Two, principals should become familiar with management by objectives techniques as they relate to the evaluation of principals. This is necessary because there has been a trend in recent years for school boards to hire superintendents who possess a doctorate or a certificate of advanced study. The research in this dissertation revealed that superintendents who have earned either a certificate of advanced study or a doctorate are prone to employ a management by objectives approach to the evaluation of principals.

Job Assignment and Evaluation

The last part of question number one, part "e", dealt with the relationship, if any, that existed between the manner in which principals were evaluated and the job assignment of the principal, i.e. elementary school, junior high school, high school. The questionnaire and interviews with the superintendents were utilized in securing data pertaining to part "e".

Questionnaire Data:

On the questionnaire the superintendents were asked, "Does the building assignment of the principal (i.e. elementary, junior high, high school) affect the manner and procedure utilized in his/her evaluation?" Three superintendents answered "yes," twenty-nine answered "no," and one did not respond. Thus, it would have appeared that the job assignment did not have any effect on the manner and procedure

utilized in the evaluation of the principal. However, the interview process revealed a different finding.

Interview Data:

When many of the same superintendents who responded "no" to the question posed by the questionnaire concerning the job assignment of the principal and whether or not it affected the manner in which the principal was evaluated, were asked the same question during the interview process, they changed their answer to "yes." In fact, seven out of ten interviewed who had previously responded with a "no," answered in the affirmative when interviewed. Two superintendents felt that their experiences did not allow them to respond to this question, however they had responded with a "no" on the questionnaire.

Ten of the superintendents interviewed were the chief administrators of elementary school districts, and two were high school superintendents. Both high school superintendents responded in the affirmative to the fact that job assignment of the principal does affect the manner in which he is evaluated, and five elementary school superintendents responded in the same fashion. It was interesting to note that a majority of the five elementary superintendents felt that the difference in the principal evaluation procedure was brought about by the differences in the job functions of junior high school principals versus elementary school principals. The consensus of opinion among the five was that the elementary school principal was more involved

in functions pertaining to curriculum and teachers; whereas, the junior high school principal devoted considerably more time to children and problems related to discipline. Also, junior high school principals, in many cases, were responsible for a larger number of extra-curricular activities than were elementary school principals. Basically, what was indicated by all of the five elementary school superintendents and the two high school superintendents was that different job assignments resulted in different job functions, responsibilities, and problems. Thus it was their belief that the manner in which principals were evaluated was affected by their job assignment.

Analysis and Implications of Data:

On the basis of the data supplied by the questionnaire there did not appear to be any relationship between the manner in which principals were evaluated and the job assignment of the principal. However, the interview process supplied evidence to the contrary. The findings here appear to be dichotomous in nature; however, it may be that the job assignment does not actually affect the evaluation procedure. In reality, the difference does not occur in the evaluative procedure, but instead is reflected in the job descriptions and criteria which are attributed to each principal's assignment. The procedures utilized to evaluate principals are the same, but the job description and performance criteria are different.

An implication of the above findings is that the superintendent should develop a comprehensive job description, along with a set of performance criteria against which the performance of the principal will be evaluated, for each level of the principalship in his district. The job descriptions and performance criteria will provide direction to the evaluative process.

Another implication is that principals should be aware of the fact that even though a standardized or uniform procedure is utilized to evaluate the performance of all principals in the district, due to the inherent differences in the various levels (elementary, junior high, high school) of the principals, each principal's evaluation will be unique and different from all others. This is true even of principalships at the same level, due to the student, faculty, and parent composition of each school.

Question Number One Summary

In summarizing the responses obtained from the questionnaires and interviews relative to the relationship that existed between the manner in which school principals were evaluated and a given set of factors (enrollment of the school district, tenure of the superintendent, tenure of the principal, educational background of the superintendent, job assignment of the principal), the following conclusions were reported:

1. The size of the school district in terms of enrollment does not have an effect on the principal evaluation procedures

employed. This was true in actual practice, even though the superintendents interviewed expressed the opinion that as the size of the school district increased so did the probability that a formal system to evaluate principals would be employed.

2. The tenure of the superintendent in his position appears to have an effect on the principal evaluation process. Superintendents with more than ten years of tenure in their district can be expected to employ informal procedures for the evaluation of principals; whereas, superintendents with ten years or less of tenure can be expected to utilize formal procedures for evaluating principals.
3. The tenure of the principal does not appear to affect the manner in which he is evaluated. This is a guarded or qualified conclusion, as the interview process employed for this dissertation revealed a different conclusion than the one which was drawn as a result of tabulating the data obtained from the questionnaire.
4. The educational background of the superintendent does not affect the formality or informality of the process utilized to evaluate principals. However, the educational background of the superintendent does affect the type of formal approach employed to evaluate principals when a formal process is utilized.
5. The job assignment (elementary, junior high school, high school) of the principal does not appear to significantly

affect the process used to evaluate principals. This was also a guarded conclusion, as the results obtained from the questionnaire and interview process were dichotomous. The data from the questionnaire supported the conclusion reached above, however this was refuted by the data garnered from the interviews.

Question Number Two: How were principals being involved in the process of developing the criteria, methods and procedures utilized in their evaluation?

The answer to this question was secured from the questionnaire and the interviews with both the superintendents and principals.

Questionnaire Data:

On the questionnaire, the superintendents were asked to indicate which of the following, - board of education, superintendent, central office personnel (assistant superintendents, supervisors, etc.), principal/principals, teachers or their association, parents, students, or others, were involved in the development of the principal evaluation system in use in their district at the time of this questionnaire. If more than one person or group was involved, the superintendents were asked to rank order the involvement of those so indicated. Presented in table 4, on page 104, are the responses of the superintendents.

TABLE 4

PRINCIPAL INVOLVEMENT IN THE DEVELOPMENT OF THE
PRINCIPAL EVALUATION PROCEDURE

<u>Individual/s Involved</u>	<u>No. of Superintendents Indicating Involvement</u>	<u>Rank Order*</u> <u>1--2--3--4--5</u>
Board of Education	20	3 8 5 4 0
Superintendent	29	24 3 0 1 1
Central Office Personnel	7	0 1 5 0 1
Principal/Principals	21	2 13 4 1 1
Teachers or their association	3	0 4 1 1 0
Parents	1	0 0 0 0 1
Students	0	0 0 0 0 0
Other	0	0 0 0 0 0

* The superintendents were asked to rank-order their responses if they checked more than one in terms of the relative importance played by each one. A ranking of one was applied to the individuals who played the most important role in the development of the system and on down accordingly. In this column the number of superintendents ranking the relative importance of each individual involved in the process of developing the principal evaluation system was given.

An examination of the data provided by this question indicated that the superintendent was the most frequently involved individual in the development of the principal evaluation system. Second in frequency was the involvement of the principal/s, followed immediately by the board of education. Central office personnel was a distant fourth, with teachers or their association and parents coming in fifth and sixth respectively. Not only did superintendents rank first in terms of frequency of involvement, but they were overwhelmingly ranked first in terms of the importance of their involvement. Principals ranked second behind superintendents in this category, and the board of education was a distant third. Thus, the data obtained via the questionnaire revealed that principals were involved in the development of the principal evaluation system in use, but their involvement was secondary to that of the superintendent.

Interview Data:

An examination of the data provided through interviews with the superintendents and principals indicated that in seven out of twelve cases principals were not involved in the development of the principal evaluation system. All of the superintendents interviewed indicated that the major individual involved was the superintendent. Very few indicated that the board of education was directly involved in the development process; however, all said that the board gave its final approval to the system. In some cases this approval was formal, and in other cases it was informal. All of the principals interviewed confirmed the above data provided by the superintendents relative to the

involvement of the superintendent, principal and board of education. Principals who were involved in the development of the principal evaluation system participated either by attendance at a workshop or through membership on a committee charged with developing an evaluative system.

Analysis and Implications of Data:

The conclusion that can be reached by analyzing the data secured relative to the involvement of principals in the development of the principal evaluation system was that principals were involved, but their involvement was secondary to that of the superintendents. The superintendent was overwhelmingly the single most important person involved in the development of the manner and procedure by which the principal was evaluated. This was not an unanticipated conclusion, as the superintendent, in the State of Illinois, is hired as the chief executive officer of the school by the board of education, and is empowered by the board with the responsibility for the operation of the educational enterprise, including the development and subsequent implementation of personnel evaluation systems.

Where there was involvement of the principal in the development of the principal evaluation system, this involvement was limited to his participation as a member of a committee charged with the responsibility of developing and subsequently recommending for adoption a principal evaluation procedure. In some rare instances the principal was sent to a workshop on evaluation conducted by an educational institution or a private educational consulting firm. In

practice the involvement of the principal was very limited or minor. Again, the major contributor was the superintendent.

An implication of the findings relative to the involvement of the principal in the development of the principal evaluation system is that superintendents should make provisions allowing for input from principals from the initiation of the development of the system. This is necessary so that the principal may feel that he is an integral part of developing the system. The involvement of the principal will also result in his having a better knowledge of the rationale behind the system and the techniques and procedures to be utilized. Furthermore, the involvement of the principal is necessary because he is more directly involved in the day to day aspects of the position of the principal than the superintendent. Evaluation can be a threatening concept to many people, and by involving the principal in the development of the system the apprehensions and concerns that the principal may have can possibly be reduced or alleviated. The involvement of the principal at this level should increase the probability of the system being successful.

Another implication of the findings is that principals should become more knowledgeable relative to how principals are or can be evaluated. Principals should partake of every opportunity to attend workshops and inservices on the topic of evaluation. In addition, they should keep ahead of this topic in the professional literature.

Question Number Three: How were principals involved in the actual evaluative process?

Data obtained from the questionnaires and interviews with the superintendents were used to secure the answer to this question.

Questionnaire Data:

Item number nine of the questionnaire solicited information relative to this question. Item nine asked which of a selected group of individuals contributed information that was utilized in the evaluation of principals. Again, if more than one individual was indicated, the superintendent was asked to rank-order those contributing data in terms of importance. The data obtained from this item were presented in table 5, which appears on page 109.

An examination of the data provided by table 5 showed that superintendents were the overwhelmingly major contributors of data to the process of evaluating principals, followed by principals (self-evaluation) and boards of education. The superintendent was the most important contributor of data and the principal was the second most important. The data contributed by the principal were in terms of a self-evaluation.

Interview Data:

The interview process revealed that where principals were evaluated informally their involvement was limited to daily, weekly, or periodic discussions with the superintendent relative to immediate problems which affected the principal or his school. There was no interaction between the principal and the superintendent concerning the total effectiveness or ineffectiveness of the principal.

TABLE 5

CONTRIBUTORS OF DATA TO THE EVALUATION OF PRINCIPALS

<u>Individuals Who Contribute Data</u>	<u>Number Who Contribute Data</u>	<u>Rank Order*</u>							
		<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>
Board of Education	12	0	4	5	2	0	1	0	0
Superintendent	26	21	3	1	0	1	0	0	0
Central Office Personnel	9	0	5	3	0	0	0	0	1
Principal (self-evaluation)	19	3	9	4	2	1	0	0	0
Other Principals (colleague evaluation)	2	0	0	1	0	0	0	1	0
Unit/Department Heads	1	0	0	0	1	0	0	0	0
Teachers	8	1	3	1	1	2	0	0	0
Teachers' Association	1	0	0	0	0	1	0	0	0
External Consultants	0	0	0	0	0	0	0	0	0
Parents	5	0	0	0	2	1	2	0	0
Students	3	0	0	0	1	1	0	1	0
Other	1	0	0	1	0	0	0	0	0

* The superintendents were asked to rank-order their responses if they checked more than one in terms of the relative importance played by each one. A ranking of one was applied to the individual/s who played the most important role in contributing data and on down accordingly. In this column the number of superintendents ranking the relative importance of each individual involved was given.

However, when principals were evaluated formally they participated in the process in terms of self-evaluation. The self-evaluation of the principal was usually conducted just prior to the annual evaluative conference, or in conjunction with the conference. The involvement of the principal in the evaluation process was more encompassing in those instances where management by objectives techniques were used to evaluate principals. The principal was actively involved in selecting the objectives which would be the bases for the evaluation. In addition, the principal played a major role in developing the plan to be employed in achieving the objectives. He also participated in establishing the criteria of measurement that would be utilized in determining the principal's level of success in achieving the stated objectives. The principal was continually involved in assessing his level of performance, and reported this to the evaluator during the evaluative conference/s.

Analysis and Implications of Data:

A conclusion of this research was that principals were involved in the manner in which they were evaluated, but the superintendent was the major contributor of data. The latter was to be expected. As indicated earlier, the involvement of the principal took on the form of self-evaluation. However, the same principals were involved in an additional way. Those principals who were evaluated by a management by objectives technique were also involved in establishing objectives, the manner in which the objectives would be

achieved, the criteria of measurement, and lastly, evaluated their performance in achieving the agreed-to objectives. Thus, these principals played a major role in their evaluations, and to an extent determined ahead of time the course the evaluative process would take. To a great extent they had control over their own destiny. This type of involvement on the part of the principal is an integral part of management by objectives evaluation techniques. This all-encompassing involvement on the part of the principals provides for a more meaningful evaluation of performance.

The implications of the findings of this research relative to how principals were involved in the evaluative process are as follows:

One, principals need to become more knowledgeable of their own strengths and weaknesses so that they may conduct an accurate and beneficial self-evaluation.

Two, principals need to become more knowledgeable of how management by objectives techniques can be utilized to evaluate them. This increased knowledge is necessary because it appears that the management by objectives method of evaluation, more than any other, provides for the greatest amount of involvement on the part of the principal in the evaluative process.

Three, superintendents who plan to use a management by objectives approach to principal evaluation should make provisions for adequately in-servicing their principals relative to this technique before implementing it.

Four, graduate level programs in school administration and

supervision should provide principals or prospective principals with the opportunity to participate in mock evaluations. Provisions should be made for the individual to be both the evaluatee and the evaluator.

Question Number Four: What means were provided for principals to react to their evaluation?

Both the responses to the questionnaire and the interviews with the principals were utilized to secure data to answer this question. The superintendents were not interviewed relative to this question. Provisions were made in the questionnaire for the superintendents to indicate the appeal means available to principals.

Questionnaire Data:

Part "e" of question number sixteen of the questionnaire, and part "h" of question number fifteen, provided information used to answer this question. In part "e" of question sixteen, the superintendents were asked to indicate whether or not an opportunity was available for the principal to appeal the evaluation findings. Eighteen responded "yes" and two responded "no". Thirteen did not respond to this question. In conjunction with part "e" the superintendents were asked to indicate how the principal could appeal the evaluation findings. The superintendents responded that the appeal was informal in nature. The process consisted of the principal verbally discussing his concerns relative to the evaluation findings with the superintendent. No formalized procedures for appealing

the evaluation findings to the board of education or a third party were reported.

Part "h" of question number fifteen asked the superintendents if the principals were aware, prior to the evaluation conference, of "the manner in which an evaluation may be appealed". Seventeen out of thirty-three, or fifty-two percent, of the superintendents replied that principals were knowledgeable of the procedure to be followed relative to the appeal process.

Interview Data:

All of the principals interviewed indicated that they were provided with the opportunity to appeal their evaluation. This opportunity was informal in nature, in that all but one of the principals replied that the opportunity took on the form of a verbal discourse between the superintendent and the principal. One principal indicated that he could appeal the evaluation findings directly to the board of education in a verbal manner. This was true because the board as a group met with the principal and evaluated him.

Analysis and Implications of Data:

An analysis of the data provided by the questionnaire and interviews with the principals revealed that provisions were made for the principals to appeal their evaluations. Furthermore, the majority of the principals were aware of the manner in which the evaluation findings could be appealed prior to the evaluation conference. However, the appeal process itself was rather informal in nature. The appeal process consisted of the principal verbally discussing his

concerns relative to the evaluation findings with the superintendent. In no case was a formalized procedure available for the principal to appeal the evaluation findings to an impartial third party or the board of education. This can be attributed to the fact that little attention has been paid by boards of education to the due process rights of principals. The due process rights of teachers have received considerable attention by the state legislatures and the teachers' unions and associations, but the same is not true of principals. Not until the early seventies, when the various principal organizations (elementary, high school, Catholic school principals, etc.) decided to consolidate under one organization (Illinois Principals Association), was any serious attention given to the due process rights of principals. With strength in numbers this organization since that time has been actively seeking means by which principals could be protected from the capricious and unilateral decisions of superintendents or boards of education. It can be anticipated in the future, as a result of the continued pressure applied by professional organizations, that even more attention will be paid by superintendents and boards of education to the due process rights of principals. This will result in a more formalized evaluation appeal process.

One implication that can be derived from the findings of this research relative to the matter of appeal is that boards of education should adopt a formal policy or incorporate in a policy on principal evaluation a statement guaranteeing principals the right to appeal the findings of an evaluation. In addition, the board should direct

the superintendent to develop and implement a formal procedure for principals to follow in appealing an evaluation. The principals should have prior knowledge of the manner in which an appeal can be made prior to the commencement of the evaluation cycle.

An implication of these findings for the principal is that he should strive to have a formalized appeal process initiated by the board of education and the superintendent. Without such a formal process, the only recourse a principal has, if he cannot come to an acceptable agreement with his superintendent, is to accept what he believes to be a negative evaluation or to seek a position in another school district. It is recommended that as a part of the formal appeal procedure that an impartial third party be appointed to hear any appeal brought by a principal.

Question Number Five: What was the purpose or purposes for evaluating principals?

Data relative to this question were obtained from the questionnaires. The interview process was not utilized as a major technique for securing any data for this question. However, in an attempt to clarify the responses received from the questionnaires, the superintendents were asked to comment on the importance assigned to two purposes. Their comments were incorporated into the section dealing with questionnaire data.

Questionnaire and Interview Data:

Item number ten of the questionnaire listed eight possible purposes for the evaluation of principals. The superintendents were

asked to indicate which purpose or purposes of those listed could be identified as purposes of the principal evaluation system that they employed. If they selected more than one purpose, they were asked to affix a relative value, utilizing a scale of one to five, with five being high and one being low, to each of the purposes selected. A presentation of the data secured follows in table 6, which appears on page 117.

Even though the purpose of assisting the principal in his professional development had the highest frequency of responses, the purpose of improving the educational leadership of the school was ranked as being of the most value, using the weight scale described prior to the appearance of table 6. The latter purpose received nineteen fives (a weight of five was high) and six fours, as compared to thirteen fives and five fours for the first purpose. Even though the purpose of assisting the district in the attainment of its goals was near the bottom of the list in terms of frequency of response, it was classified as having more value than the purpose of assisting the principal in his professional development. It received thirteen fives and six fours. Also classified as having more value than the purpose of assisting the principal in his professional development was the purpose of identifying areas needing improvement. It received ten fives and ten fours.

Of interest was the fact that even though the purpose of determining employment status was tied for third in terms of frequency

TABLE 6

INTENDED PURPOSES FOR THE EVALUATION OF PRINCIPALS

	<u>Purpose</u>	<u>Frequency</u>	<u>Rank*</u>
a.	To assist the principal in his professional development	30	2
b.	To identify job targets or professional competencies to be reached in the future by the principal	24	5
c.	To use in making recommendations for salary increments	21	7
d.	To determine employment status (retention, dismissal, promotion)	25	6
e.	To assist the district in attainment of its goals	21	4
f.	To improve the educational leadership of the school	27	1
g.	To identify areas needing improvement	25	3
h.	To assess present performance in accordance with prescribed standards	17	8

* The rank was derived by tabulating and totaling the weight (a number from 1 to 5 inclusively, with 5 being high) assigned to each purpose by the superintendents. The purpose which received the highest number of points was assigned the rank of 1. The purpose which received the second highest number of points was assigned the rank of 2, and so forth.

of response, it was not classified as a major purpose for evaluating principals as a result of the weighting system utilized. It received only four fives and two fours, along with eleven threes. Its ranking in terms of relative value or importance as a purpose fell significantly below the first two purposes, and also the purpose of identifying areas needing improvement, which it tied with in terms of frequency of response. This fact was borne out by the interviews, as several superintendents indicated that even though they had identified it as one of the purposes for evaluating principals it was not a major purpose. Many of the superintendents reported that the only time they would apply a weight or value of five to this purpose of determining employment status would be if there was a serious question as to whether or not a principal would be rehired. It was their opinion that this would be a rather rare occurrence.

In keeping with the above observation, the purpose of using the evaluative process to make recommendations for salary received low ratings in terms of value or importance. Only four superintendents assigned a value of five to it, and an additional three assigned a value of four. This was also verified by the interviews with the superintendents, as a majority of them felt that it was not, and should not be, a major reason for evaluating principals. The purpose, - to assess present performance in accordance with prescribed standards - received the least number of responses in terms of frequency of use. A possible reason behind this occurrence was uncovered by the responses given to

question number fourteen of the questionnaire. It asked, "Have you established a set of performance standards against which the performance of the principal is measured?". Seven superintendents answered "yes", twenty-four answered "no", and two did not respond. The infrequency of the use of this purpose as one of the purposes for evaluating principals was attributed to the fact that seventy-three percent of the superintendents did not have any established performance standards against which to measure the performance of the principal.

Analysis and Implications of Data:

Assisting the principal in his professional development, along with improving the educational leadership of the school, were identified as being the most frequently utilized and the most important purposes for evaluating principals. The determination of the above as major purposes for the evaluation of principals was consistent with the major purposes discussed in the literature over the past ten years, with the exception of the 1968 Educational Research Service Report. The purposes of determining employment status and salary increments were viewed as rather unimportant purposes except in rare instances. A review of the literature between 1968 and 1978 revealed a dichotomy among the literature relative to the two purposes just mentioned. Research studies such as those conducted by Educational Research Service in 1968 and 1971, along with Bolton's study in 1976, agreed with the findings just stated. However, such writers on principal evaluation as Hunt and Buser placed a high level of importance on the purposes of

determining employment status and salary increments.

It is difficult to envision the findings of the evaluation process not being utilized to determine employment status or salary increases in some form. In fact, it is almost unrealistic to believe that the evaluation findings are not used to determine employment status or salary increases. These two purposes may be salient reasons for principal evaluation, and as such cannot be completely ignored.

The first implication that can be drawn as a result of the findings of the research relative to the purposes for evaluating principals is that the board of education and superintendent should establish a set of purposes for the evaluation of principals before deciding on a method or procedure to be utilized for evaluating principals. The establishment of these purposes will give direction to the process of developing a principal evaluation system. Another implication is that principals should have prior knowledge of the purposes for which an evaluation of their performance is to be conducted so that the principals may have a better understanding of the evaluative process and the rationale upon which it was based. Also, there is an implication that serious consideration must be given to the purpose "to assess present performance in accordance with prescribed standards" if a viable principal evaluation procedure is to be utilized. If the latter purpose is established as one of the purposes for the principal evaluation system, then the superintendent must develop a set of performance criteria against which the

performance of principals will be measured.

Finally, since there was a void uncovered by this research in the pre-establishment of performance standards against which the performance of principals was measured, the purpose of assessing the present performance of principals in accordance with prescribed standards was the least utilized of all the purposes listed in question number five. The 1968 and 1971 studies on administrative evaluation conducted by Educational Research Service and the writings of George Redfern placed the purpose of assessing the present performance of principals in accordance with prescribed standards near the top of the list in terms of importance. Also, the purpose "to identify job targets or professional competencies to be reached in the future by the principal" was rated highly by ERS, George Redfern and Hunt and Buser. However, for purposes of this dissertation the above purpose was ranked fifth in importance out of eight purposes listed. The reason for the relative lack of importance attached to the purpose relative to job targets by the findings in this dissertation may be attributable to the belief that management by objectives techniques for principal evaluation were just beginning to receive attention by superintendents in Lake County, Illinois, at the time of this research.

Question Number Six: What criteria and standards were utilized in the evaluation of principals?

This question was answered by items number eleven, twelve, thirteen, and fourteen of the questionnaire. Item eleven sought to

establish the criteria utilized to evaluate principals. Item twelve sought to determine the existence of job descriptions for the position of the principal. Item thirteen sought to determine whether or not the principal's job description was utilized in developing the principal evaluation system in use. Item fourteen sought to determine the existence of a set of performance standards against which the performance of the principal was measured. As a result of the multiple items on the questionnaire utilized to secure data to answer this question, the answer was presented in three sections. Section one presented the data obtained from item eleven. Section two presented the data secured from items twelve and thirteen. Section three presented the data garnered from item fourteen. An analysis and interpretation of the data was presented following each section. The interview process was not formally used to answer this question as a result of the multiple items which appeared on the questionnaire. However, minor reference was made to the interviews in reporting the data secured.

Criteria Utilized to Evaluate Principals

Questionnaire Data:

Item eleven of the questionnaire presented an extensive list of criteria that could be utilized in the evaluation of principals. Item eleven asked the superintendents to indicate which were employed by their districts in the principal evaluation process. A presentation of the data secured by this question appears in table 7 which follows on page 123.

TABLE 7

CRITERIA USED BY SUPERINTENDENTS FOR EVALUATING PRINCIPALS

<u>Criteria*</u>	<u>Frequency of Use**</u>
c. Resourcefulness/Creativity/Innovativeness	28
f. Decision-making effectiveness	28
a. Personal traits (i.e. enthusiasm, initiative, etc.)	27
e. Leadership ability	27
b. Receptivity to suggestions	26
p. Curriculum implementation	26
s. Public relation skills	26
n. Policy implementation	25
r. Communication skills	25
t. Staff morale	25
z. Interaction with parents	25
g. Planning and organizing skills	24
q. Evaluation skills	23
v. Pupil control	23
i. Certified and non-certified personnel management	22
ac. Professional growth and development	22
u. Pupil morale	22
o. Curriculum development	20
aa. Preparational competencies (knowledge of field, etc.)	20
h. Crisis management	20
d. Loyalty to superiors	19
x. Acceptance by community	19
ab. Achievement of predetermined objectives (M.B.O., performance objectives, job targets)	19
l. Activity/Extra-curricular activity management	18
k. Financial management	17
w. Pupil achievement	16
j. Facility/Plant management	15
y. Participation in community affairs/activities/ organizations	14
m. Policy development	8
ad. Other	1

* The letters preceding the criteria are not in alphabetical sequence as the items are ranked according to their frequency of use. The letters represent the order of the items as they appeared on the questionnaire.

** Thirty-two superintendents responded to this item on the questionnaire. No single criterion was checked by all thirty-two.

An examination of the data secured from item number eleven revealed that criterion "c", - resourcefulness/creativity/innovativeness -, and criterion "f", - decision-making effectiveness, received the highest number of responses--twenty-eight out of thirty-two. This was followed by the criteria of personal traits (i.e. enthusiasm, initiative, etc.) and leadership ability. Next in line were criteria pertaining to receptivity to suggestions ("b"), curriculum implementation ("p"), and public relation skills ("s"). Policy implementation ("n"), communication skills ("r"), staff morale ("t"), and interaction with parents ("z"), were next in line.

When asked about the criterion dealing with loyalty to superiors, a majority of the superintendents interviewed indicated that they felt this was a prerequisite of the job and thus was automatically assumed to be of the utmost importance. Similarly, in response to a question relative to the low priority attached to the criterion of crisis management ("h"), superintendents indicated during the interview that they did not mark this item due to their belief that plans for the handling of crises would automatically have been developed and implemented on a day-to-day basis as a further prerequisite of the job.

Analysis and Implications of Data:

It was not surprising to see the criterion of policy implementation ("n") and the criterion with respect to participation in community affairs/activities/organizations ("y") receive relatively

low responses, as policy development is a function delegated to the board of education after recommendation of the superintendent, and participation in community affairs/activities/organizations is relatively difficult for principals who do not live in the community in which they function as a principal. Even though the criterion of pupil achievement ("w") did not receive considerable attention at the time of this research, it is anticipated that in the future many school districts will pay more attention to this criterion for evaluation of principals. The reason for this increased attention will probably be due to a trend by many state legislatures and offices or departments of education to mandate or impose achievement criteria upon which graduation by students from eighth or twelfth grade would depend. It was not unanticipated to see the relatively low number of responses to the criteria of facility/plant management ("j") and financial management ("k"), as many districts at the time of this research availed themselves of the services of a building and grounds supervisor, as well as the services of a business manager.

In conclusion, the four criteria which received the highest number of responses, - resourcefulness/creativity/innovativeness, decision-making effectiveness, personal traits (i.e. enthusiasm, initiative, etc.), and leadership ability, were all, in reality, related to personal traits. On the other hand, the criteria of policy development, facility/plant management, and financial management, which all received a relatively low number of responses when compared

to those just cited, were classified as activities that could be, and in many cases were, performed by supplementary school personnel, with the exception of policy development.

A major implication relative to the criteria to be utilized to evaluate principals is that superintendents should give serious consideration to prioritizing the criteria to be selected. In addition, the criteria should be put in such a form so as to clearly and carefully communicate the job expectations and behaviors which are to be achieved by the principal. In speaking to this issue, Buser and Stuck have written:

It is our position that the criteria should be in a form that communicates job expectations and identifies the behaviors by which they are to be achieved. Additionally, we believe that the criteria should be arranged and/or weighted in a manner to reflect their relative priorities.⁹⁸

Another implication which can be drawn is that superintendents, or those responsible for developing the procedures by which principals are evaluated, should first give attention to the personal traits that are desired in principals. Included in personal traits are resourcefulness/creativity/innovativeness, decision-making effectiveness, personal traits (i.e. enthusiasm, initiative, etc.) and leadership ability. The criteria relative to personal traits should be spelled out very succinctly, and an attempt should be made to relate them to the performance of the principal. In addition, even though the criterion of facility/plant management did not receive a high rating as a criterion for

⁹⁸Robert L. Buser and Dean L. Stuck, Evaluation and the Principal (Springfield, Ill.: Illinois Principals Association, 1976), p. 15.

evaluation, it should receive attention during the evaluative procedure. As the manager of the school, the principal is responsible for the total upkeep and appearance of the building. It is his responsibility to supervise the custodial and maintenance personnel assigned to his building. Facility/plant management should be an important criterion for principal evaluation.

An implication that also should be drawn is that the criterion of financial management, which did not receive a high priority by the superintendents who participated in this research, should be given serious consideration as a criterion for evaluating principals. Principals are usually involved in the development of a budget relative to the activities undertaken under their charge. The principal should be realistic in arriving at the financial requirements for his building, and must also be prudent in living within the budget allocated for his school. Financial management is a criterion that must be considered in the principal evaluative process; however, it should not receive as much priority as criteria related to the educational functions of the school.

As a further implication, it is necessary that provisions be made for the in-servicing of principals relative to the criteria upon which their evaluation will be based.

An all-encompassing implication relative to criteria is that only the criteria which have a direct result on the level of efficiency of the principal and the school unit for which he is responsible

should receive consideration in the principal evaluation system.

Principal Job Descriptions

Questionnaire Data:

In item number twelve of the questionnaire, the superintendents were asked, "Have job descriptions been developed for the various principal positions in your district?". Thirty-two out of thirty-three superintendents answered in the affirmative. As an extension or follow-up to item twelve, item number thirteen was proposed. This item dealt with the utilization of the job description in the development of the principal evaluation system employed by the superintendents queried at the time of this research. Specifically, item thirteen asked, "If you answered yes to item number 12, was it (job description) used in developing the evaluation system now in use?". Eighteen, or fifty-eight percent of superintendents who responded to question number thirteen replied "yes".

Analysis and Implications of Data:

The data obtained from question number three of the questionnaire relative to the type of principal evaluation system employed, - formal versus informal -, offered an explanation for the non-use of job descriptions by many superintendents in the development of the principal evaluation system. Eighteen out of thirty-three superintendents indicated that they utilized a formal approach to the evaluation of principals. This was the same number that had previously indicated that they did employ the job description of the principal's

position in the development of the principal evaluation system. A further analysis of data supplied by question number three, in comparison with question number thirteen, revealed that of the eighteen superintendents who employed a formal approach in the evaluation of principals, thirteen utilized preexisting job descriptions in the development of the principal evaluation system. On the other hand, five of the superintendents who professed the use of an informal means of evaluating principals indicated that they used the principal's job description in the development of their informal systems. Thus, five superintendents who employed formal means to evaluate principals did not use the job description of the principal in developing the system.

An implication which can be drawn from the data is that superintendents should develop job descriptions for each level of the principalship in their school districts. The job description will not only provide the principals with direction on their assignments, the job descriptions will also provide direction for the principal evaluative process. A further implication is that principals should play an active part in the development of the job descriptions, and also should be knowledgeable of them. Another implication is that the superintendent should periodically review with the principals the job descriptions, to see if any changes are necessary. Due to the complexity and changing nature of our society, a review of the job descriptions is necessary. In the development of job descriptions it is essential, according to Bolton, that "in order for evaluation of administrative

performance to occur, the role expectations and the job descriptions must be translated into specific objectives and these objectives must be measurable."⁹⁹ Thus, the job descriptions must be written in such a way that they can be translated in the future into performance objectives which can be used to measure the effectiveness of the principal.

Performance Standards

Questionnaire Data:

Item fourteen of the questionnaire sought to determine whether or not the superintendents had established a set of performance standards against which the performance of the principal was measured. Twenty-four out of thirty-two respondents to this item indicated that no set of performance standards existed.

Analysis and Implications of Data:

The fact that twenty-four respondents did not have a set of such standards was a matter of concern. If no set of predetermined performance standards was employed in the principal evaluation process, then against what standard, if any, was the principal evaluated? Furthermore, how was the principal to know in advance, as well as during the evaluation process, what was expected in terms of performance?

⁹⁹Dale L. Bolton, "Problems and Issues in the Evaluation of Administrative Performance," A CEDR Monograph - Phi Delta Kappa (1975): p. 75.

A comparison of the results obtained in item three of the questionnaire with item fourteen showed that nine of the fifteen superintendents who utilized an informal approach in the evaluation of principals had answered "yes" to item fourteen, indicating that they recognized the importance of performance standards. Eight of the eighteen superintendents who used a formal system to evaluate principals also had a predetermined set of performance standards against which the performance of the principal was measured. The implication here was that an informal approach to the evaluation of principals resulted in the non-use of predetermined performance standards in the process of evaluating principals. A possible explanation of why the ten out of eighteen superintendents who employed a formal approach to evaluate principals did not use predetermined performance standards can be attributed to a lack of sophistication on their part in developing a viable and realistic principal evaluation system. A prerequisite of any formal approach (checklist, narrative appraisal, management by objectives or a combination of the preceding) to the evaluation of principals is the development of performance standards for the principal.

Question Number Seven: What procedures were employed to evaluate principals?

Data used to ascertain what procedures were employed to evaluate principals were gathered from the questionnaire and also by a review of principal evaluation instruments provided by seven superintendents.

Questionnaire Data:

Item number six of the questionnaire asked those superintendents who utilized a formal procedure to indicate the nature of the method used. The superintendents were to check one of the following:

1. Rating on a Prescribed Scale (checklist approach)
2. Blank Narrative/Essay Appraisal
3. Evaluation by Objectives/Job Targets/Performance Evaluation
4. Combination of the above
5. Other

Table 8, which appears below, presented a summary of the procedures used to evaluate principals where formal methods were employed.

TABLE 8

SUMMARY OF METHODS/PROCEDURES UTILIZED BY DISTRICTS
EMPLOYING FORMAL TECHNIQUES IN EVALUATING PRINCIPALS

<u>Method/Procedure Employed</u>	<u>No. of Districts Using Procedure Exclusively</u>	<u>No. of Districts Using Procedure in Conjunc- tion with Another Procedure</u>	<u>Total No. of Times Used</u>
a. Rating on a pre- scribed scale	2	7	9
b. Blank Narrative/ Essay Appraisal	1	3	4
c. Evaluation by Ob- jectives/Job Tar- gets/Performance Evaluation	7	8	15

An examination of the table above clearly showed that the third method, evaluation by objectives/job targets/performance evaluation, which in one form or another can be considered as a management by objectives approach, was employed most often. It was utilized as the only procedure in seven cases, and in combination with one or both of the other methods in eight other cases. Method "a", rating on a prescribed scale, came in second, being used nine times in all, twice by itself and seven times in conjunction with one or both of the other methods. The blank narrative/essay appraisal technique was employed four times, once by itself and three times with one or both of the other approaches.

A further examination of the data revealed that the combination of a rating checklist along with a management by objectives technique was used by five districts. The blank narrative/essay appraisal approach was employed three times in conjunction with a management by objectives approach. All three methods were utilized by two school districts.

Analysis and Implications of Data:

The most popular method/procedure used, either by itself or in combination with one or both of the others, was evaluation by objectives/job targets/performance appraisal. The least popular was the blank narrative/essay appraisal technique. This may possibly be attributed to the fact that the blank narrative/essay appraisal technique by its nature does not provide any direction for the evaluation to

take. It is open-ended and lacks structure. However, if a structure is provided, it can be a valuable means of purveying the results of the evaluation process.

It was interesting to note the rather meager use of the rating on a prescribed scale approach, especially as the only means employed to evaluate principals. Ten years prior to this study it was the single most popular approach utilized by school districts. The gain in use of some form of management by objectives for evaluating principals has resulted in a corresponding decrease in employment of checklist instruments/procedures.

Due to the considerable amount of attention given to management by objectives as a tool for evaluating principals in the literature of education, along with the fact that it was the most popular method for evaluating principals of the superintendents who responded to this dissertation, superintendents and principals should become more knowledgeable relative to management by objectives techniques as they relate to evaluation. Graduate level courses in school administration and supervision should provide practicing, as well as prospective administrators, with practice in conducting evaluations utilizing management by objectives techniques. Other means of evaluating principals should also be reviewed; however, for the moment, the use of management by objectives to evaluate principals seems to offer the most promise, and is receiving the most attention in practice and in the literature.

The increased use of management by objectives techniques can be attributed to the call for more accountability in education by boards of education and the taxpaying public. In response to this demand for accountability, educators have availed themselves of the techniques that have been used in business and industry. For years, business and industry have successfully utilized management by objectives techniques to both manage their institutions and to evaluate personnel. As more and more educators gained knowledge of this technique, either through professional reading, attendance at workshops on management by objectives, participation in graduate level administrative and supervisory courses, etc., the use of management by objectives for evaluating educational personnel has gained in use. As a result of this research, the emphasis placed on management by objectives in graduate level courses, and the considerable attention paid to management by objectives as an evaluation tool in the writings of educators, it is anticipated that this method will continue to receive considerable attention in the future.

Question Number Eight: Did the Board of Education have formal policy statements relative to the evaluation of school principals?

Data secured from administration of the questionnaire to superintendents were employed to answer this question.

Questionnaire Data:

Item number one of the questionnaire asked, "Has your Board of Education adopted an official policy and/or set of procedures

relative to the evaluation of principals?". Thirty-three superintendents responded to this question, twelve answered "yes" and twenty-one answered "no". Thus, a great majority of the boards had no official policy or set of procedures relative to evaluating principals. The latter was true even though question two of the questionnaire, "Is an evaluation of each principal's performance conducted annually" revealed that thirty-two out of thirty-three of the superintendents conducted an annual evaluation of principals. One superintendent evaluated the principal after his first year of experience in the district, and every five years thereafter.

Analysis and Implications of Data:

As reported above, twelve school districts were identified as having official board policies or procedures relative to the evaluation of principals. Of these twelve, nine conducted a formal evaluation of principals and three conducted an informal evaluation of principals. Twenty-one boards of education had not adopted any policy statements or official set of procedures for evaluating principals. A possible explanation as to why twelve of these twenty-one districts did not have policies or procedures can be attributed to the fact that these twelve school districts conducted informal principal evaluations, and subsequently may not have felt a need for a formalized policy or set of procedures. The remaining nine of the twenty-one school districts that had not adopted an official policy or set of procedures were engaged in a formal principal evaluation procedure. The reason behind their not having adopted an

official policy or set of procedures was unexplained, but there was the possibility that some of these boards may have delegated the complete responsibility of the evaluation of principals to their superintendents. The conclusion is feasible, in that each of these nine superintendents did partake of a formal process, which implied that they had a set of procedures, at least.

The major implication to be drawn from the above findings is that boards of education should adopt formal policy statements concerning the evaluation of principals. The board of education should be on record as to the board's stand on principal evaluation. The policy adopted should be as a result of the superintendent's recommendation. The development and implementation of the procedures to be followed in evaluating principals should be left to the discretion of the superintendent. Upon the recommendation of the superintendent the board of education should approve the principal evaluation system and direct the superintendent to implement the system.

Question Number Nine: Who was involved in the total process of evaluating the principal?

Question number nine sought to ascertain which parties, - board of education, superintendent, central office personnel, principals, etc. - played a role or contributed data in the process of evaluating principals. Item nine of the questionnaire, in addition to the interviews with the superintendents and principals, was utilized to secure data to answer this question.

Questionnaire Data:

A list of possible contributors of information to the process of evaluating principals was presented in item nine of the questionnaire. The superintendents were asked to indicate which one or more were involved in their school districts. If they selected more than one person or group, they were asked to rank-order those checked in terms of being the most important, the second most important, and so on. A summary of the data obtained is presented in table 9.

TABLE 9

CONTRIBUTORS OF DATA TO THE PROCESS OF EVALUATING PRINCIPALS

Contributors of Data	No. of Superintendents Indicating Involvement	Rank Order*							
		1	2	3	4	5	6	7	8
Board of Education	12	0	4	5	2	0	1	0	0
Superintendent	26	21	3	1	0	1	0	0	0
Central Office Personnel	9	0	5	3	0	0	0	0	1
Principal (self-evaluation)	19	3	9	4	2	1	0	0	0
Other Principals (colleague evaluation)	2	0	0	1	0	0	0	1	0
Unit/Department Heads	1	0	0	0	1	0	0	0	0
Teachers	8	1	3	1	1	2	0	0	0
Teachers' Association	1	0	0	0	0	1	0	0	0
External Consultants	0	0	0	0	0	0	0	0	0
Parents	5	0	0	0	2	1	2	0	0
Students	3	0	0	0	1	1	0	1	0
Other	1	0	0	1	0	0	0	0	0

* The superintendents were asked to rank-order their responses if they checked more than one in terms of the relative importance played by each one. A ranking of one was applied to the individual/s who played the most important role in contributing data in the process of evaluating principals, and on down accordingly. In this column the number of superintendents ranking the relative importance of each individual involved was given.

An examination of table 9 revealed that the superintendent was the most often selected contributor of data to the process of evaluating the principal, followed by the principal in terms of self-evaluation, with the board of education coming in a distant third. The rank-order column revealed that the superintendent was considered to be the most important contributor of data followed by the principal and board of education respectively. It was interesting to note that in eight instances, teachers on an individual basis, not as an association, were indicated as being sources of data for the evaluation of principals. Minor provisions were made for the involvement of parents and students as contributors of data.

Interview Data:

The interviews with the superintendents confirmed the findings of the questionnaire. All of the superintendents felt that the superintendent was the single most important contributor of data to the principal evaluation process. The principal was considered to be the second most important, followed by the board of education. The majority of the superintendents, ten, indicated that the involvement of the board of education was informal in nature. The board of education was not involved in the procedure conducted by the superintendent to evaluate principals; however, the board was presented with the results of the evaluation for its perusal. Two of the twelve superintendents interviewed indicated that the board of education was directly involved in the process of evaluating principals. One board of education

actually completed a rating checklist instrument which was developed by the superintendent. The other board of education required that the principal meet with the board personally to discuss his evaluation with them.

Two principals interviewed indicated that formalized procedures had been developed by which teachers evaluated principals. One was in favor of this process, whereas the other principal objected to teachers being involved in his evaluation. The majority of principals interviewed indicated that their involvement was basically in terms of self-evaluation. Those principals whose superintendents utilized a management by objectives technique indicated that they were involved in all aspects of the evaluative process. The majority of principals felt that the superintendents should be the key person involved in their evaluations. Most accepted the fact that the board evaluated them informally.

Analysis and Implications of Data:

There were three major contributors of data to the process of evaluating principals, - superintendents, principals (self-evaluation), and boards of education (informally). The superintendent was by far the single most important person involved in evaluating principals. This was to be expected, as the superintendent, in a majority of the cases, was the direct superior of the principal and thus was charged with the task of evaluating the principal. The lack of involvement on the part of teachers, parents, and students in the evaluation of principals can be attributed to the fact that they were not skilled

in the techniques required to conduct a fair and impartial evaluation of a principal. Furthermore, they were not aware, in a majority of situations, of the scope and extent of the duties and functions of the principal. In many cases they allowed personal biases to interfere with an impartial evaluation. The preceding comments can also be applied to members of boards of education. The role of the principal, with the exception of those who are evaluated in terms of management by objectives, is still minor in many respects. An increase in the use of management by objectives techniques will result in a corresponding increase in the breadth of the involvement of the principal in the evaluative process.

The implications that can be drawn as a result of the research findings relative to who is involved in the actual evaluation of the principal are:

First, since the superintendent is the single most important person involved in the evaluation of principals, he should be thoroughly skilled in the techniques necessary to evaluate principals. This skill is to be obtained by continued professional reading on the topic of personnel evaluation, along with the participation of the superintendent in seminars and workshops dealing with evaluation.

Second, graduate departments of school administration and supervision should provide many opportunities for their students to become skilled in the area of principal evaluation.

Third, principals should become more knowledgeable concerning the techniques that can be employed to evaluate their performance. Furthermore, principals must develop sufficient skill in carrying out an objective self-evaluation of their performance.

Fourth, boards of education who do participate in the evaluation of principals must receive training in the procedures to be employed. Most board members are not normally skilled in the process of evaluation, and either should attend in-service training sessions or should participate in seminars and workshops on principal evaluation. In reality, the boards of education should leave the evaluation of principals to trained professionals.

Question Number Ten: What similarities and differences existed in the manner in which principals were evaluated?

Items number seven, eleven, fifteen and sixteen of the questionnaire were utilized to secure data to ascertain what similarities and differences existed in the manner in which principals were evaluated. Reference was made in earlier sections of this chapter to the data obtained by items seven and eight. These data were reviewed in this section, and the data from items fifteen and sixteen were presented, analyzed, and interpreted. The interview process was used to secure data for this question. Question ten is answered in four sections. Each section corresponds to each of the four items which appeared on the

questionnaire.

Methods and Procedures Utilized to Evaluate Principals

Questionnaire Data:

Item seven of the questionnaire sought to determine what methods and procedures were employed to evaluate principals. As reported under question number seven (pages 131, 132, 133, 134 and 135) of this chapter, fifteen districts used a management by objectives approach, singly or in combination with a checklist and/or a narrative approach in the evaluation of principals. No other procedure by itself, or combined with one or more others, came close to the use of management by objectives.

Districts that employed a management by objectives technique basically followed the same procedure. One, the principal selected a set of objectives or goals which he hoped to achieve during the school term. Two, the principal and his superior met to discuss the acceptability of these objectives. Three, upon agreement by both parties to the objectives to be undertaken, the procedures to be followed in achieving the objectives and the manner in which this achievement would be measured were set. Four, periodic interim evaluation conferences were held to check on the progress being made in reaching the predetermined goals/objectives. At this time, the opportunity to revise or delete an objective, if necessary, was provided. Five, a final evaluation conference was conducted, at which time the level of accomplishment of each objective was determined. Six, the evaluation conference recycled itself with the selection of new objectives for an

ensuing evaluation period.

Criteria Utilized to Evaluate Principals

Item number eleven of the questionnaire, whose results were reported earlier in this chapter in answer to question number six of the research, revealed that four criteria for the evaluation of principals were held in common by a significant number of school districts. These four were, - resourcefulness/creativity/innovativeness, decision-making effectiveness, personal traits (i.e. enthusiasm, initiative, etc.), and leadership ability. Conversely, the superintendents were consistent in not selecting as criteria for the evaluation of principals those of policy development, facility/plant management, and financial management.

Factors Relative to the Evaluation of Principals

Item number fifteen of the questionnaire provided additional data relative to the similarities and differences that existed in the manner in which principals were evaluated. Item fifteen sought to determine, according to the superintendents, which of a selected list of items, relative to the principal evaluation procedure in use, the principal was aware of ahead of time. The items or factors in question, along with the responses secured from the superintendents, follow on page 145.

<u>Item/Factor</u>	<u>Frequency of Response</u>
The identification of the evaluator/s	22
The time period of the evaluation	27
The nature and timing of the evaluative conference	25
The criteria upon which the evaluation is based	25
The purpose of the evaluation	28
The methods and procedures to be followed	22
The response system (e.g. numerical ratings, letter ratings, narrative responses, checklists, etc.)	21
The manner in which an evaluation may be appealed	17

The factor which was checked the most dealt with the principal being aware ahead of time of the purpose of the evaluation. Conversely, the item receiving the fewest responses dealt with the principal having prior knowledge of the manner in which an evaluation could be appealed.

Opportunities Provided to the Principal

Item sixteen asked whether or not a selected set of opportunities relative to the principal evaluation system was provided for the principal. The selected opportunities, along with the frequency of response secured from the superintendents, were as follows:

<u>Selected Opportunity</u>	<u>Frequency of Response</u>
Opportunity for the evaluatee to participate in the planning for the evaluative process	24
Opportunity for the evaluatee to participate in the evaluative conference/s	28
Opportunity for the principal to receive a written copy of the evaluation	22
Opportunity for the principal to respond to the evaluation verbally and in writing	28
Opportunity for the principal to appeal the evaluation findings	18
Opportunity for the principal to receive in writing suggested corrective measures, with sufficient lead time to remedy deficiencies	21

An examination of the above data revealed that an equal number of superintendents made provisions for the principal to have the opportunity to participate in the evaluative conference/s and to respond to the evaluation verbally and in writing. These fifty-six responses represented eighty-five percent of the superintendents responding to the questionnaire. Only eighteen superintendents (fifty-four percent) provided the principal with the opportunity to appeal the evaluation findings. This was consistent with the response of seventeen superintendents in item fifteen relative to the principal being aware ahead of time of the manner in which an evaluation may be appealed. Also, not receiving as many responses as anticipated was the opportunity for the principal to receive in writing suggested corrective measures with

sufficient lead time to remedy deficiencies. This finding was confirmed by the second part of item seventeen of the questionnaire. The first part asked, "Are provisions made for periodic interim conferences prior to the final or annual evaluation conference?". Twenty-one (sixty-four percent) said "yes". The second part of the question which was of concern here asked, "At these conferences is the principal informed of corrective measures that must be taken either within a given period of time or before the final evaluation conference?". Twenty superintendents responded in the affirmative.

Analysis and Implications of Data:

Four conclusions relative to the similarities and differences that existed in the manner in which public school principals were evaluated were reached:

First, fifteen of the eighteen school districts which used formal procedures to evaluate principals, used some form of management by objectives. The steps followed in this procedure were basically the same.

Second, four criteria were utilized by at least eighty-two percent of the superintendents in evaluating principals, - resourcefulness/creativity/innovativeness, decision-making effectiveness, personal traits, and leadership ability.

Third, principals were knowledgeable as to the purposes of the evaluation, but were not informed of the manner in which an evaluation could be appealed.

Fourth, eighty-five percent of the superintendents were in agreement in providing principals with the opportunity to participate in the evaluative conference/s, and in providing the principal with the opportunity to respond to the evaluation verbally and in writing. However, they were not in agreement in providing principals with the opportunity to formally appeal the evaluation findings.

Four implications can be drawn as a result of the four conclusions reached in the preceding paragraphs:

One, superintendents who are currently utilizing informal means to evaluate principals, or who are considering the possibility of revising the system used to evaluate principals, should examine the management by objectives approach to evaluation to see if it may enhance the principal evaluative process. Management by objectives as applied to evaluation has received considerable attention of educators recently, and thus is worthy of consideration in the formulation of a system for evaluating principals.

Two, since the four criteria referred to in the preceding paragraphs were utilized by at least eighty-two percent of the superintendents surveyed, they should receive serious consideration as possible criteria for the evaluation of principals by all superintendents who are committed to accountability.

Three, the due process rights of principals must be provided for in the evaluative process and provisions must be made for principals to appeal the evaluation findings in a formal manner. The rights of principals are just as important as the rights of students.

Four, the rights of the principal also include the right to be an active participant in the evaluative conference/s. Evaluation is not a unilateral process.

The above four implications should be taken into consideration by superintendents who are interested in developing and subsequently implementing a viable principal evaluation procedure or system that meets the needs of both the school district and the principal alike.

Question Number Eleven: What observations did public school principals and superintendents have relative to the manner in which principals should be evaluated?

The purpose in asking this question was two-fold. One, input was sought by this question that could be used in the development of a model principal evaluation system. The development of the model instrument/procedure was one of the goals of this research. Two, a determination was sought as to whether or not superintendents and principals shared any common views or beliefs relative to principal evaluation. Data pertinent to this question were sought by the part of the questionnaire entitled "Ideal Principal Evaluation System". Not only was this section part of the questionnaire administered to

all of the superintendents surveyed, but it was also given to the twelve principals who were interviewed. In addition, items number eight and nine of the interview instrument used with the principals sought data relative to this question. Finally, superintendents and principals were asked to describe their version of an ideal principal evaluation system. This last issue was addressed in question number twelve, discussed later in this chapter, and the answers reported therein will provide additional insight with respect to this matter.

Due to the importance of this question, considerable space was devoted to answering it. The format employed to answer this question consisted of utilizing nine sub-sections. Each sub-section dealt with a particular aspect of the question.

It must be mentioned here that the number of superintendents responding to this question was thirty-nine instead of thirty-three. This increase in superintendents was due to the fact that the six superintendents who responded, who did not have principals under their supervision, were included in the data bank of this question. This was done in order to broaden the scope of the research. It was felt that superintendents who did not have principals under their direction had opinions which would strengthen this research and add a further dimension to it. They may have, in prior positions, had principals under their direction. In the future they may also have principals under their direction.

Purposes for Evaluating Principals

Questionnaire Data:

Item number one of the "Ideal Principal Evaluation System" section of the questionnaire, asked the superintendents and principals to select from a given list of purposes those which they felt should be included as purposes in an ideal principal evaluation system. If they selected more than one, they were asked to assign a relative weight of one to five to each one selected. The number five indicated that the purpose checked was a highly valued purpose, whereas a weight of one meant that it had value to the respondent, but the value was relatively low. Table 10, which follows on page 152, was used to report the data secured from question number one.

The technique of reporting these data in percentage form did not reflect a true comparison of the findings. In fact, it tended to be misleading. For example, the fact that one hundred percent of all the principals agreed to the acceptability of the first item as a purpose for evaluating principals does not reflect the fact that in reality it was not the most important purpose. In fact, the selection of three different purposes by all of the principals would have led one to believe that they were all of equal importance. Furthermore, a comparison of what the superintendents selected versus what the principals chose would have resulted in a misrepresentation of the data. Only by having each party,

TABLE 10

PURPOSES OF AN IDEAL PRINCIPAL EVALUATION SYSTEM

<u>Purpose</u>	<u>Percent of Su- perintendents Responding</u>	<u>Impor- tance*</u>	<u>Percent of Principals Responding</u>	<u>Impor- tance*</u>
a. To assist the principal in his professional development	82%	5	100%	2
b. To identify job targets or professional competencies to be reached in the future by the principal	82%	4	100%	4
c. To use in making recommendations for salary increments	59%	7	75%	8
d. To determine employment status	64%	8	58%	7
e. To assist the district in attainment of its goals	72%	2	92%	5
f. To improve the educational leadership of the school	85%	1	83%	1
g. To identify areas needing improvement	82%	3	100%	3
h. To assess present performance in accordance with prescribed standards	64%	6	75%	6

* The importance of each item was arrived at by tabulating and totaling the weight assigned to each item by the superintendents and the principals. The item or factor which received the highest number of points was assigned an importance of 1. The item or factor which received the second highest number of points was assigned an importance of 2, and so forth.

superintendents and principals, weight the purposes on a scale of one to five was a valid comparison possible. The utilization of this weighting procedure made it possible to determine which purpose was most important, second most important, etc. Columns three and five of the table reflect the importance accorded to each purpose by the respondents. Column three pertained to the superintendents' weighting, and column five to the principals' weighting.

An examination of columns three and five revealed that both the superintendents and principals felt that the purpose, "To improve the educational leadership of the school" was the most important of those listed. There was disagreement as to the second purpose, with "To assist the principal in his professional development" being selected as number two by the principals and number five by the superintendents; whereas, "To assist the district in attainment of its goals" was selected as number five by the principals and number two by the superintendents. However, there was agreement as to the third most important purpose, "To identify areas needing improvement". In addition, there was agreement on the fourth and sixth most important purposes, - "To identify job targets or professional competencies to be reached in the future by the principal", and "To assess present performance in accordance with prescribed standards", respectively. "To use in making recommendations for salary increments", and "To determine employment status" came in seventh or eighth, depending upon whether it was the superintendents or principals who did the selecting.

Analysis and Implications of Data:

An interesting facet of the data provided by this question was the agreement reached by the superintendents and principals as to the most important purpose, along with the selection of the two least important purposes, depending upon the job assignment of the respondent. The latter was the most revealing conclusion provided by this question. Neither party attributed any significant importance to the purposes of principal evaluation for determining employment status or salary increments. However, an exception was in order relative to employment status. During the interview process the superintendents indicated that if there was a serious question as to the continued employment of a principal, then the purpose "To determine employment status" was first in terms of importance. However, they hoped that the situation would not have had the opportunity to deteriorate to that level. Concerning the purpose of determining salary increments, even though it may have come in last or second to last, depending upon the position of the party surveyed, no one can realistically deny the inescapable use of evaluation in arriving at a determination of future salary. All boards of education demand a verification of what qualifies a principal for a raise in salary. Very few school districts in Lake County, Illinois, utilize salary schedules in determining a principal's salary for a succeeding school term.

One implication of the findings of the research relative to the ideal purposes for evaluating principals is that principals

should be involved by superintendents in developing the primary and specific purposes for the principal evaluation system. Superintendents and principals may not be able to reach total agreement on the purposes for evaluating principals; however, both parties will have a better understanding of the reasons behind the final purposes developed for the principal evaluation system. A second implication for both boards of education and superintendents is that the use of principal evaluation in the determination of salary considerations and job assignments can not totally be avoided as at least a salient or indirect facet of principal evaluation. Boards of education, superintendents, and principals should accept the possibility that the evaluation of principals will have an effect on the salary and job considerations. A final implication is that the purposes for evaluating principals should be known to all involved in the evaluative process, and that the purposes should be reviewed periodically to see if they are meeting the needs of the school district and the needs of the principal. The purposes provide direction for the evaluative process.

Contributors to Development of System

Questionnaire Data:

The next area taken into consideration relative to the observations that superintendents and principals shared concerning an ideal principal evaluation system, dealt with who should be involved in the development of the principal evaluation system to be employed.

Item number two of the section of the questionnaire entitled "Ideal Principal Evaluation System" yielded data pertinent to this area. A list of individuals or groups who could potentially be involved in the development of the principal evaluation system was given, and the respondents were asked to select the one or ones that they felt should participate in its development. If they selected more than one, they were asked to weight their relative importance on a scale of one to five, with five being high. This was the same procedure followed in question number one relative to the purposes for evaluating principals. Table 11 summarizes the data obtained by this question, and appears on page 157.

An examination of table 11 led to four interesting observations:

One, both the superintendents and principals agreed that the superintendent should be the most important person involved in the development of the system, followed in line by the principal.

Two, again, both were in close agreement concerning the importance of the involvement of central office personnel.

Three, there was close agreement in terms of the involvement of teachers, with the principals selecting the teachers above the board of education.

Four, there was agreement as to the minor involvement that students and parents should play in the development of the system.

TABLE 11

WHO SHOULD BE INVOLVED IN THE DEVELOPMENT
OF THE IDEAL PRINCIPAL EVALUATION SYSTEM

<u>Person/s to be Involved</u>	<u>Percent of Superintendents Responding</u>	<u>Importance*</u>	<u>Percent of Principals Responding</u>	<u>Importance*</u>
a. Board of Education	74%	3	58%	5
b. Superintendent	95%	1	100%	1
c. Central Office Personnel	44%	4	58%	3
d. Principal/Principals	90%	2	100%	2
e. Teachers or their Association	41%	5	75%	4
f. Parents	31%	6	25%	8
g. Students	23%	7	42%	7
h. Other	0%	0	17%	6

* The importance of each item was arrived at by tabulating and totaling the weight assigned to each item by the superintendents and the principals. The item or factor which received the highest number of points was assigned an importance of 1. The item or factor which received the second highest number of points was assigned an importance of 2, and so forth.

Analysis and Implications of Data:

The major finding of the section relative to who should be involved in the development of the principal evaluation system, was that the superintendent was the most important person, followed by the principal. This was to be expected, because the superintendent, in a majority of cases, is the person who will be held responsible for the final evaluation, and therefore must be involved in the development of the system. In fact, he has to utilize a system that is consistent with his philosophy of evaluation and one that he has confidence in and with which he feels at ease. The principal should be involved because he has a great deal at stake in the process of evaluation, and thus it is imperative that provisions be made in the development of the system for his involvement.

An implication of both parties, superintendents and principals, agreeing to the relative importance of the superintendent and principal in the development of the system, implies that no one person can single-handedly expect to develop viable and relevant systems. Close cooperation between both parties must be a prerequisite if a sound, workable procedure is to be developed. A further implication is that both the superintendents and principals should attempt to reach an understanding of the role that is to be played by the board of education in the development of the principal evaluation system. Also, serious consideration should be given by superintendents to determining the opinion of principals relative to

their wishes concerning the involvement of central office personnel and teachers in the development of the principal evaluation system. The central office personnel and teachers could possibly offer another viewpoint that could be helpful. The latter view could also pertain to students and parents. There is room for the involvement of all facets of the school population in the development of the principal evaluation system. However, the superintendent and principal are the two most important developers as suggested by this dissertation.

Who Should Evaluate Principals

Questionnaire Data:

The third major item that was investigated in reference to this question, after the purposes of the evaluation system were agreed to and the people who should be involved in the development of the system were identified, dealt with who should be involved in the contribution of data to the process of evaluating principals. Data pertinent to this item were sought by item three of the "Ideal Principal Evaluation System" section of the questionnaire. Item three sought input from the respondents with respect to their selection of the individual or group of individuals they believed should be involved in the process of evaluating principals. Again, if the superintendents and principals selected more than one individual or group they were asked to weight each one selected on a scale of one to five. Table 12, which appears on page 160, summarizes the responses received.

TABLE 12

WHO SHOULD BE INVOLVED IN EVALUATING PRINCIPALS

<u>Person/s to be Involved</u>	<u>Percent of Superintendents Responding</u>	<u>Importance*</u>	<u>Percent of Principals Responding</u>	<u>Importance*</u>
a. Board of Education	51%	4	67%	6
b. Superintendent	95%	1	100%	1
c. Central Office Personnel	54%	3	58%	5
d. Principal (Self-evaluation)	90%	2	100%	2
e. Other Principals (Colleague Evaluation)	36%	6	67%	4
f. Unit/Department Heads	31%	8	25%	7
g. Teachers	44%	5	83%	3
h. Teachers' Association	10%	10	8%	11
i. External Consultants	8%	11	33%	10
j. Parents	41%	7	25%	9
k. Students	33%	9	33%	8
l. Other	3%	12	8%	12

* The importance of each item was arrived at by tabulating and totaling the weight assigned to each item by the superintendents and the principals. The item or factor which received the highest number of points was assigned an importance of 1. The item or factor which received the second highest number of points was assigned an importance of 2, and so forth.

The summation of the data in table 12 revealed that both the superintendents and principals surveyed agreed that the superintendent was the single most important contributor of data in the process of evaluating principals. He was followed closely by the principal in terms of self-evaluation. There was a dichotomy of opinion as to who was the third most important person or group in this process. The superintendents selected central office personnel, whereas the principals chose the teachers. In fourth place, the superintendents sought data from the board of education, and the principals favored the involvement of other principals (colleague evaluation). Teachers and other principals as contributors of data were ranked fifth and sixth in importance by the superintendents. The principals selected central office personnel and the board of education as their fifth and sixth choices. Regardless of the ranking applied in terms of importance, there was agreement between both the superintendents and principals as to who should compile the list of the first six contributors of data. On the other end of the continuum there was relative agreement as to the last three contributors of data. In last place both parties selected the open-ended category of "other". The superintendents ranked the teachers' association and external consultants in tenth and eleventh place respectively, whereas the principals reversed their placement.

Analysis and Implications of Data:

There was a relative amount of agreement between the

superintendents and principals as to who should be involved in the process of evaluating principals. The implications to be drawn from these data pertain to the fact that superintendents, in evaluating principals, should give consideration to soliciting data from the teachers who work under a principal, and also other principals, if there are more than one under the superintendent's direction. However, the involvement of other principals could potentially act as a catalyst in creating disharmony among the administrative team, and the involvement of teachers could seriously weaken the harmonious working relationship that must exist between principal and teacher. The wise superintendent will ascertain the feelings of his principals before involving other principals and the teachers, and will also give consideration to the possible outcome of such involvement.

The involvement of members of the board of education is unavoidable because as parents of students, in most cases, they are bound to be involved in what happens in the school, and thus will formulate both positive and negative opinions relative to its operation. Furthermore, other members of the school community, particularly parents, will bring their concerns relative to what they perceive to be problems to their elected representatives, - the board of education, - and the members of the board will, in turn, react to their concerns. Both instances result in at least informal, if not formal, involvement in the process of evaluating principals. In addition, principals must accept the fact that any central office

personnel who hold a line position above the principal can be involved by the superintendent in the evaluation of the principal.

In conclusion, what is needed is a mutual understanding between the superintendent and principal as to who will be involved in the evaluation process, along with the level of their involvement and the rationale behind the involvement. If a viable program for evaluating principals is to be achieved, an atmosphere of cooperation and trust must prevail among all the parties involved.

Pre-Evaluation and Interim Evaluation Conferences

Questionnaire Data:

Item number five of the "Ideal Principal Evaluation System" section of the questionnaire asked the question: "In addition to an annual evaluation conference, do you feel that the following are necessary:

- a. Pre-evaluation conference at which time the purpose/s of, the methods and procedures to be employed, and the criteria and standards upon which the evaluation process rests are conducted between the principal and the evaluator?
- b. Interim evaluative conferences which provide both the principal and evaluator with feedback as to how the evaluative process is progressing?

Twenty-six out of thirty-nine superintendents, or sixty-seven percent, answered "yes" to both parts (a) and (b). All twelve of the principals

surveyed, one hundred percent, responded in the affirmative to item (a) and ten out of twelve, or eighty-three percent, to item (b).

Analysis and Implications of Data:

There was disagreement between the superintendents and principals relative to the need for pre-evaluation and interim evaluative conferences. Part of the reason for superintendents not feeling as strongly as principals about the above may be attributed to an increasing demand upon their time from other sources. This demand results in the superintendent having less time to carry out pre- and interim evaluation conferences. As an implication of the above, it would be a judicious move on the part of the superintendent in developing the system to be utilized in evaluating principals, to seek out the opinion of each principal relative to this matter, so that an area of potential conflict or dissatisfaction could be avoided. A further implication is concerned with the increased attention being given to the due process rights of educational personnel relative to the evaluative process. As a result of the increased attention it is imperative that superintendents make provisions for both a pre-evaluation conference and interim evaluative conferences. The latter is a mandatory requirement of any formal evaluation system, if the true purposes of evaluation are to be achieved and the rights of principals are to be given due consideration.

Criteria To Be Used in Evaluating PrincipalsQuestionnaire Data:

Item number six of the "Ideal Principal Evaluation System" section of the questionnaire was a repeat of item number six of the "Current Principal Evaluation System in Your District" section of the questionnaire. However, it was different in that it asked what should be used as the criteria for evaluating principals, instead of what was used as the criteria for evaluating principals. Again, both the superintendents and principals were asked to respond to this question. A list of potential criteria that could be utilized in the evaluation of principals was given, and the respondents were asked to indicate which items they would employ in an ideal system. The set of criteria from which the choices were made appears in table 13, along with the number of superintendents and principals selecting each one. Table 13 follows on pages 166 and 167.

A comparison of the responses provided by the superintendents and principals revealed that the principals were more unanimous in their choices than the superintendents. Ten criteria were selected by one hundred percent of the principals interviewed. No single criterion was the choice of all of the superintendents responding to the questionnaire. The percentage of the superintendents selecting any criteria ranged from seventy-eight percent to zero percent, with five criteria being chosen by seventy-eight percent of the superintendents. Of the five criteria selected by

TABLE 13

SUPERINTENDENTS' AND PRINCIPALS' SELECTION OF CRITERIA TO BE
EMPLOYED IN AN IDEAL SYSTEM OF EVALUATING PRINCIPALS

<u>Possible Criteria</u>	<u>Frequency of Superintendent Response*</u>	<u>Percent of Su- perintendent Response</u>	<u>Frequency of Principal Response**</u>	<u>Percent of Principal Response</u>
a. Personal traits (i.e. enthusiasm, initiative, etc.)	30	78%	12	100%
b. Receptivity to suggestions	28	72%	10	83%
c. Resourcefulness/ Creativity/Inno- vativeness	30	78%	10	83%
d. Loyalty to su- periors	25	64%	9	75%
e. Leadership ability	30	78%	12	100%
f. Decision-making effectiveness	30	78%	12	100%
g. Planning and or- ganizing skills	29	74%	12	100%
h. Crisis management	28	72%	10	83%
i. Certified and non- certified personnel management	27	69%	10	83%
j. Facility/Plant management	25	64%	10	83%
k. Financial manage- ment	20	51%	9	75%
l. Activity/Extra- curricular activity management	27	69%	7	58%
m. Policy development	12	31%	9	75%
n. Policy implementa- tion	27	69%	11	92@
o. Curriculum develop- ment	25	64%	12	100%
p. Curriculum imple- mentation	29	74%	12	100%
q. Evaluation skills	26	67%	10	83%
r. Communication skills	28	72%	10	100%

* There were 39 superintendents responding to this question

** There were 12 principals responding to this question

TABLE 13--ContinuedSUPERINTENDENTS' AND PRINCIPALS' SELECTION OF CRITERIA TO BE
EMPLOYED IN AN IDEAL SYSTEM OF EVALUATING PRINCIPALS

<u>Possible Criteria</u>	<u>Frequency of Superintendents Response*</u>	<u>Percent of Su- perintendent Response</u>	<u>Frequency of Principal Response**</u>	<u>Percent of Principal Response</u>
s. Public Relation skills	30	78%	12	100%
t. Staff morale	27	69%	12	100%
u. Pupil morale	27	69%	11	92%
v. Pupil control	29	74%	10	83%
w. Pupil achievement	21	53%	9	75%
x. Acceptance by community	25	64%	9	75%
y. Participation in community affairs/ activities/organ- izations	19	49%	6	50%
z. Interaction with parents	29	74%	12	100%
aa. Preparational com- petencies (knowledge of field, etc.)	25	64%	11	92%
ab. Achievement of pre- determined objec- tives (M.B.O., per- formance objectives, job targets)	26	67%	8	67%
ac. Professional growth and develop- ment	26	67%	11	92%
ad. Other	0	0%	1	8%

* There were 39 superintendents responding to this question

** There were 12 principals responding to this question

seventy-eight percent of the superintendents, four were selected by one hundred percent of the principals. Criterion "c", resourcefulness/creativity/innovativeness, was selected by eighty-three percent of the principals instead of one hundred percent. The responses of the superintendents revealed four criteria which were not considered to be of major importance, - (k) financial management, (m) policy development, (w) pupil achievement, and (y) participation in community affairs/activities/organizations. Of the above four, the principals agreed strongly with the superintendents only in terms of the last criterion. The gave more credence to the first three than the superintendents. There was a disagreement as to the worth of criterion (l) activity/extracurricular activity management, among the superintendents and principals. A greater number of superintendents than principals selected this item as a possible criterion. However, this can possibly be attributed to the fact that ten of the principals queried were elementary principals and two were high school principals. Principals who are assigned to elementary schools normally do not perform this function, as the number of extracurricular activities undertaken at this level often is insignificant.

Analysis and Implications of Data:

The implication derived from these data was that superintendents must survey their principals relative to what criteria are important to them before establishing a set of criteria upon which the principal evaluation system will be based. The data revealed that there was fairly close agreement among the principals as to those

criteria which were of most importance. On the other hand, in no case did the superintendents reach total agreement on any one criterion. Another implication is that consideration should be given to developing a priority among the criteria selected for evaluating principals. The findings of the data reported in table 13 on pages 166 and 167 revealed that not all criteria are viewed with the same importance. A final implication is that the principal's job description should be utilized in developing the criteria to be employed in evaluating the principal. If the job description does not include such functions as policy development or curriculum development, then policy and curriculum development should not be utilized as criteria for evaluating principals.

Provisions for Principal to Respond

Questionnaire Data:

Item seven of the "Ideal Principal Evaluation System" section of the questionnaire asked, "What provisions would you make in the evaluative process for the principal to respond either positively or negatively with respect to his/her evaluation?". Of the thirty-nine questionnaires returned by the superintendents, nine revealed that provisions would be made for the principal to respond in written form, twelve orally, seven both in writing and verbally, and two would provide for an open disclosure between the board of education, superintendent and principal. The remaining nine superintendents either responded in vague generalities or did not respond to this item. Six

of the principals favored an opportunity to respond to the evaluation orally, one in written form, two would like provisions made to respond in both an oral and written manner, one was very vague relative to the matter, and two did not respond.

Analysis and Implications of Data:

A comparison of the responses made by the superintendents and principals to this question revealed that there was a consensus of opinion between both. The majority of both the superintendents (thirty) and principals (ten) favored making provisions in the evaluative process for the principal to respond to his evaluation. A large number (twelve superintendents and six principals) in both cases preferred a verbal response. This was attributed to the fact that the evaluation process should provide for open channels of communication. An atmosphere of mutual trust and respect must prevail between the superintendent and principal if the evaluation process is to achieve its stated purposes.

Two implications are in order: first, superintendents should make provisions for principals to react to their evaluation either in written or verbal form or in a combination of both forms; and second, in development of the evaluation system the prudent superintendent will seek input from his principal/s in ascertaining what provisions should be made for the principal to respond to the evaluative findings.

Opportunities for Principal to Correct Deficiencies

Questionnaire Data:

The last item of the "Ideal Principal Evaluation System"

section of the questionnaire asked, "How would you provide principals with the opportunity to correct any deficiencies that the evaluation may have revealed?". Again, this item was presented to the superintendents who responded to the questionnaire and all the principals who were interviewed. There were a great variety of responses to this item on both the part of the superintendents and principals. The superintendents were more knowledgeable and sure of themselves relative to how deficiencies should be corrected than were the principals. The principals responded either in vague terms or in generalities. Some of the methods that superintendents would utilize were:

One, provide the principal with suggestions on how the deficiencies could be remediated and establish a time-frame in which the remediation was to take place.

Two, provide the principal with suggestions as in "One", but no time-frame.

Three, use evaluative findings to establish performance objectives.

Four, provide the principal with the opportunity to participate in inservice activities, workshops and college courses which are related to the identified deficiency.

Five, "provide time".

Of all the above approaches, the technique of providing the principals with remedial suggestions and a specific time-frame in which to correct

the deficiency received the most support from the superintendents. The principals' suggestions basically fell into categories one, three and four of those recommended by the superintendents. There was no strong consensus of opinion relative to this matter on the part of the principals.

Analysis and Implications of Data:

An analysis of the data relative to the opportunities available for principals to correct deficiencies in their performance reveals at least five approaches that were utilized by superintendents. These approaches ranged from being very informal in nature to formal, with the method of providing principals with remedial suggestions and a time-frame within which to implement the suggestions, receiving the most support from the superintendents. The principals did not exhibit as much knowledge relative to this area as did the superintendents.

One of the implications that can be drawn from this data is that a critical component of a viable principal evaluation system consists of making provisions for remediating deficiencies which have been identified as a result of the evaluation of the principal's performance. Without such provisions it would be difficult to justify the validity of any evaluative process. If, in the evaluation process a deficiency is uncovered, just to inform the principal of that deficiency is not enough. A comprehensive evaluative system whose major purpose is the improvement of the performance of principals should provide as one of its major components a provision for

informing the principals of the said deficiencies and how they can be remediated.

An implication for principals is that they should insist, during the development of the principal evaluation system, that consideration be given to making provisions for inclusion of the above. Furthermore, principals should become more knowledgeable of their own strengths and weaknesses by participating in a self-evaluation process. In addition, principals should make every effort to acquire knowledge of techniques that can be utilized to remedy specific deficiencies in their performance. This knowledge can be gained through professional reading in the area related to evaluation, attendance at workshops designed to improve their leadership ability, and enrollment in courses dealing with supervision of educational personnel.

Factors of Which Principals Would Like Prior Knowledge

Interview Data:

During the interview process the principals were asked, with respect to the principal evaluation system, which of a selected group of factors they would like to be aware of prior to the initiation of the system. The factors perused, and the number of principals indicating the factors of which they would like prior knowledge, are presented in table 14 which appears on page 174.

TABLE 14

FACTORS WITH RESPECT TO THE PRINCIPAL EVALUATION SYSTEM
OF WHICH PRINCIPALS WOULD LIKE PRIOR KNOWLEDGE

<u>Factors</u>	<u>No. of Principals</u>
Identification of evaluator/s	12
Time period of the evaluation	7
Nature and timing of the evaluative conferences	10
Criteria upon which the evaluation is based	12
Purposes of the evaluation	12
Methods and procedures to be followed	11
Response system (e.g. numerical ratings, letter ratings, narrative responses, etc.)	10
Manner in which evaluation may be appealed	12

Of all the factors listed above, only one, that of having prior knowledge of the "time period of the evaluation" was not considered important by the principals. Fifty-eight percent of the principals wanted prior knowledge of this factor before the evaluation process began; whereas, eighty-three percent or more wanted prior knowledge of the remaining factors. A similar question was asked of the superintendents who responded to the section of the question dealing with the then current practices employed by their district in evaluating principals. However, that question sought to determine which of the factors listed above the principals had knowledge of in advance of the evaluation process. The response of the superintendents was presented on page 145 of this chapter. A comparison of the superintendents' response, as

presented on page 145 with table 14, which appears on page 174, revealed a significant difference pertaining to one specific factor, - "the manner in which an evaluation may be appealed". Fifty percent of the superintendents indicated that principals were not aware of this factor ahead of time; whereas, one hundred percent of the principals responded that they would want prior knowledge of how to appeal an evaluation.

Analysis and Implications of Data:

An implication of the data garnered by this item is that superintendents should provide principals with complete information with respect to the evaluative process to be employed to evaluate principals prior to initiation of the process. A second implication is that principals are concerned with the manner in which they will be evaluated and want knowledge of the procedures to be employed. As a result of the above two implications, a third implication exists. The third implication is that superintendents should develop inservice activities whose primary function is to inform and make principals knowledgeable of all aspects of the principal evaluation system. A fourth implication, which is a result of the importance attached to prior knowledge of how to appeal an evaluation by principals, is that superintendents should make adequate provision for the appeal process in the evaluation system. Failure to include some means by which principals may appeal an evaluation could be an item of potential conflict between superintendents and principals. Whether or not the

due process rights of principals are violated by a failure to include provisions for the principal to appeal the evaluation, is a matter which should be investigated by superintendents who choose to ignore giving attention to the appeal process.

Opportunities for Principals

Interview Data:

In conjunction with the preceding question, the principals were asked whether or not they would like to have the opportunity to:

- a. participate in the planning for the evaluative process,
- b. participate in the evaluative conference/s,
- c. receive a written copy of the evaluation,
- d. respond to the evaluation verbally and/or in writing,
- e. appeal the evaluation findings,
- f. receive in writing suggested corrective measures with sufficient lead time to remedy deficiencies.

The number of the twelve principals interviewed who responded in the affirmative to each of the above was as follows: "a" - 11, "b" - 12, "c" - 11, "d" - 12, "e" - 10, and "f" - 12. Thus, there was a strong consensus among the principals relative to this question.

A similar question was presented to the superintendents in the section of the questionnaire dealing with their then current practices with respect to evaluating principals. They were asked to indicate which of the above opportunities were provided to principals. The superintendents were not as unanimous in making

provisions for the principals to participate in one way or another in the evaluation process, as the principals were in how they should be involved. Only fifty-four percent of the superintendents responded that they provided the principal with an "opportunity for the principal to appeal the evaluation findings". In comparison, eighty-three percent of the principals indicated that they would want provisions made for this opportunity. Sixty-four percent of the superintendents provided an "opportunity for the principal to receive a written copy of the evaluation", and sixty-one percent provided an "opportunity for the principal to receive in writing suggested corrective measures, with sufficient lead time to remedy deficiencies". Ninety-two percent of the principals favored the chance to receive a written copy of the evaluation, and one hundred percent advocated the opportunity for the principal to receive in writing suggested corrective measures.

Analysis and Implications of Data:

The fact that only fifty-four percent of the superintendents indicated that they provided principals with the opportunity to appeal the evaluation findings, as compared with eighty-three percent of the principals desiring this opportunity, leads to the implication that superintendents should give serious consideration to the appeal process. The lack of a formalized means for principals to appeal an evaluation could result in a serious conflict between principals and superintendents, especially when principals disagree

with all or some aspects of the evaluation findings. The fact that only sixty-four percent of the superintendents provided principals with a written evaluation can be attributed to the extent to which informal evaluations are carried out in Lake County, Illinois. Forty-five percent of the responding superintendents evaluated principals informally. The fact that ninety-two percent of the principals interviewed favored receiving a written copy of the evaluation leads to the implication that superintendents should give serious consideration to at least providing principals with written copies of their evaluations. Failure to do so could be another area of potential conflict between superintendents and principals, and could also infringe on the due process rights of principals. One hundred percent of the principals interviewed wanted the opportunity to receive in writing suggested corrective measures with sufficient lead time to remedy deficiencies. The implication here is that principals are concerned with their performance and want sufficient notice as to their inadequacies. In addition, they are desirous of suggested corrective measures with sufficient time to correct any deficiencies.

Question Eleven Summary

In summarizing this research which sought to answer the question, "What observations did public school principals and superintendents have relative to the manner in which principals should be evaluated?", it can be said that the data secured from various items

on the questionnaire, and the input obtained from the interviews with both the principals and superintendents, highlighted the necessity for close cooperation between the superintendent and principals in the development of a principal evaluation system. Even though in many cases this research revealed that there was substantial agreement between superintendents and principals relative to their observations pertaining to the manner in which principals should be evaluated, there did exist a number of areas where agreement was not reached. Disagreement over the latter could potentially weaken, if not make totally ineffective, any system employed to evaluate principals. The superintendents, in developing a system, should involve the principals in the process, and should utilize the areas on which they mutually agree as a starting point. Thus, the process will begin on a positive note, and this will facilitate the development of a good working relationship between the superintendents and principals as they progress toward the development and subsequent implementation of a viable principal evaluation system.

Question Number Twelve: What trends and developments were evidenced by an analysis of current and past principal practices?

The answer to this question was secured by use of the questionnaire, and also the interviews with both the superintendents and principals. In respect to the questionnaire, three items were developed and subsequently utilized to obtain the required data, - items number

seven and number twenty-one of the section relative to current principal evaluation practices, and item four relative to the ideal principal evaluation system.

Question number twelve is answered in three sections. The first section reviews the length of time that the current practices and procedures have been used. The second section examines the changes that have occurred over the past ten years. The third section is concerned with the direction that the evaluation of principals may take in the future.

Length of Time Current Principal Evaluation System Has Been in Use
Questionnaire Data:

Part "a" of item seven of the questionnaire asked how long the responding superintendents had utilized the then current principal evaluation procedures. Twenty-four superintendents responded to this item. Table 15, which follows on page 181, presents a summary of the length of use and related data.

An examination of table 15 revealed the following:

One, the length of use of the principal evaluation system ranged from one year to sixteen years, with the median being three years,

Two, five out of twenty-four superintendents had employed their then current system of evaluating principals for ten years or more. Four of the five superintendents utilized informal means to evaluate principals.

Three, fifteen of the twenty-four respondents had used their then

TABLE 15

LENGTH OF USE OF CURRENT PRINCIPAL EVALUATION
SYSTEM AND RELATED INFORMATION

<u>Number of Years Current System Has Been Used</u>	<u>Type of System In Use</u>	<u>Evaluation Method Employed If A Formal System Was Used</u>
16	Informal	
12	"	
10	"	
10	"	
10	Formal	Checklist
8	"	Blank Narrative + MBO*
6	"	Checklist + MBO
6	"	MBO
4	"	MBO
3	"	Checklist + MBO
3	"	Checklist, Blank Narrative, + MBO
3	"	Checklist + MBO
3	"	MBO
3	"	Checklist
2	"	MBO
2	"	Checklist, Blank Narrative, + MBO
2	"	Checklist + MBO
2	Informal	
2	"	
2	"	
1	Formal	Blank Narrative
1	"	Checklist + MBO
1	"	MBO
1	"	MBO

* MBO - Management by Objectives - refers to a system employing the use of predetermined and agreed to objectives. The principal's performance is measured in terms of how successful he is in achieving these goals.

current principal evaluation system for three years or less. Twelve of the fifteen districts utilized formal methods for evaluating principals.

Analysis and Implications of Data:

An interpretation of the data provided by this section led to the conclusion that during the past three years in Lake County there was considerable attention given to the process of evaluating principals. The increase in attention given to the process of evaluating principals was evidenced by the fact that fifteen out of twenty-four school districts had adopted new procedures to evaluate principals between 1975 and 1978. A possible reason for this can be attributed to the fact that more and more boards of education are demanding, as a result of pressure applied by the community for accountability, that viable evaluation procedures be implemented for the evaluation of all school personnel, not just principals. In addition to the impetus supplied by the boards of education, superintendents have become more cognizant of the need for viable evaluation procedures for all school personnel. The heavy emphasis placed on evaluation by the professional literature and graduate courses in administration and supervision over the past few years may have had more influence on the thinking of superintendents relative to evaluation. No matter what the reason, the evaluation of all school personnel has become an issue of national concern, and thus superintendents are reacting to this concern.

An implication that can be drawn from the above data pertains to the fact that superintendents must be cognizant of the emphasis

which is now being placed upon the formal evaluation of principals. At the same time, the superintendents should acquire as much knowledge as possible relative to means which can be implemented to evaluate principals which are in keeping with the demands for accountability being made by boards of education and parents. Boards of education should acquire knowledge relevant to formal means to evaluate principals and should commit themselves to the establishment of a policy which advocates formalized procedures to evaluate principals.

Changes in the Evaluation of Principals

Part "b" of item seven sought to ascertain the changes that had occurred since the 1968-69 school term in the evaluation system employed to evaluate principals. Part "b" read as follows: "Beginning with the 1968-69 school term, please describe the changes, of which you are aware, that have occurred in the manner in which principals have been evaluated in your district". A review of the data secured by this item revealed a movement on the part of the school districts surveyed away from informal means of evaluating principals to formal methods. Part "a" of item seven had shown that seventeen of the respondents to this item were currently employing formal systems in the evaluation of principals. However, part "b" ascertained that of this seventeen, thirteen had conducted informal evaluations of principals prior to the development and implementation of the then current system of evaluating principals.

Along with the above-mentioned movement toward formality, was a second movement uncovered, which dealt with the formal techniques

employed to evaluate principals. Eleven of the thirteen school districts which had converted from informal to formal means of evaluating principals employed the use of some form of management by objectives wholly, or in conjunction with other means. Furthermore, three of the remaining four districts that utilized formal methods to evaluate principals had modified their system to incorporate totally or in part some form of management by objectives. The shift was a movement away from the use of a checklist instrument to the employment of a management by objectives technique.

Analysis and Implications of Data:

The data revealed two movements over the past ten years in how principals were evaluated. First, there was a movement towards the formalization of procedures utilized to evaluate principals. Second, there was a corresponding movement to employ management by objectives techniques for the evaluation of principals, either wholly or in combination with some other method. Both of these movements are in keeping with trends identified in the review of literature which was conducted for this research. The causes behind these movements will be examined in question number thirteen of this chapter. Briefly, however, they can be attributed to: one, the desire of superintendents to formalize the principal evaluation; and two, the desire of boards of education and the public to make the public schools more accountable. The implication behind these two trends is that serious attention is being given by superintendents to the

issue of principal evaluation.

Trends in the Future

Questionnaire Data:

Item twenty-one of the questionnaire, "What trends relative to the evaluation of principals do you see developing for the near future?", was designed to identify a future trend in the manner by which principals would be evaluated. Two superintendents answered "none"; ten superintendents did not respond to this item; a wide range of possibilities was indicated by nine superintendents; and twelve indicated a trend toward the employment of a management by objectives technique in the future. Seven of the last twelve superintendents were utilizing a management by objectives approach either totally or in part at the time of this research.

Concomitant with the above, item number four of the section of the questionnaire entitled "Ideal Principal Evaluation System" asked the superintendents and also principals to describe their version of an ideal system for evaluating principals. Twenty-four out of thirty-nine superintendents, or sixty-two percent, favored the use of management by objectives either solely or in conjunction with one or more other formal approaches. Thirty-three percent, or thirteen superintendents, indicated that they would employ a management by objectives technique entirely. The narrative appraisal approach was advocated by three superintendents, or eight percent, and

an informal approach was the choice of three other superintendents. No other method received more than the support of one superintendent.

Interview Data:

During the interview process, both the superintendents and principals were asked what trends they saw developing in the future relative to the way principals would be evaluated. A majority of both groups (eight superintendents and seven principals) indicated that they anticipated greater use of the management by objectives approach either by itself or combined with a rating scale and/or blank narrative appraisal. However, when the principals were asked to describe their version of an ideal principal evaluation system, they responded differently. Only four out of twelve, or thirty-three percent, favored a system employing management by objectives completely or partially. The approaches advocated by the remaining eight principals included a checklist device solely, narrative appraisal only, a combination of checklist and narrative, and informal means.

Analysis and Implications of Data:

A trend toward the employment of some form of management by objectives either as the sole method of evaluating principals or in combination with other methods was clearly identified by the superintendents in response to the questionnaire and interviews. This was in keeping with the identification of the same trend in the literature pertinent to the topic of principal evaluation. The principals, when interviewed, confirmed the opinion of the superintendents;

however, they did not support to the same extent as the superintendents the management by objectives approach to principal evaluation. A reason behind the opinion of the superintendents relative to a future trend can possibly be attributed to a demand by boards of education and the public for more business-like evaluation systems as a result of the accountability movement. Furthermore, superintendents have become more knowledgeable of the advantages to be gained by employing a management by objectives approach to principal evaluation. More and more opportunities are being made available to superintendents to acquire knowledge of this approach.

The reason for a greater number of principals not selecting the management by objectives technique was not ascertained. It might be attributed to the fact that they are accustomed to evaluating teachers using a checklist format, and are not familiar with management by objectives; or perhaps they just did not feel comfortable being evaluated by this approach. No matter what the reason, prescient superintendents must be aware of this before instituting such a program, and must develop an inservice program that explains the procedure to be followed, the rationale behind it, and the benefits of it to both the school district and also the principals. The superintendent should provide the principal with the opportunity to air his feelings and concerns relative to being evaluated by an approach utilizing management by objectives or any approach, for that matter.

Question Number Thirteen: What elements played a major factor in the development of principal evaluation systems in use at the time of this study?

Part "c" of item seven of the questionnaire was designed to determine what factors had influenced the changes that had taken place in the way principals were evaluated over the past ten years. In addition, the interviews with both the superintendents and principals spoke to the same issue.

Questionnaire Data:

The major or contributing factor in the development of the formal system of evaluating principals in use at the time of this study was the impetus supplied by the superintendents to move in this direction. This impetus was attributed to the fact that in some situations the superintendent was new to his position and took this opportunity to employ a system of his own choosing. In other situations, the superintendent felt a need to change to a more formal system, and developed one according to his own preconceived perceptions. Lastly, some superintendents developed new systems for evaluating principals because they felt more personnel had to be involved in the evaluative process, - i.e. teachers, parents, students, etc.

Another factor which played a role in the development of the systems in use at the time of this research, was the pressure applied by the board of education in some districts to the superintendent, to have him develop a system that was more in line with those used in business and industry. These boards were strong advocates of

accountability, and thus reflected this by a push for more formal systems of evaluating principals.

Interview Data:

The data secured by the interviews with the superintendents indicated that the greatest impetus for change came from two sources, - the superintendent and the board of education. The interviews with the principals agreed with the above, but also revealed that principals themselves were a factor which contributed to the development of new systems. Some principals wanted formalized procedures because they felt the system in use was not benefiting or helping them grow professionally. The interviews with the principals also revealed another fact. Principals who had worked for a considerable length of time under the leadership of a superintendent who was nearing retirement and who had evaluated them informally, were concerned about how a new superintendent would evaluate them. They felt a need to be evaluated in a formal manner by the new superintendent. They wanted to know what would be expected of them, what the criteria for evaluation would be, and the procedures that would be employed in the evaluation process.

Analysis and Implications of Data:

An analysis of the data secured by the questionnaire and interviews revealed three groups who contributed to the changes which had occurred during the past ten years relative to the methods and procedures utilized to evaluate principals. The superintendents and

boards of education were two of the groups. They played a major role. A minor role was played by the third group - principals. Superintendents on their own initiative, or as a result of pressure applied by the board of education, instituted the changes which have resulted in an increased use of formal procedures to evaluate principals. Considerable attention has been given by the superintendents and boards of education to use principal evaluative techniques employing management by objectives procedures. Principals contributed to the pressure to change evaluative procedures out of a need for a system that increased their competencies as professionals.

An implication of the research is that as superintendents become more skilled in the techniques of evaluating personnel more changes will take place in the future. Another implication is that as the superintendents who are currently nearing retirement who are employing informal means to evaluate principals retire, it can be anticipated that their replacement, either as a result of board pressure or as a result of his own personal beliefs concerning evaluation, will institute different principal evaluation systems. These systems will probably be formal in nature.

Question Number Fourteen: What model for the evaluation of principals was derived from an analysis of the literature and the findings of the study?

The format utilized for answering this last question is different from that used with the first thirteen questions. The subheadings used to report the data prior to this section (questionnaire

data, interview data, analysis and implications of data) were not utilized. Instead, the procedures employed to develop the model were given in the following paragraph. The actual model itself is presented in chapter 4 of this dissertation.

Development of the Model

Data secured from both the questionnaire and the interview process with the principals and superintendents were utilized in arriving at a model system for evaluating principals. Item number seven of the questionnaire, which identified the methods and procedures being utilized to evaluate principals at the time of this research, and item number twenty-one, which sought to determine what trend or trends relative to how principals would be evaluated in the future, received considerable attention in formulating the model. Data obtained by the section of the questionnaire which sought the views of the superintendents and principals concerning an ideal principal evaluation system were also employed in the development of the model. During the interviews with both the superintendents and principals, information concerning what a model system should contain was solicited. In addition to the preceding, reference was made to seven principal evaluation systems which were collected from superintendents who participated in the study. Lastly, information garnered from the review of literature which was conducted in chapter 2 was utilized in the development of the model.

Chapter Summary

In this chapter, the fourteen questions which were posed by this research were presented. The manner in which answers were sought to these queries was provided, and the data which was subsequently obtained were presented, analyzed, and interpreted. As a result of the data presented in this chapter, four major conclusions were reached:

One, at the time of this study approximately half of the responding school districts employed formal means to evaluate principals, and half employed informal means.

Two, there was a movement among the responding school districts in Lake County, Illinois, during the past ten years, 1968-1978, to employ formalized procedures for the evaluation of principals.

Three, concomitant with the movement to adopt formal procedures for evaluating principals was a movement to utilize a management by objectives approach to principal evaluation.

Four, it was the opinion of a majority of the responding superintendents that the movement toward the adoption of more formalized procedures to evaluate principals would continue in the future, and that the procedure employed would entail an evaluation by objectives (management by objectives) technique.

CHAPTER IV

CONCLUSIONS, MODEL, RECOMMENDATIONS AND SUMMARY

Chapter four is divided into four parts. The conclusions reached as a result of this research concerning the practices and procedures utilized to evaluate public school principals in Lake County, Illinois, between 1968 and 1978 are reported in the first part. A principal evaluation system model developed in conjunction with this research is presented in the second section. Recommendations reached as a result of this study are presented in the third area. The last part of chapter four is devoted to a concise summary of the research.

Conclusions

This section of chapter four concerning the conclusions reached as a result of research relative to the methods and procedures utilized to evaluate principals in Lake County, Illinois, between 1968 and 1978, is divided into five sub-sections. The four questions presented on page 3 of chapter one, which this dissertation sought to answer, serve as the first four sub-sections. Each question is restated, followed by a summary of the conclusions reached relative to each question as a result of the research.

The last, or fifth, sub-section reports the conclusions arrived at concerning the relationship which exists between the manner in which public school principals are evaluated and a given set of selected factors, - the size of the school district, the tenure of the superintendent and principal, etc.

Question Number One: What were the current methods and procedures being utilized in the evaluation of public school principals at the time of this study?

Nine conclusions were reached by this research relating to the current (1977-78 school term) methods and procedures utilized to evaluate public school principals in Lake County, Illinois:

1. A great majority of the public school districts in Lake County engaged in the annual evaluation of their principals. Thirty-two out of thirty-three respondents (there were a possible forty-five respondents), or ninety-seven percent of those who responded, indicated that they conducted an annual evaluation of their principal/s.
2. Even though principals were evaluated on an annual basis, the probability of their evaluation being formal in nature was only slightly better than fifty percent. Eighteen out of thirty-three, or fifty-five percent, of the superintendents who participated in the research relative to the formality versus informality of how principals were evaluated, indicated that a formal evaluation of their principals was conducted.
3. It was not a common practice for the boards of education represented by the superintendents who participated in this research to

adopt official policy statements or procedures relative to the evaluation of principals. Twenty-one out of thirty-three respondents, or sixty-four percent, indicated that their boards of education had not adopted official policy statements or procedures for the evaluation of principals.

4. Evaluation by objectives (management by objectives) was the most common formal procedure utilized to evaluate principals. Seven out of eighteen school districts employing formal procedures to evaluate principals did so solely in terms of evaluation by objectives; whereas, an additional eight school districts evaluated principals using evaluation by objectives in conjunction with either a rating checklist or blank narrative appraisal procedure, or both. Fifteen superintendents in total employed the use of evaluation by objectives wholly or in part in evaluating principals.

5. The superintendent was the major person involved in the development of the principal evaluation system that was being utilized. Principals were also involved in the process of developing the principal evaluation system, but not to the extent of the superintendents. The role of the board of education in regard to the development of the principal evaluation system was relegated to approving the system after it had been developed by the superintendent, either by himself or in conjunction with others. Very seldom was the board of education actually involved in the development of the principal evaluation system.

6. The superintendent was the major contributor of data to the process of evaluating the principal. The principal followed the superintendent, and was involved in the evaluative process basically through the technique of self-evaluation. The board of education was a distant third in terms of contributing data that were employed in the evaluation of the principal.

7. The most frequently stated purpose for evaluating principals by superintendents was "to assist the principal in his professional development". However, in terms of relative value, the purpose "to improve the educational leadership of the school" was ranked first. The purpose "to assess present performance in accordance with prescribed standards" was the least frequently stated purpose of evaluation, and in addition was valued the least by the superintendents.

8. The most often employed criterion in evaluating principals was resourcefulness/creativity/innovativeness, along with decision-making effectiveness. Personal traits (i.e. enthusiasm, initiative, etc.) and leadership ability, were the second most frequently employed criteria. The criterion of policy implementation and the criterion of participation in community affairs/activities/organizations were the least frequent in terms of use by superintendents.

9. The last conclusion drawn from this research relative to the current (1977-78 school term) methods and procedures utilized to evaluate principals, relates to the issues of providing the principal with the opportunity to respond to the evaluation. The superintendents

responding to this research indicated that the principal must be provided with the opportunity to participate in the evaluative conference/s, and must also have the chance to respond to the findings either verbally or in writing. However, only eighteen out of thirty-three superintendents provided principals with the opportunity to appeal the evaluation findings.

Question Number Two: What were the methods and procedures used previously?

One conclusion was drawn relative to the question "What were the methods and procedures used previously?". A majority of the school districts which were employing formal means and procedures to evaluate principals during the 1977-1978 school term had utilized informal means prior to the adoption of their then current principal evaluation system. Eleven of the eighteen school districts which used formal means to evaluate principals during the 1977-1978 school term had previously switched from informal to formal procedures. At one time or another during the time period 1968 through 1978, twenty-six out of the thirty-three school districts responding to this section of the research had used informal procedures to evaluate principals.

Question Number Three: In what direction did the evaluation of public school principals proceed from the 1968-69 school year to the 1977-78 school year?

Two conclusions were reached as a result of the research relative to the question, "In what direction did the evaluation of public

school principals proceed from the 1968-69 school year to the 1977-78 school year?":

1. There was a definite trend away from the informal evaluation of principals to formal evaluation of principals. Eleven of the eighteen districts which were utilizing formal means to evaluate principals in the 1977-78 school year had previously utilized informal approaches to the evaluation of principals. However, even with the existence of the trend, only fifty-five percent of the superintendents responding to the questionnaire indicated that they utilized formal procedures to evaluate principals.

2. Concomitant with the movement toward the formal evaluation of principals there was a corresponding movement toward the employment of principal evaluation procedures that employed totally, or in part, the technique of evaluation by objectives (management by objectives). Ten of eleven school districts which had evaluated principals informally in the past, and which had converted to a formal procedure, had switched to a procedure employing some form of management by objectives. Furthermore, four of six districts which had employed informal means to evaluate principals during the past ten years had changed to formal means utilizing management by objectives totally or in part.

Question Number Four: According to superintendents and principals where was the evaluation of principals headed?

Two conclusions were reached as a result of the research conducted relative to the above question:

1. There is every indication that more and more school districts will be adopting formal means and procedures to evaluate principals in the future. Conclusion number one of the preceding question indicated that eleven of eighteen districts which had formerly used informal means to evaluate principals had adopted formal procedures. The movement toward the adoption of formal means to evaluate principals can be attributed in part to the accountability movement in education which will continue into the future. Furthermore, the research pursued for this dissertation revealed a tendency on the part of superintendents new to school districts which had used informal means to evaluate principals in the past, to adopt formal procedures. As a result of this tendency it is probable that as superintendents with an extended length of tenure retire, especially those with tenure of more than ten years, they will be replaced by new superintendents who, for one reason or another, will adopt formal means of evaluating principals.

2. Concomitant with this movement toward the formality of principal evaluation will be the continuation of a trend toward the employment of evaluation by objectives (management by objectives) techniques either totally or in part in the evaluation of principals.

The Relationship That Exists Between a Selected Set of Factors
And The Manner in Which Public School Principals are Evaluated

Another purpose of this study was to determine what relationship existed between the manner in which public school principals

were evaluated and the size of the school district, the tenure of the superintendent in his current district, the tenure of the principal, the educational background of the superintendent, and the job assignment of the principal (elementary school principal, junior high school principal, high school principal). The following conclusions were drawn as a result of this study:

1. No relationship was established between the size of the school district and the manner in which principals were evaluated.
2. A relationship does exist between the tenure of the superintendent in his current position and the manner in which principals are evaluated. Superintendents with ten years or less of tenure are more likely to utilize formal procedures for evaluating principals. Superintendents with more than ten years of tenure are more likely to employ informal procedures for evaluating principals.
3. There is no evidence to indicate that the tenure of the principal in his position has any effect on the principal evaluation procedure.
4. The evaluation of principals is independent of the educational level of the superintendent.
5. No relationship exists between the job assignment of the principal (elementary, junior high, high school) and the procedures utilized to evaluate principals.

Preface to Principal Evaluation System Model

In this section of chapter four, a model system for evaluating principals is presented. The model was developed in conjunction with the research pursued by this study. The following data, secured from the questionnaires and the interviews, were used in the preparation of this model:

1. A trend was uncovered by the research revealing a movement toward the adoption of management by objectives techniques for the evaluation of principals by superintendents who had either adopted a formal system for evaluating principals or revised the system they were using during the past three years. For example, eleven out of thirteen school districts which had converted from informal to formal means of evaluating principals employed some form of management by objectives wholly or in conjunction with some other means. Furthermore, three districts that utilized formal methods to evaluate principals modified their systems to incorporate totally or in part some form of management by objectives.

2. Data secured from the "Ideal Principal Evaluation System" section of the questionnaire revealed that twenty-four out of thirty-nine superintendents, or sixty-two percent, favored the use of management by objectives either wholly or in conjunction with one or more other formal approaches to the evaluation of principals. Of this twenty-four, thirteen superintendents indicated that they would rely totally on a management by objectives approach to the

evaluation of principals.

3. The interview process confirmed the trend toward the adoption, or possible adoption, of a management by objectives approach to the evaluation of principals. A majority of both the superintendents and principals interviewed felt that the trend toward the utilization of management by objectives techniques for the evaluation of principals would continue into the future. Many of the superintendents interviewed expressed the belief that the only system that truly could meet the challenge of accountability in the future was a system employing management by objectives techniques.

Further support was secured for the adoption of the model as a result of an examination of several documents returned by the superintendents, which illustrated the procedures that they utilized to evaluate principals. The examination revealed that a majority of the documents employed totally or in part some form of management by objectives procedures in the evaluation of principals. Additional justification for the model was provided as a result of reviewing two handbooks of evaluation procedures for administrators and supervisors prepared by George Redfern, working as a consultant for the Andrews Independent School District in Andrews, Texas, and the Community School District 100 in Belvidere, Illinois. Both handbooks, which were secured in conjunction with this research, relied totally on the management by objectives approach to the evaluation of principals.

A review of the literature which was conducted in conjunction with the research for this dissertation provided additional justification for the model presented. As pointed out in chapter two, the review of the literature revealed a trend on a national basis, both in actuality and in the writings of the literature, toward the employment of management by objectives techniques in the evaluation of principals.

The inclusion in the model of a section relative to the development of job descriptions for principals was based upon the fact that the research reported in chapter three of this dissertation revealed that superintendents did not avail themselves of the job descriptions for principals in the development and implementation of a principal evaluation system. Furthermore, the data secured from this research revealed an alarming lack of concern for the development and subsequent utilization of performance criteria in the evaluation of principals. This again was reported in chapter three. Thus, it was deemed necessary that emphasis be given in the model to the development and utilization of performance criteria in the evaluation of principals.

The model takes into consideration the fact that the principals who responded to the "Ideal Principal Evaluation System" section of the questionnaire and the interview process, indicated a desire to be actively involved in the total process of their evaluation.

Upon completion of the development of the model it was submitted to three superintendents and three principals who were interviewed previously. The superintendents and principals were asked to review the model. One superintendent, whose board of education was committed to adopting an administrative evaluation system based upon management by objectives, was pleased with the construction of the model. He felt that the model would meet the demands of his board for administrative accountability. His principal was pleased, as was one of the other principals interviewed relative to the model, with the provisions made for the involvement of the principal in the total evaluative process. Another superintendent who was interviewed concerning the model indicated that he was not a proponent of the utilization of management by objectives for the evaluation of principals. He preferred an informal approach to evaluation. However, it was his opinion that the model would be a favorable means for evaluating principals in situations where boards of education demanded formal procedures for principal evaluation. His principal was not familiar with the use of management by objectives in evaluation, and thus was a little apprehensive concerning its use to evaluate principals. However, it was explained to this principal that before the implementation of such a system took place each principal would be in-serviced extensively relative to the procedures to be followed. The provisions for in-service relieved the principal's concerns. The remaining superintendent who was asked

to respond to the model had been utilizing a management by objectives technique as part of his method for evaluating principals. He felt that the model was comprehensive in nature, and was pleased with the use made of job descriptions and performance criteria in the evaluative process. It was his opinion, as a result of his experience in using a similar approach, that the model presented was a viable means of meeting the needs of the school district for administrative accountability. This superintendent stated that in his opinion the model met the need of the principal for professional development.

The following guidelines were employed in preparing the principal evaluation system model:

1. The system must be simple in nature and easily understood by all those to whom it applied.
2. It must be easily implemented.
3. It must be capable of meeting the purposes for which it was designed.
4. It must satisfy the needs of both the school district and the principal in terms of evaluation.
5. It must be economical to implement and administer financially.
6. It must be economical in terms of the time required of the superintendent to implement and administer the evaluative program.

No universal principal evaluation system can be developed that meets the unique needs of each individual school district. Cognizant of the above, the model presented was developed so that it could be

adapted to the individual needs of school districts. The model is really a concept, and as such it can be made to fit a variety of needs and situations.

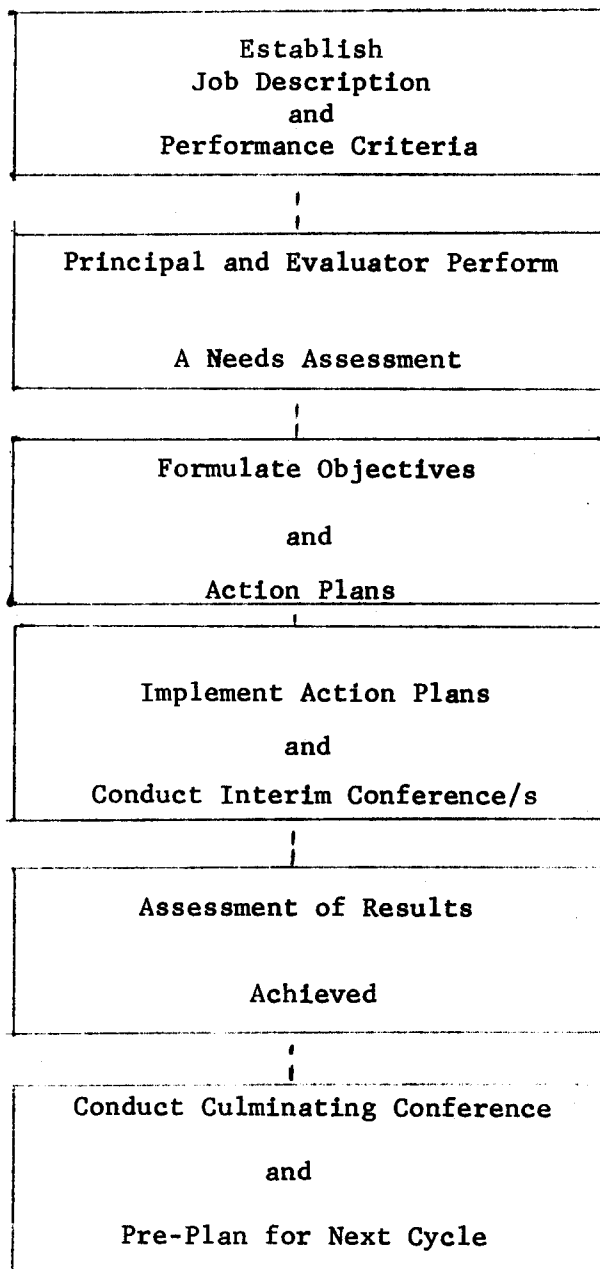
The principal evaluation system model presented here contains the following elements, - a flow-chart depicting the sequence of steps proposed by the model, an explanation of each step presented in the flow-chart, and sample performance criteria that can be used as the basis of the evaluation process.

The role of the board of education relative to the principal evaluation system model is four-fold:

1. The board of education should adopt a formal policy relative to the board's commitment to the evaluation of principals.
2. The board of education should review and approve the model before it is implemented.
3. The board of education should annually evaluate the model to see if the model is meeting the purposes for which it was developed. If necessary, the model should be revised to reflect the changing needs of the school district.
4. The board of education should establish a formal procedure by which the findings of the evaluation process may be appealed.

Principal Evaluation System Model

The following graphic representation illustrates the steps involved in the proposed model for evaluating principals.



Brief Description of Steps Involved in
Principal Evaluation System

Job Descriptions and Performance Criteria

The first step necessary in implementing a performance objectives approach to the evaluation of principals entails the development of job descriptions for the principals. The superintendent and the principal should cooperatively develop the duties and responsibilities of the principal for his particular school. The job description defines the parameters of the principal's job and is used in developing the criteria against which the performance of the principal will be evaluated. The job description should be reviewed annually. The development of a specific job description is left to any individual school district that might adopt this model.

Once the job description has been developed, the next step is to establish the performance criteria against which the overall level of competency of the principal will be assessed. The performance criteria are applicable to all principals employed by the district. There can be any number of major categories; however, they generally deal with leadership and organizational skills, communication skills, personnel management skills, student management skills, curriculum development and implementation skills, plant/facilities management skills, and financial management skills. The following is presented as an example of some possible performance criteria; however, the development of a specific set of performance criteria is left up to any school district which may adopt this model for principal evaluation.

The performance criteria presented are based upon a review of performance criteria presented in several different principal evaluation handbooks that were perused in the course of the research for this study.

Organizational Management:

1. Implements all policies, rules, and regulations of the school district
2. Maintains all attendance records of students and certified and non-certified staff members
3. Implements and adheres to the teachers' professional negotiation contract
4. Other
5. Other

Communications Management:

1. Communicates with staff through various means, - staff meetings, bulletins, handbooks, etc.
2. Informs parents of activities occurring at school
3. Communicates with superintendent relative to problems that arise in the operation of the school
4. Other
5. Other

Personnel Management:

1. Treats all staff members, certified and non-certified, with respect, fairly and impartially

2. Provides inservice activities that meet the needs of the faculty
3. Interviews and recommends for employment prospective applicants
4. Other
5. Other

Pupil Management:

1. Maintains student records in accordance with district policy
2. Disciplines students in a fair and judicious manner, handling each case on its own individual merits
3. Approves and provides adequate supervision for all extra-curricular activities
4. Other
5. Other

Needs Assessment

In the second major step of the evaluation process both the principal and evaluator cooperatively decide upon areas in which improvement is needed. It is suggested that the principal conduct a self-evaluation in terms of the performance criteria developed for his position. The principal should identify three to five areas needing improvement or strengthening. The evaluator reviews the performance criteria for the principal, and also identifies three to five areas needing improvement. The principal and evaluator meet and reach agreement on a specific number of areas to be improved and prioritize them. These areas then become the focus of the performance

objectives.

Formulate Objectives

The next step involved in the process is to develop the objectives. These objectives should be stated clearly and concisely and should specify:

1. The individual who will carry out the objectives.
2. The behavior to be achieved.
3. The time limits in which the objectives will be undertaken.
4. The criteria of measurement that will be utilized in assessing the level of achievement.
5. The desired level of success that will indicate that the objectives have been achieved successfully; and
6. The conditions necessary for attaining the objectives.

Concomitant with the formulation of the specific objectives, the evaluatee also develops an action plan. The plan specifies the steps that will be undertaken to achieve each objective. Benchmarks are provided which will be utilized to monitor the progress that is being made in achieving the objectives.

Implement Action Plans and Conduct Interim Conferences

The next step in the evaluation process is the implementation of the action plans. During the implementation step, both the principal and the superintendent continually assess the progress being made in the achievement of each objective. It is the responsibility

of both the principal and the superintendent to document this progress.

Prior to initiation of the action plan there should be mutual agreement established as to interim evaluation conferences. There should be at least one such conference half way through the time-frame established for achievement of the objectives. However, it is recommended that at least two such conferences be conducted before the final evaluation conference. The purposes of these interim conferences are to:

1. Determine what progress is being made in achieving each objective.
2. Decide whether or not any specific objective or objectives need to be modified, added or deleted.
3. Confirm strategies that will be utilized to achieve each objective.

Assessment of Results Achieved

Prior to a final or culminating evaluation conference both the principal and the superintendent should perform an assessment of the level of achievement for each objective. This assessment should be done individually. Each party should determine:

1. Whether or not the objectives were achieved.
2. The level of achievement of each objective.
3. If an objective was not achieved satisfactorily, what could have been done differently to assist in the attainment of the objective.

4. Possible objectives for the next evaluation cycle.

In addition to the above, the superintendent should perform an assessment of the overall performance of the principal. This assessment should be done in terms of the pre-established performance criteria or standards of the person being evaluated.

Conduct Culminating Conference and Plan for Next Cycle

At the conclusion of the evaluative process a culminating conference should be conducted between the principal and the superintendent. At this conference both parties establish the achievement or non-achievement of the pre-specified objectives. An opportunity should be made available for both the evaluatee and the evaluator to discuss different strategies that could have been employed to achieve the objectives. The strategies which were highly successful are highlighted and means are sought to employ them in the future. In addition, an overall evaluation of the principal's performance should be conducted. This evaluation can serve as the basis for the establishment of future objectives. The overall evaluation should be an integral part of the culminating conference. Before concluding the conference, both parties should have determined a possible list of areas which might become the focal point of the next evaluation cycle.

Concluding Remarks

Some concluding remarks are in order here:

1. No time-frame was established for the evaluation process. The

establishment of a time-frame is left to the discretion of individual school districts. However, it is recommended that agreement be reached concerning objectives and action plans by no later than the end of September. It is further recommended that the interim evaluation conference/s be set so as to allow for any modifying, deleting, or adding of objectives within a reasonable length of time. Finally, the culminating conference should be conducted either during the month of April or May of the evaluative cycle.

2. No reference has been made as to the types or styles of forms to be utilized for recording the objectives and actions, for documenting the progress being made in achievement of the objectives, and for summarizing the findings of the evaluative process. The choice and format of forms is left to the discretion of individual school districts. However, it is recommended that paper-work or records-keeping be as concise as possible and kept at a minimum.

3. It is recommended that provisions be made for the principal to receive a written copy of the evaluation findings. The written evaluation should specify the principal's level of achievement of the predetermined objectives. The document should also contain an overall evaluation of the principal's performance, touching upon both the strengths and weaknesses of the individual. Where improvement is needed, suggestions should be provided as to strategies that can be employed.

4. Formal provisions should be made for the principal to appeal the evaluation findings. The due process rights of the principal must be protected.

5. The evaluative process should be non-threatening in nature, and should be a growth-facilitating experience for the principal. It is suggested that the evaluation process be clinical in nature, not punitive.

Recommendations

In this section of chapter four, twelve recommendations relative to the evaluation of public school principals are presented. In addition, recommendations for further study are provided.

The twelve recommendations relative to the evaluation of public school principals are as follows:

1. The first recommendation is that all public school districts in Lake County, Illinois, develop formal methods and procedures for evaluating principals.
2. All boards of education should adopt official policy statements concerning the evaluation of principals.
3. The purposes for evaluation principals should be (1) to improve the educational leadership of the school, (2) to assist the principal in his professional development, and (3) to identify areas needing improvement.
4. Job descriptions for the principalship and performance standards against which the effectiveness of the principal will

be appraised should be developed.

5. The principal should play a major role, along with the superintendent, in the development of a viable principal evaluation system.
6. Provisions should be made for the principal to be actively involved in the evaluation process.
7. Opportunities should be provided for the principal to respond to the evaluation findings verbally and in writing.
8. Formal means should be established for principals to appeal the findings of an evaluation.
9. Where the evaluation process has uncovered areas of deficiency in the principal's performance which need to be remedied, the principal should be provided with suggested corrective measures in writing, with sufficient lead time to correct the deficiencies.
10. The principal should be completely familiar with all aspects of the principal evaluation process before he is evaluated.
11. A performance objectives approach, such as the one proposed by the principal evaluation system model presented in this chapter, should be utilized.
12. The principal evaluation system should be reviewed and evaluated annually with the intention of insuring that it is meeting the purposes for which it was intended in an effective and fair manner.

Recommendations for Further Study

The recommendations for further study are as follows:

1. A follow-up study should be conducted in Lake County, Illinois, at the end of five years from the publication of this dissertation, - following the 1982-1983 school year. This follow-up study would reveal the number of school districts in Lake County, Illinois, employing formal procedures to evaluate principals. The study should also seek to determine the extent to which school districts which were revising their principal evaluation systems were adopting procedures utilizing management by objectives techniques. Five years was selected as a benchmark as data obtained in the course of the research undertaken in conjunction with this dissertation revealed that several superintendents, who were utilizing informal methods to evaluate principals at the time of this study, expected to retire within the five-year period following the completion of this study. The follow-up study should seek to determine the extent to which the superintendents who were replacing the retiring superintendents were utilizing formal methods to evaluate principals.
2. A national study relative to the status of principal evaluation should be undertaken. The study should seek to determine the extent to which principals are being evaluated. In addition, the national study should attempt to determine what means are being

utilized to evaluate principals. The study should attempt to ascertain the then current status, on a national level, of the trend discussed in this study toward the utilization of management by objectives techniques to evaluate principals.

3. A replication of this study should be conducted in another county in Illinois. The purpose of the replication would be to see if the data gathered from the second study confirms the findings of the study reported here.

Summary

The general purpose of this study was to analyze the development of principal evaluation systems in public school districts in Lake County, Illinois, over a ten-year period, 1968-1978. Specifically, the study sought to identify the current methods and procedures utilized in the evaluation of public school principals at the time of this research; to identify the methods and procedures used previously to evaluate public school principals; to determine in which direction the evaluation of public school principals proceeded from the 1968-69 school year to the 1977-78 school year; and to ascertain, according to superintendents and principals, where the evaluation of public school principals was heading in the future. Concomitant with these purposes was the development of a principal evaluation system model.

The procedures utilized in conducting this study involved the use of a questionnaire and personal interviews. A questionnaire which

was designed to identify both the then current and also previous methods and procedures utilized to evaluate public school principals, and which was also designed to gain information relative to an ideal principal evaluation system, was mailed to fifty-one superintendents in Lake County, Illinois. Thirty-nine superintendents, seventy-six percent, responded to the questionnaire. Following the administration of the mailed questionnaire, personal interviews were conducted with twelve superintendents and twelve principals who had achieved tenure of ten years or more in their respective administrative positions in the same public school district. The interviews were conducted for the purpose of verifying the data secured from the questionnaires and to gather data that would be utilized in the development of a principal evaluation system model. The data obtained from the questionnaires and interviews were compiled and analyzed. Implications relative to the evaluation of public school principals were drawn, and a principal evaluation system model was developed. The model was presented to three pairs of the superintendents and principals who were interviewed previously. They were asked to review the model in terms of its practicality, relevance and usefulness.

As a result of this study the following findings were reached:

1. Of the thirty-three superintendents responding to this study who had one or more principals under their direction, thirty-two, or ninety-seven percent, evaluated their principal/s

annually. However, only slightly more than half of the thirty-three, - eighteen, or fifty-five percent -, utilized formal procedures to evaluate principals. Fifteen, or forty-five percent, employed informal approaches in evaluating principals. Only thirty-six percent, or thirteen of the respondents' boards of education, had adopted official policy statements or procedures relative to the evaluation of principals.

2. During the period beginning with the 1968-69 school year and terminating with the 1977-78 school year, there were two movements relative to the methods and procedures utilized to evaluate public school principals: (1) more and more school districts were adopting formal means of evaluating principals; (2) concomitant with the increase in the formality of the principal evaluation procedure there was a definite movement toward the use of evaluation by objectives (management by objectives) wholly or in conjunction with some other procedure, in the process of evaluating principals.
3. There is every reason to believe that the movement toward the formal evaluation of principals, along with the use wholly or in part of evaluation by objectives (management by objectives) in the formal process of evaluating principals will continue in the future.

APPENDIX A

QUESTIONNAIRE

Principal Evaluation System

Name of Superintendent: _____

Name and Number of School District: _____

Personal Data

1. Answer each question below by writing in the appropriate number of years:

- a. Number of years in current position? _____
- b. Number of years as Superintendent including current position? _____
- c. Number of years in education? _____

2. Indicate your highest level of educational attainment by checking one of the following:

- a. M.A. _____
- b. M.A.+ _____
- c. C.A.S. _____
- d. Ed.D./Ph.D. _____

School District Information

1. What is your current enrollment? _____

2. What was your most recent total assessed valuation? _____

3. Indicate the number of principals currently employed by your district:

- a. Elementary _____
- b. Junior High _____
- c. High School _____
- d. Other (Please explain) _____

4. Please answer the following questions which characterize your Board of Education:

- a. How many members are - 1. Male _____ 2. Female _____
- b. How many members -
 - 1. Have children in school district _____
 - 2. Do not have children in school district _____
- d. What are the occupations of your Board members:

Current Principal Evaluation System in Your District

1. Has your Board of Education adopted an official policy and/or set of procedures relative to the evaluation of principals?
 Yes _____ No _____
 If your answer is yes, please return a copy with this questionnaire. If your answer is no, please explain: _____

2. Is an evaluation of each principal's performance conducted annually?
 Yes _____ No _____ If no, please explain why: _____

3. If your answer to question 2 above is yes, is the evaluation formal (predetermined procedure and/or instrument) or informal?
 Formal _____ Informal _____
4. Does the number of years that a principal has been employed in your district affect the manner in which he/she is evaluated and the procedures utilized? Yes _____ No _____ If your answer is yes, please explain: _____

5. Does the building assignment of the principal (i.e. elementary, junior high, high school) affect the manner and procedures utilized in his/her evaluation? Yes _____ No _____ If your answer is yes, please explain: _____

- *6. If a formal evaluation of each principal's performance is conducted annually, please indicate the current evaluative system that is used by checking one of the following:
 - a. Rating on a Prescribed Scale _____
 - b. Blank Narrative/Essay Appraisal _____
 - c. Evaluation by Objectives/Job Targets/Performance Evaluation _____
 - d. Combination of the Above (Please explain) _____
 - e. Other (Please explain) _____

* NOTE: PLEASE RETURN WITH THIS QUESTIONNAIRE A COPY OF THE DOCUMENT THAT IS USED IN THE EVALUATIVE PROCESS

7. The following questions pertain to your answer given to question number 6:

- a. How long has your district used the instrument/procedure checked? _____
- b. Beginning with the 1968-69 school term, please describe the changes, of which you are aware, that have occurred in the manner in which principals have been evaluated in your district: _____
- c. What do you believe has influenced the change/s in the instrument/procedure utilized that you have described above? _____
- d. Are revisions planned in the near future? Yes _____ No _____
If yes, please explain: _____

* NOTE: IF YOU HAVE COPIES OF PREVIOUS PROCEDURES/INSTRUMENTS AVAILABLE, PLEASE RETURN THEM WITH THIS QUESTIONNAIRE.

8. Please indicate by a checkmark in the first column below which of the following were involved in the development of the principal evaluation system now in use. If you check more than one, please rank order those checked in the second column on a scale from 1 up to the number of items that you have checked, with 1 having the highest importance:

	<u>Checkmark Column</u>	<u>Ranking Column</u>
a. Board of Education	_____	_____
b. Superintendent	_____	_____
c. Central Office Personnel	_____	_____
d. Principal/Principals	_____	_____
e. Teachers of their association	_____	_____
f. Parents	_____	_____
g. Students	_____	_____
h. Other (Please explain)	_____	_____

9. Which of the following contribute information which is used in the formal evaluation of the principal? Please check all that apply. If you check more than one, please rank order those checked in the second column on a scale from 1 up to the number of items that you have checked, with 1 having the highest influence:

	<u>Checkmark Column</u>	<u>Ranking Column</u>
a. Board of Education	_____	_____
b. Superintendent	_____	_____
c. Central Office Personnel	_____	_____
d. Principal (Self-evaluation)	_____	_____
e. Other Principals (Colleague Evaluation)	_____	_____
f. Unit/Department Heads	_____	_____
g. Teachers	_____	_____
h. Teachers' Association	_____	_____
i. External Consultants	_____	_____
j. Parents	_____	_____
k. Students	_____	_____
l. Other (Please explain)	_____	_____

10. Listed below are several reasons that are often cited as the purpose or purposes of the evaluation of school principals. Please indicate by placing a checkmark in the first column which one or ones serve as the purpose or purposes for the evaluation of principals in your district. If you check more than one, please indicate the relative importance of each item checked by using a scale of 1 to 5, with 1 being of little importance and 5 being of high importance:

	<u>Checkmark Column</u>	<u>Scale Column</u>
a. To assist the principal in his profes- sional development	_____	_____
b. To identify job targets or professional competencies to be reached in the future by the principal	_____	_____
c. To use in making recommendations for salary increments	_____	_____
d. To determine employment status (reten- tion, dismissal, promotion)	_____	_____
e. To assist the district in attainment of its goals	_____	_____
f. To improve the educational leadership of the school	_____	_____
g. To identify areas needing improvement	_____	_____
h. To assess present performance in accor- dance with prescribed standards	_____	_____

NOTE: If there are purposes in addition to those listed on the preceding page for which your district evaluates principals, please indicate and explain such and also rank their importance in accordance with the directions given: _____

Checkmark Column Scale Column

11. Which of the following do you use as the criteria for evaluating principals? Please check all that apply:

- a. Personal traits (i.e. enthusiasm, initiative, etc.) _____
- b. Receptivity to suggestions _____
- c. Resourcefulness/Creativity/Innovativeness _____
- d. Loyalty to superiors _____
- e. Leadership ability _____
- f. Decision-making effectiveness _____
- g. Planning and organizing skills _____
- h. Crisis management _____
- i. Certified and non-certified personnel management _____
- j. Facility/Plant management _____
- k. Financial management _____
- l. Activity/Extra-curricular activity management _____
- m. Policy development _____
- n. Policy implementation _____
- o. Curriculum development _____
- p. Curriculum implementation _____
- q. Evaluation skills _____
- r. Communication skills _____
- s. Public relation skills _____
- t. Staff morale _____
- u. Pupil morale _____
- v. Pupil control _____
- w. Pupil achievement _____
- x. Acceptance by community _____
- y. Participation in community affairs/activities/organizations _____
- z. Interaction with parents _____
- aa. Preparational competencies (knowledge of field, etc.) _____
- ab. Achievement of predetermined objectives (M.B.O., performance objectives, job targets) _____
- ac. Professional growth and development _____
- ad. Other (Please describe) _____

12. Have job descriptions been developed for the various principal positions in your district? Yes _____ No _____
13. If you answered yes to question number 12, was it used in developing the evaluation system now in use? Yes _____ No _____
14. Have you established a set of performance standards against which the performance of the principal is measured? Yes _____ No _____
15. Indicate which of the following the principal is aware of ahead of time relative to the principal evaluative system. (Check all that apply.)
- a. The identification of the evaluator/s _____
 - b. The time period of the evaluation _____
 - c. The nature and timing of the evaluation conference/s _____
 - d. The criteria upon which the evaluation is based _____
 - e. The purpose of the evaluation _____
 - f. The methods and procedures to be followed _____
 - g. The response system (e.g. numerical ratings, letter ratings, narrative responses, checklists, etc.) _____
 - h. The manner in which an evaluation may be appealed _____
16. Have provisions relative to the evaluation system been made for the following:
- a. Opportunity for the evaluatee to participate in the planning of the evaluative process Yes _____ No _____
 - b. Opportunity for the evaluatee to participate in the evaluative conference/s Yes _____ No _____
 - c. Opportunity for the principal to receive a written copy of the evaluation Yes _____ No _____
 - d. Opportunity for the principal to respond to the evaluation verbally and in writing Yes _____ No _____
 - e. Opportunity for the principal to appeal the evaluation findings Yes _____ No _____
- How? _____
- f. Opportunity for the principal to receive in writing suggested corrective measures with sufficient lead time to remedy deficiencies Yes _____ No _____

17. Are provisions made for periodic interim evaluation conferences prior to the final or annual evaluation conference? Yes _____ No _____

At these conferences is the principal informed of corrective measures that must be taken either within a given period of time or before the final evaluation conference? Yes _____ No _____

18. Do you feel that your current principal evaluation system is meeting the purpose or purposes for which it was developed? Yes _____ No _____

If no, please explain: _____

19. Would you like to receive a copy of the results obtained as a result of analyzing all the responses to this questionnaire? Yes _____ No _____

20. Would you like to receive a copy of the recommendations that the researcher will make as a result of this study? Yes _____ No _____

21. What trends relative to the evaluation of principals do you see developing in the near future?

Ideal Principal Evaluation System

The purpose of this section of the questionnaire is to seek input from practitioners in the field of education relative to their views on an ideal principal evaluation system. Please respond to the following questions with the idea in mind that you are being provided with the opportunity to develop the system that you would like to see in use.

1. Listed below are several reasons that are often cited as the purpose or purposes of the evaluation of school principals. By placing a checkmark in column 1, select the one or ones that you feel should be included as the purpose or purposes of evaluation of principals, and in column 2, please indicate the relative importance of those you have checked by using a scale of 1 to 5, with 1 being of low importance and 5 being of high importance:

	<u>Checkmark</u> <u>Column</u>	<u>Ranking</u> <u>Column</u>
a. To assist the principal in his professional development	_____	_____
b. To identify job targets or professional competencies to be reached in the future by the principal	_____	_____
c. To use in making recommendations for salary increments	_____	_____
d. To determine employment status	_____	_____
e. To assist the district in attainment of its goals	_____	_____
f. To improve the educational leadership of the school	_____	_____
g. To identify areas needing improvement	_____	_____
h. To assess present performance in accordance with prescribed standards	_____	_____

2. Listed below are several people who possibly could be involved in the formulation of this system. Please indicate by placing a checkmark in the first column all those who you feel should be involved in this development. In the second column please indicate the relative importance of their input by using a scale of 1 to 5, with 1 being of low importance and 5 being of high importance:

	<u>Checkmark</u> <u>Column</u>	<u>Ranking</u> <u>Column</u>
a. Board of Education	_____	_____
b. Superintendent	_____	_____
c. Central Office Personnel	_____	_____

	<u>Checkmark</u> <u>Column</u>	<u>Ranking</u> <u>Column</u>
d. Principal/Principals	_____	_____
e. Teachers or their association	_____	_____
f. Parents	_____	_____
g. Students	_____	_____
h. Other (Please explain) _____	_____	_____

3. Listed below are several parties, one or more of whom may be involved in contributing information which is used in the evaluation of school principals. Please indicate by placing a checkmark in the first column all those who you feel should contribute information and in column 2 please rank the importance of acquiring input from those you have checked by rating each on a scale of 1 to 5, with 1 being a low priority and 5 being a high priority:

	<u>Checkmark</u> <u>Column</u>	<u>Ranking</u> <u>Column</u>
a. Board of Education	_____	_____
b. Superintendent	_____	_____
c. Central Office Personnel	_____	_____
d. Principal (Self-evaluation)	_____	_____
e. Other Principals (Colleague evaluation)	_____	_____
f. Unit/Department Heads	_____	_____
g. Teachers	_____	_____
h. Teachers' Association	_____	_____
i. External Consultants	_____	_____
j. Parents	_____	_____
k. Students	_____	_____
l. Other (Please explain) _____	_____	_____

4. There are several different procedures and methods that can be used to evaluate the performance of principals, such as checklists, rating scales, blank narratives, Management by Objectives/performance appraisal, etc. Please describe a system that would be the ideal for you: _____

5. In addition to the annual evaluative conference, do you feel that the following are necessary:

- a. Pre-evaluation conference at which time the purpose/s of, the methods and procedures to be employed, and the criteria and standards upon which the evaluation process rests are conducted between the principal and the evaluator? Yes _____ No _____
- b. Interim evaluative conferences which provide both the principal and the evaluator with feedback as to how the evaluative process is progressing? Yes _____ No _____

6. Which of the following do you feel should be used as the criteria for evaluating principals? Please check all that apply in the first column, and indicate the relative value of each in the second column on a scale of 1 - 5, by assigning number 1 to those with the lowest priority and 5 to those with the highest priority:

	<u>Checkmark Column</u>	<u>Rating Column</u>
a. Personal traits (i.e. enthusiasm, initiative, etc.)	_____	_____
b. Receptivity to suggestions	_____	_____
c. Resourcefulness/Creativity/Innovativeness	_____	_____
d. Loyalty to superiors	_____	_____
e. Leadership ability	_____	_____
f. Decision-making effectiveness	_____	_____
g. Planning and organizing skills	_____	_____
h. Crisis management	_____	_____
i. Certified and non-certified personnel management	_____	_____
j. Facility/Plant management	_____	_____
k. Financial management	_____	_____
l. Activity/Extra-curricular activity management	_____	_____
m. Policy development	_____	_____
n. Policy implementation	_____	_____
o. Curriculum development	_____	_____
p. Curriculum implementation	_____	_____
q. Evaluation skills	_____	_____
r. Communication skills	_____	_____
s. Public Relation skills	_____	_____
t. Staff morale	_____	_____
u. Pupil morale	_____	_____
v. Pupil control	_____	_____
w. Pupil achievement	_____	_____
x. Acceptance by community	_____	_____
y. Participation in community affairs/activities/ organizations	_____	_____
z. Interaction with parents	_____	_____
aa. Preparational competencies (knowledge of field, etc.)	_____	_____
ab. Achievement of predetermined objectives (M.B.O., performance objectives, job targets)	_____	_____
ac. Professional growth and development	_____	_____
ad. Other (Please describe)	_____	_____

7. What provisions would you make in the evaluative process for the principal to respond either positively or negatively with respect to his/her evaluation?

8. How would you provide principals with the opportunity to correct any deficiencies that the evaluation may have revealed?

APPENDIX B

SUPERINTENDENT INTERVIEW

Name of Superintendent: _____

Name and Number of School District: _____

Questions

1. How are principals evaluated in your school district? Formal _____
 Informal _____ Please describe: _____

2. How long have you used your current principal evaluation system?

3. Were principals involved in the development of the principal evaluation system currently in use in your school district? Yes _____
 No _____ If yes, how? _____
4. Are principals involved in the manner in which they are evaluated?
 Yes _____ No _____ If yes, how? _____
5. Does the number of years that a principal has been employed in your district affect the manner in which he/she is evaluated? Yes _____
 No _____ If yes, please explain: _____
6. Does the building assignment (elementary, junior high, high school) of the principal have any effect on the manner in which he/she is evaluated? Yes _____ No _____ If yes, please explain: _____

7. Do you feel that the size (enrollment) of the school district has any effect on how principals are evaluated? Yes _____ No _____
 If yes, please explain: _____

8. Beginning with the 1968-69 school term, please describe the changes that have occurred in the manner in which principals have been evaluated in your district:
-
-

9. What do you believe has influenced the changes in the procedures utilized to evaluate principals in your school district during the past ten years - 1968-1978?

10. Are you planning any revisions in the procedures utilized currently to evaluate principals in the near future? Yes _____
No _____ If yes, what? _____

11. What role should the Board of Education play in the development and subsequent implementation of the principal evaluation system?

12. What role should the principal play in the development and subsequent implementation of the principal evaluation system?

13. Please describe what, in your opinion, would be an ideal system for evaluating principals:

14. What trend, if any, do you see in the future relative to the evaluation of principals?

PRINCIPAL INTERVIEW

Name of Principal: _____

Name and Number of School District: _____

Name of School Where Principal: _____

Grade Range of School: _____

Number of Years as Principal in District: _____

Number of Total Years as a Principal: _____

Number of Total Years in the Educational Profession: _____

Highest Degree Earned: _____

Questions

1. Is an evaluation of your performance conducted annually?
 Yes _____ No _____
2. Is the evaluation formal (predetermined procedure and/or instrument) or informal?
 Formal _____ Informal _____
3. Which of the following describes the formal procedure utilized to evaluate you?

a. Rating on a Prescribed Scale _____ c. Evaluation by Objectives/Job Targets/Performance Evaluation _____	b. Blank Narrative/Essay Appraisal _____ d. Combination of a, b, or c. Explain _____ _____
---	--
- e. Other _____
4. How long have you been evaluated by the procedure that you have described?

5. Were you involved in the development of the principal evaluation system now in use? Yes _____ No _____ If yes, how?

6. Are you involved in the manner in which you are evaluated? Yes _____ No _____ If yes, how? _____

7. What means, if any, are provided for you to react to your evaluation? _____

8. Beginning with the 1968-69 school year, please describe the changes which have occurred in the manner in which you have been evaluated:

9. With respect to how you are to be evaluated, which of the following would you like to have prior knowledge of:

- a. Identification of evaluator/s _____
- b. Time period of the evaluation _____
- c. Nature and timing of the evaluative conference/s _____
- d. Criteria upon which the evaluation is based _____
- e. Purposes of the evaluation _____
- f. Methods and procedures to be followed _____
- g. Response system (i.e. numerical ratings, letter ratings, narrative responses, checklists, etc.) _____
- h. Manner in which evaluation may be appealed _____

10. With respect to the principal evaluative process, would you like to have the opportunity to:

- | | | | | |
|--|-----|--------------------------|----|--------------------------|
| a. Participate in the planning for the evaluative process | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| b. Participate in the evaluative conference/s | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| c. Receive a written copy of the evaluation | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| d. Respond to the evaluation verbally and in writing | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| e. Appeal the evaluation findings | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| f. Receive in writing suggested corrective measures with sufficient lead time to remedy deficiencies | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |

11. Do you see any trend developing in the near future relative to how principals will be evaluated? Yes No If yes, what? _____

As the culminating activity in the interview process, the "Ideal Principal Evaluation System" section of the questionnaire mailed to the Superintendents was administered to each of the twelve principals.

APPENDIX C

Table 1. Section I of Questionnaire With Percentage of "Yes" Responses in the State of Washington, 1975.¹

INSTRUCTIONS: Consider the organization in which you presently work. Read the statements below and react to them according to whether the condition:

Presently Exists, i.e., is the condition evident in your organization.

Is it Important, i.e., do you consider the condition of considerable importance for your organization.

Are you Initiating it, i.e., if it does not presently exist and if you consider it important, are the conditions such that your organization will be initiating activity during the next six months.

Put a check (x) in the appropriate spaces. %

		Yes	No
1. Systematic self-evaluation, based on structured and non-structured feedback devices.	Exists?	<u>43</u>	___
	Important?	<u>75</u>	___
	Initiating?	<u>28</u>	___
2. Management by Objectives procedures; based on agreement on objectives, working toward these objectives, and examining progress prior to setting new objectives.	Exists?	<u>58</u>	___
	Important?	<u>78</u>	___
	Initiating?	<u>27</u>	___
3. Specific statement of roles and responsibilities of administrative positions--in terms which allows the administrator and the administrator's evaluator to know when the administrator is performing effectively.	Exists?	<u>68</u>	___
	Important?	<u>82</u>	___
	Initiating?	<u>20</u>	___
4. Specific means whereby an administrator's evaluator obtains information from multiple sources regarding the administrator's performance.	Exists?	<u>42</u>	___
	Important?	<u>78</u>	___
	Initiating?	<u>10</u>	___

¹Dale L. Bolton, "Practices and Priorities in the Evaluation of Educational Administrators," The Administrator 6 (Spring 1976): p. 10.

		%	
		<u>Yes</u>	<u>No</u>
5. Agreement regarding what information will be recorded regarding the administrator's performance, who will collect and analyze the information, and how the information will be used.	Exists?	<u>53</u>	___
	Important?	<u>80</u>	___
	Initiating?	<u>17</u>	___
6. The format for recording and transmitting information regarding the administrator's performance is clear enough to facilitate communication, complete enough to cover the significant aspects of the position, and concise enough to be useable.	Exists?	<u>60</u>	___
	Important?	<u>80</u>	___
	Initiating?	<u>20</u>	___
7. Measurement (scaling) used to describe administrator performance is descriptive, i.e., it deals with behavior or outcomes of behavior, rather than comparisons with some reference group or categorizing the administrator.	Exists?	<u>32</u>	___
	Important?	<u>73</u>	___
	Initiating?	<u>18</u>	___
8. The present system of evaluation examines both the processes of administrators as well as the results obtained.	Exists?	<u>53</u>	___
	Important?	<u>80</u>	___
	Initiating?	<u>20</u>	___
9. The present evaluation system encourages evaluators of administrators to develop their own systems of self-evaluation by acquiring systematic feedback from those whom they evaluate.	Exists?	<u>40</u>	___
	Important?	<u>80</u>	___
	Initiating?	<u>22</u>	___
10. Outside consultants are available to administrators and their evaluators to assist them in developing evaluation systems and procedures.	Exists?	<u>30</u>	___
	Important?	<u>62</u>	___
	Initiating?	<u>13</u>	___

APPENDIX D

Table 2. Conditions which Exist, Exist and are Being Initiated, and are Considered Important in the Evaluation of Educational Administrators in the State of Washington.¹

		1975					
		<u>EXISTS</u>		<u>EXISTS + INITIATING</u>		<u>IMPORTANT</u>	
		%	RANK	%	RANK	%	RANK
1.	Self Evaluation	43	6	71	5	75	8
2.	Management by Objectives	58	3	85	2	78	6.5
3.	Description of Position	68	1	88	1	82	1
4.	Multiple information sources	42	7	52	8	78	6.5
5.	Agreement on information	53	4.5	70	6	80	3.5
6.	Clear information format	60	2	80	3	80	3.5
7.	Descriptive measurement	32	9	50	9	73	9
8.	Process and results examined	53	4.5	73	4	80	3.5
9.	Feedback from subordinates	40	8	62	7	80	3.5
10.	Consultants available	30	10	43	10	62	10
	Range	30-68		43-88		62-82	
	Median	48		70.5		79	
	Mode	53				80	

¹Dale L. Bolton, "Practices and Priorities in the Evaluation of Educational Administrators," The Administrator 6 (Spring 1976): p. 12.

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