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An Analysis of the Evaluation Process Used by School Boards to Evaluate Superintendents in Selected Public School Districts of Will County, Illinois

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AN ANALYSIS OF THE EVALUATION PROCESS USED BY

SCHOOL BOARDS TO EVALUATE SUPERINTENDENTS

IN SELECTED PUBLIC SCHOOL DISTRICTS

OF WILL COUNTY, ILLINOIS

by

Sandra Lazarz Gould

A Dissertation Submitted to the Faculty of the Graduate School

of Loyola University of Chicago in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Education

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VITA

The author, Sandra Lazarz Gould, is the daughter of Edward
and Inez (Bergeron) Lazarz. She was born April 15, 1947, in Rock-
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She received her elementary and secondary education in the
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She has taught science at the elementary and secondary
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In 1978, she was appointed coordinator of the gifted education
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programs. The author is an educational consultant. She is also
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CHAPTER I

INTRODUCTION

A Massachusetts law, enacted in 1647, made the maintenance

of a school in each town mandatory. Public schools at that time

were a charge of town governments, and policies were determined at

town meetings. As populations increased, the business of running

public schools became more complex; and "in 1721, a permanent com-

mittee was appointed...and later given separate legal status."[1]

As states came into the Union, state constitutions provided for the

creation of school districts, as well as for their support and con-

trol. "Thus, the school board is a creature of the state and sub-

ject to its laws. However, the board is also responsible, within

the provisions of law, to the people of the school district who

directly or indirectly select its members."[2]

As populations grew, so did the schools. The first solu-

tion was to increase the size of school boards; however, it soon

grew apparent that operating schools was a full-time endeavor re-

quiring professional expertise. "Before the nineteenth century

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[1]Charles Reeves, School Boards (New York: Prentice-Hall,
Inc., 1954), p. 17.

[2]Ibid., p. 19.

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came to an end, the superintendency concept was to be recognized as the only promising solution to the administrative problems confronting public education."[3] An early concept of the school superintendent was that of superintendent of instruction and nothing else. Jeffrey Glanz observed that "in examining the period before 1900, we find that the function of supervision was primarily controlled and performed by the superintendent of schools...supervision of instruction was the most essential part of the work of a school superintendent."[4] As school systems continued to grow, the boards of education looked to the school superintendent for not only internal supervision but for leadership. As early as 1917, Dr. William Theisen in his study entitled The City Superintendent and the Board of Education arrived at the recommendation that "a board adopt a form of administrative organization in which the professional superintendent is made the administrative leader and chief executive of the system...such precedent is amply provided by successful business organizations."[5]

The position of the superintendent in Illinois is directly provided for in Section 10-21.4 of The School Code of Illinois which states that school boards are required "except in districts in which there is only one school with less than four teachers, to employ a

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[3]Stephen J. Knezevich, Administration of Public Education, 3rd ed., (New York: Harper and Row Publishers, 1975), p. 341.

[4]Jeffrey Glanz, "Ahistoricism and School Supervision: Notes Towards A History," Educational Leadership 35 (November 1977) :151.

[5]Hans Christian Olsen, The Work of Boards of Education (New York: Teachers College Press, 1926), p. 3.

superintendent who shall have charge of the administration of the schools under the direction of the board of education."[6] The wording of the School Code establishes the line relationship of the superintendent to the board. The superintendent is clearly hired by the board, subordinate to the board, and subject to evaluation by the board of education.

The evaluation of the superintendent cannot be addressed without a reference to the concept of "educational accountability." In the early 1970's there was a movement in the field of education that stated that administrators should be held accountable for what happens in the schools. According to Knezevich "accountability means identification of responsibility for satisfying the entire range of goals and objectives for an organization as well as for how resources are allocated and utilized for such ends."[7] Since the superintendent provides the leadership for the educational staff of the school district, then the responsibility for satisfying the entire range of goals and objectives for the school district rests with the superintendent.

Since the superintendent is accountable for the district's success, his individual success will be the barometer of achievement for the school district. A system of evaluation is one way of acknowledging individual success. In M. Donald Thomas' work Performance

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[6]Joseph M. Cronin, The School Code of Illinois (St. Paul: West Publishing Co., 1977), p. 80.

[7]Knezevich, Administration of Public Education, p. 599.

Evaluation of Educational Personnel he states that "a performance

evaluation program is the key to educational accountability. Schools

will be accountable when individual performance is held accountable.

Performance evaluation can establish accountability in a school dis-

trict."[8] The board of education hires the superintendent and the

board also evaluates the superintendent. When the board establishes

the procedure for the evaluation of the superintendent, the "account-

ability areas are clearly defined and understood and made public. The

superintendent 'contracts' with the board to 'deliver' certain levels

of achievement, to develop a proper learning environment, and to per-

form other duties. These agreements are made public and become the

basis for evaluating the superintendent."[9]

Statement of the Problem

Historically school systems have not had formal procedures

for evaluating administrators. However, due to the pressures brought

on by the accountability movement in education in recent years, evalu-

ation of educational personnel has moved to a more formal mode. Be-

cause the school superintendent provides the educational leadership

for the district, the caliber of the performance of the superintendent

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[8]M. Donald Thomas, Performance Evaluation of Educational
Personnel, (Bloomington: Phi Delta Kappa Educational Foundation,
1979), p. 9.

[9]Ibid., p. 39.

sets the tone for the performance of the school district board and

staff. Therefore, the school superintendent is accountable for pro-

viding the leadership that results in the success or failure of the

board and the school district. Because "the success with which a

board discharges its duties hinges largely on the contributions of

the superintendent...the most important job of the school board is

therefore the selection of a superintendent."[10] The actual selec-

tion of the superintendent is a very subjective issue. The board

may decide

> . . . who is and who is not suitable, from the standpoint
> of morals, physical attractions, age, education, and what-
> ever other qualifications it believes should be considered
> before employing an administrator for its school. In this
> matter the judgement and discretion of the board cannot be
> called into question or inquired into by the courts.[11]

The board which hires the superintendent holds the superintendent

accountable for his job performance. The board assesses the job per-

formance of the superintendent it has hired through the evaluation

process.

A review of the literature indicated that there is a consensus

among experts in educational administration that superintendents' eval-

uations are an important part of holding the superintendent accountable

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[10]Robert H. Johnson and William Hartman, The School Board and Public Relations (New York: Exposition Press, 1964), p. 65.

[11]John Messick, The Discretionary Powers of School Boards (Durham: Duke University Press, 1949), p. 52.

and that the evaluations should be done by the school boards. However, the literature indicated a lack of research regarding the interrelationships, dynamics, and outcomes of the evaluation procedures, the evaluation instruments, and the evaluation criteria when utilized by school boards in the evaluations of their superintendents.

The literature does contain an abundance of studies on the practices and procedures used to evaluate principals. Three national studies which examined the evaluation of principals on a national level were conducted by the Educational Research Service in 1968, 1971, and 1974 respectively.

These studies examined the evaluation systems for "all administrators and supervisors including central office personnel, principals, and assistant principals, but not including the superintendent."[12] More recently, Albert Palucci in his doctoral dissertation, did "An Analysis of the Art of Evaluating Public School Principals Between 1968 and 1978 in Selected Public School Districts in Lake County, Illinois."[13] Palucci's study focused on evaluation procedures, instruments, and criteria used to assess the performance of the school principal.

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

[13]Albert James Palucci, "An Analysis of the Art of Evaluating Public School Principals Between 1968 and 1978 in Selected Public School Districts in Lake County, Illinois" (Ed. D. dissertation, Loyola University of Chicago, 1978).

There have been studies such as the Ohio State Leadership
Studies conducted in 1956 by Andrew Halpin that profiled the role
and leadership behavior of the superintendent.[14] Neal Gross in his
works Explorations In Role Analysis: Studies of the School Superin-
tendency Role[15] and The Sex Factor and the Management of Schools also
studied the role of the school superintendent in the school system.[16]

Investigations have been conducted that suggest performance
categories of criteria for school boards to consider when setting up
evaluation systems or when designing evaluation instruments for their
superintendents. Roald Campbell, in a paper presented at the American
Association of School Administrators Annual Convention in 1971, set
forth in behavioral terms a model set of criteria that he deemed
necessary for an evaluation of administrative performance.[17] And
Robert Roelle in his doctoral dissertation "An Analysis of Systems
Utilized in the Evaluation of School Superintendents," studied systems

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[14]Andrew Halpin, The Leadership Behavior of School Superin-
tendents (New York: John Wiley and Sons, Inc. 1958).

[15]Neal Gross, Explorations In Role Analysis: Studies of the
School Superintendency Role (New York: John Wiley and Sons, Inc.,
1958).

[16]Neal Gross, The Sex Factor and the Management of Schools
(New York: John Wiley and Sons, Inc., 1976).

[17]Roald F. Campbell, "The Evaluation of Administrative Per-
formance," paper presented at the American Association of School
Administrators Annual Convention, Atlantic City, N.J., 1971.

of evaluation for superintendents as they related to Knezevich's

sixteen administrative functions.[18]

Various writers have written "how to" works which suggest

the steps to be taken when setting up an evaluation system for a

superintendent. These "how to" works also suggest alternative

formats that may be adopted for the actual evaluation instrument.

Among the endeavors that address "how to" systems for setting up

superintendent evaluations was an Educational Research Service Re-

port in 1976 authored by Joan P. Sullivan Kowalski entitled Evalu-

ating Superintendents and School Boards which made recommendations

for procedures on developing evaluation systems for school superin-

tendents and presented copies of the evaluation forms of districts

used in various parts of the country.[19]

The Illinois Association of School Boards, in 1978, published

for school board members a book and workbook, Planned Appraisal of

the Superintendent, which suggested a step-by-step process for de-

signing an evaluation system for the school superintendent.[20] The

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[18]Robert J. Roelle, "An Analysis of Systems Utilized In the
Evaluation of School Superintendents," (Ed.D. dissertation, Loyola
University of Chicago, 1977).

[19]Joan P. Sullivan Kowalski, Educational Research Service
Report on Evaluating Superintendents and School Boards (Arlington:
Educational Research Service, In., 1976).

[20]Ronald R. Booth and Gerald R. Glaub, Planned Appraisal of
the Superintendent (Springfield: Illinois Association of School
Boards, 1978).

most recent and most comprehensive work on the steps to be taken when developing a superintendent evaluation process is Evaluating the Superintendent,[21] a joint publication of the American Association of School Administrators and the National School Boards Association. George B. Redfern's work was part of a Superintendent Career Development Series which suggested steps to be taken in developing an evaluation system for the superintendent.

Although there have been several studies which address the topics of evaluation procedures, evaluation instruments, and evaluation criteria that may be utilized by school boards in the evaluations of their superintendents, the studies only suggested procedures but do not deal with the dynamics of the evaluation process in operation nor do the studies encompass the implications of the evaluation process for the superintendent and the board of education. This dissertation addresses both the static and dynamic factors involved when boards of education evaluate their superintendents.

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[21]Evaluating the Superintendent (Arlington: American Association of School Administrators [1980]).

Procedures

The procedures that were followed to complete this study are detailed in the following outline:

1.0 An extensive review of the literature was conducted to determine the extent and nature of the evaluation process generally used for superintendents by local school boards. The review of the literature was used to ascertain the range of purposes which was advocated for the evaluation of superintendents. The literature also provided information on the superintendents' job responsibilities and the school board-superintendent relationship. Additionally, the review of the literature provided input that aided in the construction of techniques such as the questionnaire and interview format that was utilized to secure information relative to the evaluation of the superintendents. The review of the literature included:

1.1 A review of the literature which pertained to the purposes and effects of administrative evaluation.

1.2 A review of the literature which pertained to the professional performance responsibilities and role of the local district school superintendent.

1.3 A review of the literature which pertained to the procedures and to the form of the instruments used in the evaluation of superintendents.

1.4 A review of the literature which pertained to the relationship of the school board and school superintendent at the local school district level.

2.0 A survey was conducted of school superintendents and school board presidents of all twenty-nine public school districts in Will County, Illinois, which pertained to the procedures, criteria, and instruments used by school boards to evaluate their superintendents. The survey was done for the purposes of: one, identifying practices and procedures being utilized on a local basis in the evaluation of superintendents by school boards; two, identifying the purposes and effects of the superintendent evaluation process on the superintendent-school board relationship; three, ascertaining the criteria used as the basis for evaluation and the occasions used by board members to gather input; and four, gathering data to be used for an internal analysis among districts regarding the evaluations of their superintendents. The survey was conducted in the following manner:

2.1 Questionnaires to be completed by the superintendent and board president were developed. The questionnaires were identical except for an additional section in the version of the superintendent which requested information concerning district demographics and personal information about the superintendent.

2.2 The questionnaire was validated for clarity of content and structure by seven public school superintendents outside of Will County.

2.3 The questionnaire was revised based on the input from the superintendents who participated in the validation.

2.4 The study and revised questionnaire were shared with the county superintendent. The author attended two meetings of Will County superintendents and requested their assistance and participation of the study. At the meetings the study received the endorsement of the Will County superintendent and the district superintendent of the author.

2.5 The revised questionnaires and a letter explaining the intent of the study were sent to all twenty-nine public district superintendents and school board presidents in Will County, Illinois. A special request was made of all superintendents of schools in Will County to provide

a copy of the evaluation instrument used by the board
of education when the board evaluated the superinten-
dents if the district had available a formal evaluation
instrument. A second mailing was done and follow-up
phone calls were made to those not responding.

2.6 Based on the input from the completed questionnaires
and information in the related literature, an inter-
view guide was devised which would serve as a guide-
line that would clarify and expand on the information
given in the completed questionnaires.

2.7 After the questionnaires were returned, an interview
was conducted with each of the superintendents and
school board presidents who agreed to participate in
the study. The interviews were conducted separately.
The purposes of the interview were to: (1) verify the
information given in the completed questionnaires;
(2) gain further insights into a selected group of
questions on the questionnaires; and (3) ascertain
the ramifications of the presence of an evaluation
system and the reason or reasons for any changes in
evaluation system.

3.0 The data elicited from the questionnaires and personal
interviews were tabulated and analyzed, with specific

concern for implications of the data for superintendents and boards of education.

3.1 An internal analysis of the data among districts was done in terms of a comparison of: a) the purpose of the evaluation of the superintendent; b) the forms of the evaluation systems--formal or informal--in relationship to the procedures followed and criteria used; c) the processes used in the planning of the evaluation schedule and procedure; d) the criteria used as the basis of the evaluation of the performance of the superintendent; e) the occasions used by board members for the gathering of input for evaluating the performance of the superintendent; and f) the formats used for evaluation instruments of superintendents. This analysis described, interpreted, and analyzed trends, common elements, uniquenesses, and contrasts. Possible explanations were offered, when appropriate, for the results of the data.

3.2 An analysis was done in narrative form which compared the expert opinion found in the literature with the findings in the study concerning the evaluation of the superintendent by the board of education.

3.3 The evaluation systems represented in the questionnaires

and interviews were analyzed in terms of Knezevich's
administrative functions of communicating, decision-
making, leading, and appraising to determine their
implications for superintendent-board relations.

3.4 The data were summarized in the form of tables.

Summary

In the review of the professional literature in the area of
superintendent evaluation, there were numerous recommendations that
had been set forth by various experts and professional organizations
that presented "how to" models detailing the steps boards should take
to design superintendent evaluations and the ideal performance criteria
to be used for the evaluation. Most of the literature stops after the
recommendations have been made, and there are few follow-up studies
which address the dynamics of the process of the evaluation of the
superintendent by the school board at the local educational agency level.
The purpose of this dissertation is to study the dynamics and effects of
the evaluation process as the school boards evaluate their superinten-
dents. The strategy used to get at the analysis and implications as-
pect of the study was to have superintendents and board presidents fill
out a questionnaire on the evaluation procedures, criteria, and instru-
ments used during the evaluation process. Once the superintendents and
board presidents committed themselves to participating in the study by

filling out and returning the questionnaires, then the operational dynamics of the evaluation system was pursued in the follow-up interviews with the respondents.

The population was inclusive of all public school districts in Will County, Illinois. Will County is located forty miles southwest of Chicago, has twenty-nine public school districts, and was selected for this study because the county is composed of typical suburban communities. The communities in Will County are remote enough from the city of Chicago so as not to be part of the urban center but close enough to Chicago so that they may not be considered rural.

Because the superintendent provides the educational leadership for the school district, the caliber of the performance of the superintendent sets the tone for the performance of the school district board and staff. The caliber of the performance of the superintendent may be assessed and augmented through a system of effective evaluation. Because this study has attempted to get at the dynamics, and interrelationships of the evaluation process, the study has provided valuable insights into the realities of this process. The insights that result from this study will assist superintendents and school board members in making the evaluation exercise more motivating for the superintendent and satisfying for the school board.

CHAPTER II

REVIEW OF RELATED LITERATURE

The purpose of this study is to better understand the process
that transpires when school boards evaluate their superintendents at
the local educational agency level. So that the evaluation process
may be better understood, the following categories of information will
be studied as they are discussed in the professional literature; then
the following categories of information will be compared to the related
literature as well as to the evaluation processes as they exist in and
among the local school districts in Will County, Illinois. The cate-
gories of information to be studied are a) the purposes and effects
of the evaluation of the school superintendent by the school board; b)
the performance responsibilities (categories) and role of the superin-
tendent; c) the procedures and instruments used in the appraisal of the
superintendent; and d) the relationships of the school superintendent
to the school board. The implications of the findings for superinten-
dent/board relations will be examined in terms of Knezevich's adminis-
trative functions of communicating, decision-making, leading, and ap-
praising. This chapter, REVIEW OF RELATED LITERATURE, has been organized
into four sections which are analogous to the categories of information
elicited from the superintendents and board presidents on the question-
naires and during the interviews. The sections are: Purposes and Effects

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of Administrative Appraisal; Performance and Role Responsibilities of the Superintendent; Evaluation Procedures and Instruments; and Superintendent/School Board Relationships. Each section of this chapter addresses only the literature that is germane to evaluation systems for the school superintendent.

Purposes and Effects of Administrative
Appraisal

The evaluation of the school superintendent is continuous and inevitable. The evaluation process begins when an incumbent seeks the position of superintendent, and the process is carried on indefinitely by the various publics the superintendent encounters. Prior to the 1970's there was little mention in the literature of superintendent evaluation. When evaluation was mentioned in reference to the superintendent, the evaluation was tied to the gathering of facts to support the dismissal of the superintendent. Ward Reeder, writing in 1944, noted that "...the dismissal of the superintendent should be based only upon the board's dissatisfaction with his accomplishments in the school system or with his personal conduct, and such dissatisfaction should be based upon facts rather than rumors and opinions."[22]

Interest in the appraisal of the chief school office became

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[22]Ward G. Reeder, School Boards and Superintendents, A Manual On Their Powers and Duties (New York: MacMillan Co., 1944), p. 68.

a paramount concern when the public focused on "accountability" in the late 1960's. Evaluation of school personnel was a means the school board had of achieving accountability. In the early 1970's Roald Campbell, in a session at the American Association of School Administrators Annual Convention, noted that administrative evaluation was a tool the profession could use to police itself and upgrade itself in order to serve the larger society.[23] In the same year the Educational Research Service published a report on administrative appraisal and indicated that a system of evaluation could "...be used as justification for merit salary increases, promotions, demotions, transfers, in-service training, self-development objectives and similar personnel decisions."[24]

With declining enrollments and rapid social and technological changes, the mid-seventies brought increased pressure on school boards and their chief executives. The evaluation process became a forum used to enhance superintendent/board communication, define superintendent/board roles, and offer encouragement and commendation for work well done.[25] At this time the attitude of the public toward education was becoming

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[23]Roald F. Campbell, "The Evaluation of Administrative Performance," paper presented at the annual meeting of the American Association of School Administrators, Atlantic City, N.J., 1971.

[24]Evaluating Administrative/Supervisory Performance (Arlington, Va.: Educational Research Service, [1971]), p. 23.

[25]Kowalski, Report on Evaluating Superintendents and School Boards, pp. 20-23.

more skeptical, and the superintendents and boards had to work to-
gether closely to anticipate and resolve the growing public concerns.

The late 1970's saw student achievement scores dropping. As
student achievement scores were published in local newspapers, the
superintendent was in the public eye more than ever explaining the
educational programs. The superintendent was accountable to the board
for the educational programs, and the board in turn was accountable to
the public for student achievement. The boards of education began

> . . . to realize that they cannot account to the public
> unless they have some measure to assess the performance of
> teachers and school administrators, along with an evaluation
> of the educational program. From the board's perspective,
> accountability, i.e. evaluation must begin with a concentra-
> tion on the school superintendent.[26]

By evaluating the superintendent along with other district personnel,
the school boards placated the teacher's unions, and the superinten-
dent served as a role model to encourage professional growth.[27]

The two most recent works on superintendent evaluation which
were published by the Illinois Association of School Boards are Planned
Appraisal of the Superintendent done by Ronald Booth and Gerald Glaub,[28]

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[26]Robert W. Heller, "Superintendent Evaluation," paper presented
at the annual meeting of the National School Boards Association, Anaheim,
California, 1978.

[27]Robert Roelle and Robert Monks, "A Six Point Plan for Evalu-
ating Your Superintendent," American School Board Journal 165 (Septem-
ber 1978): 36.

[28]Booth and Glaub, Planned Appraisal of the Superintendent,
pp. 12-13.

and Evaluating the Superintendent which is part of the Superintendent

Career Development Series published by the American Association of

School Administrators.[29] Within recent publications there is a shift

in emphasis on the focus of the evaluation process. The new direction

is on evaluation as an appraisal process that concentrates on perfor-

mance, strengthens the working relationship, and generates understand-

ings between the board and superintendent, and enables the board to

make informed decisions about contract renewal and compensation.

A popular trend that is now emerging in superintendent evalu-

ations is to make the salary adjustment of the administrator based on

the results of the evaluation. "The Kalamazoo (Michigan) school dis-

trict rewards its administrators according to their accomplishments,

but also calls for decreases in the salaries of the superintendent and

assistant superintendent if the board decides that their work has been

less than satisfactory."[30]

With the increase of public pressure on school boards, super-

intendents are being held more and more accountable. Since the evalu-

ation of the superintendent is the indicator of his success or failure,

superintendents have taken an interest in having some control over the

evaluation process. To enhance the control of the superintendent and

guarantee that the evaluation process takes place before judgment is

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[29]Evaluating the Superintendent, pp. 3-4.

[30]Kowalski, Evaluating Superintendents and Boards, p. 4.

passed on the performance of the superintendent, the American Association

School Administrators and the National School Boards Association have pro-

posed that the evaluation be part of the contract of the superintendent.

The A.A.S.A. and the N.S.B.A. in their 1980 joint publication stated that

"at the time a superintendent is employed, it is important to discuss the

method that will be used to assess performance. In fact, a provision

should be included in the contract clarifying how evaluations will be

conducted. Today, more and more superintendents and boards are insisting

on clarification of evaluation procedures at employment time."[31] In the

literature the evaluation of superintendents has now been recognized as

an accepted dimension of the contract of the superintendent. A 1978 publi-

cation of the Illinois Association of School Boards, Planned Appraisal of

the Superintendent took the position that "...in order to be fair to both

the school board and the superintendent, the contract should set forth the

obligations of both parties."[32]

So that the evaluation of the superintendent is systematically

conducted, the Educational Policies Service of the National School Boards

Association recommended that a policy statement concerning the evaluation

of the superintendent be adopted at the local district level. The model

policy statement that was recommended indicated that

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[31]Evaluating the Superintendent, p. 15.

[32]Booth and Glaub, Planned Appraisal of the Superintendent,
p. 26.

. . . through evaluation of the superintendent, the board shall strive to accomplish the following: clarify for the superintendent his role in the school system as seen by the board; clarify for all board members the role of the superintendent in the light of his job description and the immediate priorities among his responsibilities as agreed upon by the board and the superintendent; develop harmonious working relationships between the board and superintendent; and provide administrative leadership for the school system.[33]

As school boards have moved towards more extensive, exact, concrete, and systematic systems of evaluation for their superintendents, the appraisal process has had an impact on both the school boards and the superintendents. "Board members report that the process has improved their effectiveness by forcing them (1) to understand the superintendent's roles and responsibilities better, which helps them to understand more fully their own roles and responsibilities, and (2) to think more concretely about the needs of their district and plan better to meet those needs, because in setting priorities, goals, and performance criteria for the superintendent, they also are setting priorities, goals and performance criteria for themselves."[34] Rosenburg, in his 1971 study, noted that for the superintendent, the effect of the evaluation process is that it

. . . gives the administrator insight into areas of strength and weakness and clues to greater effectiveness. Evaluation clarifies the role expectations held for the administrator by

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[33]Charles W. Fowler, "When Superintendents Fail," American School Board Journal 164 (February 1977): 23.

[34]Dallas P. Dickinson, "Superintendent Evaluation Requires A Sophisticated, Step-By-Step Plan Like the One You'll Find Right Here," American School Board Journal 167 (June 1980): 38.

himself, students, staff, community and central administra-
tion. And evaluation can be instrumental in a 'career de-
velopment program' by identifying those administrators who
possess the potential to fill specialized roles in the school
system.[35]

Since the work of Ward Reeder in the 1940's through present

times, school boards have given the following as their purposes for

evaluating their superintendents: to ascertain the achievement of

district goals; to plan for future district goals; to improve board/

superintendent relations; to improve board/superintendent communica-

tion; to clarify for the superintendent his role in the school system;

to determine the priority of the responsibilities of the superintendent;

to assess the present performance of the superintendent in accordance

with job expectations; to renew the contract of the superintendent; to

compensate the superintendent for his job performance; to motivate the

superintendent to improve his job performance; to dismiss the superin-

tendent; to encourage the professional growth of the superintendent; to

placate teacher's unions; and to replace opinion with fact. The process

for the evaluation of the superintendent has now taken its place in the

literature as part of the negotiated contract of the superintendent.

Occasionally the salary adjustment of the superintendent is tied offi-

cially in the contract to the results of the performance evaluation. There

have even been suggestions from professional educational organizations for

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[35]Terry Barraclough, Evaluation of School Administrators,
Arlington, Va.: National Association of Elementary School Principals,
1974), 6-7.

model policy statements that school boards may adopt concerning the evalu-
ation of their superintendents. And the whole process of the evaluation
of the superintendent by the school board has been reported in the liter-
ature as affecting the school board by forcing board members to think
through the intent and the process of the evaluation. The evaluation pro-
cess has affected the superintendent by clarifying his role in the school
district and providing feed-back on his present job performance.

Performance Responsibilities and Role
of the Superintendent

The performance responsibilities of the superintendent differ
from school district to school district and to a certain degree are
dependent on the concerns of the district at a particular time. There
is continually a change in both the district environment and in the per-
son occupying the position of the superintendent. When evaluations are
done, the behavior of the individual as well as the personal character-
istics of the individual are assessed. Early systems of evaluation for
the superintendent focused on the personal characteristics of the indi-
vidual. Systems which capitalized on the assessment of personal traits
were highly subjective, and the evaluation results only determined if
the superintendent possessed the proper personal traits. The personal
trait evaluation systems did not look at the effectiveness of the super-
intendent. More contemporary evaluation systems focus on the performance
responsibilities of the superintendent. Dallas Dickinson noted that the

scope of the performance responsibilities of the superintendent could

be identified by the board "...listing all of a superintendent's re-

sponsibilities including, of course, all those spelled out in state

law, school district policy, and the superintendent's own contract."[36]

The A.A.S.A. and N.S.B.A. suggest that the specific criteria upon which

to base evaluations may be found defined within the context of the job

description of the superintendent; the goals and objectives of the dis-

trict; the current special problems or projects of the district; and in

the articulated needs of teachers, principals, administrators and super-

visors.[37] The size of the district and the management organization of

the district would also affect the responsibilities of the superinten-

dent and the selection of evaluation criteria.

Deciding on what to base the evaluation of the superintendent has

been of continual concern to school boards because,

> ...not all factors that affect the school environment are with-
> in a superintendent's control...school boards must attempt to
> separate factors beyond the superintendent's control (shrinking
> enrollment, court orders, state and federal mandates, declining
> tax returns, and so on) from those that can be managed.[38]

Not only must the criteria used for evaluating the superintendent be

limited to factors within the control of the superintendent, but the

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[36]Dickinson, "Superintendent Evaluation Requires A Step-By-Step Plan," p. 34.

[37]Evaluating the Superintendent, p. 45.

[38]Larry Cuban, "Why Not Tell the Superintendent What You Think of Him...at Least Twice a Year?" National School Board Association Journal 8 (November 1977): 2.

factors to be evaluated must also be ones that can be measured.[39]

Measurement, the literature suggests, should be done on a scale. Once

the criteria are identified,

> Bernstein and Sawyer state that these criteria should define
> what "minimally acceptable performance" will be, as well as
> determine the optimum objectives, i.e., the best results that
> can reasonably be hoped for.[40]

Since time is a restriction that must be dealt with, "school

boards getting into superintendent appraisal for the first time soon

discover that they cannot evaluate everything about the superintendent

or the superintendent's job."[41] Therefore, the school boards must rank

for their superintendents concerns that they feel are most important;

and the most important concerns should occupy the majority of the time

of the superintendent. The concerns that occupy most of the time of the

superintendent should in turn be the concerns which are emphasized in

the evaluation.

Several sources have cited the major areas of concerns and respon-

sibilities that should serve as a basis for the evaluation of the superin-

tendent by the board. In a 1974 article entitled "How To Monitor Your

Management Performance," Fredrich Genck and Allen Klingenberg listed eight

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[39]Ibid., p. 5.

[40]Barraclough, Evaluation of School Administrators, p. 19.

[41]Booth and Glaub, Planned Appraisal of the Superintendent,
p. 44.

essential areas of school operations that school boards should use

to evaluate the superintendent. The eight areas are:

1. Management effectiveness.

2. Staffing and personnel development.

3. Financial status.

4. Long and short-range planning.

5. Educational programs.

6. Board operations.

7. Communications.

8. Supportive operations.[42]

Booth and Glaub in their 1978 work on superintendent evaluation

for the Illinois Association of School Boards took the original list of

management functions of Genck and Klingenberg and reorganized them into

the administrative functions of:

1. Policy development.

2. Personnel management.

3. Instructional program.

4. Pupil services.

5. Budget and finance.

6. School physical plant.

7. Public relations.

8. Board operations.[43]

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

[43]Booth and Glaub, Planned Appraisal of the Superintendent, p. 62.

The American Association of School Administrators and National School Board Association in their 1980 publication Evaluating the Superintendent took the same general areas used by Genck and Klingenberg in 1974 and revised by Booth and Glaub in 1978 and reorganized them into nine responsibility areas of criteria that could be used in the evaluation of the district superintendent. The A.A.S.A. divided the nine responsibility areas into sub-areas and recommended that they be used as a guide by the school boards to assess the overall effectiveness of their superintendents. The areas and sub-areas are as follows:

1. Board Relations.

    a. Preparation of reports and materials for the board.

    b. Presentation of reports to board.

    c. Recommendations to the board.

    d. Responding to requests from the board.

    e. Keeping the board informed about operations in district.

    f. Implementation of board actions.

2. Community-Public Relations.

    a. Contacts with media.

    b. Interpreting district problems and concerns to community and public.

    c. Interpreting the educational program to the community.

    d. Responding to concerns of community.

    e. Periodic communications (publications, reports, newsletters, etc.) to community.

3. Staff Personnel Management.

   a. Employment of personnel.

   b. Utilization of employed personnel.

   c. Administration of personnel policies and procedures.

   d. Administration of salary and benefits program.

   e. Direction of employee relations program.

   f. Administration of personnel evaluation programs.

4. Business and Fiscal Management.

   a. Determination of educational needs of district.

   b. Forecasting financial requirements.

   c. Budget preparation.

   d. Management of budget allocations.

   e. Cost accounting and cost effectiveness management.

   f. Procurement of equipment, materials, supplies, etc.

   g. Financial reporting.

5. Facilities Management.

   a. Planning and providing physical facilities.

   b. Management of maintenance of buildings and grounds.

   c. Providing for the security and safety of personnel and property.

   d. Planning for and managing modifications, renovations, expansions, and discontinuation of facilities.

   e. Directing the utilization of facilities.

6. Curriculum and Instructional Management.

    a. Keeping current with trends and developments in curriculum and instruction.

    b. Initiating new programs, modifying existing ones, and discontinuing others.

    c. Direction of supervision of instruction.

    d. Monitoring effectiveness of instructional programs.

    e. Assessment of effectiveness of instructional programs.

    f. Planning and direction of inservice and staff development.

    g. Management of state and federal programs and projects.

7. Management of Student Services.

    a. Providing comprehensive student personnel services.

    b. Management of enrollment and attendance policies and procedures.

    c. Management of student behavior and discipline.

    d. Providing for health and safety of students.

    e. Liaison with community agencies concerned with student services.

8. Comprehensive Planning.

    a. Developing and implementing short and long-range planning.

    b. Training administrators and supervisors in planning.

    c. Accountability procedures.

    d. Evaluation of planning results.

9. Professional and Personal Development.

    a. Keeping self current professionally.

b. Representing district at local, state, and national meetings of interest to education.

c. Contributions to profession by writing and speaking.

d. Participation in local, state, and national professional organizations.[44]

The most recent trend in the superintendent evaluation process is away from the assessment of personal characteristics and towards an assessment of the performance results of the superintendent. The emphasis, "...is on what the superintendent does and how well he does it. How the superintendent does something should be of minimal concern unless his methods create problems."[45]

Since the superintendent is assessed on how well he performs his role, the superintendent and board need to have a concurring perception of the role of the superintendent. Raymond Callahan has researched the role of the superintendent.

> Callahan saw the superintendency between 1865 and 1964 in terms of four dominant conceptions, one succeeding another. Between 1865 and 1900, the prevailing ideal type was the scholarly educator. This was superceded by a business manager conception (1910-1945) which, in turn, was followed by an educational statesman ideal (1930-1954). According to Callahan, the current dominant conception of superintendent is that of an expert in applied social science.[46]

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[44] Evaluating the Superintendent, pp. 42-44.

[45] Booth and Glaub, Planned Appraisal of the Superintendent, p, 60.

[46] Larry Cuban, Urban School Chiefs Under Fire, (Chicago: University of Chicago Press, 1976), p. 120.

In his role as an expert in applied social science, "...the superintendent has the responsibility of 'drawing an understandable picture of which duties rightfully belong to the board and which duties rightfully belong to him."[47] Traditionally "it is the function of the board of education to legislate and of the superintendent to execute policy. In other words, the board establishes policy and the superintendent administers policy."[48]

As superintendents and school boards enter the 1980's, the boards are basing the evaluations of their superintendents on a set of managerial responsibilities that cover the scope of school district operations. The responsibilities have their origins in district goals, superintendent job descriptions, superintendent contracts, and in the line and staff organization of the school districts. Because school boards cannot evaluate all aspects of the performance of the superintendent, boards are designating the most critical areas of operational concerns and evaluating how well the superintendents manage the designated areas. Hopefully, the areas being evaluated are measurable factors within the scope of control of the superintendent. School boards make policies and superintendents execute the policies made by the boards. In turn, the superintendent, through a system of performance evaluation, is held

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[47]Paul Schmidt and Fred Voss, " School Boards and Superintendents: Modernizing the Model," Teachers College Record, 77, (May 1976): 520.

[48]Daniel Griffiths, The School Superintendent (New York: Center for Applied Research in Education, 1966), pp. 92-93.
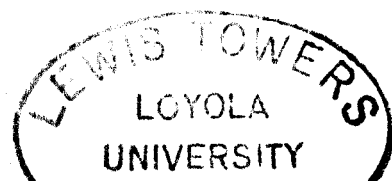
accountable by the school board for how efficiently and effectively
he is able to administer the policies legislated by the board of
education.

Evaluation Procedures and Instruments

The local district superintendent is hired by the school board
and is responsible directly to the board. In most districts the evalu-
ation of the superintendent is done by the entire school board body.
However, in a 1978 survey done by the American School Board Journal,
alternate systems were listed.[49]

The most popular procedure was to have all the board members
do the evaluation or a subcommittee consisting of a few board members
do an evaluation and then report back to the whole board. An alternate
system was to call in a consultant to assist the board in evaluating
the superintendent. Other suggestions included having the administra-
tion and staff participate as well as having taxpayers and parents par-
ticipate in the evaluation. Most sources recommended that the board
members do their own evaluations and use other documents and individuals
only as sources from which to gather input. The sources used to review
superintendent performance are usually the monthly progress reports,
board minutes, observations made by board members both formally at
board meetings and informally, and a superintendent self-appraisal, and

[49]"Finding: Boards Should Judge Superintendents," American
School Board Journal 165 (June 1978): 47.

. . . to reinforce the accuracy of its judgments, the board is well advised to engage teachers, students, principals, civil service personnel and members of the community in the evaluative process.[50]

However, "The responsibility for evaluation still rests with the board but this method provides the necessary participation and balance among constituencies."[51]

The American public is seeking educational accountability. One way that school boards have attempted to become accountable is through evaluating the superintendent. The evaluation may be an informal evaluation or a formal evaluation.

Reporting on a national survey of trends in administrative evaluation, the Educational Research Service of the AASA and NEA points out that in 1971 only 84 school districts claimed to have formal evaluation systems, that larger school systems were more likely to evaluate administrative behavior than smaller districts, and that only 25 percent of those districts evaluating administrators have adopted a performance objectives method of appraisal (the others still use check lists and predetermined performance standards). In addition, the survey disclosed that some states (for example, California, Florida, Hawaii, Oregon, and Washington) have recently mandated evaluation by statute.[52]

An informal evaluation of the superintendent "...is a verbal appraisal of the superintendent's performance by the board and usually takes place at a scheduled board meeting. A written report of

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[50]Donald J. McCarty, "Evaluating Your Superintendent," School Management (July 1971): 39.

[51]Ibid., p. 44.

[52]Robert E. Greene, Administrative Appraisal: A Step To Improved Relationships, (Washington, D.C.: National Association of Secondary School Principals, 1972), p. ix.

the appraisal may or may not be recorded."[53] In the 1976 Educational

Research Service Report on <u>Evaluating Superintendents and School Boards</u>

the following were identified as informal evaluation procedures:

1. General discussions about the superintendent's performance held at private meetings of board members.

2. Special meetings of boards of education that were called because of dissatisfaction with some or all aspects of the superintendent's performance.

3. Evaluations that take place continuously through constant association with the superintendent and through informal feedback from the community.

4. "Open-ended" discussions among board members that include a wide range of school-related topics.[54]

Although some districts use informal evaluation systems for

their superintendents, informal, unwritten procedures were generally

considered a poor approach to evaluation in the literature. In writing

about informal evaluation procedures the A.A.S.A. and N.S.B.A. con-

curred that,

this approach is likely a common practice in many school systems. This method probably works when things are going well and there is continuity in the superintendency. It is also reasonably satisfactory in those instances where board-superintendent relations are cordial and reasonably stable. On the other hand, to rely exclusively upon oral understandings involves many risks. Different persons hear things differently. Memory of what was said is less than dependable.[55]

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[53]Kowalski, <u>Evaluating the Superintendent and School Board</u>, p. 4.

[54]Ibid., p. 8.

[55]<u>Evaluating the Superintendent</u>, pp. 31-32.

What is recommended consistently in the research is a formal
evaluation system. "What you need is an evaluation process that's
formal, specific, and structured--and one that follows a set time-
table."[56]

Either the school board or superintendent may develop the
evaluation plan, but the consensus in the literature is that the best
results are obtained from a joint effort put into writing.

The educational Research Service in a 1972 report suggested a
number of essentials that should be included in a formal evaluation of
the local district superintendent:

1. The superintendent should know the standards against
    which he will be evaluated. Better yet, he should be
    involved in the development of those standards.

2. Evaluation should be at a scheduled time and place, with
    no other items on the agenda, at an executive session
    with all board members present.

3. The evaluation, if written, should be a composite of
    the individual board members' opinions, but the board
    as a whole should meet with the superintendent to dis-
    cuss it with him.

4. The evaluation should include a discussion of strengths
    as well as weaknesses.

5. The evaluation should be fairly frequent--at least once
    a year, but more often for contracts which run only a
    year or two. Thus, in case the decision is reached not
    to renew a superintendent's contract, the board can point
    to previous "warnings" of deficiencies.

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[56]Dickinson, "Superintendent Evaluation Requires A Step-By-
Step Plan," p. 34.

6. Both sides should prepare for the evaluation--the super-
   intendent by conducting a rigorous self-evaluation, the
   board by examining various sources of information relating
   to the superintendent's performance. Areas reviewed by the
   board might include the superintendent's job description;
   district goals, plans, and projects; situational factors
   which may influence the superintendent's performance; pre-
   vious performance evaluations; and instances of outstand-
   ingly excellent or deficient performance.

7. The board should not limit itself to those items which
   appear on the evaluation form or in the list of perfor-
   mance objectives. It would be difficult to develop a
   form or set of guidelines which will guarantee that every
   area is covered.

8. Each judgment should be supported by as much rationale
   and objective evidence as possible. One board member's
   opinion should not be the sole basis for judgment on an
   appraisal item.

9. The superintendent should have the opportunity to evaluate
   the board, individually as well as collectively. Ideally
   the evaluation includes an examination of the working re-
   lationships between the board and superintendent.[57]

Because of the frequency of which they were mentioned, two of

the essential components of a formal evaluation system merit further

comment. Although a formal evaluation of the superintendent should

occur minimally once a year, most researchers recommended that the

evaluations occur more often than once a year.

> Once a year is not enough because formal, year-end evalua-
> tions (and their follow-up conferences to discuss results)
> place too much emotional weight on the employee. They too
> easily become a garbage can for dumping an entire year's un-
> resolved issues, unanswered questions, and untouched peeves.

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[57]Suzanne K. Stemnock, _Educational Research Service Report on_
Evaluating the Superintendent of Schools (Washington, D.C.: Educational
Research Service, (1972)), p. 3.

At least two formal conferences each year should be held
between the board and superintendent. The rationale is
that a school board can influence the executive's behavior
before the end of the school year.[58]

The self-evaluation of the superintendent is viewed not only
as an essential but necessary component of the formal evaluation pro-
cess. The self-evaluation is done by the superintendent at the same
time the board is evaluating the superintendent. The self-evaluation,

will supplement the evaluator's opinions and provide a check
on the evaluation system. The results of self-evaluation
are a valid part of the total picture of administrative per-
formance. Self-evaluation will also give the administrator
insight into his own performance and will enable him to par-
ticipate in the evaluation process. It can, in addition, help
the administrator to see evaluation as something that happens
with him, not to him.[59]

If the school board is conducting a formal evaluation for the
first time or if there are new school board members, then, "The super-
intendent should organize an inservice program that explains the evalu-
ation process."[60]

The whole process of administrative appraisal is one step to-
ward the improvement of leadership at the local school district level.
"The process of appraisal is more important than the instrument used.
This fact must be emphasized. Instruments, it must be remembered, are

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[58]Cuban, "Why Not Tell the Superintendent Twice a Year?" p. 6.

[59]Barraclough, Evaluation of School Administrators, p. 14.

[60]Roelle and Monks, "A Six Point Plan," p. 37.

only vehicles to accomplish the tasks."[61] However, the instrument

does force the evaluator to commit to writing a judgment about the

performance of the superintendent.

The instruments that are used, and have been used by school

boards to evaluate superintendents, are an eclectic patchwork of

techniques and procedures. The A.A.S.A. and N.S.B.A. assembled a

continuum that,

> depicts past practices and the emergence of improved tech-
> niques. Actual dates for "then" and "now" would vary from
> one school system to another:

> THEN   NOW
>
>   A   B   C   D   E   F   G
>
> A. No planned procedures; reliance upon word-of-
>   mouth assessments
>
> B. Informal assessments; minimal feedback to super-
>   intendent
>
> C. "Report Card" type evaluations; heavy reliance
>   upon trait rating
>
> D. Refinement of checklist rating techniques; more
>   feedback to superintendent
>
> E. Better definitions of executive duties/responsi-
>   bilities; emergence of performance standards; pre-
>   and post-assessment conferences
>
> F. Use of performance objectives; more emphasis upon
>   results achieved
>
> G. Reciprocal evaluation techniques (two-way assess-
>   ments); improvement in performance made a high
>   priority in the evaluation process[62]

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[61] Greene, _Administrative Appraisal_, p. 2.

[62] _Evaluating the Superintendent_, pp. 7-8.

The evaluation instruments most widely used according to the A.A.S.A. and N.S.B.A. are "...the checklist rating, essay evaluations, evaluation of objectives, forced choice rating, graphic profiles, and performance (work) standards."[63]

Checklist rating evaluations are generally done annually in the following manners: the individual board members independently rate the performance of the superintendent; president of the board convenes members to discuss assessments and to prepare composite evaluations; copy of composite evaluation is transmitted to the superintendent; and conference is scheduled with superintendent and board members to discuss the evaluation.[64]

Essay evaluations are generally done annually in the following manners:

> The board meets and discusses the major areas covered in the superintendent's evaluation; the board reaches consensus regarding a summary paragraph for each area; one member is designated to prepare the summaries; copy of the summary evaluations is transmitted to the superintendent; and the board members meet with the superintendent to discuss the evaluation.[65]

Evaluation by objectives is an ongoing evaluation process that begins with the superintendent and board identifying needs or areas to emphasize from a set of responsibility criteria jointly agreed upon.

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[63]Ibid., p. 35.

[64]Ibid., pp. 35-36.

[65]Ibid., p. 38.

Specific objectives and action plans are established and then imple-

mented. The results are then jointly assessed and reviewed by the

superintendent and the board.[66]

The forced choice rating is done annually in the following

way:

    The board meets to discuss the performance of the superin-
    tendent; using the items indicated, a consensus judgment is
    reached as the assessment that best describes the superin-
    tendent's performance; a consensus copy of the assessments
    is provided for the superintendent; and a meeting is convened[67]
    with the superintendent and board to discuss the assessments.

The graphic profile is also done annually using the following

steps:

    The individual board members rate the superintendent's per-
    formance independently; the president of the board convenes
    the members to discuss assessments and to prepare a composite
    evaluation; a copy of the composite evaluation is transmitted
    to the superintendent; and a meeting is arranged with the super-
    intendent and members of the board to discuss his (her) evalua-
    tion.[68]

The performance (work) standards method is also done annually

using these steps:

    The superintendent, using "Responsibility Criteria" or "Job
    Description," prepares one or more performance standards in
    each major area; a list of proposed performance standards is
    submitted to the board for review; the board reviews proposed

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[66]Ibid., p. 41.

[67]Ibid., p. 50.

[68]Ibid., p. 58.

standards, approving, modifying, and/or adding others; the
superintendent meets with the board to discuss proposed
standards and to reach consensus on those which the super-
intendent will work on during the year; the superintendent
will work to achieve the agreed on standards; the superin-
tendent completes a self-assessment of the extent to which
standards have been achieved; the self-assessments are trans-
mitted to the board for review and reaction; and the superin-
tendent meets with the board to discuss self-assessments and
the board's reactions.[69]

Among the most common devices used in evaluation are check-

list and rating scales because they are expedient and easy to use.

However, checklists and rating scales gather opinions about traits,

are confusing in terms of their language and scales, and give little

information about the results of administrative performance.[70] The

written objective approach is gaining in popularity because its orien-

tation is towards mutual cooperation, performance results, and future

growth. However, the written objective approach is time consuming and

impossible to execute unless the district has clear goals, policies,

and objectives.

There are a great many varieties of instruments that may be

used by school boards when they evaluate their superintendents.

The question immediately arises as to which procedure is best.
There are checklists, rating scales, and open and close-ended
questionnaires; not to mention narrative assessments by an
evaluator, self-appraisals, and combinations of all of these.

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[69]Ibid., p. 60.

[70]Booth and Glaub, _Planned Appraisal of the Superintendent_,
pp. 31-37.

The choice, of course, depends on what the superintendent
and board are after. If however, they're after a truly ob-
jective instrument, they need look no further. For the most
part, there is no such instrument. Most forms call for sub-
jective judgments.[71]

Once an evaluation plan is put into operation, the plan should

be reviewed periodically and the appropriate alterations made. An

up-to-date evaluation plan is more likely to continue to meet the

needs of the superintendent and to fulfill the expectations of the

board.[72]

The evaluation of the superintendent is usually done by the board

or a subcommittee of the board, and the board may use input from a con-

sultant or the staff and community when it drafts the evaluation plan.

The larger the district, the more likely the district is to have a for-

mal evaluation plan for the superintendent. Although formal evaluation

plans produce more credibility in terms of the public accountability of

the board, both formal and informal systems have internal structures.

By evaluating the superintendent more than once a year, the board affords

the superintendent a chance to improve his performance. The types of

instruments used by boards to evaluate their superintendents are more

frequently of the result oriented variety rather than of the personal

trait oriented variety. No one instrument form is best for all districts,

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[71]Cuban, "Why Not Tell the Superintendent Twice a Year?"
pp. 3,5.

[72]Evaluating the Superintendent, p. 30.

and whichever evaluation form is used should be periodically updated
to reflect the needs of the district.

Superintendent/School Board Relationships

Public school districts are organized so that they are governed
by lay boards. Lay school boards hire professional educators as their
superintendents, and together they assume the responsibility for oper-
ating the schools. Traditionally "it is the function of the board of
education to legislate and of the superintendent to execute policy."[73]
In other words, the superintendent may make recommendations on policy
but it is the board that establishes policy, and then the superintendent
administers the policy. Although the boards hold all final authority
for school operations, the boards do not exercise it fully; and boards
have increasingly granted more authority to the superintendent as school
administration has become more complex and involved.[74] The school board
and school superintendent are mutually accountable to the public for the
success of the schools. The board depends on the superintendent for an
appraisal of the status of school operations, and the superintendent is
responsible for communicating to the board an accurate ongoing picture of
the operations of the district. The superintendent makes the decisions or
delegates the decision making authority for the daily operational concerns

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[73]Griffiths, The School Superintendent, pp. 92-93.

[74]Schmidt and Voss, "Schoolboards and Superintendents," p. 520.

of the district, and the superintendent provides the leadership for
his board and staff. Through the evaluation process, the school board
lets the superintendent know how well he is fulfilling these adminis-
trative functions of appraising, communicating, decision-making and
leading.

The study of the functions of administrators can be traced
back to 1916 and the work of Henri Fayol, Luther Gulick, Chester
Barnard, Jesse Sears, Russell Gregg, Roald Campbell, and most re-
cently Stephen Knezevich classified the work being done by adminis-
trators into categories called administrators cited by Knezevich,
four functions were selected to be used as a framework for studying
the implications of the superintendent evaluation process for super-
intendent/board relations. The four functions selected are apprais-
ing, communicating, decision-resolving, and leading, and are defined
by Knezevich as follows:

> Appraising. The administrator requires the courage to assess
> or evaluate final results and to report the same to his con-
> stituency.
>
> Communicating. This function is concerned with the design
> of information channels and networks as well as the supply
> of relevant information in the form most useful to various
> points in the system. It provides for the information-flow
> (up or down, in or out of the system) essential to other
> functions such as unification, motivation, and decision making.
>
> Deciding-Resolving. This function focuses on resolution of
> choices, that is, determining which of the many possible
> courses of action will be pursued. It may be a conflict-
> laden or conflict-free decision situation.

Leading. Stimulating or motivating personnel to action and towards objectives is one of the major responsibilities of an administrator.[75]

In a research study conducted among school superintendents and board presidents in Lake County, Illinois, appraising, communicating, and leading were among the top four administrative functions of a superintendent. Robert Roelle, in his 1977 doctoral dissertation, "An Analysis of Systems Utilized In The Evaluation of School Superintendents," asked the board presidents and superintendents in his population to assign priority to Knezevich's sixteen administrative functions as they were used as a basis for evaluating the performance of the superintendent.[76] School boards viewed the function of communicating as the most important. "Expertise in communicative skills-- oral and written-- was considered highly critical. Boards thought communicating was the major means for keeping the board informed and for maintaining good relations with the community."[77]

The function of leading (the ability to provide direction for the school board and staff) and appraising (the evaluating of district needs) were both considered of paramount importance to the superintendency.[78]

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[75]Knezevich, Administration of Public Education, pp. 37-38.

[76]Robert J. Roelle, "An Analysis of Systems Utilized In The Evaluation of School Superintendents" (Ed. D. dissertation, Loyola University of Chicago, 1977).

[77]Roelle and Monks, "A Six Point Plan," p. 36.

[78]Ibid., p. 36.

The function of decision-resolving was selected because of
the frequency with which it has appeared in the literature. In a
study conducted by Dave Bartz, teachers, administrators, superin-
tendents, and school board members were asked to rate superintendent
behavior. Decision-making ability (evidence indicates that he is able
to make constructive decisions) was ranked in the top four by all ref-
erence groups out of a list of twenty-three characteristics which all
superintendents should possess if they are going to be successful.[79]
And in a 1978 publication in the American School Board Journal the Mt.
Diablo Unified School District proposed a six-component management
system that spelled out in advance of a crisis precisely who has au-
thority to make key school decisions. The decision-making management
system clarified the working relationship between the superintendent
and the school board.[80]

To operate a school district, school boards and superintendents
must be competent, know their responsibilities, and work together suc-
cessfully. The boards and superintendents are mutually accountable to
the public for the operations of the schools. The superintendent con-
tinually provides leadership for his staff and board, appraises the

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[79]Dave Bartz, "The Ideal Superintendent: The Importance of His
Characteristics As Viewed by Teachers, Administrators, Superintendents,
and School Board Members," Michigan School Board Journal (November 1971):
pp. 8-9.

[80]Carl Hoover and Jim Slezak, "This Board and Superintendent
Defined Their Respective Responsibilities," American School Board
Journal 165 (May 1978): 38-39.

status of the district, makes decisions germane to district operations, and communicates the operational process to the school board. The board assesses the quality of the functions of the superintendent through a system of administrative appraisal. The interaction of the superintendent and school board form the basis of the superintendent/board relationship. Every possible variation in the degree and character of the relationships between school boards and school administrators can be found to exist in these United States. Edward Tuttle, in a 1963 publication, commented on board/superintendent relationships. The comments made by Tuttle are still relevant today. Tuttle said

> At one extreme is the superintendent who thinks that the less his board knows about what is going on in the schools the better he will get along. At the other extreme is the board which makes a figurehead of the superintendent by running the schools itself. The ideal situation, of course, lies midway between these extremes.[81]

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[81]Edward Tuttle, School Board Leadership in America (Danville: The Interstate Printers, 1963), p. 107.

CHAPTER III

PRESENTATION AND ANALYSIS OF DATA

The three purposes of the study were to: 1) identify and
analyze the evaluation procedures, criteria, and instruments used by
school boards when they evaluate their superintendents; 2) compare the
data gathered from the respondents concerning the evaluation procedures,
criteria, and instruments used by school boards when they evaluate their
superintendents with the data presented in the professional literature
concerning the evaluation procedures, criteria, and instruments used by
school boards when they evaluate their superintendents; 3) determine the
implications of the findings for superintendent/board relations in terms
of Knezevich's administrative functions of appraising, communicating, and
leading.

Methods and Procedures

In order to accomplish the purposes of this dissertation, a
descriptive approach was used. This study focuses on describing, com-
paring, and interpreting existing conditions, relationships, trends, and
practices as they relate to the evaluation of the superintendent. A
descriptive approach was used because it was the most appropriate method
for accomplishing the goals of the study. The majority of the data is

presented in narrative form and supplemented by tables when appropriate. Limited statistical procedures were used for measures of central tendency. When the responses to items in the questionnaire were ranked in the tables and there was a tie in rank, each of the scores in the tie was assigned the average of the sum of the ranks divided by the number of responses in the tie.

The data were gathered by mailing questionnaires to all twenty-nine superintendents and board presidents in Will County, Illinois. The questionnaire of the superintendent (Appendix C) and the questionnaire of the board president (Appendix D) were identical except for a section on district demographics and personal data that was part of the version of the superintendent of the questionnaire. Participants were requested to return the questionnaires within a month via pre-addressed, stamped envelopes. Enclosed with the questionnaire materials were a letter of endorsement from the Will County, District 86 superintendent soliciting cooperation (Appendix E), a letter providing simple instructions, and an overview of the study (Appendix F).

The questionnaire requested information concerning the formal or informal evaluation procedures; evaluation policy and job description of the superintendent; and evaluation schedules. Respondents were asked about the purpose of the evaluation and the planning and gathering of input for the evaluation. There were also items in the questionnaire concerning

the criteria used in the evaluation and the format of the instrument.
A copy of the instrument was requested when available.

There are twenty-nine public school districts in Will County,
Illinois. Nineteen of the districts are elementary districts, three
districts are secondary districts, and seven districts are unit districts.
Twenty-two superintendents participated in the study and twenty-one board
presidents participated. Of the twenty-two districts that participated
in the study, fifteen of the districts were elementary districts; two of
the districts were secondary districts; and five of the participating dis-
tricts were unit districts. One district superintendent agreed to partici-
pate but did not want his school board to participate because he indicated
that he did not want to stimulate the thinking of the board about evalu-
ating him. One superintendent declined participation because he was too
busy. One superintendent did not participate because he was an interim
superintendent and felt his temporary status would not lend validity to
the study. Two superintendents indicated that they did not wish to par-
ticipate because participation would possibly cause disharmony among the
school board members. Three districts agreed to participate; but after
two mailings and two follow-up phone calls, the superintendents did not
respond.

The participating superintendents and board presidents were inter-
viewed. The questions in the interview guide (Appendix G) were open-ended
and intended to solicit information that would be more readily shared

verbally than in writing on a questionnaire. The interviews were con-
ducted for the purposes of verifying and expanding upon the information
given by the respondents on the questionnaires. The interviews took
between twenty minutes and one-and-a-half hours each. Due to the open-
ended nature of the questions asked in the interview and the number of
interviews conducted (43), the actual transcriptions of the interviews
are not presented. The texts of the interviews were reviewed and only
the contents of the interviews germane to the study are included in Pur-
pose One, Purpose Two, and Purpose Three sections of this chapter.

Organization of Data

The presentation and analysis of the data are divided into three
sections. Each section corresponds to one of the three purposes stated
in the beginning of the chapter. In each section the data is reported,
then analyzed. The first subdivision reports the data obtained from the
questionnaire. The second subdivision reports the data obtained from the
interview. The third subdivision analyzes and draws implications from
the data. When data were only available on a topic from either the ques-
tionnaire or the interview, then the first subdivision reports the data
secured and the second subdivision analyzes the data. When possible the
data are presented in tabular form. In several of the sections the data
are tallied and presented numerically in a table, which is followed by a
second table reporting the numbers as percents. The percents are based

on the total number of respondents in a type of district, and are used
to facilitate the comparison and analysis of the content of the data.

So that the information gathered from the questionnaires would
be manageable, the data are subdivided into various sections. The
first section presents a profile of the general characteristics of the
participating respondents. The general characteristics sub-section
presents a compilation of the demographic and personal data of the re-
sponding superintendents and is organized by type of district, i.e.,
elementary, secondary, or unit district. The rest of chapter three then
addresses each purpose of the study one at a time. The first purpose is
stated, and then the data are presented from the questionnaires and/or
interviews. An analysis follows as each item of information is presented.
The data are always grouped by responses of the superintendents and by
responses of the board presidents. The data are further subdivided into
elementary, secondary, and unit districts. The second purpose is then
stated, the data are presented, and an analysis of the data is made. The
third purpose is then stated, the data are presented, and an analysis of
the data is made. As the majority of the responses from the questionnaires
and interviews are presented under purpose one, once the responses are re-
ported they are not restated in purposes two or three unless the data are
not included in the purpose one section.

General Characteristics of the

Participating Respondents

Before presenting the three major sections of the study, a
brief description of the general characteristics of the respondents
is given. Only superintendents were asked to provide the demographic
data concerning the district. School board presidents were not asked
to repeat the demographic data.

The participating districts are all public school districts.
The demographic data were obtained from the questionnaires. The re-
sponses provided by the districts were recorded in tables by types of
districts, i.e., elementary districts, secondary districts, and unit
districts. The data were then grouped into a combined category.
Table 1 represents the size of the participating districts by student
enrollment.

TABLE 1

SIZE OF PARTICIPATING DISTRICTS--STUDENT ENROLLMENT

Type of District	Number of Districts	Range of Enrollments	Mean Enrollment	Median Enrollment
Elementary	15	250-8,800	1,258	530
Secondary	2	2,950-3,753	4,352	4,352
Unit	5	750-13,700	4,560	1,750
Combined	22	250-13,700	2,290	988

Note: * N=22 districts.

Fifteen elementary districts participated, and their enrollments varied from 250 students to 8,800 students. The mean enrollment for the elementary districts was 1,258 students, and the median enrollment was 530 students. Two secondary districts participated in the study. The enrollments ranged from 2,950 students to 5,753 students. The mean enrollment of the secondary districts was 4,352 students, and the median enrollment was 4,352 students. Five unit districts participated in the study, and their enrollments varied from 750 students to 13,700 students. The mean enrollment of the unit districts was 4,560 students, and the median enrollment was 1,750 students. The twenty-two districts combined had a range of enrollments from as few as 250 students to as many as 13,700 students. The mean enrollment of the combined districts was 2,289 students, and the median enrollment was 988 students.

The range of enrollments for the elementary districts shows that there is a wide variety of sizes in the elementary district population. By comparing the mean enrollment of 1,258 students in the elementary districts with the median enrollment of 530 students, the statistics show that there are extremes in the enrollments; that is, the sizes of the elementary districts are not the same. The median enrollment when compared to the mean elementary district enrollment indicates that there is a clustering of elementary districts that have a student enrollment of under 530 students.

Two secondary districts participated in the study. The range
of enrollments for the secondary districts varies from 2,950 students to
5,753 students. The mean enrollment of the secondary districts is 4,352,
and the median student enrollment is 4,352 students.

The range of enrollments appears to show a wide variation of
sizes of districts, but there are only two districts in the sample. The
mean and median are the same because the sample size is N=2. When com-
pared to the secondary districts, the elementary districts are, on the
average, three-and-one-half times smaller than the secondary districts.

Five unit districts participated in the study. The range of en-
rollments for the unit districts varies from 750 to 13,700 students. The
mean enrollment for the unit districts is 4,560 students, and the median
enrollment is 1,750 students.

The wide range of enrollments indicates that the unit districts
also range from small to large in size. The difference in the mean en-
rollment of 4,560 students and the median enrollment of 1,750 students
shows that half of the unit districts are under 1,750 students and the
unit district with an enrollment of 13,700 represents an extreme enroll-
ment. The average unit district in the sample is about four times as large
as the average elementary district, but the average unit district is about
the same size as the average secondary district in the sample.

A total of twenty-two districts participated in the study.
The sizes of the districts ranged from an enrollment of 250 students to
an enrollment of 13,700 students. The mean enrollment of the combined
districts was 2,290 students, and the median enrollment of the combined
districts was 988 students.

Over-all, in the combined sample the range in district size
varies dramatically. The smallest district with a student enrollment
of 250 is fifty-five time smaller than the largest district in the sample
which has an enrollment of 13,700 students. The median enrollment of 988
students shows that half the districts are under 988 students. The en-
rollment statistics show a clustering of nine districts of 600 or less
students and only four districts having more than 5,200 students.

The participating district superintendents were asked to desig-
nate the geographic location of their district as urban, suburban, or
rural. Table 2 presents the responses of the superintendents.

TABLE 2

GEOGRAPHIC LOCATION OF PARTICIPATING DISTRICTS

Type of District	Urban	Suburban	Rural
Elementary	2	8	5
Secondary	1	1	-
Unit	-	2	3
Combined	3	11	8

Note: * N=22 districts.

Of the fifteen elementary districts, two reported they are urban districts; eight reported they are suburban districts; and five reported they are rural districts. One secondary district reported it is urban, and the other reported it is suburban. Of the five unit districts, two responded that they are suburban; and three responded that they are rural. The combined responses indicated that three districts are urban, eleven are suburban, and eight districts are rural.

Because of the varied responses to the item concerning the geographic location of the districts, the results of the responses are inconclusive. However, more districts reported themselves as suburban than urban or rural. The variation in responses to the geographic location of the district may be explained by the large size of Will County. Will County spans 856 square miles and the districts closer to Chicago reported themselves as urban or suburban but the districts further from Chicago reported themselves as rural.

The participating superintendents were asked to respond to personal information items pertaining to: the age of the superintendent; the highest academic degree the superintendent had received; the years of experience the individual had as a superintendent; and the number of years the individual had been a superintendent in his present district.

Of the twenty-two superintendents participating in the study, twenty-one superintendents responded to the question requesting their age. The information on the age of the superintendents is in Table 3.

TABLE 3

PERSONAL CHARACTERISTICS OF RESPONDING

SUPERINTENDENTS--AGE

Type of District	*Number of Superintendents	Range	Mean	Median
Elementary	15	35-60	46.5	46
Secondary	2	37-42	39.5	39.5
Unit	4	34-53	44.8	39.5
Combined	21	34-60	45.5	47

Note: *One unit district superintendent did not respond
to this item.

The ages of the participating superintendents were from 34 to
60 years. The mean age was 45.5 years, and the median age was 47 years.

The ages of the superintendents in this sample are typical accord-
ing to the research findings in the related literature. Knezevich indi-
cates that in a 1971 research study entitled "The American School Super-
intendency" conducted by the A.A.S.A. the median age of a school superin-
tendent was 48 years.[82] Therefore, the median age of 47 for the superin-
tendents in this sample was typical of school superintendents. The entry
age of the participating Will County superintendents is also typical, as

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[82]Knezevich, Administration of Public Education, p. 349.

Knezevich notes that the actual age at appointment to the superintendency was about 36 or 37 years.[83] When the average entry age of the superintendent in the study was calculated, the average age was 35.5 years. The 1971 study was used because it was a national study conducted by a major educational organization. The study was also the most recent national study found which included demographic data on superintendents.

The professional education of the superintendents is reported in Table 4. Of the twenty-two participating superintendents: two had obtained master's degrees; ten had obtained a master's degree and had taken additional graduate work beyond this level; eight held certificates of advance standing; and two had earned doctorate degrees. One superintendent held a doctorate of education and the other a doctorate of public administration.

TABLE 4

PERSONAL CHARACTERISTICS OF RESPONDING SUPERINTENDENTS--

HIGHEST DEGREE OBTAINED

Type of District	Number of Superintendents	Master's Degree	Master's Plus	C.A.S.	Doctorate Ed.D./Ph.D.	
Elementary	15	2	8	4	–	–
Secondary	2	–	–	1	1	–
Unit	5	–	2	3	–	–
Combined	22	2(9%)	10(46%)	8(36%)	1(5%)	–

Note: * One superintendent held a doctorate of public administration.
       ** ( ) = percent of the total population of superintendents.

[83]Ibid., p. 349.

Compared to the national research findings of the A.A.S.A. the districts in the study has less earned doctorates among the superintendents. Nationally 29 percent of the superintendents held doctorates compared to 9 percent of the superintendents in the Will County sample. However, the A.A.S.A. indicated that 65 percent of the superintendents holding doctorates were in school districts of over 25,000 students and the larger the district the more likely the superintendent is to have a doctorate. The Will County sample was above the national population of the superintendents holding specialist's degrees, and in the present Will County sample 36 percent hold specialist's degrees. The study sample is typical in the category of master's degrees as nationally 55 percent of the superintendents have them, and in the Will County sample 54 percent have them.[84] The 1971 study was used because the study was done by a major professional educational organization and is the most recent study of its kind that could be found.

The superintendents were asked to report their years of experience as a superintendent and their years of experience as a superintendent in the district in which they are presently employed. The results are summarized in Table 5.

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[84]Ibid., pp. 349-350.

TABLE 5

PERSONAL CHARACTERISTICS OF RESPONDING SUPERINTENDENTS--

YEARS OF EXPERIENCE AS A SUPERINTENDENT

Type of District	Superintendents	Years Experience		Mean		Median	
		Total	Present District	Total	Present District		
Elementary	15	2-31	2-27	11	10	12	6
Secondary	2	2-4	1-4	3	3	3	3
Unit	4	2-31	1-27	8	7	8	7
Combined	*21	2-31	1-27	10	9	10	5

Note: *One unit district superintendent did not respond to these items.
    **Superintendents (N=21).

A.A.S.A. study found that

> ...the length of time devoted to the superintendency in a
> given district is somewhere between 4.5 and 6.5 years de-
> pending on whether the median or mean is taken as the indi-
> cator. The total years as superintendent in the sample
> studied in 1969-70 ranged from 9.3 years to 11.6 years de-
> pending upon whether the median or mean is used as the indi-
> cator.[85]

In the Will County sample the superintendents have had about the same

number of years of experience as school superintendents in the national

sample but tend to stay almost twice as long in their districts as the

superintendents in the national study.

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[85]Ibid., p. 347.

The superintendents in the Will County sample have a median
number of 10 years of experience as superintendents. If the median
number of years experience for the group is ten years, then half of the
superintendents in the population have less than ten years experience
as superintendents. The superintendents have a median of 5 years of
experience in their present district. A median of 5 years experience
in their present district means that half of the population have been
in the superintendency less than 5 years in their present district.
This information connotes that there has been a recent turnover in
superintendents among the districts being studied.

Data were gathered on the questionnaires concerning the district
demographics and personal characteristics of responding superintendents.

One superintendent did not respond to the items concerning his
years of employment as a superintendent. The twenty-one participating
superintendents reported from as few as 2 years experience as a superin-
tendent to as many as 31 years experience. The range of years employed
in the present district was from 1 year to 27 years. The mean years of
serving as a superintendent was 10, and the mean years of service in the
present district was 9. The median years of serving as a superintendent
in one's present district was 10, and the median years of service in the
present district was 5.

The demographic data has been used as background information for
the study, but will not be treated in the analysis. In summary, the

background information shows that as a group the elementary superin-
tendents have more years of experience as a superintendent than do the
secondary or unit district superintendents. The average number of years
as a superintendent was 11 years for superintendents in elementary dis-
tricts compared to 8 years of experience for superintendents in unit
districts, and 3 years of experience for superintendents in secondary
districts. The average length of time of the tenure of the superinten-
dent in the present district is almost the same as his length of time in
the position of superintendent. This information indicates that the
superintendents in the Will County sample are not a highly mobile group.
As a group the Will County superintendents are more place bound than
career bound. Nationally the districts in Will County were representa-
tive of elementary, secondary, and unit districts. The districts ranged
in size from the smallest with a student enrollment of 250 to the largest
with a student enrollment of 13,700. Most of the districts considered
themselves in a suburban geographic location. The superintendent ranged
in age from 34 years to 60 years with the average age being 45.5 years.
All the participating superintendents held master's degrees; 36 percent
had Certificates of Advance Standing; and 9 percent had earned doctorates.
The group of superintendents had individuals with as few as 2 years of
experience and individuals with as many as 31 years of experience. And,
the statistics showed that several of the districts had employed a new
superintendent in the last five years.

Purpose One

The first purpose of the study was to identify and analyze the evaluation procedures, criteria, and instruments used by school boards when they evaluated their superintendents.

Evaluation Procedures

The section of the study on evaluation procedures included information on the type of evaluation that exists and each step of the evaluation process. In addition to detailing the steps of the evaluation process, this study has investigated any reported revisions in the evaluation process at the local district level and the over-all effects the evaluation process has had on school superintendents and school boards.

Item Number One

In the questionnaire the respondents were asked if the board of education conducted an evaluation of the performance of the superintendent. If the respondents indicated that the board of education did conduct an evaluation of the performance of the superintendent, then during the interview the respondents were asked what the origin of the evaluation was, and how the evaluation system was established.

Questionnaire Data

When the participants were asked if the board of education conducted an evaluation of the superintendent, twenty of the twenty-two

superintendents and twenty of the twenty-one participating board members
responded in the affirmative. Two elementary superintendents reported
that the board did not evaluate them. One elementary district board
president reported that the board did not evaluate the superintendent.
However, the three respondents that indicated that they did not evaluate
the superintendent did complete the questionnaire describing the system
of evaluation they were using for assessing the performance of the super-
intendent. One of the elementary district superintendents who reported
that the board did not conduct an evaluation of the performance of the
superintendent did write on the questionnaire that an assessment of sorts
is obviously made prior to the setting of the salary for each year, but
there is no actual evaluation. The same superintendent indicated that a
performance standards instrument was used in the "assessment." The second
superintendent who reported that there was no evaluation of the superin-
tendent indicated that the board used a checklist evaluation instrument.

Interview Data

During the interviews the three respondents who reported that
the board of education did not conduct an evaluation of the performance
of the superintendent were questioned further about how the performance
of the superintendent was assessed. As a result of further questioning
the elementary district board president reported that the superintendent
was informally evaluated by the board each year when the board voted to

retain the superintendent. When the two elementary district superinten-
dents were questioned further, one indicated that an informal assessment
was done each year when the salary of the superintendent was set, as the
amount of the raise was in part dependent on how well the board felt the
superintendent did when the board reflected on the past year. A second
elementary district superintendent who reported no evaluation system in-
dicated that the board was not interested in evaluating the superintendent
but did assess his performance by taking a "thumbs up" or "thumbs down"
vote at contract renewal time.

The respondents were asked to describe the origin of the evalua-
tion system. Two elementary district superintendents indicated that the
publications and workshops from the Illinois School Boards Association
brought about an awareness of superintendent evaluation. Several elemen-
tary district superintendents said that superintendent evaluation was a
natural step to be taken after the advent of teacher supervision, that is
the teacher's unions were pressuring the school boards to evaluate the
superintendents. One elementary superintendent reported the evaluation
system grew out of the desire of the board to have something to do, and
the only one they could evaluate was the superintendent. Several super-
intendents indicated that their evaluation systems originated in response
to the accountability movement. With more press coverage and inflation,
the boards had to justify the money being spent on the salary of the super-
intendent. One way to justify the salary of the superintendent was to

evaluate him and in this way demonstrate that he was doing the job successfully for the salary he was paid. Another reason given by superintendents for the origin of the evaluation system was that the school board wanted to afford the superintendent due process. One superintendent reported that because of the highly publicized errors of large district, big city superintendents, all superintendents are coming under closer scrutiny.

Two of the unit board presidents indicated that the idea to evaluate the superintendent came from the Illinois School Board Association Journal. One board president indicated that the idea to evaluate came when several young, new board members were instated on the board. The president indicated that the young board members want something to do, that they want to be more actively involved. Another president reported that the community was concerned with the monetary status of the district, and evaluation was one way of being accountable. Several board presidents said that the evaluation system was their way of finding out what the superintendent was doing. One board president said the superintendent requested an evaluation for himself, and this request began the process. A final board president reported that his board began evaluating the superintendent because the evaluation was required in the school code.

Analysis of Data

Forty out of forty-three respondents reported that the school board conducted an evaluation of the superintendent. When interviewed,

the three respondents who reported not evaluating the superintendent indicated that they assessed the superintendent.

All school districts in the sample did an evaluation of their superintendents although the districts called the evaluation an assessment. The origins of the evaluation systems were not the same for all districts. Some of the reasons given for originating the evaluation of the superintendent were (1) to set the salary of the superintendent; (2) to rehire the superintendent; and (3) to improve communications between the board and the superintendent. How the evaluation system was established was not very clear from the responses from most of the participants. Two board presidents did report that they initiated their evaluation systems after attending a workshop on superintendent evaluation conducted by the Illinois School Boards Association. The work of professional organizations such as the Illinois School Board Association has had a modest impact on the districts in this sample because two of the districts reported beginning their evaluation systems as a result of attending a superintendent evaluation workshop sponsored by the Illinois School Boards Association.

Item Number Two

The participants were asked on the questionnaire if the board of education had adopted an official policy relative to the evaluation of the superintendent. If the respondent indicated on the questionnaire that there was an official policy, then in the interview the informant was asked

to describe the essence of the evaluation policy of the district. All respondents were asked to describe the evaluation process, and the articulated data were used to verify the responses that were given in the questionnaire.

Questionnaire Data

The data obtained from the questionnaire concerning whether the board of education had adopted an official policy relative to the evaluation of the superintendent are presented in Tables 6 and 7.

TABLE 6

OFFICIAL POLICY RELATIVE TO THE EVALUATION

OF THE SUPERINTENDENT - TALLIES

Type of District	Yes	No
Elementary	6 (9)	9 (5)
Secondary	1 (1)	1 (1)
Unit	4 (4)	1 (1)
Combined	11 (14)	11 (7)

Note: *( ) = Responses by board presidents.
       ** Superintendents (N=22); board
          presidents (N=21).

TABLE 7

OFFICIAL POLICY RELATIVE TO THE EVALUATION

OF THE SUPERINTENDENT - PERCENTAGES

Type of District	Yes	No
Elementary	40% (64%)	60% (36%)
Secondary	50% (50%)	50% (50%)
Unit	80% (80%)	20% (20%)
Combined	50% (67%)	50% (33%)

Note: *( ) = Responses by board presidents.
      ** Superintendents (N=22); board
         presidents (N=21).

Six (forty percent) elementary, one (fifty percent) secondary,
and four (eighty percent) unit district superintendents reported that
there was an official policy relative to the evaluation of the superin-
tendent. Nine (sixty percent) elementary superintendents, one (fifty
percent) secondary superintendent, and one (twenty percent) unit district
superintendent said there was no official policy. A combined tally of
the districts indicates that half the superintendents reported the ex-
istence of an official policy, and half did not have an official evalua-
tion policy. Fourteen (sixty-seven percent) of the board presidents re-
ported an official district policy, and seven (thirty-three percent) re-
ported that there was not an official policy pertaining to the evaluation
of the superintendent.

TABLE 7

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       ** Superintendents (N=22); board
          presidents (N=21).

Six (forty percent) elementary, one (fifty percent) secondary, and four (eighty percent) unit district superintendents reported that there was an official policy relative to the evaluation of the superintendent. Nine (sixty percent) elementary superintendents, one (fifty percent) secondary superintendent, and one (twenty percent) unit district superintendent said there was no official policy. A combined tally of the districts indicates that half the superintendents reported the existence of an official policy, and half did not have an official evaluation policy. Fourteen (sixty-seven percent) of the board presidents reported an official district policy, and seven (thirty-three percent) reported that there was not an official policy pertaining to the evaluation of the superintendent.

Of the board presidents who reported an official policy, nine (sixty percent) were from elementary districts, one (fifty percent) was from a secondary district, and four (eighty percent) were from unit districts. Of the board presidents who reported no official evaluation policy, five (thirty-six percent) were from elementary districts, one (fifty percent) was from a secondary district, and one (twenty percent) was from a unit school district.

Interview Data

When asked about board policy in reference to the evaluation of the superintendent, the respondents indicated that their policy was that there would be an evaluation of the superintendent. Three elementary superintendents and one unit district superintendent indicated that the policy stated the evaluation would be done by the board of education, and five elementary district board presidents and two unit district board presidents indicated that the policy on evaluation stipulated that the board would be the evaluator. Most of the informants did not indicate that the frequency of the evaluation was part of the policy; but when frequency was mentioned, the frequency of the evaluation was once a year.

Analysis of Data

Over-all the data showed that half of the school districts had an official policy relative to the evaluation of the superintendent and half of the districts did not have an official policy relative to the evaluation of the superintendent. In examining the breakdown of responses in

Table 7, eighty percent of the unit districts had an official policy relative to the evaluation of the superintendent. Therefore the trend was for unit districts to have an official policy relative to the evaluation of the superintendent. Approximately half of the elementary and half of the secondary districts had an official evaluation policy for the superintendent. Since the districts were evenly divided concerning the existence of an evaluation policy, there were no discernable trends among the elementary and secondary districts. The districts that had evaluation policies reported that the policies were short and only specified that an evaluation would take place. Nine participants said that the policy included the fact that the board would do the evaluation, and the evaluation would be done once a year. Perhaps the evaluation policies of the boards should be reassessed. School board policies should be clear enough to be understood but not so specific that they are inflexible. The policy statements concerning the evaluation of the superintendent where they existed in the Will County population were not detailed enough to provide sufficient direction for the board when it conducted the evaluation of the superintendent.

Item Number Three

During the interview the respondents were asked if there was any training provided for the school board members in the area of evaluating the superintendent.

Interview Data

Of the twenty-two superintendents interviewed, only two elementary district superintendents indicated that the school boards received some training. One superintendent indicated that he provided the training himself and another superintendent indicated that the training was provided by the Illinois School Boards Association. Three elementary district superintendents indicated that the board members needed assistance because as lay board members they are not familiar with the educational terminology and concepts. Another superintendent indicated that his board needed training in understanding the evaluation process. Several superintendents indicated a need for training because of the number of new board members coming on to the school boards.

Of the twenty-one board presidents who were interviewed, only six reported any training for board members in the area of doing evaluations. Four board presidents indicated that they did the training themselves and one did the training with the superintendent. Two of the board presidents reported that they were in management and were trying to bring business management evaluation practices, such as management by objectives, into education. One board president indicated that he acquired his training materials and knowledge from the state and National School Boards Association conferences and journals. In one instance an outside consultant was employed to train the board in doing superintendent evaluations.

Analysis of Data

Of the forty-three participants interviewed, eight reported that they had received training in evaluating the superintendent. Therefore, not many of the superintendents or board presidents in the population received any training in evaluating the superintendent. Nine participants who were interviewed stated that they wanted training in (1) evaluation techniques; (2) evaluation jargon; and (3) evaluation procedures. Even though there was an articulated need stated for training in evaluating the superintendent by a small number of board members, little has been done. If the need is as great as was stated by nine of the participants, then there should be an explanation for why little training has been done. No rationale was given for this lack of training in evaluating the superintendent. Even if superintendents, board presidents, educational consultants, or professional associations took a leadership role in providing training in evaluating the superintendent, there is no assurance that the sessions would be attended since the majority of the population did not express a need for evaluation training sessions. Why the majority of the population did not express a need for training in evaluating the superintendent is not clear from the data gathered.

Item Number Four

The participants were asked in the questionnaire if a formal evaluation system was utilized by the board to evaluate the superintendent. There were no specific questions asked during the interview con-

cerning the advantages and disadvantages of a formal evaluation system; however, information concerning the advantages and disadvantages of a formal evaluation system was shared by the informants and is included in the presentation of the data.

Questionnaire Data

The participants in the study were asked if the system used to evaluate the superintendent was formal. The data are presented in Tables 8 and 9.

TABLE 8

TYPE OF EVALUATION SYSTEM - TALLIES

Type of District	Formal	Informal
Elementary	7 (8)	8 (6)
Secondary	2 (2)	- (-)
Unit	3 (3)	2 (2)
Combined	12 (13)	10 (8)

Note: *( ) = Responses by board presidents.
** Superintendents (N=22); board presidents (N=21).

TABLE 9

TYPE OF EVALUATION SYSTEM - PERCENTAGES

Type of District	Formal	Informal
Elementary	47% (57%)	53% (43%)
Secondary	100% (100%)	- (-)
Unit	60% (60%)	40% (40%)
Combined	55% (62%)	46% (38%)

Note: *( ) = Responses by board presidents.
      ** Superintendents (N=22); board presidents (N=21).

Seven (forty-seven percent) elementary, two (100 percent) secondary, and three (sixty percent) unit school district superintendents indicated that they had a formal evaluation system. There were eight (fifty-three percent) elementary and two (forty percent) unit district superintendents who said they did not have a formal evaluation system. Eight (fifty-seven percent) elementary, two (100 percent) secondary, and three (twenty-one percent) unit district board presidents said they had a formal evaluation system; six (forty-three percent) elementary and two (seventy-nine percent) unit district board presidents stated they did not have formal evaluation systems. A total of twelve (fifty-five percent) superintendents and thirteen (sixty-two percent) board presidents said they had formal evaluation systems and ten (forty-six percent) superintendents and eight (thirty-eight percent) presidents said they did not have formal evaluation systems.

Interview Data

Several elementary and unit district superintendents reported that a formal evaluation process was better than an informal system because a formal system was a more systematic approach to evaluation. One superintendent who had eleven years of informal evaluation and six years of formal evaluation indicated that an informal system was a "hit and miss" process. Several superintendents indicated that a formal system with written goals clarifies the goals of the board, expectations, and priorities for the superintendent. The informants also noted that by writing down the goals, everyone can remember what they were, and then the goals from the previous year can be used as a starting place when setting goals for the next year. Written goals were also considered good because they were usable by the superintendent for justifying the renewal of his contract or a request for a raise. Superintendents also viewed the writing of goals as a way of depersonalizing the evaluation process so that the evaluation focused on the objectives to be accomplished and not on the personal characteristics of the superintendent. The writing of goals, reported several superintendents, forces the board members to focus on the outcomes of the administrative process and not on the administrative process itself. Several superintendents indicated that the leadership style used when they accomplish district goals should not be evaluated by the school boards unless the leadership style causes problems. The formal writing of goals was reported as positive by superintendents

because by having goals in writing issues were more likely to be addressed on a logical, rational basis and not on an emotional basis.

Two board presidents reported that a formal evaluation which included writing goals clarified the communication between the board and superintendent. Several board presidents indicated that the adopting of a formal system of evaluation forced them to go through the evaluation of the superintendent; but if the system were informal, the board might not even do an evaluation. Another advantage of writing goals that was mentioned was that the process forced the board members to think more rather than to ask the superintendent to respond to "whims" that come off the top of the heads of the board members, because once the goals were put in writing the goals were then a matter of public record. One board president observed that written goals were more likely to be representative of the board as a whole and not representative of the special interests of one person. The presidents indicated that some board members are not on school boards because they have educational interests. By having a formal evaluation process and written public goals, the board members are forced to focus their attention on educational matters. Two board presidents indicated that by writing goals they did not have to second-guess the professional approach of the superintendent to running the district; the board could then focus on outcomes rather than leadership styles. Two board presidents liked putting goals in writing because they indicated that the process eliminated surprises for the board; that

is, the board already had the district goals in writing so they knew which areas would be of concern. Several board presidents who had gone through a transition from an informal to a formal evaluation system indicated that once the system was established, the board sessions were much shorter because it was easier to stay on task; and more seemed to get done in less time.

There were some disadvantages of a formal evaluation system that were cited. Several superintendents indicated that lay boards had difficulty writing formal evaluations because the board members were not familiar with the language of educators, not experienced writers, and did not have the time to do a formal evaluation. Another problem with formal evaluation is that the structure of formal evaluation does not allow for non-educational issues to be easily aired. Should a non-educational issue that is of concern to a board member not be aired, the issue may interfere with the resolution of educational issues.

Another superintendent indicated that when working with a lay board, the subtleties of the board/superintendent relationship that are critical to the successful running of the district cannot easily be stated in written goals but can be handled better in an informal evaluation process. Several superintendents stated that an informal assessment is more honest and open than a formal assessment.

Several board presidents reported that a formal evaluation system was a problem when they had one or two board members who did not agree with the goals set forth by the rest of the board. When there was dissension, the dissension resulted in animosity among board members and problems with interboard relationships. Six board presidents reported that they preferred an informal evaluation system because in a verbal exchange they get a "feeling" for the "integrity" of the person they are dealing with. When the board presidents were questioned further about the meaning of the integrity of the person, the presidents indicated that they looked at how well they were able to work with the superintendent.

Analysis of Data

Fifty-five percent of the superintendents reported that the district used a formal evaluation system and forty-six percent of the superintendents reported that the district used an informal evaluation system. Sixty-two percent of the board presidents reported that the district used a formal evaluation system and thirty-eight percent of the board presidents reported that the district used an informal evaluation system. There was a discrepancy between the responses given by the superintendents and the responses given by the board presidents. The discrepancy existed because many of the respondents, according to their own comments, were unclear as to the difference between formal and informal evaluation. Whether or not the informants could label the evaluation system as formal or informal is

not particularly important. The important fact is that the superinten-
dents and board presidents had definite ideas concerning how and why the
superintendent was evaluated.

These differences in interpreting the type and purpose of the
evaluations used can become a problem. Improved communications, atten-
dance at in-service sessions, and professional readings can be among the
sources used to clarify not only the differences cited, but also the re-
sulting expectancies.

Advantages and disadvantages of formal evaluation systems were
cited during the interviews. More advantages than disadvantages of
formal evaluation systems were given by the respondents. Among the ad-
vantages named were that a formal evaluation system (1) clarifies goals
by committing the goals to writing; (2) focuses the evaluation on educa-
tional outcomes and not on the administrative process itself; and (3)
ensures that the evaluation transpires. With these kinds of statements,
the potential problem cited relative to differing views of type and purpose
of evaluation is difficult to understand.

Item Number Five

On the questionnaire, the participants who indicated that they
had a formal evaluation system were asked how many years the system had
been utilized. During the interviews there were no direct questions con-

cerning the length of time a formal system of evaluation was used, but some comments were made by the informants that assisted in the interpretation of the data.

Questionnaire Data

If an informant responded that the superintendent evaluation system was formal, then he was asked how long the board had utilized the formal evaluation system. The responses are summarized in Table 10.

TABLE 10

LENGTH OF TIME THE FORMAL EVALUATION

SYSTEM HAS EXISTED

Type of District	Number of Years	Average Number of Years
Elementary	3,1.5,5,5,5,3,5 (6,5,6,10,4,5,5,5)	4 (5.75)
Secondary	3,4 (3,5)	3.5 (4.5)
Unit	1,2,3 (2,3,2)	2 (2.3)
	Combined Average	3.2 (4.2)

Note: *( ) = Responses by board presidents.
      ** Superintendents (N=12); board presidents (N=13).

The responses of the elementary district superintendents covered a range from as few as 1.5 years to as many as 5 years, with the average number being 4 years of formal evaluation. The secondary superintendents indicated there had been formal evaluations for the last 3 to 4 years with a 3.5 mean number of years. The unit district superintendents indicated that there had been formal evaluations for from 1 to 3 years with a mean response of 2 years. The responses of the elementary district board presidents ranged from 4 to 10 years of formal evaluations with a mean of 5.75 years. The responses of the secondary district board presidents ranged from 3 to 5 years of formal evaluations with a mean of 4.5 years. And the responses of the unit district board presidents showed a range of 2 to 3 years with a mean of 2.3 years. The superintendents indicated a combined mean of 3.2 years, and the board presidents indicated a combined mean of 4.2 years of formal superintendent evaluations in their districts.

Interview Data

One elementary superintendent reported that after five years as superintendent, he goes back to the classroom or to another job in the district for a while and then returns to the superintendency.

Three elementary district board presidents reported that they had been on the school board for over ten years; one unit district board president reported being on the school board for twenty years; and one unit

board president said that he had been on the board for the last thirty years. An elementary board president reported having had three different superintendents in the last four years.

Analysis of Data

The figures in Table 10 show that the average length of the existence of most evaluation systems is from 3.2 to 4.2 years. Generally, the formal evaluation systems that exist have not been used for a long period of time. When an evaluation system is first adopted by a district, that system is usually one which has been used by another school district or has been recommended as a model by a professional educator. The evaluation systems used in the sample are borrowed in total or slightly modified by the adopting district.

When commenting on the origin of their evaluation systems, several board presidents reported that they used materials provided by the Illinois School Boards Association and models they read about in the professional journals. Although a model may be a starting point for developing a system of evaluation, any workable approach should be tailored to the needs of the individual districts. By tailoring the evaluation system to the needs of the district, an appropriate system should result. Factors to be considered when modifying a model used elsewhere are the following: (1) the priorities of the district; (2) the cost of the system; (3) the time needed to do the evaluation; (4) the talent of the individuals using the system; and (5) the ability of the individual being assessed.

Item Number Six

The participants were asked on the questionnaire if the evaluation process was periodically reviewed and revised. During the interview, the informants who indicated on the questionnaire that their evaluation system had been revised were asked what the revisions were and why the revisions had been made. Additionally the respondents were asked how the revision in the evaluation process improved the evaluation process.

Questionnaire Data

The respondents were asked if the evaluation system for the superintendent is periodically reviewed and revised. The results appear in Tables 11 and 12.

TABLE 11

EXISTENCE OF PERIODIC REVIEW AND REVISION

OF THE EVALUATION SYSTEM - TALLIES

Type of District	Yes	No
Elementary	9 (10)	6 (4)
Secondary	2 (2)	- (-)
Unit	3 (4)	2 (1)
Combined	14 (16)	8 (5)

Note: *( ) = Responses by the board presidents.
       ** Superintendents (N=22); board presidents (N=21).

TABLE 12

EXISTENCE OF PERIODIC REVIEW AND REVISION

OF THE EVALUATION SYSTEM - PERCENTAGES

Type of District	Yes	No
Elementary	60% (71%)	40% (29%)
Secondary	100% (100%)	- (-)
Unit	60% (80%)	40% (20%)
Combined	64% (76%)	37% (24%)

Note: *( ) = Responses by the board presidents.
        ** Superintendents (N=22); board
           presidents (N=21).

The responses from the elementary district superintendents indicated
that nine (sixty percent) of them said the system was periodically re-
viewed and revised, and six (forty percent) said it was not. Both
secondary district superintendents indicated that there were periodic
reviews and revisions. Three (sixty percent) of the unit district super-
intendents said the systems were reviewed and revised periodically, but
two (forty percent) said they were not. Ten (seventy-one percent) of
the elementary board members reported periodic reviews and revision, but
four (twenty-nine percent) of the board members reported no review or
revision in their evaluation systems. All secondary district board presi-
dents said they reviewed and revised the evaluation systems of their super-
intendents. Four (eighty percent) of the unit district board members in-
dicated they did review and revise their evaluation systems, and one

(twenty percent) of the board members reported no reviews and revisions. The combined figures show that fourteen (sixty-four percent) of all super- intendents are assessed by evaluation systems that are periodically re- viewed and revised. Eight (thirty-seven percent) of all superintendents are assessed by systems that are not reviewed and revised. Sixteen (seventy-six percent) of the board presidents reported that they period- ically review and revise the system that they use to evaluate the super- intendent, and five (twenty-four percent) of all board presidents indi- cated that they do not periodically review and revise the system they use to evaluate the superintendent.

Interview Data

Half of the superintendents interviewed and two of the school board presidents talked about revising the evaluation process. Several superintendents indicated that the evaluation experience is adjusted from year to year because the district environment is different from year to year as the composition of the board and the concerns of running the district are never exactly the same. Six superintendents indicated that the board members had difficulty understanding and working with the evalu- ation instrument they were using. Four superintendents reported that the first instruments that were used attempted to evaluate all aspects of the job of the superintendent and were so long that the board members became frustrated in trying to work with them or the instruments asked the board to evaluate some tasks that the board members were never able to observe.

The instruments were too complex and were therefore revised into a simpler form. When the instruments were revised, either the superintendent drafted a revision and the board members reacted to the revisions or the superintendent and boards jointly worked on the revisions. By being jointly revised, the instrument then reflected the collective concerns and styles of all school board members and the superintendent. One superintendent reported that he changed the process by getting input from his principals on the evaluation process and on his performance. When the revisions were completed, the superintendents agreed that the instruments were streamlined and simpler, that is, there were less items evaluated; and the items that were evaluated included only the end products of the running of the schools, not the day to day activities of operating the district.

The board presidents said that when using the evaluation instruments, they found some of the items on the instrument difficult to interpret; and as a result some school board members would leave blank some of the items in the evaluation that they did not understand.

Analysis of Data

The data in Tables 11 and 12 report that sixty-four percent of the districts have reviewed and revised their evaluation process. The fact that over half of the districts have revised their evaluation process means that the models adopted originally needed to be modified. Revision

of a recently adopted model demonstrates willingness of a district to view education as an ongoing process. The evaluation process itself is being evaluated.

During the interviews, the informants who indicated on the questionnaire that their evaluation system had been revised were asked what revisions were made in the evaluation process. The respondents reported that the revisions were principally in the evaluation instrument. When the evaluation instrument was changed the changes were (1) the instrument was shortened; (2) the instrument was made simpler; and (3) the instrument was clarified by deleting wording which was not understandable to board members.

Revisions in the evaluation instruments are helpful to the districts but they could help themselves more if they revised the instruments before using them. An analysis of the instruments before employing them should reveal some aspects that need changing; length, complexity, and jargon. A more sophisticated analysis of an instrument "priorities and innuendoes" can be applied after usage but an obvious factor which needs to be revised should be revised as early as possible.

Item Number Seven

The participants who reported that there was a formal evaluation of the superintendent were asked if there was an informal assessment prior

to a formal assessment. During the interviews the informants described when and how the informal assessment took place.

Questionnaire Data

In districts where there were formal systems of evaluation, the informants were asked if there were an informal assessment of the superintendent prior to a formal assessment, and the responses are recorded in Table 13.

TABLE 13

OCCURRENCE OF AN INFORMAL ASSESSMENT PRIOR

TO THE FORMAL EVALUATION - TALLIES

Type of District	Yes	No
Elementary	5 (9)	10 (5)
Secondary	1 (1)	1 (1)
Unit	4 (4)	1 (1)
Combined	10 (14)	12 (7)

Note: *( ) = Responses by board presidents.
      ** Superintendents (N=22); board
         presidents (N=21).

TABLE 14

OCCURRENCE OF AN INFORMAL ASSESSMENT PRIOR

TO THE FORMAL EVALUATION - PERCENTAGES

Type of District	Yes	No
Elementary	33% (64%)	66% (36%)
Secondary	50% (50%)	50% (50%)
Unit	80% (80%)	20% (20%)
Combined	46% (67%)	55% (33%)

Note: *( ) = Responses by board presidents.
       ** Superintendents (N=22); board
          presidents (N=21).

In the elementary districts five (thirty-three percent) of the superin-
tendents indicated that an informal assessment preceded a formal assess-
ment, and ten (sixty-six percent) of the superintendents said there was
no informal pre-evaluation conference. One (fifty percent) of the second-
ary district superintendents and four (eighty percent) of the unit district
superintendents did have pre-evaluation conferences, and one (fifty percent)
of the secondary and one (twenty percent) of the unit district superinten-
dents reported there was no formal pre-evaluation assessment. Nine (sixty-
four percent) of the elementary, one (fifty percent) of the secondary, and
four (eighty percent) of the unit district board presidents reported an
informal pre-evaluation conference. Five (thirty-six percent) of the ele-
mentary, one (fifty percent) of the secondary, and one (seventy percent) of

the unit district board presidents reported no informal pre-evaluation conference. The combined data showed ten (forty-six percent) of the superintendents reporting and twelve (fifty-five percent) of the super-intendents not reporting pre-evaluation conferences. Collectively four-teen (sixty-seven percent) of the board presidents reported having pre-evaluation conferences and seven (thirty-three percent) of the board presidents reported not having informal pre-evaluation conferences.

Interview Data

During the interviews the informal assessment prior to the formal assessment was addressed as the superintendents and board presidents de-scribed the evaluation process. There were no cases reported where the informal assessment was actually scheduled, but an informal assessment did occur prior to the formal evaluation and was not in writing from the board.

Thirteen superintendents indicated that they did a self-evaluation prior to the formal evaluation. The self-evaluation was then submitted to the board, and the board responded to the self-evaluation.

Many board presidents said that the superintendent presented a monthly report on the events that were ongoing in the district, and the reaction of the board as to how the superintendent was handling the cur-rent events constituted the informal assessment.

Analysis of Data

The combined responses of the participants show that fifty-five percent of the district superintendents do not have an informal assessment prior to a formal assessment. Sixty-six percent of the elementary districts do not have an informal assessment prior to the formal evaluation, therefore generally elementary districts do not have an informal evaluation prior to a formal evaluation. However, eighty percent of the unit districts did an informal assessment prior to the formal assessment and half of the secondary districts did not. Based on the data there is no discernable pattern among the secondary districts concerning the presence of an informal assessment prior to the formal evaluation. In all cases the informal assessment took either the form of a self-evaluation by the superintendent, or the reaction of the board to the monthly report given by the superintendent. The informal assessment prior to the formal evaluation did afford the superintendent an indication of how he was performing. The informal assessment is important in that the content of the assessment provides direction for the superintendent who needs to remediate his behavior.

A high percent of districts which use an informal assessment are adhering to the recommendations in the professional literature. The use of an informal assessment gives the superintendent an opportunity to be aware of and remediate behavior that the board does not esteem. Informal

evaluation gives reinforcement to superintendents whose behavior is acceptable to the board. The incorporation of informal assessment can improve communications among the parties involved, and provide the superintendent with benchmarks prior to a formal assessment of his work.

Item Number Eight

In the questionnaire the participants were asked to indicate the degree of involvement of the superintendent and of the school board in the planning of the evaluation of the superintendent.

Questionnaire Data

Participants were asked to indicate the degree of involvement by the board of education and by the superintendent in planning the evaluation of the superintendent. The informants were asked to identify whether the following activities were done by the board of education only, done by the superintendent only, or done jointly by the board of education and the superintendent. The planning activities were: 1) the identification of the purpose of the evaluation; 2) the setting of the time of the evaluation(s); 3) the setting of the methods and procedures to be followed; 4) the designing of the evaluation instrument; and 5) the determining of the evaluation criteria.

The responses from the superintendents and board presidents from the elementary districts are summarized in Tables 15, 16, 17, and 18.

TABLE 15

PLANNING THE SUPERINTENDENT EVALUATION -

ELEMENTARY DISTRICTS

	Done by the Board	Done by the Super- intendent	Done jointly by the Board/ Superintendent
1. The identification of the purpose of the evaluation	2 (4)	3 (2)	9 (8)
2. The setting of the time of the evalua- tion(s)	3 (3)	2 (2)	9 (9)
3. The setting of the methods and procedures to be followed	4 (5)	2 (2)	8 (7)
4. The designing of the evaluation instrument	4 (5)	2 (2)	8 (7)
5. The determining of the evaluation criteria	4 (3)	1 (2)	9 (9)
HOW PLANNING IS SHAPED	24%(29%)	14%(14%)	61%(57%)

Note: *( ) = Responses by board presidents.
       ** One superintendent did not respond to this section.
      *** Superintendents (N=14); board presidents (N=14).

According to the tallied responses of the elementary district superin-

tendents, twenty-four percent of the planning is done by the board, four-

teen percent is done by the superintendent, and sixty-one percent is done

jointly by the board and the superintendent. According to the tallied

responses of the elementary district board presidents, twenty-nine per-

cent of the planning is done by the board, fourteen percent is done by

the superintendent, and fifty-seven percent is done jointly by the board and superintendent.

The responses from the superintendents and board presidents from the secondary districts are summarized in Table 16.

TABLE 16

PLANNING THE SUPERINTENDENT EVALUATION –

SECONDARY DISTRICTS

	Done by the Board	Done by the Super-intendent	Done jointly by the Board/ Superintendent
1. The identification of the purpose of the evaluation	1 (1)		1 (1)
2. The setting of the time of the evalua-tion(s)	1 (1)		1 (1)
3. The setting of the methods and procedures to be followed		1 (1)	1 (1)
4. The designing of the evaluation instrument			2 (2)
5. The determining of the evaluation criteria			2 (2)
HOW PLANNING IS SHAPED	20%(20%)	10%(10%)	70%(70%)

Note: *( ) = Responses by board presidents.
        ** Superintendents (N=2); board presidents (N=2).

According to the tallied responses of the secondary district superin-tendents as well as by the board presidents, twenty percent of the planning

is done by the board, ten percent is done by the superintendent, and seventy percent of the planning for the evaluation of the superintendent is done jointly by the board of education and the superintendent.

The responses from the superintendents and board presidents from the unit districts are summarized in Table 17.

TABLE 17

PLANNING THE SUPERINTENDENT EVALUATION -

UNIT DISTRICTS

	Done by the Board	Done by the Super-intendent	Done jointly by the Board/ Superintendent
1. The identification of the purpose of the evaluation	(1)		5 (4)
2. The setting of the time of the evalua-tion(s)			5 (5)
3. The setting of the methods and procedures to be followed	4 (3)		1 (2)
4. The designing of the evaluation instrument	1 (1)	1	3 (4)
5. The determing of the evaluation criteria	1 (1)		4 (4)
HOW PLANNING IS SHAPED	24%(24%)	4%	72%(76%)

Note: *( ) = Responses by board presidents.
       ** Superintendents (N=5); board presidents (N=5).

According to the tallied responses from the unit district superinten-
dents, twenty-four percent of the planning is done by the board, four
percent of the planning is done by the superintendent, and seventy-two
percent of the planning is done jointly by the board of education and
the superintendent. The responses from the unit district board of edu-
cation presidents indicate that twenty-four percent of the planning is
done by the board and seventy-six percent of the planning is done jointly
by the board and the superintendent.

A comparison of the combined tallies of the planning responsi-
bilities for the evaluations of the superintendents among elementary,
secondary, and unit districts is presented in Table 18.

TABLE 18

PLANNING THE SUPERINTENDENT EVALUATION -

A COMPARISON OF DATA FOR ELEMENTARY,

SECONDARY, AND UNIT DISTRICTS

| Type of District | Evaluation Planning | | |
	Done by the Board	Done by the Super- intendent	Done jointly by the Board/ Superintendent
Elementary	24% (29%)	14% (14%)	61% (57%)
Secondary	20% (20%)	10% (10%)	70% (70%)
Unit	24% (24%)	4% (-)	72% (76%)
Combined mean	23% (24%)	9% (8%)	68% (68%)

Note: *( ) = Responses by board presidents.
       ** Superintendents (N=21); board presidents (N=21).

Interview Data

The superintendents reported that when the planning was done for
the evaluation, they were dependent on the leadership of the board presi-
dent. The superintendents were very aware that they were dealing with
seven different personalities, seven different value systems, and possibly
seven different motivations. The board president was designated as the
individual who was responsible for getting the board to agree among them-
selves on an evaluation process, criteria, and instrument. In order to
get a consensus among the board members, two superintendents indicated
that one needs a strong board president who has credibility among the
members of the board and an understanding of the role of the school board.
By going through the planning of the evaluation, the board members can:
mentally prepare for the upcoming evaluation; consider and reflect on
extraneous factors that may inhibit the district from reaching certain
goals; and set realistic goals for the superintendent to work towards.
Generally, the superintendents indicated that the joint planning of the
evaluation was the best way to approach the evaluation. Two superinten-
dents recommended that the board go away on a retreat when doing the plan-
ning so that the task could be addressed without interruption. By doing
the planning as a group, all individuals involved had all the same infor-
mation concerning the evaluation plan. Three superintendents mentioned
that the evaluation plans had to be flexible because during a crisis
priorities change, and an evaluation is usually tabled until the crisis
is resolved.

The board presidents reported that the mutual planning of the evaluation ensured that both the board and the superintendents were working towards the same goals because the evaluation planning session was the time when the district goals were set for the coming year. Three presidents indicated that when the planning was done together, then there were no unfair surprises for either the board or the superintendent.

Analysis of Data

The tabulated data show that about two thirds of the planning for the evaluation of the superintendent is done jointly by the board and superintendent. The pattern of joint planning is the same for elementary, secondary, and unit districts. The advantage of joint planning for the board and the superintendent is that communication among the parties involved is enhanced. The verbal discussions that precede the establishment of the evaluation affords insights for both board members and the superintendent. In most districts in this study, the yearly goals for the district are set at the same time that the evaluation is planned and the goals become part of the evaluation criteria. The benefits of joint planning which are derived from the responses given during the interview are that both the board members and the superintendent: (1) share the same information base; (2) know the yearly agreed-upon goals; and (3) direct their energies and resources cooperatively toward attaining the stated district goals. Whether these benefits are achieved at the level most appropriate for each district in the sample cannot be determined by the data presented.

Item Number Nine

In the questionnaire the participants were asked to indicate how the evaluation schedule was determined and how often the evaluation took place. Although there were no specific questions in the interview guide concerning the frequency of the evaluation, information was volunteered concerning the timing of the evaluation.

Questionnaire Data

Once the planning of the evaluation for the superintendent is completed, then an evaluation schedule must be determined. The respondents were asked how the evaluation schedule is determined. The tallies of the responses are in Table 19, and a comparison by percentage of responses of the data collected is summarized in Table 20.

TABLE 19

HOW THE EVALUATION SCHEDULE

IS DETERMINED - TALLIES

Type of District	Done by the Board	Done by the Super-intendent	Done jointly by the Board/ Superintendent
Elementary	4 (3)	-	10 (11)
Secondary	1 (1)	-	1 (1)
Unit	1	-	5 (5)
Combined	5 (4)	-	16 (17)

Note: *( ) = Responses by board presidents.
        ** One Superintendent did not respond.
       *** Superintendents (N=21); board presidents (N=21).

TABLE 20

HOW THE EVALUATION SCHEDULE IS

DETERMINED - PERCENTAGES

Type of District	Done by the Board	Done by the Super- intendent	Done jointly by the Board/ Superintendent
Elementary	29% (21%)	-	71% (79%)
Secondary	50% (50%)	-	50% (50%)
Unit	-	-	100% (100%)
Combined mean	26% (24%)	-	74% (76%)

Note: *( ) = Responses by board presidents.
      ** One Superintendent did not respond.
    *** Superintendents (N=21); board presidents (N=21).

In the elementary districts four (twenty-nine percent) of the superintendents reported that the evaluation schedule was set by the board, and ten (seventy-one percent) of the elementary superintendents said the evaluation schedule was done jointly by the board and the superintendent. In the secondary districts one superintendent (fifty percent) said the evaluation schedule was done by the board and one (fifty percent) superintendent said that the evaluation schedule was done jointly by the board and the superintendent. Five (one hundred percent) unit district superintendents said that the evaluation schedule was determined jointly by the board and the superintendent.

According to the data the elementary district board presidents furnished, three (twenty-one percent) said the schedule was done by the

board only, and ten (seventy-nine percent) said the schedule was determined jointly by the board and the superintendent. One (fifty percent) board president from the secondary districts said that the board set the evaluation schedule, and one (fifty percent) board president said the board and superintendent jointly set the evaluation schedule. All five (one hundred percent) unit school board presidents indicated that the board and superintendent jointly set the evaluation schedule.

The combined responses showed that five (twenty-six percent) of all superintendents as compared to four (twenty-four percent) of all board presidents indicated that the evaluation schedule was determined by the board. There were no instances when either superintendents or board members said that the evaluation schedule was determined by the superintendent. Sixteen (seventy-four percent) of all the board presidents responded that the determining of the evaluation schedule was done jointly by the board and the superintendent.

The superintendents and board presidents were asked in the questionnaire to indicate how often the superintendent is evaluated. The responses are presented in Tables 21 and 22.

TABLE 21

FREQUENCY OF EVALUATION - TALLIES

Type of District	Annually	Twice A Year	More Than Twice A Year	As Needed
Elementary	13 (14)	-	-	1
Secondary	2 (2)	-	-	-
Unit	3 (3)	2 (1)	-	- (1)
Combined	18 (19)	2 (1)	-	1 (1)

Note: *( ) = Responses by board presidents.
    ** One superintendent did not respond.
  *** Superintendents (N=21); board presidents (N=21).

TABLE 22

FREQUENCY OF EVALUATION - PERCENTAGES

Type of District	Annually	Twice A Year	More Than Twice A Year	As Needed
Elementary	93%(100%)	-	-	7%
Secondary	100%(100%)	-	-	-
Unit	60%(60%)	40%(20%)	-	- (20%)
Combined	86%(91%)	10%(5%)	-	5%(5%)

Note: *( ) = Responses by board presidents
    ** One superintendent did not respond.
  *** Superintendents (N=21); board presidents (N=21).

In the elementary districts thirteen (ninety-three percent) of the super-intendents indicated that they were evaluated annually, and one (seven

percent) superintendent indicated that he was evaluated as needed. Two (one hundred percent) superintendents reported they were evaluated annually. Of the unit district superintendents, three (sixty percent) are evaluated annually, and two (forty percent) are evaluated twice a year. All fourteen of the elementary district board presidents, as well as both of the secondary district board presidents, reported that they evaluated the superintendent once a year. Three (sixty percent) of the unit district board presidents reported evaluating their superintendents annually, while one (twenty percent) said an evaluation was done twice a year, and one (twenty percent) said an evaluation of the superintendent was conducted as needed. The combined figures indicated that eighteen (eighty-six percent) of the superintendents say they are evaluated annually, two (ten percent) say they are evaluated twice a year, and one (five percent) says he is evaluated as needed. The combined tallies show that nineteen (ninety-one percent) of the board presidents report that they evaluate yearly, one (five percent) reports he evaluates the superintendent once a year, and one (five percent) reports he evaluates the superintendent as needed.

Interview Data

During the interviews the two superintendents and one board president who responded in the questionnaire that they conducted evaluations twice a year indicated that the evaluations were not both formal, written evaluations. The evaluation that took place mid-year was an informal evaluation.

Four superintendents and two board presidents reported that sometimes they digress from the evaluation schedule in a time of crisis. When there is a crisis, there is no evaluation; and in some years an evaluation was not done.

One superintendent said that the timing of the evaluation was important. He reported that the best time to be evaluated is in the spring when there are no negotiations and when the workload is light. The worst time is in the fall or during negotiations. Another superintendent indicated that the best time for being evaluated was as soon as possible after coming into a district that has had problems because at this time the superintendent cannot do anything wrong.

Most of the board presidents and superintendents indicated that the evaluation takes place prior to the renewing of the contract of the superintendent, and the outcome of the evaluation is reflected in the salary adjustment. Board presidents more often than superintendents mentioned that a good evaluation justifies to the community the salary increase given to the superintendent.

Analysis of Data

Eighty-six percent of all evaluations are done annually. The pattern to evaluate the superintendent annually is present in the elementary and secondary districts as all respondents except one reported that the evaluation was done once a year.

There were several recommendations in the interviews concerning the time of year the evaluation should take place. The suggestions offered were (1) in the spring; (2) prior to setting the salary of the superintendent; and (3) when negotiations are not transpiring. The superintendent benefits by having the assessment during the spring when there is a light workload because the board members will be able to take the time to prepare for the evaluation and focus their attention on the evaluation process. By having the evaluation take place before the salary of the superintendent is set, the superintendent can use a good evaluation as a basis for asking for a contract renewal or higher salary; and the board members can use the good evaluation to justify the contract renewal and salary increase to the community. By scheduling the evaluation for a time when negotiations are not in session, the board and the superintendent are able to focus their attention on the evaluation itself and not be concerned with other factors that may divert their attention.

Item Number Ten

The participants were asked in the questionnaire to indicate if the evaluation of the superintendent were included as part of the contract of the superintendent. The participants who indicated on the questionnaire that the evaluation was part of the contract of the superintendent were asked during the interview to describe how the evaluation was manifested within the contract.

Questionnaire Data

The participants were asked if the evaluation were a part of the contract of the superintendents. Five (thirty-three percent) of the superintendents from elementary districts said the evaluation was part of the contract, and ten (sixty percent) of the superintendents said the evaluation was not part of the contract. Both secondary district superintendents said the evaluation was part of their contracts. In the unit districts three (sixty percent) of the superintendents indicated that the evaluation was part of the contract, and two (forty percent) of the superintendents reported that the evaluation was not part of their contract. The combined totals show ten (forty-six percent) of the superintendents had the evaluation as part of their contract, and twelve (fifty-five percent) did not have the evaluation as part of their contract. The responses of the board presidents were identical to those of the superintendents on this item. The responses to this question are presented in Tables 23 and 24.

TABLE 23

IS THE EVALUATION A PART OF THE CONTRACT

OF THE SUPERINTENDENT - TALLIES

Type of District	Yes	No
Elementary	5 (4)	10 (10)
Secondary	2 (2)	- (-)
Unit	3 (3)	2 (2)
Combined	10 (9)	12 (12)

Notes: *( ) = Responses by board presidents.
** Superintendents (N=22); board presidents (N=21).

TABLE 24

IS THE EVALUATION A PART OF THE CONTRACT

OF THE SUPERINTENDENT - PERCENTAGES

Type of District	Yes	No
Elementary	33% (29%)	67% (71%)
Secondary	100% (100%)	- (-)
Unit	60% (60%)	40% (40%)
Combined	46% (43%)	55% (57%)

Note: *( ) = Responses by board presidents.
       ** Superintendents (N=22); board presidents (N=21).

Interview Data

Seven elementary district superintendents indicated that although the evaluation was not tied directly to the contract, the evaluation was tied indirectly to the contract in the sense that there was a relationship between the performance of the superintendent and the amount of increase in the salary.

Most of the superintendents who had the evaluation in their contracts indicated that within the contract there was a statement that said an evaluation of the performance of the superintendent will be made by the board of education. In all instances except one the evaluation was not tied directly to the salary of the superintendents in the contract.

Two superintendents indicated that if the salary was tied directly to
the achievement of goals in the contract, the result might be that goals
would be set that were too easily attainable and the superintendent would
be inclined to gloss over areas of concern in an attempt to make every-
thing look good so he could be awarded the maximum salary increment. An-
other superintendent indicated that he did not want his salary tied to
his evaluation in the contract because if the district had no money avail-
able, the evaluation of the superintendent would be adversely affected.

The board presidents in general were in favor of the evaluations
being mentioned in the contract of the superintendent; however, the presi-
dents thought that having the salary tied to the evaluation in the con-
tract was too restrictive. Several board presidents did not want the form
of the evaluation or the specific goals in the contract of the superinten-
dent because if they were in the contract, then the board presidents thought
that the evaluation form and goals could not easily be changed.

Analysis of Data

The evaluation of the superintendent was included in the contract
of the superintendents in the elementary districts thirty-three percent of
the time. The evaluation was part of the contract of the superintendent
in the secondary districts one hundred percent of the time, and the evalu-
ation was part of the contract of the superintendent in the unit districts
sixty percent of the time.

In the unit and secondary districts the evaluation is usually included as part of the contract of the superintendent. In the elementary districts the evaluation is generally not included as part of the contract of the superintendent. During the interviews nine of the ten superintendents who had the evaluation in their contracts reported that there was a clause in the contract that said the evaluation would take place. When the evaluation of the superintendent occurs in the contract, the evaluation is treated in a general manner in that the occurrence of the evaluation is all that is stated. Specific details of the evaluation process are not mentioned.

The very fact that the evaluation is a part of the contract is a guarantee that the evaluation will transpire. Whether or not the evaluation system stated in the contract is general or particular, the superintendent who knows that evaluation is guaranteed should be able to recognize that he is accountable to the board. When the evaluative approaches are too general the board and the superintendent can interpret the latitude provided as strengths or weaknesses in the approach. For example, vague reference points can be interpreted differently by the board and by the superintendent and can lead to confusion or vague agreement. In the former case the result could lead to improvement in the system used; in the latter case there will be little need to quarrel about the results of the evaluation.

Item Number Eleven

One section of the questionnaire that the participants were
asked to complete contained a list of the items that the literature
cited as the purposes for the evaluation of the superintendent by the
board. The respondents were asked to indicate how important the items
were by rating the items on a scale of one to seven - one was extremely
important, and seven was not very important. During the interview no
direct questions were asked concerning the purposes of the evaluation;
however, several motives for evaluating the superintendent were mentioned
as the interviews progressed.

Questionnaire Data

Although the tallies are represented by type of district in Tables
25, 26, and 27, the author has presented a comparison of the purposes by
mean score and rank to facilitate the interpretation of the data. The
comparative data are in Table 28 on page 118. The responses of the ele-
mentary district informants are in Table 25 on page 115; the responses of
the secondary district informants are in Table 26 on page 116; and the re-
sponses of the unit district informants are in Table 27 on page 117; and
a comparison of the mean and rank responses for elementary, secondary,
and unit district informants are in Table 28 on page 118.

TABLE 25

PURPOSES OF THE BOARD OF EDUCATION'S EVALUATION OF THE SUPERINTENDENT - ELEMENTARY DISTRICTS

	Extremely Important 1	2	3	4	5	Not Very Important 6	7	Mean	Rank
1. Ascertaining the achievement of district goals	10(11)	3(2)	2		(1)			1.5(1.4)	2 (1)
2. Planning for future district goals	6(10)	6(2)	1(1)	1(1)	1			2.0(1.5)	3 (2)
3. Improving board/superintendent relations	8(7)	3(2)	1(3)	1(1)	1	1(1)		2.1(2.1)	4.5(5)
4. Clarifying for the superintendent his role in the school system	6(2)	4(8)	2(2)	2(2)		1	(1)	2.3(2.8)	7 (8)
5. Determining the priority of the superintendent's responsibilities	5(3)	6(4)	3(6)			1(1)		2.1(2.5)	4.5(6.5)
6. Assessing present performance in accordance with job expectations	9(7)	3(3)	2(4)	1				1.4(1.8)	1 (4)
7. Renewing the contract of the superintendent	4(11)	4	3(1)	3(1)	1(1)			2.5(1.6)	8 (3)
8. Compensating the superintendent for his job performance	4(5)	6(1)	3(5)	2(2)	(1)			2.2(2.5)	6 (6.5)
9. Motivating the superintendent to improve his job performance	2(2)	3(4)	4(1)	4(5)	(1)	2	(1)	3.2(3.2)	9 (9)
10. Dismissing the superintendent	3(4)	2(3)	2	1(2)	3	1(1)	3(4)	4.1(3.7)	11 (11)
11. Encouraging the professional growth of the superintendent	1(2)	2(2)	5(6)	4(1)	(1)	2(1)	1(1)	3.7(3.3)	10 (10)
12. Placating teacher's union				(1)	2(3)	2(1)	11(9)	6.5(6)	12 (12)

Note: *( ) = Responses by board presidents.
** Superintendents (N=15); board presidents (N=14).

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TABLE 26

PURPOSES OF THE BOARD OF EDUCATION'S EVALUATION OF THE

SUPERINTENDENT - SECONDARY DISTRICTS

	Extremely Important					Not Very Important			
	1	2	3	4	5	6	7	Mean	Rank
1. Ascertaining the achievement of district goals	2(2)							1 (1)	2.5(3.5)
2. Planning for future district goals	2(2)							1 (1)	2.5(3.5)
3. Improving board/superintendent relations	1(2)		1					2 (1)	5.5(3.5)
4. Clarifying for the superintendent his role in the school system	1(2)		1					2(1)	5.5(3.5)
5. Determining the priority of the superintendent's responsibilities	1(2)			1				2.5(1)	7.5(3.5)
6. Assessing present performance in accordance with job expectations	2(2)							1 (1)	2.5(3.5)
7. Renewing the contract of the superintendent	(1)	1(1)			1			3.5(1.5)	9.5 (7)
8. Compensating the superintendent for his job performance	(2)	1	1					1 (2.5)	2.5 (9)
9. Motivating the superintendent to improve his job performance	(1)	1(1)	1					2.5 (2)	7.5 (8)
10. Dismissing the superintendent				(1)	2(1)			5 (4.5)	11 (11)
11. Encouraging the professional growth of the superintendent			1(1)	1(1)				3.5(3.5)	9.5(10)
12. Placating teacher's union						2(2)		7 (7)	12 (12)

Note: *( ) = Responses by board presidents.
       ** Superintendents (N=21); board presidents (N=2).

TABLE 27

PURPOSES OF THE BOARD OF EDUCATION'S EVALUATION OF THE

SUPERINTENDENT - UNIT DISTRICTS

	Extremely Important 1	2	3	4	5	Not Very Important 6	7	Mean	Rank
1. Ascertaining the achievement of district goals	4(4)	(1)	1					1.4(1.2)	2 (1)
2. Planning for future district goals	3(3)	(1)	(1)	2				2.2(1.6)	65 (3)
3. Improving board/superintendent relations	2(2)	1(1)		2(2)				2.4(2.4)	9 (8)
4. Clarifying for the superintendent his role in the school system	2(2)	(1)	2(1)		1(1)			2.2(2.4)	65 (8)
5. Determining the priority of the superintendent's responsibilities		3(1)	1(3)	(1)	1			2.9(3.0)	10 (10)
6. Assessing present performance in accordance with job expectations	4(3)	1(2)						1.2(1.4)	1 (2)
7. Renewing the contract of the superintendent	2(2)	2(2)		1(1)				2 (2)	4 (5)
8. Compensating the superintendent for his job performance	1(1)	2(2)	2(1)	(1)				2.2(2.4)	65 (8)
9. Motivating the superintendent to improve his job performance	2(2)	3(2)	(1)					1.6(1.8)	3 (4)
10. Dismissing the superintendent	3(4)		1		1		(1)	2.2(2.2)	65 (6)
11. Encouraging the professional growth of the superintendent	1(1)	1	1(2)	1(1)	(1)	1		3.2(3.2)	11 (11)
12. Placating teacher's union	(1)		1(2)	1		(1)	3(1)	5.6(4)	12 (12)

Note: *( ) = Responses by board presidents.
    ** Superintendents (N=5); board presidents (N=5).

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TABLE 28

A COMPARISON OF THE PURPOSES OF THE BOARD OF EDUCATION'S EVALUATION OF THE
SUPERINTENDENT AMONG ELEMENTARY, SECONDARY, AND UNIT DISTRICTS

	Districts					
	Elementary		Secondary		Unit	
	Mean	Rank	Mean	Rank	Mean	Rank
1. Ascertaining the achievement of district goals	1.5(1.4)	2 (1)	1 (1)	2.5(3.5)	1.4(1.2)	2 (1)
2. Planning for future district goals	2.0(1.5)	3 (2)	1 (1)	2.5(3.5)	2.2(1.6)	6.5(3)
3. Improving board/superintendent relations	2.1(2.1)	4.5(5)	2 (1)	5.5(3.5)	2.4(2.4)	9 (8)
4. Clarifying for the superintendent his role in the school system	2.3(2.8)	7 (8)	2 (1)	5.5(3.5)	2.2(2.4)	6.5(8)
5. Determining the priority of the superintendent's responsibilities	2.1(2.5)	4.5(6.5)	2.5(1)	7.5(3.5)	2.8(3.0)	10 (10)
6. Assessing present performance in accordance with job expectations	1.4(1.8)	1 (4)	1 (1)	2.5(3.5)	1.2(1.4)	1 (2)
7. Renewing the contract of the superintendent	2.5(1.6)	8 (3)	3.5(1.5)	9.5(7)	2 (2)	4 (5)
8. Compensating the superintendent for his job performance	2.2(2.5)	6(6.5)	1(2.5)	2.5(9)	2.2(2.4)	6.5(8)
9. Motivating the superintendent to improve his job performance	3.2(3.2)	9 (9)	2.5(2)	7.5(8)	1.6(1.8)	3 (4)
10. Dismissing the superintendent	4.1(3.7)	11 (11)	5(4.5)	11 (11)	2.2(2.2)	6.5(6)
11. Encouraging the professional growth of the superintendent	3.7(3.3	10 (10)	3.5(3.5)	9.5(10)	3.2(3.2)	11 (11)
12. Placating teacher's union	6.5(6)	12 (12)	7 (7)	12 (12)	5.6(4)	12 (12)

Note: *( ) = Responses by board presidents.

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The elementary district superintendents reported that the most important purpose of evaluating the superintendent was to assess his present performance. The second most important purpose was to ascertain the achievement of district goals, and to plan for future goals was reported as the third most important purpose of the evaluation of the superintendent. The other purposes as they were rated by the elementary superintendents in declining order of importance were: improving board/superintendent relations and determining the priority of his responsibilities; compensating him; clarifying his role; renewing his contract; motivating him to improve his performance; encouraging his professional growth; and placating teacher's unions. The secondary district superintendents reported a four-way tie for first place when they rated the purposes for the evaluation of the superintendent. The four reasons that were rated equally high were: ascertaining the achievement of district goals; planning for future district goals; assessing the present job performance in accordance with job expectations; improving board/superintendent relations; and compensating the superintendent. The improving of board/superintendent relations and clarifying the role of the superintendent were reported as the second most important purposes of the evaluation. The third most important purposes were the determining of the priority of the responsibilities of the superintendent and motivating the superintendent to improve his job performance. The fourth most important reasons for the evaluation of the superintendent were the renewing of the contract and encouraging

the professional growth of the superintendent. Dismissing the superintendent and placating teachers' unions were reported as the least important purposes for evaluating the superintendent. The unit district superintendents reported that the most important purpose of the evaluation was to assess their present performance. The second most important purpose of the evaluation was to ascertain the achievement of district goals. The third most important purpose of the evaluation was to motivate the superintendent to improve his job performance. The other purposes of the evaluation that the unit district superintendents gave in declining order of importance were: to renew the contract of the superintendent; to plan for future goals; to clarify the role of the superintendent; to compensate the superintendent; to dismiss the superintendent; to improve board/superintendent relations; to determine the priority of the responsibilities of the superintendent; to encourage the professional growth of the superintendent; and to placate teachers' unions.

The elementary district school board presidents rated the ascertaining of the achievement of district goals as the most important purpose for evaluating the superintendent. The second most important purpose for the evaluation was planning for future goals. The renewing of the contract of the superintendent was the third most important purpose given for evaluating the superintendent. The elementary district board presidents gave the following as other purposes. The purposes are listed in diminishing order of importance: assessing the present performance of the superintendent in accordance with job expectations; improving board/superintendent

relations; determining the priority of the responsibilities of the super-

intendent and compensating the superintendent; clarifying the role of the

superintendent; motivating the superintendent; encouraging the professional

growth of the superintendent; dismissing the superintendent; and placating

teachers' unions. The secondary district board presidents reported a six-

way tie for first place when they rated the purposes of the evaluation of

the superintendent. The six number one reasons were: ascertaining the

achievement of district goals; planning for future district goals; assess-

ing the present job performance of the superintendent in accordance with

job expectations; improving board/superintendent relations; clarifying

the role of the superintendent; and determining the priority of the respon-

sibilities of the superintendent. Motivating the superintendent was the

second most important purpose given. The other purposes of evaluation

as rated by the secondary district board presidents in declining order

of importance were: renewing the contract of the superintendent, moti-

vating the superintendent, compensating the superintendent; encouraging

professional growth; and placating teachers' unions. The unit district

school board presidents reported ascertaining the achievement of district

goals as the most important purpose of the evaluation of the superinten-

dent. The second most important purpose was assessing the present per-

formance of the superintendent in accordance with job expectations. Plan-

ning for future district goals was the third most important reason stated

by unit district board presidents as the purpose for the evaluation of

their superintendents. The other purposes stated in declining order of importance were: motivating the superintendent; renewing the contract of the superintendent; dismissing the superintendent; improving board/ superintendent relations; clarifying the role of the superintendent; compensating the superintendent; determining the priority of the responsibilities of the superintendent; encouraging the professional growth of the superintendent; and placating teachers' unions.

Interview Data

The superintendents reported most frequently that the reason for their evaluation was to bring about a change in their behavior. The superintendents indicated that they experienced a sense of fairness from their boards in that the board wanted to give the superintendent a chance to remediate his behavior if there were an area of concern. Only three superintendents mentioned that the evaluation was used to justify "changing" or firing a superintendent. Two superintendents reported that one purpose of the evaluation was to afford them due process. The evaluation results were used by some of the superintendents to justify their request for a raise. The superintendents who requested an evaluation said that they would use the written evaluation when they were looking for a new job. A consistently positive evaluation was cited as useful to have on record when the superintendent had to make an unpopular decision. Several superintendents indicated that they wanted a written evaluation because the

written evaluation was a concrete, specific record that was evidence of
their success should they be called upon to be accountable for the accomplishment of district goals. Four superintendents indicated that the
evaluation process also provided an occasion for the board members to
communicate to the superintendent their priorities concerning district
goals. The evaluation process was reported as important by the superintendents because the role of the superintendent as well as the role of
the board was clarified at this time.

During the interviews several board presidents indicated that the
evaluation process provided an occasion for: the sharing of information
between the board and superintendent; the setting of district goals for
the coming year; the assessing of the accomplishments of the goals of
the past year; and the suggesting of changes in the behavior of the superintendent so he can better achieve district goals. The board presidents
indicated that the evaluation experience motivated the superintendent in
that during the process the superintendent was able to share with the board
which responsibilities he assumed in his position. The board presidents
indicated that they needed to know what the superintendent was doing so
that they can be accountable to the community for the actions of the superintendent. The presidents reported that knowing what the superintendent
was doing clarified the role of the superintendent as well as the role of
the board in the education process. One board president reported that when
there was a turnover in superintendents, the change occurred as a result of

the board and superintendents getting their roles confused. Some board presidents reported that the evaluation served as a time when the board could reward the superintendent with praise and a raise in salary. One board president viewed the evaluation as a way for the board members to exercise control over their superintendent. Several board presidents said that the evaluation of the superintendent served the purpose of raising staff morale, that is, if some members of the staff had to be evaluated, then it was only fair to evaluate all district employees.

Analysis of Data

The literature contained several purposes for the evaluation of the superintendent by the board of education. The responses given by the board presidents and superintendents on the questionnaires suggest that some reasons for evaluating the superintendent are more important than other reasons. According to the data in Table 28 the two most important purposes of the evaluation were to assess the present performance of the superintendent in accordance with his job expectations and to ascertain the achievement of district goals. The implications of these findings for the superintendent are that the superintendent needs to know what his job expectations are and needs to have evidence of the achievement of district goals. According to the data in Table 28 the two least important purposes of the evaluation were to encourage the professional growth of the superintendent and to placate teachers' unions. In the demographics

section of the study the data showed that only nine percent of the super-intendent population had earned doctorate degrees. The Will County popu-lation of superintendents may have few individuals with terminal degrees because the presidents of the boards of education consider the professional growth of the superintendent a low priority item. The superintendent should be well aware of what the board views as priorities from year to year. The changing composition of the board makes this awareness a high priority for the superintendent.

Item Number Twelve

The participants were asked to fill out a section of the question-naire which inquired about the sources from which the board members get input on the performance of the superintendent. By ranking the items, the respondents also indicated which sources of input were the most important. There were no questions in the interview concerning this item, but some input was volunteered from the informants during the course of the inter-views.

The respondents were asked to indicate the sources from which school board members derived input for the board to use when evaluating the superintendent. The respondents were then asked to rank the sources of input, with one being the most important source of input. The responses of the elementary district informants are in Table 29 on page 127; the re-sponses of the secondary district informants are in Table 30 on page 128;

the responses of the unit district informants are in Table 31 on page 129; and a comparison of the mean and rank responses for elementary, secondary, and unit district informants are in Table 32 on page 130.

The elementary district superintendents reported that for board members the most important source of input on the performance of the superintendent was the performance of the superintendent at board meetings/study sessions. The second most important source was the superintendent self-evaluation, and the third most important source was input from the community. In declining order of importance the other sources of input for the elementary district superintendents were the monthly progress report of the superintendent, parental input, teacher input, subordinate administrator input, social occasions, non-certificated staff input, and student input. The secondary district superintendents indicated that the most important source of input on their performance was from the teachers. The second most important source of input on their job performance was a four-way tie among superintendent performance at board meetings/study sessions, community input, parental input, and subordinate administrator input. The third most important source of input on their job performance for board members was a tie between student input and non-certificated staff input. The superintendent self-evaluation, superintendent monthly progress report, and social occasions were not checked as a source of board input. The unit district superintendents

TABLE 29

SOURCES OF INPUT FOR BOARDS TO USE WHEN EVALUATING

SUPERINTENDENTS - ELEMENTARY DISTRICTS

	Sources	Checkmark Column	Ranking Column (Let 1 be the source of most input)	Mean of the Ranks	Rank of the Means
1.	Superintendent self-evaluation	10 (10)	3,9,3,1,1,2,3,2,3,1,1 (1,6,9,3,2,1,2,2,3,1)	2.6 (3.0)	2 (3)
2.	Superintendent monthly progress report	9 (8)	2,8,3,2,2,2,8 (2,2,3,2,6,2,2,2,2)	3.9 (2.6)	4 (2)
3.	Superintendent performance at board meetings/study sessions	14 (14)	2,1,1,1,2,2,1,1,1,1,2,1,2 (1,1,1,1,1,2,1,1,1,3,1,1,1,1)	1.4 (1.2)	1 (1)
4.	Social occasions	7 (5)	7,5,5,6 (9,4,10,7,6)	5.8 (7.2)	8 (9)
	Observation by and input from:				
5.	Community	10 (9)	2,3,3,6,4,5,1,3 (5,3,2,3,4,3,4,3,3)	3.4 (3.3)	3 (4)
6.	Students	6 (3)	8,8,9 (9,7,9)	8.3 (8.3)	10 (10)
7.	Teachers	11 (6)	3,5,7,4,3,6,4,4,5 (9,5,4,4,3,3)	4.6 (4.7)	6 (6)
8.	Parents	7 (7)	4,4,5,3,3,7 (8,5,3,3,5,2,3)	4.3 (4.1)	5 (5)
9.	Non-certificated staff	6 (4)	5,7,9,10 (9,6,3,10,6)	7.8 (6.8)	9 (8)
10.	Subordinate administrators	6 (4)	6,6,4,5,4 (3,8,3,6)	5.0 (5.0)	7 (7)

Note: * ( ) = Responses by board presidents.
       ** Superintendents (N=15); board presidents (N=14).

TABLE 30

SOURCES OF INPUT FOR BOARDS TO USE WHEN EVALUATING

SUPERINTENDENTS - SECONDARY DISTRICTS

Sources	Checkmark Column	Ranking Column (Let 1 be the source of most input)	Mean of the Ranks	Rank of the Means
1. Superintendent self-evaluation	- (-)	(-)		9 (9)
2. Superintendent monthly progress report	- (-)	(-)		9 (9)
3. Superintendent performance at board meetings/study sessions	2 (2)	1.6 (7.9)	3.5 (4)	3.5 (4)
4. Social occasions	- (-)	(-)		9 (9)
Observation by and input from:				
5. Community	2 (2)	1.6 (1.5)	3.5 (3)	3.5 (2)
6. Students	2 (2)	7.4 (6.6)	5.5 (6)	6.5 (5.5)
7. Teachers	2 (2)	3.3 (5.7)	3 (6)	1 (5.5)
8. Parents	2 (2)	2.5 (2.2)	3.5 (2)	3.5 (1)
9. Non-certificated staff	2(2)	4.7 (3.4)	5.5 (3.5)	6.5 (3.5)
10. Subordinate administrators	2 (2)	5.2 (4.3)	3.5 (3.5)	3.5 (3.5)

Note: * ( ) = Responses by board presidents.
    ** Superintendents (N=2); board presidents (N=2).

TABLE 31

SOURCES OF INPUT FOR BOARDS TO USE WHEN EVALUATING

SUPERINTENDENTS - UNIT DISTRICTS

Sources	Checkmark Column	Ranking Column (Let 1 be the source of most input)	Mean of the Ranks	Rank of the Means
1. Superintendent self-evaluation	3 (2)	8,1,9 (8,7)	6 (7.5)	9 (9)
2. Superintendent monthly progress report	3 (3)	3,7,2 (3,3,2)	4 (2.6)	3 (3)
3. Superintendent performance at board meetings/study sessions	5 (5)	1,3,1,1,1 (1,1,1,1,1)	1.4 (1.0)	1 (1)
4. Social occasions	4 (2)	10,2,8 (9,8)	6.6 (8.5)	10 (10)
Observation by and input from:				
5. Community	5 (5)	.2,6,3,3,3 (2,3,3,2,2)	3.4 (2.4)	2 (2)
6. Students	3 (2)	7,3,7 (6,7)	5.6 (6.5)	8 (7)
7. Teachers	4 (5)	4,5,3,6 (4,3,6,2,4)	4.5 (3.8)	6 (5.5)
8. Parents	5 (5)	6,4,4,3,5 (4,6,2,3,4)	4.4 (3.8)	4.5 (5.5)
9. Non-certificated staff	4 (3)	9,6,3,4 (7,7,6)	5.5 (6.7)	7 (8)
10. Subordinate administrators	5 (5)	5,5,7,3,2 (2,3,4,4,5)	4.4 (3.6)	4.5 (4)

Note: * ( ) = Responses by board presidents.
      ** Superintendents (N=5); board presidents (N=5).

TABLE 32

A COMPARISON OF THE SOURCES OF INPUT FOR BOARDS TO USE WHEN EVALUATING SUPERINTENDENTS

AMONG ELEMENTARY, SECONDARY, AND UNIT DISTRICTS

| | Districts | | | | | |
| | Elementary | | Secondary | | Unit | |
Sources	Mean of the Ranks	Rank of the Means	Mean of the Ranks	Rank of the Means	Mean of the Ranks	Rank of the Means
1. Superintendent self-evaluation	2.6 (3.0)	2 (3)	- (-)	9 (9)	6 (7.5)	9 (9)
2. Superintendent monthly progress report	3.9 (2.6)	4 (2)	- (-)	9 (9)	4 (2.6)	3 (3)
3. Superintendent performance at board meetings/study sessions	1.4 (1.2)	1 (1)	3.5 (4)	3.5 (4)	1.4 (1.0)	1 (1)
4. Social occasions	5.8 (7.2)	8 (9)	- (-)	9 (9)	6.6 (8.5)	10 (10)
Observation by and input from:						
5. Community	3.4 (3.3)	3 (4)	3.5 (3)	3.5 (2)	3.4 (2.4)	2 (2)
6. Students	8.3 (8.3)	10 (10)	5.5 (6)	6.5 (5.5)	5.6 (6.5)	8 (7)
7. Teachers	4.6 (4.7)	6 (6)	3 (6)	1 (5.5)	4.5 (3.8)	6 (5.5)
8. Parents	4.3 (4.1)	5 (5)	3.5 (2)	3.5 (1)	4.4 (3.8)	4.5 (5.5)
9. Non-certificated staff	7.8 (6.8)	9 (8)	5.5 (3.5)	6.5 (3.5)	5.5 (6.7)	7 (8)
10. Subordinate administrators	5.0 (5.0)	7 (7)	3.5 (3.5)	3.5 (3.5)	4.4 (3.6)	4.5 (4)

Note: * ( ) = Responses by board presidents.
   ** One was the number assigned to the most important source.

reported that the most important source of input on their job performance was their performance at board meetings/study sessions. The second most important source of input was reported as input from the community, and the third most important source of input was reported as coming from the monthly progress report of the superintendent. Parental input and input from subordinate administrators were tied for fourth place. The other sources of input in declining order of importance were teacher input, non-certificated staff input, student input, superintendent self-evaluation, and social occasions.

The elementary district board presidents indicated that the most important source of input on the performance of the superintendent was from the performance of the superintendent at board meetings/study sessions. The second most important source of input was the monthly progress report of the superintendent, and the third most important source of input was the superintendent self-evaluation. The other sources of input in descending order of importance were community input, parental input, teacher input, subordinate administrator input, non-certificated staff input, social occasions, and student input. The secondary district board presidents reported that parental input was their most important source of input when evaluating the job performance of the superintendent. The second most important source of input was input from the community, and the third most important sources of input were from non-certificated staff and subordinat administrators. The other sources of input in descending order of importance were

reported as input from the performance of the superintendent at board meetings/study sessions, teacher input, and student input. The superintendent self-evaluation, the superintendent's monthly progress report, and social occasions were not reported as a source of input. The unit district board presidents indicated that the most important source of input on the job performance of the superintendent was the performance of the superintendent at board meetings/study sessions. The second most important source of input was input from the community, and the third most important source was the monthly progress report of the superintendent. The other sources of input in descending order of importance were subordinate administrator input, teacher and parental input, student input, non-certificated staff input, superintendent self-evaluation, and social occasions.

Interview Data

When the superintendents and board presidents referred to the receiving of input on the performance of the superintendent, the feedback came from members of the community. Several superintendents reported that they received input from community members when they were at the grocery store, church events, and at other places in the community when they were not serving in a professional capacity. Board members indicated that they frequently received input from community members via unsolicited phone calls. Input from the community was also received at official school board meetings.

Analysis of Data

The participants were asked to report in the questionnaire the sources used for input on the performance of the superintendent. The elementary and unit district superintendents and board presidents reported that the most important source of input was the performance of the superintendent at board meetings/study sessions. During the interviews eight board presidents explained that most of their contact with the superintendent was during the board meetings or during the study sessions. The data from the questionnaire show that the boards do not rely equally on all sources for input on the performance of the superintendent. Social occasions and observations by and input from students and non-certificated staff were ranked as not very important sources of input on the performance of the superintendent. Social occasions were rated of low importance as a source of input on the performance of the superintendent.

In the absence of specific evaluative criteria, the emphasis on the behavior of the superintendent as board meetings can be so vague that the superintendent will not know how to behave. Under these conditions the superintendent should strive to gain a clearer definition of expectancies so that he will know the basis of his evaluation.

No mention was made of professional leadership or administrative skills as evaluative concerns. The superintendent who spends his time

in these endeavors and who does not direct a major portion of his ener-
gies to pleasing the board may find himself unemployed.

Item Number Thirteen

The respondents were asked to indicate in the questionnaire if
the superintendent were provided with a written copy of the evaluation.
During the interview the respondents were asked how the results were re-
ported and if the results of the evaluation were public knowledge.

Questionnaire Data

Once the board had evaluated the superintendent, this study
sought to find out if the superintendent was provided with a written
copy of the evaluation. Six (forty percent) of the elementary district
superintendents indicated that they did receive a written copy of the
evaluation, and nine (sixty percent) of them did not. Both of the sec-
ondary superintendents received a written copy of their evaluations.
One (twenty percent) of the unit district superintendents said he re-
ceived a written copy of his evaluation, and four (eighty percent) of
the unit district superintendents did not. Four (twenty-nine percent)
of the elementary school board presidents said that they did not provide
the superintendent with a written copy of his evaluation, and ten (sev-
enty-one percent) said they did provide the superintendent with a written
copy of his evaluation. The responses of the board presidents from the
secondary and unit districts were identical to the responses of the super-
intendents. The data are presented in the following Tables 33 and 34.

TABLE 33

PROVISION OF A WRITTEN COPY

OF THE EVALUATION FOR THE

SUPERINTENDENT - TALLIES

Type of District	Yes	No
Elementary	6 (4)	9 (10)
Secondary	2 (2)	- (-)
Unit	1 (1)	4 (4)
Combined	9 (7)	13 (14)

Note   * ( ) = Responses by board presidents.
     ** Superintendents (N=22); board
       presidents (N=21).

TABLE 34

PROVISION OF A WRITTEN COPY OF THE

EVALUATION FOR THE SUPERINTENDENT -

PERCENTAGES

Type of District	Yes	No
Elementary	40% (29%)	60% (71%)
Secondary	100% (100%)	- (-)
Unit	20% (20%)	80% (80%)
Combined	41% (33%)	59% (67%)

Note: * ( ) = Responses by board presidents.
     ** Superintendents (N=12); board
       presidents (N=21).

Interview Data

The majority of the superintendents indicated that the evaluation
was done in executive session. Although the content of the evaluation
was restricted to the executive session, the results that came about from
the evaluation, that is, the retention or dismissal of the superintendent,
were a matter of public record. Two superintendents indicated that they
would be able to use the written evaluations when they applied for future
jobs. Several superintendents reported that the evaluations from the board
members were compiled into a single evaluation prior to being presented to
the superintendent. There were several advantages to having the evalua-
tions presented as a composite evaluation. One advantage was that by hav-
ing the evaluation anonymous, board members were not hesitant to be criti-
cal of the performance of the superintendent, but on a one-to-one basis
board members might be reticent to express criticism. If the superinten-
dent knew who originated a criticism, the result could be tension between
the superintendent and the board member originating the criticism. Having
the content of the evaluation shared among the board members prior to being
presented to the superintendent was advantageous in that as a group all
board members could consider each item. The consensus of the group, the
superintendent indicated, tended to be an honest, fair evaluation of the
performance of the superintendent.

The board presidents all reported that the evaluation of the super-
intendent should take place in executive session. Several presidents

indicated that the evaluation was personal, and to make the specifics

of the evaluation public was an invasion of the privacy of the superin-

tendent. Two presidents reported that the evaluation maintained a con-

structive tone when done in an executive session; but had the evaluation

been done publicly, the media may have capitalized on a minute item and

turned the evaluation into a non-constructive event.

Analysis of Data

Tables 33 and 34 indicate that all secondary district superin-

tendents receive written copies of their evaluations, but fewer than

half of the elementary and unit district superintendents receive written

copies of their evaluations. Superintendents who have written copies of

their evaluations have the advantage of a more definite and permanent

record of their job performance. When the content of the evaluation is

in writing, the board members and superintendent have the same data base

from which to discuss the performance of the superintendent. As the year

progresses, a written record of the evaluation provides more consistency

than the recall of a verbal exchange.

A written evaluation that states specific areas of remediation

serves as a time-management directive for the superintendent. The super-

intendent who has specific written areas of remediation may focus his re-

sources and efforts on correcting the stated areas before working on other

concerns.

A written evaluation is an asset to the superintendent in that
the evaluations may be utilized as evidence of performance capability
when the superintendent is looking for a new position.

Item Number Fourteen

During the interviews the informants were asked to indicate the
strengths and weaknesses of the evaluation system and to comment on the
positive or negative results that have come from the evaluation process.

Interview Data

Several superintendents indicated that the evaluation process
was a vehicle of communication that can be legitimately used by board
members to voice their concerns. Without the forum provided by the eval-
uation system, board members sometimes think they are doing something
wrong when they have a complaint. However, the evaluation process serves
as an outlet for board members by providing an appropriate time for them
to address concerns. Once a board member is able to bring an issue for
consideration, any accompanying tension usually dissipates. Most of the
superintendents reported that the evaluation procedure afforded them an
opportunity not only to be informed of any concerns, but to get clarifi-
cation on the concerns and direction for remediation.

Three superintendents viewed the evaluation time as an opportunity
for the board members to reflect on the significant achievements of the

superintendent and to reward the superintendent for his accomplish-
ments.

Unless there is excellent communication between the superinten-
dent and the board, four superintendents indicated that there could be
a problem in interpreting the meaning of the reported evaluation. The
honesty and subjectivity of the board were also a concern of three super-
intendents. The three superintendents reported that the board members
were not always honest with them, and the superintendents indicated there
was no way of deriving an evaluation that was not subjective. Four super-
intendents noted that the evaluation process was very time-consuming and
questioned whether the outcome of the evaluation was worth the input in
time. One superintendent did not like the evaluation process. He indi-
cated that when his board met without him, he could not control the spec-
trum of the discussion of the board.

The board presidents indicated that the evaluation process in-
creased the occasion for communication and increased the amount of in-
formation that the superintendent shared concerning district operations.
Seven board presidents indicated that the evaluation process gave the
superintendent a fair opportunity to remediate his behavior if there were
a problem. Only one president reported that the evaluation process was
negative. The board president indicated that when conducting an evalua-
tion of the superintendent, the feeling of togetherness is lost and the
board/superintendent relationship is never improved.

Analysis of Data

During the interviews the informants were asked to report the strengths and weaknesses of the evaluation system. The strengths of the evaluation system were that the process increased communication between board members and the superintendent and gave the board an appropriate time during which to express their concerns about the performance of the superintendent. One board president reported that a weakness of the system was a loss of cohesiveness in the board/superintendent relationship as a result of the evaluation. The superintendents reported that a weakness of the evaluation system was that the evaluations were not always honest, objective, and were often time-consuming.

There is a high level of agreement that the evaluation system improves communication between the board and the superintendent. Regardless of the problems involved with the format and the process of the evaluation system, the end, improved communications, may justify the means, the evaluative process. The weakness enumerated by one board president, "problems with board/superintendent cohesiveness", may be overcome with the fairness and openness of the evaluators. Even if the weakness were not overcome, the advantage of improved communications may outweigh this one alleged aspect.

For the superintendent, the opportunity to be informed of the evaluation by the school board can be more important than the time consuming aspects of the evaluation process. The superintendent is the chief

executive of the board and his time spent with the board can be viewed as giving the board what it has a right to demand.

Evaluation Criteria

This section of the study on evaluation criteria is inclusive of information on: the use of the job description of the superintendent; the importance of various items used in the evaluation; and the tasks which occupy most of the professional time of the superintendent.

Item Number Fifteen

In the questionnaire the respondents were asked to indicate if the superintendent had a job description.

The superintendents and board presidents were asked if there were a job description for the superintendent. The responses were tallied and are presented in Tables 35 and 36 that follow.

TABLE 35

PRESENCE OF A JOB DESCRIPTION FOR THE

SUPERINTENDENT - TALLIES

Type of District	Yes	No
Elementary	13 (12)	2 (2)
Secondary	2 (2)	- (-)
Unit	5 (5)	- (-)
Combined	20 (19)	2 (2)

Note: * ( ) = Responses by board presidents.
** Superintendents (N=22); board presidents (N=21).

TABLE 36

PRESENCE OF A JOB DESCRIPTION FOR THE

SUPERINTENDENT - PERCENTAGES

Type of District	Yes		No	
Elementary	86%	(86%)	13%	(14%)
Secondary	100%	(100%)	-	(-)
Unit	100%	(100%)	-	(-)
Combined	91%	(91%)	9%	(10%)

Note: * ( ) = Responses by board presidents.
       ** Superintendents (N=22); board
          presidents (N=21).

Thirteen (eighty-six percent) of the elementary school superintendents
reported that there was a job description for the superintendent, and
two (thirteen percent) of the superintendents said they had no job de-
scription. The two secondary district superintendents and the five unit
district superintendents reported that they had a job description for
the superintendent. Twelve (eighty-six percent) of the elementary dis-
trict board presidents reported that their districts had a job description
for the superintendent, and two (fourteen percent) of the elementary board
presidents reported no job description for the superintendent. The two
secondary district board presidents reported that they had a job descrip-
tion for their district superintendent. The tallied figures show that
twenty (ninety-one percent) of the superintendents indicated that there
were job descriptions for their positions, and two (nine percent) of the
superintendents indicated that there were not job descriptions for their

positions. Nineteen (ninety-one percent) of the board presidents indicated that there were superintendent job descriptions in their district, and two (nine percent) of the board presidents indicated there were not superintendent job descriptions in their districts.

Analysis of Data

Of the twenty-two participating districts, twenty of them had a job description for the position of superintendent of schools. All secondary and unit districts had job descriptions and only two of the fifteen elementary districts did not have job descriptions. No explanation was given for why two districts did not have a job description for their superintendents. That a job description was considered important is evidenced by the fact that most of the districts had them. The job description is important for the superintendent because the description lists the responsibilities of the incumbent. When the superintendent knows his job responsibilities, then he is able to channel his efforts towars meeting the responsibilities of his role. Should the job description not accurately reflect the expectations of the board, the description is still a basis from which to begin modification efforts. The job description may also serve as a basis against which to measure the performance of the superintendent.

Item Number Sixteen

In the questionnaire the respondents were given a list of items that were used by school boards as criteria for evaluating the superin-

tendent. The criteria listed on the questionnaire were taken from the

job responsibilities of the superintendent as they were stated in Evalu-

ating the Superintendent, a joint publication of the American Association

of School Administrators and the National School Boards Association.[86]

The respondents were also asked to indicate the importance and use of the

items. During the interviews the informants were asked to indicate the

areas of responsibility on which the superintendents were actually evalu-

ated. The purposes of the interview question were to verify the informa-

tion given in the questionnaire and to elicit any areas that were being

used as evaluation criteria that were not mentioned in the questionnaire.

The respondents were also asked what types of tasks occupied most of the

time of the superintendent and if these tasks were the areas that were

emphasized in the evaluation.

Questionnaire Data

The respondents were asked to indicate the criteria used for evalu-

ating the superintendent. The respondents were presented with a list of

items which were grouped under general areas of administrative responsi-

bilities. The respondents were then asked to report whether the criteria

were used in the evaluation; and if the criteria were used, the respondents

were asked to indicate the importance of the item by rating the item on a

scale of one to three; one was high and three was low. The responses

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[86]Evaluating the Superintendent, pp. 42-44.

reported by elementary district respondents appear in Appendix H.   The

responses reported by secondary district respondents appear in Appendix

I.   The responses by unit district respondents appear in Appendix J.   A

comparison of the means and ranks of the means among the elementary,

secondary, and unit district respondents is reported in Table 38 on pages

146, 147, 148, and 149.   To make the reporting of the responses manage-

able, an average of the means and ranks was determined by administrative

groups and reported in Table 39 on page 150.   The averages of the means

and ranks of the administrative groups were then numbered from one to six

with one being the most important criteria area.   The administrative group-

ings as they were ranked by the elementary, secondary, and unit district

superintendents and board presidents are reported in Table 41 on page 161.

The narrative of the reported results was primarily based on the data in

Table 37.

TABLE 37

A COMPARISON OF THE RANKS OF THE ADMINISTRATIVE AREAS USED
BY BOARDS AS CRITERIA TO EVALUATE SUPERINTENDENTS AMONG
ELEMENTARY, SECONDARY, AND UNIT DISTRICTS

	Administrative Areas	Elementary Districts	Secondary Districts	Unit Districts
1.	Board Relations	1 (1)	1 (1)	1 (1)
2.	Community Public Relations	5 (5)	6 (4)	5 (6)
3.	Staff Personnel Management	4 (3)	4 (5)	2 (3)
4.	Management of Student Services	6 (4)	2 (2)	4 (5)
5.	Comprehensive Planning	2 (2)	3 (3)	3 (2)
6.	Professional and Personal Development	3 (6)	5 (6)	6 (4)

Note: * ( ) = Responses by board presidents.

TABLE 38

A COMPARISON OF THE CRITERIA USED BY BOARDS TO EVALUATE SUPERINTENDENTS

AMONG ELEMENTARY, SECONDARY, AND UNIT DISTRICTS

	Elementary Districts		Secondary Districts		Unit Districts	
	Mean	Rank	Mean	Rank	Mean	Rank
Board Relations						
1. Preparation of reports and materials for the board	1.1(1.1)	3 (2.5)	1 (1)	6.5(8.5)	1.4(1.6)	5.5 (17)
2. Presentation of reports to board	1.3(1.4)	7 (14)	1 (1)	6.5(8.5)	1.6(1.2)	14.5(3.5)
3. Recommendations to the board	1.1(1.3)	3 (9.5)	1 (1)	6.5(8.5)	1.6(1.8)	14.5(23.5)
4. Responding to requests from the board	1.1(1.2)	3 (5.5)	1 (1)	6.5(8.5)	1.6(1.8)	14.5(23.5)
5. Keeping the board informed about operations in district	1.1 (1)	3 (1)	1 (1)	6.5(8.5)	1.4(1.2)	5.5(3.5)
6. Implementation of board actions	1.3(1.2)	7 (5.5)	1 (1)	6.5(8.5)	1 (1)	1 (1)
Community-Public Relations						
7. Contacts with media	1.7(1.9)	19.5(29.5)	2 (1)	25 (8.5)	1.6(1.8)	14.5(23.5)
8. Interpreting district problems and concerns to community and public	1.6(1.6)	15 (24)	1.5(1)	17 (8.5)	1.6(1.4)	14.5(9.5)
9. Interpreting the educational program to the community	1.7(1.3)	19.5(9.5)	1.5(2)	17(28.5)	1.8(1.6)	23.5 (17)
10. Responding to concerns of community	1.6(1.2)	15 (5.5)	1.5(1.5)	17(21.5)	1.6(1.8)	14.5(23.5)

TABLE 38 (continued)

	Elementary Districts		Secondary Districts		Unit Districts	
	Mean	Rank	Mean	Rank	Mean	Rank
11. Periodic communications (publications, reports, newsletters, etc.) to community	1.9(1.8)	26 (27.5)	2.5 (2)	29.5(28.5)	2.2(2.4)	30.5 (31)
Staff Personnel Management						
12. Employment of personnel	1.4(1.5)	9.5 (19)	1 (1)	6.5(8.5)	1.4(1.8)	5.5(23.5)
13. Utilization of employed personnel	1.3(1.1)	7 (2.5)	2 (1.5)	25 (21.5)	1.2(1.4)	2 (9.5)
14. Administration of personnel policies and procedures	1.5(1.4)	12 (14)	1.5(1.5)	17 (21.5)	1.6(1.6)	14.5 (17)
15. Administration of salary and benefits program	2.1(1.5)	30 (19)	1 (1.5)	6.5(21.5)	1.6(1.4)	14.5(9.5)
16. Direction of employee relations program	1.9(1.6)	26 (24)	2(1.5)	25 (21.5)	2 (1.6)	28 (17)
17. Administration of personnel evaluation programs	1.9(1.4)	26 (14)	2(1.5)	25 (21.5)	1.6(1.4)	14.5(9.5)
Management of Student Services						
18. Providing comprehensive student personnel services	1.9(1.2)	26 (5.5)	1.5(1.5)	17 (21.5)	1.8 (2)	23.5 (27)
19. Management of enrollment and attendance policies and procedures	2.3(1.9)	31 (29.5)	2 (1)	25 (8.5)	1.8(2.2)	23.5 (29)
20. Management of student behavior and discipline	1.7(1.3)	19.5(9.5)	1 (1)	6.5(8.5)	2 (1.8)	28 (23.5)
21. Providing for health and safety of students	1.7(1.4)	19.5 (14)	1 (1)	6.5(8.5)	1.4(1.4)	55 (9.5)

TABLE 38 (continued)

		Elementary Districts		Secondary Districts		Unit Districts	
		Mean	Rank	Mean	Rank	Mean	Rank
22.	Liaison with community agencies concerned with student services	1.8(1.8)	23 (27.5)	2 (1)	2.5 (8.5)	1.6(1.2)	14.5(3.5)
	Comprehensive Planning						
23.	Developing and implementing short- and long-range planning	1.1(1.4)	3 (14)	1 (1)	6.5 (8.5)	1.6(1.4)	14.5(9.5)
24.	Developing management systems (example: MBO)	1.4(1.5)	9.5 (19)	1.5 (1)	17 (8.5)	1.4(2.2)	55 (29)
25.	Training administrators and supervisors in planning	2 (1.6)	29 (24)	1.5(1.5)	17 (21.5)	1.8(1.6)	23.5 (17)
26.	Accountability procedures	1.5(1.5)	12 (19)	1 (1.5)	6.5 (21.5)	1.4(1.2)	5.5 (3.5)
27.	Evaluation of planning results	1.7(1.6)	19.5 (24)	1.5 (1)	17 (8.5)	1.8(1.4)	23.5(9.5)
	Professional and Personal Development						
28.	Keeping self current professionally	1.7(1.3)	19.5 (9.5)	1.5(1.5)	17 (21.5)	2 (1.4)	28 (95)
29.	Representing district at local, state, and national meetings of interest to education	1.6(1.6)	15 (24)	2 (2)	25 (28.5)	2.2(1.6)	30.5 (17)
30.	Contributions to profession by writing and speaking	1.9(1.5)	26 (19)	2.5 (2)	29.5(28.5)	1.6(1.6)	14.5 (17)

TABLE 38 (continued)

	Elementary Districts		Secondary Districts		Unit Districts	
	Mean	Rank	Mean	Rank	Mean	Rank
31. Participating in local, state, and national professional organizations	1.5(2.1)	12 (31)	3 (3)	31 (31)	1.8(2.2)	23.5 (29)

Note: * ( ) = Responses by board presidents.
      ** Mean scores of the groups were used for the comparison.

TABLE 39

A COMPARISON OF THE ADMINISTRATIVE AREAS OF THE CRITERIA

USED BY BOARDS TO EVALUATE SUPERINTENDENTS AMONG

ELEMENTARY, SECONDARY, AND UNIT DISTRICTS

Administrative Areas	Elementary Districts		Secondary Districts		Unit Districts	
	Mean	Rank	Mean	Rank	Mean	Rank
1. Board Relations	1.2(1.2)	4.3(6.3)	1 (1)	6.5(8.5)	1.4(1.4)	6.8(11.9)
2. Community-Public Relations	1.7(1.6)	19 (19.2)	1.8(1.5)	27 (19.1)	1.8(1.8)	19.5(20.1)
3. Staff Personnel Management	1.7(1.4)	18.4(15.4)	1.6(1.4)	17.5(19.3)	1.6(1.5)	13.2(14.3)
4. Management of Student Services	1.9(1.5)	23.8(17.2)	1.5(1.1)	11.5(11.1)	1.7(1.7)	19 (18.5)
5. Comprehensive Planning	1.5(1.5)	15 (14.6)	1.3(1.2)	12.8(13.7)	1.6(1.6)	14.5(13.7)
6. Professional and Personal Development	1.7(1.6)	18.1(20.9)	2.3(2.1)	25.6(27.4)	1.9(1.7)	24.1(18.1)

Note: * ( ) = Responses by board presidents.
       ** The numbers represent the averages of the scores by categories.

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The elementary district superintendents reported that the most important area used as criteria for their evaluation was the area of board/superintendent relations. Within the board/superintendent relations area the most important items were: preparing reports and materials for the board; making recommendations to the board; responding to requests from the board; and keeping the board informed about operations in the district. Comprehensive planning was the second most important area, and the developing and implementing of short and long range planning was the item reported as most important in that group. The area of professional and personal development was reported as the third most important area. The fourth area of importance was the staff personnel management area; however, the utilization of employed personnel item was rated as important. The fifth and sixth place areas for the elementary district superintendents were community public relations and management of student services.

The secondary district superintendents reported the board/superintendent relations area as the most important with all items in that area rated equally and extremely important. The second most important areas were management of student services and the management of student behavior. Student discipline and providing for the health and safety of students were the two items that were reported as very important. Comprehensive planning was the third most important area with the developing and implementing of short and long range plans and accountability procedures designated as high priority items. Staff personnel management was

the fourth most important area, and the employment of personnel and administration of salary and benefits programs were considered important items. The fifth and sixth areas were professional and personal development and community and public relations.

The unit district superintendents also reported that board/superintendent relations was the most important area that their evaluations were based on, with a focus on the implementation of board actions item. Staff personnel management was reported as the second most important area evaluated, and the utilization of employed personnel was selected as being important. The other areas in declining order of importance were comprehensive planning; management of student services; community public relations; and professional and personal development.

The elementary district board presidents reported the area of board/superintendent relations as the most important area that was considered in the evaluation. There were four items in this area that were rated high. These items were keeping the board informed about operations in the district; preparing reports and materials for the board; responding to requests from the board; and implementing board actions. The second most important area considered in the evaluation was comprehensive planning. Staff personnel management was the third most important area, and the utilization of employed personnel was considered particularly important. In the fourth rated area of management of student services, providing comprehensive student personnel services was reported as important. In the area of community public relations, which was rated fifth,

responding to the concerns of the community was indicated to be important. The least important area was that of professional and personal development.

The secondary board presidents rated board/superintendent relations as the most important area, and each item in the category was rated high and of equal importance. The second most important area was the management of student services. There were four items in the management of student services that were reported as being important. The four items were the managing of enrollment and attendance policies and procedures; managing of student behavior and discipline; providing for the health and safety of the students; and being a liaison with community agencies concerned with student services. Comprehensive planning was the third most important area, and the three items that were rated as high priority in the area were developing and implementing short and long range goals; developing management systems; and evaluating planning results. In the fourth ranked area of community public relations, contacts with the media as well as interpreting the district problems and concerns to the community and public were reported as being important. In the fifth area of staff personnel management, the employment of staff was rated as being important. The professional and personal development of the superintendent was considered the least important area in the evaluation of the superintendent.

The unit district board presidents indicated that the area of board/superintendent relations was the most important area considered in the evaluation process and that the focus in this area was on implementing

the actions of the board; keeping the board informed about the opera-
tions in the district; and presenting reports to the board. Comprehen-
sive planning was the second most important area, and there was a focus
on accountability procedures. The other areas in descending order of
importance were staff personnel management; professional and personal
development; management of student services; and community public rela-
tions. In the last four areas, only one item under the management of
student services was rated high, and that item was being a liaison with
community agencies concerned with student services.

Interview Data

During the interviews most of the superintendents reported that
the evaluation criteria generally captured the major responsibility areas;
however, the responsibilities assumed by the superintendent are so numer-
ous there are no evaluation schemes that reflect the total range of the
responsibilities of the superintendent. The superintendents reported
that even when yearly goals are written, there are still time-consuming
maintenance tasks that are crucial to running a district but that are not
included in the yearly goals.

The range of superintendent responsibilities varied greatly de-
pending on the size of the district and the time of year. The superin-
tendents in the small elementary districts said that since they were the
only central office administrator, they did "everything." Superintendents

in the larger elementary districts and in the secondary and unit districts reported doing more specialized tasks in their jobs and employing assistants in the areas of finance, curriculum, and personnel.

The small elementary district superintendents stated that they were responsible for bus schedules, student discipline, and receiving and paying all bills. The other larger district superintendents did not personally handle the bus schedules, student discipline, and bill paying. The small elementary district superintendents also executed the same other tasks that were done by larger district superintendents.

One of the most important tasks reported was sustaining good public relations for the school district. The public relations function included being available to the staff and community and being highly visible. Communicating was also reported as a very important task. Communicating involved keeping the board informed on the events transpiring in the district; dispersing information to district personnel; and maintaining a positive image with the local radio station and press.

The larger elementary districts and secondary and unit district superintendents reported that monitoring the district consumed a great deal of their time. Monitoring the district involved keeping current on the status of all facets of district operations, making decisions, and problem solving, so as to avoid crisis situations.

Other areas that occupied the time of the superintendent were

getting the right people for a job; maintaining rapport with non-certifi-
cated staff; planning for the future within the fiscal capabilities of
the district; and working with legislators to keep them aware of educa-
tional interests and to get legislation passed that favorably affects
educational concerns.

Keeping the board of education pleased and satisfied was of
paramount concern to all superintendents. Most superintendents reported
that they relied on their human relations skills and personal charisma
to satisfy the boards. The superintendents noted that in education you
can set measurable yearly goals, but generally educational efforts do not
produce immediate, obvious, measurable results. Thus, many of the broad
educational goals are not easily measurable, are not measurable on a short
term basis, or are not achievable because of factors beyond the control of
the superintendent. Since the superintendent cannot rely on goal achieve-
ments alone to satisfy the board, superintendents reported that they rely
on their ability to work successfully with people. One superintendent
reported that his success was attributed to his talent in the area of
people dynamics. A second superintendent stated that a superintendent is
foremost a leader; he must lead the board to believe that what he wants
done is worthy of doing and more important than the money in their pockets.

The board presidents from small elementary districts disclosed
that their superintendents do everything that is involved in central of-
fice and district administrative operations.

The board presidents said that the public relations function was very important. Being a good listener was part of the public relations function of the superintendent. The superintendent was also responsible for building a good image for the school district to the community and the state legislators. The board presidents reported that communicating was an important function of the superintendent. The function of communicating involved the superintendent keeping the board informed on the status of district operations. The board presidents viewed the superintendent as an advisor who could present the "whole picture" to the board on an issue under consideration and then point out the positive and negative aspects of the situation so that the board has enough information to make an intelligent decision. The presidents reported that the leadership function of the superintendent was important. As the district leader, the superintendent was charged with the tasks of developing curriculum, managing the budget, and handling student personnel concerns. The managing of district personnel concerns was an important task, and the board presidents wanted the superintendent to handle the concerns of district personnel, so that district employees did not have to approach board members about district operational concerns.

The board presidents indicated that getting along with people was very important for the superintendent. The presidents said that they wanted their superintendent to be an honest, likable person that they could respect.

Analysis of Data

In comparing the ranks of the administrative areas used by boards as criteria to evaluate the superintendents, the administrative area of board relations was ranked the most important by all respondents. The board relations area was ranked first by the superintendents as well as by the board presidents. Comprehensive planning was the second most important area that was used as a criterion to evaluate the superintendent among all districts. Community public relations was ranked second lowest out of the six administrative areas. Professional and personal development was ranked the lowest of the administrative areas on the questionnaire.

What was meant by board relationship was not elaborated on by the respondents. Therefore, the superintendent has to work diligently to find out what is expected by the board and whether he has the option of changing those expectancies. The fact that the board rates professional and personal development of the superintendent low may present a problem for the superintendent. Although professional leadership may be what the board expects, the intangibles included in school board/superintendent relationships may outweigh professional concerns. Clarification of the expectations of the board would help the superintendent to meet the criteria which form his evaluation. The lack of clarity concerning what is meant by board/superintendent relations may influence the behavior of the superintendent relative to other evaluative criteria used by the board. No matter how successful he may be in comprehensive planning, the priority

of the board found in this study should be of primary concern for the superintendent who is to be evaluated positively.

Evaluation Instrument

The questionnaire asked the respondents to indicate the format that best described the evaluation instrument of the superintendent. During the interviews the participants were not asked any specific questions concerning the format of the evaluation instrument. However, during the course of the interviews comments were made concerning various formats; and the comments are reported in the interview section.

Item Number Seventeen

One section of the questionnaire presented the respondents with a list of formats that are used for the evaluation of the superintendent. The list was inclusive of all the suggested formats for superintendent evaluation that appeared in the review of the related literature. The respondents were asked to indicate which format best described the evaluation instrument for the superintendent. The responses are presented in Tables 40 and 41.

When the data were tabulated, the elementary district superintendents reported that the most frequently used evaluation format was a checklist rating. The checklist rating was used thirty percent of the time. Elementary superintendents reported a combination of two or more formats

TABLE 40

FORMAT OF THE EVALUATION INSTRUMENT - TALLIES

	Elementary Districts	Secondary Districts	Unit Districts	Combined	Rank
Checklist Rating	6 (5)		3 (2)	9 (7)	1.5 (1.5)
Essay Evaluation			1 (1)	1 (1)	7 (6)
Evaluation By Objectives	4		1	5	3 (8)
Forced Choice Rating	1	1 (1)		2 (1)	5 (6)
Graphic Profile	(1)			(1)	8 (6)
Performance Standards	2 (3)			2 (3)	5 (3)
Combination of two or more	6 (5)		2 (1)	9 (7)	1.5 (1.5)
No instrument	1 (1)	.	1 (1)	2 (2)	5 (4)

Note: * ( ) = Responses by board presidents.
    ** Some respondents checked more than one choice.
  *** Superintendents (N=22, however, there were 30 total responses);
     board presidents (N=21, however, there were 22 total responses).

TABLE 41

FORMAT OF THE EVALUATION INSTRUMENT - PERCENTAGES

	Elementary Districts	Secondary Districts	Unit Districts	Combined
Checklist Rating	30% (33%)	-	38% (40%)	30% (33%)
Essay Evaluation	-	-	13% (20%)	3% (5%)
Evaluation By Objectives	20%	-	13%	17% (24%)
Forced Choice Rating	5%	50% (50%)	-	7% (24%)
Graphic Profile	- (7%)	-	-	- (5%)
Performance Standards	10% (20%)	-	-	7% (14%)
Combination of two or more	30% (33%)	50% (50%)	25% (20%)	30% (33%)
No instrument	5% (7%)	-	13% (20%)	7% (10%)

Note: * ( ) = Responses by board presidents.
       ** Some respondents checked more than one choice.
      *** Superintendents (N=22, however, there were 30 total responses);
          board presidents (N=21, however, there were 22 total responses).

was used thirty percent of the time. The next most frequently used format was the evaluation by objectives which was used twenty percent of the time. Performance standards were reported used ten percent of the time, and a forced choice rating was used five percent of the time. Elementary district superintendents reported no instrument was used five percent of the time, and the essay evaluation was not mentioned as being used. Fifty percent of the secondary district superintendents reported that their evaluation instrument was a free choice rating, and fifty percent reported their instruments were a combination of two or more forms. Thirty-eight percent of the unit district superintendents indicated that a checklist rating was the form their evaluation instrument took. The checklist rating was the most frequently used form. Twenty-five percent of the elementary superintendents indicated that a combination of two or more formats was used. Thirteen percent of the elementary superintendents said that they used evaluation by objectives, thirteen percent said they used essay evaluation, and thirteen percent said they used no instrument.

Thirty-three percent of the elementary district board presidents reported that they used a checklist rating format, and thirty-three percent reported using a combination of two or more formats for their evaluation instruments. Twenty percent of the elementary district board presidents reported using a performance standards format; seven percent used a graphic profile format; and seven percent indicated that they used no instrument. Fifty percent of the secondary district board presidents reported using a

forced choice rating for their instrument, and fifty percent used a combination of two or more formats for their instruments.

Forty percent of the unit district board presidents reported using a checklist rating, and twenty percent an essay evaluation. A combination of two or more formats was used by twenty percent of the unit district board presidents, and twenty percent of the unit district board presidents reported that no instrument was used in the evaluation of the superintendent.

The combined scores indicated that thirty percent of all superintendents reported using a checklist rating, and thirty percent reported using an instrument with a combination of two or more formats. An evaluation by objectives was used by seventeen percent of the superintendents, and seven percent reported using a forced choice rating. Performance standards were reported used by seven percent of the superintendents, and seven percent reported that no instrument was used. The combined scores of the board presidents indicated that thirty-three percent reported using a checklist rating, and thirty-three percent reported using a combination of two or more formats. Twenty-four percent of the board presidents reported using an evaluation by objectives format, and fourteen percent reported using performance standards. Ten percent of the board presidents indicated that they used a forced choice rating format, and five percent reported using an essay evaluation. Ten percent of the board presidents indicated that they used no instrument in their evaluation of the superintendent.

Interview Data

Several superintendents indicated that their districts use a checklist instrument which they do not like. The checklist was not liked because there was often confusion as to the meaning of the statements and no provision for explaining or interpreting the ratings. Four superintendents reported that they had been evaluated with checklist formats exclusively in the past and now use a checklist and essay format so that the evaluators may annotate their ratings. One superintendent indicated that with a checklist format the board members were able to evaluate the superintendent arbitrarily because they were not forced to support their ratings with facts. Another superintendent reported that he encouraged his board to change instruments frequently. The superintendent indicated that when an instrument is used several times, the instrument gets stale; and the superintendent is unable to maintain high scores from evaluation to evaluation. By using different instruments, the board would have non-comparable outcomes; and it would be easier for the superintendent to sustain high ratings.

The board presidents who used a checklist format indicated that they were dissatisfied with a checklist. The checklist was faulted for having no provision for the opinions of an individual board member on issues other than those appearing on the checklist. The evaluation instrument was considered a problem by many board presidents because the board members were not able to write their own instruments. Board members

were not familiar enough with educational jargon, yet the pre-written

instruments did not fit the needs of the specific districts. The essay

evaluation presented a problem because of the diverse range of content

and comments that resulted when seven essays were combined into one evalu-

ation report.

Analysis of Data

The checklist rating or a combination of two or more formats were

reported as the evaluation instrument format used sixty percent of the

time among the districts in this population. The least used formats were

the forced choice rating format and the essay evaluation. A checklist

evaluation format is used by boards because it is easy to construct and

expedient to administer. However, there are several problems associated

with the use of a checklist rating system. A checklist may contain state-

ments that could be interpreted differently by the board members and dif-

ferently by the superintendent. The checklist instrument, when not used

in conjunction with another format is restricting in that the comments

of the evaluator must conform to the content in the format of the instru-

ment. The problems of interpreting checklist items may outweigh the ad-

vantages of the simplicity of the format. Few of the board members inter-

viewed commented on this potential problem.

The essay evaluation, which was one of the least popular evalua-

tion formats used, is problematic for the board members in that the format

requires the evaluators to have writing skills and all board members are not necessarily proficient writers. With practice some of the potential writing deficiencies can be overcome but the use of terms may raise legal questions. The difficulties expressed by the respondents in using the essay form of the evaluation do not relate to this later point but it is important to make this reference to alert those who may improve writing skills but may not know the law.

Summary of Purpose One

In Purpose One of the study the evaluation procedures, criteria, and instruments used by school boards when they evaluated their superintendents were identified and analyzed. In the section of the study on evaluation procedures the types of evaluations that exist and the steps of the evaluation process were reported. All participating districts had some system for evaluating the superintendent. Formal evaluation of the superintendent was more extensive and reported as preferable to an informal evaluation of the superintendent. About half of the time an informal assessment of the performance of the superintendent was made by the board prior to the formal evaluation. Formal evaluation was a recent adaptation. The average number of years for formal evaluation was reported as from two to five years. The origins of the evaluation systems were reported as evolving: in response to the demand for accountability; as a natural step from teacher evaluation; as a task the board could do; and from Illinois School Boards Association workshops.

Half of the districts had an official policy relative to the evaluation of the superintendent. Unit districts had an official evaluation policy more frequently than secondary or elementary districts. The boards of education received little training in conducting superintendent evaluations. When there was training, the training was generally from the Illinois or National School Boards Associations.

Two-thirds of the evaluation systems had been revised. The systems were revised to reflect the changing needs of the district and to make the system easier for the board to work with.

The planning for the evaluation of the superintendent was most frequently done jointly by the board and superintendent. And the evaluation, which was usually done annually, was most frequently scheduled jointly by the superintendent and board.

The evaluation was part of the contract of the superintendent in about half of the districts. When the evaluation appears in the contract of the superintendent, the contract states only that an evaluation will take place. There was not a clause in the contract of the superintendent that specifically said how the results of the evaluation would affect the salary adjustment of the superintendent.

The most important purposes for conducting the evaluation of the superintendent were to assess the present performance of the superintendent and to ascertain the achievement of district goals. The placating

of teachers' unions was the least important purpose for evaluating the superintendent.

The board members gathered most of their input to be used when evaluating the superintendent from the performance of the superintendent at board meetings/study sessions and from community input. More than half of the districts did not provide the superintendent with a written copy of the evaluation. The evaluations were all reviewed orally and were all done in executive session.

The evaluation process was reported as positive in that the process improved board/superintendent communications and provided the superintendent with feedback on his job performance. However, the evaluation process was time-consuming, sometimes hard to master for board members, and subjective.

Most districts had job descriptions for their superintendents. The most important criteria area that was evaluated was that of board/superintendent relations, and the least important area was the professional and personal development of the superintendent.

The most frequently used format for the evaluation was the checklist or a combination of two or more formats. A forced choice rating, graphic profile, and performance standard were the least frequently used formats for the evaluation instruments.

Purpose Two

The second purpose of the study is to compare the data elicited
from the respondents with the professional literature concerning the
evaluation procedures, criteria, and instruments used by school boards
when they evaluate their superintendents.

This section draws upon the responses reported on the question-
naires and the responses gathered during the personal interviews with
the superintendents and board of education presidents. All the data
were presented in Purpose One of this chapter. All the data will not
be repeated in Purpose Two but the data will be summarized or presented
in part when considered for purposes of comparison.

Purpose Two is organized so that the data and comparison are
presented in the same sequence as the sections in Chapter Two, Review
of the Related Literature. The Chapter Two sections are Purposes and
Effects of Administrative Appraisal; Performance and Role Responsibilities
of the Superintendent; and Evaluation Procedures and Instruments.

PURPOSES AND EFFECTS OF

ADMINISTRATIVE APPRAISAL

Summary of the Purposes of Administrative Evaluation
from the Related Literature

The early works on superintendent evaluation, such as the work
by Ward Reeder, indicated that evaluations were done to document the

dissatisfaction of the board with the superintendent prior to dismissal.[87] In the late 1960's the purpose of evaluating superintendents was reported by Roald Campbell as a means used by boards to be accountable to the public.[88] Robert Heller, in his 1978 paper presented at the annual meeting of the National School Boards Association reported that accountability continues to be a purpose for evaluating the superintendent.[89] In the 1970's the Educational Research Service published a report that listed increasing salary, promotion, demotion, and remediation as reasons that boards evaluate their superintendents.[90] On an ERS report later in the 1970's the list of purposes for evaluating superintendents expanded to include enhancing superintendent/board communications, defining superintendent/board roles, and encouraging and praising the superintendent.[91] Robert Roelle, in the late 1970's, added the encouraging of professional growth and the placating of teachers' unions to the purposes for evaluating the superintendent.[92]

Comparison of the Purposes of Administrative Evaluation Data from the Related Literature with the Purposes of Administrative Evaluation Data in the Questionnaire/Interviews

The literature indicated that at the advent of the evaluation of

[87]Reeder, School Boards and Superintendents, p. 68.

[88]Campbell, "Evaluation of Administrative Performance."

[89]Heller, "Superintendent Evaluation."

[90]Evaluating Administrative/Supervisory Performance, p. 23.

[91]Kowalski, Report on Evaluating Superintendents and School Boards, pp. 20-23.

[92]Roelle, "A Six-Point Plan," p. 36.

the superintendent the purpose of the evaluation was to support the dismissal of the superintendent. In this study the dismissal of the superintendent was not reported as an important purpose for conducting an evaluation. Recently the literature stated that the placating of teachers' unions was also a purpose for evaluating the superintendent; however, the participants rated this purpose as unimportant. The two purposes with negative connotations were not important purposes for superintendent evaluation among the population. As the purposes of the evaluation were not viewed as negative purposes, the superintendents being evaluated may enter into the evaluation process with less anxiety.

The ERS reports reported that the increasing of communication between superintendents and boards was an important purpose of the evaluation. The results of the study show that the evaluation does enhance board/superintendent communication in that during the evaluation the board finds how well the district goals are being met and sets goals for the coming year. The data from the study suggested that the most important purpose of the evaluation was to assess the achievement of the district goals for the year that were set by the board and superintendent. The ERS report also said that another purpose of evaluation was to define the role of the superintendent and board. The defining of the role of the superintendent was not ranked as a high purpose on the questionnaire, but during the interviews the respondents did indicate that it was very important that the roles of both the superintendent and the board were

clear. The confusion over roles was identified as a primary source of superintendent/board conflict.

Assessing the present performance in accordance with job expectations was reported as an important purpose of evaluation in the study and in the literature. The literature reported that the evaluation gave the superintendent direction for remediation of his behavior. During the interviews several informants indicated that the evaluation provided the superintendent with a fair chance to change his behavior.

The literature said that the superintendent and board were accountable to the community. When the evaluation of the superintendent showed that he was doing a good job, the board could justify to the community a raise in pay for the superintendent.

The literature and the interview data showed that the evaluation was done to encourage and praise the superintendent. Encouraging the professional growth of the superintendent was considered an important purpose of the evaluation in the literature, but not in the Will County population.

Several other purposes for the evaluation of the superintendent were reported during the interviews, but were not in the related literature. The purposes cited by superintendents were to afford the superintendent due process; provide a performance record that may be used for job security when having to make an unpopular decision; and provide a written performance profile that may be used when looking for a new job. A final purpose of the evaluation cited by board presidents was to raise the morale of the staff.

Summary of the Effects of Administrative

Appraisal from the Related Literature

Once school boards began formally evaluating their superinten-

dent, the board members sought sources to tap for guidance in the area

of evaluation. The Illinois and National School Boards Associations, as

well as the American Association of School Administrators, published books

and held workshops on developing a plan for the evaluation of a superinten-

dent.

The Educational Policies Service of the National School Boards

Association recommended that a policy statement concerning the evaluation

of the superintendent be adopted at the local level. The policy statement

should include a specific rationale for the evaluation of the superintendent.

The A.A.S.A. and N.S.B.A. also indicated that the evaluation of the

superintendent should be included as part of the contract of the superin-

tendent.[93] Several districts, like the Kalamazoo, Michigan School District,

went one step further and incorporated into the contract of the superinten-

dent a merit pay plan that tied the salary adjustment of the superintendent

directly to the results of the evaluation.[94]

Dallas Dickinson reports that the evaluation process has had the

effect of forcing school boards to provide direction for the superintendent

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[93]Evaluating the Superintendent, p. 115.

[94]Kowalski, Evaluating Superintendents and Boards, p. 4.

by determining the priority of the responsibilities of the superinten-
dent.[95]

Comparison of the Effects of Administrative Appraisal Data from the Related Literature with the Effects of Administrative Appraisal Data in the Questionnaire Interviews

The N.S.B.A., I.S.B.A., and A.A.S.A. provide workshops and books for training board members in the superintendent evaluation process. Few districts in the sample had received any training; but those who did have training, for the most part, received it from the Illinois School Boards Association. The cost of attending training sessions, lack of motivation on the part of the board, and lack of awareness of training materials and opportunities were cited as reasons for board members having little training in the evaluation process.

Only half the districts in the sample had an official evaluation policy relative to the evaluation of the superintendent even though the National School Boards Association advocated that districts adopt an official policy statement relative to the evaluation of the superinten- dent. The districts that had policy statements indicated that the policy did not include an extensive rationale for the evaluation, but did include that an evaluation of the superintendent would be conducted by the board of education once a year.

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[95]Dickinson, "Superintendent Evaluation Requires A Step-By-Step Plan," p. 38.

The A.A.S.A. and N.S.B.A. recommended that the evaluation of the superintendent be included as part of the contract of the superintendent. A little more than half of the population reported that the evaluation was part of the contract of the superintendent. When the evaluation was included as part of the contract, the contract said that an evaluation would take place. There were no districts in which the evaluation of the superintendent was part of a merit pay plan.

In the literature the evaluation process was reported as having the effect of determining the priorities of the responsibilities of the superintendent. During the interviews the board presidents reported that the evaluation process had the effect of forcing the board members to reach a consensus as to the most important goals for the district. The superintendents reported that the process provided direction concerning the most important goals for the year. Once the mundane mandatory concerns were taken care of, the superintendent spent his time working on the district goals that the board had set for the year.

PERFORMANCE AND ROLE RESPONSIBILITIES
OF THE SUPERINTENDENT

Summary of the Performance and Role Responsibilities
of the Superintendent from the Related Literature

Booth and Glaub reported that the most recent trend in superintendent evaluation is away from the assessment of personal characteristics

and towards an assessment of the performance results of the superinten-
dent.[96] Larry Cuban noted that the criteria used should consist of per-
formance objectives that are measurable and are not beyond the control
of the superintendent.[97] When the performance of the superintendent is
measured, Bernstein and Sawyer recommend that the criteria should desig-
nate what is considered to be a minimally acceptable performance level
as well as an optimum performance level.[98]

The literature reports that actual criteria for evaluating the
superintendent are drawn from many sources. The A.A.S.A. and N.S.B.A.
suggest that the specific criteria may be found in the job description of
the superintendent, district goals, and needs of the professional staff.[99]
The actual administrative areas that are suggested by the A.A.S.A. and
N.S.B.A. for evaluating the superintendent are board relations, community-
public relations, staff personnel management, business and fiscal manage-
ment, facilities management, curriculum and instructional management,
management of student services, comprehensive planning, and professional
and personal development.[100]

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[96]Booth and Glaub, Planned Appraisal of the Superintendent, p. 60.

[97]Cuban, "Why Not Tell the Superintendent Twice A Year?" p. 2.

[98]Barraclough, Evaluation of School Administrators, p. 19.

[99]Evaluating the Superintendent, p. 45.

[100]Ibid., p. 42.

Comparison of the Performance and Role Responsibilities

of the Superintendent Data from the Related Literature

with the Performance and Role Responsibilities of the

Superintendent Data in the Questionnaires/Interviews

The literature reports that the most recent trend in superintendent evaluation is away from the assessment of personal characteristics and towards the assessment of the performance of the superintendent. In the last two to five years half of the districts in the sample have adopted formal evaluation systems, and two-thirds of these districts reported that the boards and superintendents jointly planned district goals. The achievement of district goals was ranked as the most important purpose of the evaluation. However, during the interviews many of the informants said that the personality of the superintendent was also an important factor in the evaluation, and the personality of the individual in the position of superintendent may not be separated from the role incumbent. If the superintendent was "liked" and "respected" by the board, the superintendent was reported as having an advantage in keeping his job. The ability to work with people and project a favorable image to the community was also reported as important. Most of the superintendents reported that the setting of achievable goals did provide the school board with a measurable commodity. The evaluation process is somewhat depersonalized by the setting of measurable goals, however the personality of the superintendent is always present and does have an impact on the evaluation results.

The literature said that school boards should not try to evaluate everything the superintendent does. Also the literature stated that the items that are evaluated should be measurable and not dependent on factors that are beyond the control of the superintendent.

Except for one district that used no instrument and one district that used an essay format, all districts rated the superintendent by using some scale. Only two districts reported what would be minimal and optimal performance standards. The literature suggested that when using performance standards, the board should designate minimal and optimal performance levels. Two-thirds of the districts reported having revised their evaluation system. When the revisions were completed, the respondents said that there were fewer items on the evaluation; and the day-to-day activities of operating the district were not evaluated. The items that were on the evaluations after the revisions were goal-oriented and measurable. A few items that were reported in the interview as being evaluated were in part composed of factors beyond the control of the superintendent. The reported items that were in part beyond the control of the superintendent were improving the achievement scores of each student; controlling the monies available to the district; and maintaining a positive school image all of the time in the eyes of the community.

The specific criteria for the evaluation of the superintendent were found in the job description of the superintendent, in the district goals, and in the needs of the professional staff. The literature suggested these

sources should be tapped when the evaluation criteria are determined. However, not all districts tapped all three sources. Two of the districts did not have a job description for the superintendent and only one district mentioned the use of input from the district principals as a source of obtaining evaluation criteria.

The A.A.S.A. and the N.S.B.A. suggested nine administrative areas that may be used in the evaluation of the superintendent. All of the nine areas that were mentioned in the literature were used by some of the districts. However, some individual items were ranked as not very important or not used by some districts. According to the data in Table 37 the three items that were used least among elementary districts in the sample were periodic communications to the community; management of enrollment and attendance policies and procedures; and training administrators and supervisors in planning. The three items that were used least among secondary districts were periodic communications to the community; contributions to the profession by writing and speaking; and participation in local, state, and national professional organizations. The three items that were used least among unit districts were periodic communications to the community; management of student behavior and discipline; and participation in local, state, and national professional organizations.

EVALUATION PROCEDURES

AND INSTRUMENTS

Summary of the Evaluation Procedures from
the Related Literature

The most frequent recommendation in the literature is for the
school board members to do their own evaluation of the superintendent.
However, in a 1978 survey done by the American School Board Journal, two
suggested alternatives were to have a subcommittee of the board do the
evaluation or to employ an outside consultant to direct the evaluation
of the superintendent.[101] Donald McCarty suggested that board members
use several sources to gather input on the performance of the superinten-
dent. Among the recommended sources were monthly progress reports; board
minutes; observations made at board meetings; superintendent self-apprais-
als; and input from subordinate administrators, teachers, students and
community members.[102]

The Educational Research Service in a 1971 survey found that the
larger districts were more likely to evaluate administrative behavior than
the smaller districts.[103]

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[101]"Finding," p. 47.

[102]McCarty, "Evaluating Your Superintendent," p. 39.

[103]Greene, Administrative Appraisal, p. ix.

Evaluations are either informal or formal. Informal evaluations are verbal appraisals that are either continuous throughout the year or take place at a special meeting of the board.[104] An informal oral evaluation may be a problem in that there may be a misunderstanding of the meaning of the evaluation and the parties involved may not remember the content of the evaluation over time.[105]

The consensus in the literature is that a formal evaluation, jointly planned and in writing, is the best.[106] Suzanne Stemnock prepared a 1972 Educational Research Service Report which suggested that the following be included in a formal evaluation: a set of evaluation standards; an evaluation schedule; a composite report listing strengths and weaknesses; a frequency of once a year; and an evaluation of the board by the superintendent.[107]

Comparison of the Evaluation Procedures Data from the
Related Literature with the Evaluation Procedures
Data in the Questionnaires/Interviews

In all the districts in this study the school board members conducted the evaluation of the superintendent. The evaluation of the super-

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[104]Kowalski, _Evaluating the Superintendent and School Board_, p. 8.

[105]_Evaluating the Superintendent_, p. 31.

[106]Dickinson, "Superintendent Evaluation Requires A Step-By-Step Plan," p. 34.

[107]Stemnock, _Evaluating the Superintendent of Schools_, p. 3.

intendent by the board was the recommendation also mentioned in the literature. The literature suggested a board subcommittee or an outside consultant could also be used to do the evaluation. Presently neither alternatives are being used although in the past one district had used an outside consultant to help the board conduct the evaluation of the superintendent.

All of the input sources listed in the literature were used by the elementary and unit districts in the study. The secondary districts in the study did not use the self-evaluation of the superintendent or monthly progress report as a source of input from which to judge the performance of the superintendent. The importance of the sources varied from district to district. Two additional sources of input that were used by the participants in the study but not mentioned in the literature were observations on social occasions and input from non-certificated staff.

The Educational Research Service findings indicated that larger school districts were more likely to evaluate administrative behavior than smaller school districts. The ERS findings were not supported by this study as all the districts evaluated their superintendents, and the sample included districts with as few as 250 students and districts with as many as 13,700 students.

The literature reported that the informal evaluation was usually oral and either ongoing throughout the year or done at a special board

meeting. During the interviews only one district reported that the informal evaluation was continuous throughout the year. All the other districts conducting informal evaluations scheduled the evaluation. All informal evaluations were done orally. The literature reported that the misunderstanding or forgetting of what was said during the evaluation was a problem. These problems were not cited during the interviews, but some respondents in districts using informal evaluation systems reported that getting the evaluation done was a problem.

The formal evaluation, jointly planned and in writing, was cited in the literature as the best type of evaluation. Even though the formal evaluation was considered the best in the literature, a little more than half of the districts in the sample had formal evaluation systems. However, the evaluations were almost always jointly planned and often in writing. All the formal evaluation systems in the sample had a set of evaluation standards, an evaluation schedule, and a once-a-year frequency. These items were recommended in the professional literature. Even though most of the districts compiled a composite evaluation report, there was not enough information to determine whether the formal evaluations addressed the strengths as well as weaknesses of the superintendent. The literature recommended that the superintendent evaluate the board as part of the evaluation process. There were no instances in this population in which the superintendent actually evaluated the board, but three respondents indicated that they would like to try the procedure.

Summary of Evaluation Instruments from

the Related Literature

Robert Greene, in his 1972 work on administrative appraisal, concluded that the evaluation process was more important than the evaluation instrument. However, the instrument was a vehicle that could be used to accomplish the evaluation task; and the instrument forced the evaluator to commit to writing a judgment about the performance of the superintendent.[108]

The A.A.S.A. and N.S.B.A. assembled a continuum that depicted past practices and new techniques. The continuum ranged from no planned procedures to informal assessments. Next came trait ratings, refined checklists, and performance standards with pre- and post-assessment conferences. Finally came the use of performance objectives with an emphasis on results achieved, and lastly the use of reciprocal evaluation techniques.[109]

The most commonly used instruments were the checklist and rating scales because they are expedient and easy to use. However, the checklist and rating scales are confusing in terms of their scales and language and

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[108]Greene, Administrative Appraisal, p. 2.

[109]Evaluating the Superintendent, p. 7-8.

give little information about administrative performance. Even though
the written objective approach is time-consuming, it is gaining in popu-
larity.[110]

Comparison of the Evaluation Instruments Data from the
Related Literature with the Evaluation Instruments
Data in the Questionnaires/Interviews

During the interviews most of the respondents reported that the
evaluation instrument was only one small aspect of the whole evaluation
process. This input substantiates the opinion of Robert Greene who re-
ported that the evaluation process was more important than the evalua-
tion instrument.

According to the instrument continuum established by the A.A.S.A.
and N.S.B.A., most of the districts in the Will County sample are in the
middle of the continuum. The checklist was reported as one of the most
commonly used instruments in the literature and in the sample. However,
the data in the sample said that some districts have combined their check-
lists with performance standards; and a few districts are using a perfor-
mance standards instrument format. The use of reciprocal evaluation
techniques is not currently used, but has been mentioned as a good idea
by three respondents in the sample.

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[110]Booth and Glaub, Planned Appraisal of the Superintendent,
pp. 31-37.

Summary of Purpose Two

In Purpose Two of the study a comparison was made of the data presented in the professional literature concerning the evaluation procedures, criteria, and instruments used by school boards when they evaluate their superintendents with the findings in the study as they are reported in the questionnaires and during the interviews.

The purposes for evaluating the superintendent that were stated in the related literature were found in the study. The positive purposes for evaluating the superintendent were ranked as more important by the participants than were the negative purposes for evaluation. Affording the superintendent due process and job security were purposes of the evaluation that were in the study but not in the literature. Raising staff morale and having a vita entry were also cited as purposes of the evaluation by respondents but not by the writers in the professional literature.

Few board members in the sample had had training in conducting evaluation even though the literature recommended that the board members be trained to do their own evaluations.

The adoption of an evaluation policy was recommended in the literature but only done by half of the participating districts. The A.A.S.A. and N.S.B.A. considered the evaluation a necessary component of the contract of the superintendent, and half of the districts had incorporated the evaluation into the contract of the superintendent.

In the literature and in the sample, the evaluation process had the effect of forcing the board to determine its priorities for the superintendent and forcing the superintendent to improve his time management.

The literature advocated the use of measurable criteria that were based on performance goals and within the control of the superintendent. With few exceptions the evaluation criteria used by the population in the study were measurable and within the control of the superintendent. However, the existence of performance goals did not have the effect of diminishing the importance of the evaluation of the personality of the superintendent.

The specific criteria for the evaluation of the superintendent were found in the job description of the superintendent, in the district goals, and in the needs of the professional staff. The professional literature advocated the use of these sources. The literature suggested that all nine administrative areas be used in the evaluations. The districts in the sample used all nine administrative areas in the evaluation of their superintendents.

The districts followed the recommendations in the literature and had the school board members do the evaluations. Most of the input sources mentioned in the literature were used by the board members to gather information on the performance of the superintendent.

Both the large and small districts in the sample conducted evaluations of their superintendents even though the literature said that larger school districts were more likely to evaluate their superintendents than smaller ones. The literature and the data from the sample reported that informal evaluations were done orally and annually. The formal, jointly planned, written evaluation was preferred in the literature and used by a little over half of the districts in the sample. The literature recommended a composite report be given to the superintendent by the board and that the superintendent evaluate the board. In the sample most of the evaluations were composite evaluations, but the superintendent did not evaluate the board.

In the literature and during the interviews the informants said that the evaluation procedure was more important than the evaluation instrument. The literature and sample reported checklist rating as the most frequently used format. However, some districts in the sample were using either wholly or in part a performance standards format.

Purpose Three

The third purpose of the study was to determine the implications of the findings for board/superintendent relations in terms of Knezevich's administrative functions of communicating, appraising, deciding-resolving, and leading. The functions are listed in descending order of importance.

The importance of a function was determined by the frequency with which the function was mentioned in relationship to the evaluation process. The more frequently the function was mentioned, the more important the function was determined to be.

This section draws upon the responses reported on the questionnaires and the responses gathered during the personal interviews with the superintendents and the board of education presidents. All the data were presented in Purpose One of this chapter. All the data will not be repeated in Purpose Three, but the data will be summarized or presented in part when considered for analysis.

The development of this section of the dissertation is far less detailed than the treatment of Purposes One and Two. The major reason for the general treatment of the data in Purpose Three is the difficulty in dealing with the preciseness suggested by these four administrative functions. The questionnaire and interview data emphasized the development and use of evaluative instruments and processes in assessing the role of the superintendent. Only indirectly were administrative functions discussed. The importance of identifying key administrative functions was intended to add a theoretical base to this dissertation, but the data obtained did not apply as well to these functions as was intended when the dissertation was begun.

According to the data in Table 38, superintendents and board presidents both rated board/superintendent relations the most important

administrative area evaluated. To make the analysis more manageable, the author has analyzed the data in the study by considering one Knezevich function at a time.

Communicating

The administrative function of communicating was defined by Knezevich as follows:

> This function is concerned with the design of information channels and networks as well as the supply of relevant information in the form most useful to various points in the system. It provides for the information flow (up or down, in or out of the system) essential to other functions such as unification, motivation, and decision making.[111]

When there is an exchange of information in regard to the evaluation of the superintendent, the flow of information is primarily between the board and the superintendent. Some board presidents indicated during the interviews that they began to evaluate the superintendent to find out what he was doing. One superintendent reported requesting an evaluation so he could have an opportunity to tell the board what he was doing. The evaluation process serves as an occasion for the exchange of information between the board and the superintendent, as sixty-eight percent of the districts reported that the evaluation is jointly planned between the superintendent and the board. Therefore, the evaluation process provides the

[111]Knezevich, Administration of Public Education, p. 38.

superintendent with an occasion for communicating with the board members, and communicating with the board is an important first step in establishing a harmonious board/superintendent relationship.

In most districts, before the actual evaluation of the superintendent, the board and the superintendent jointly determine the district goals for the coming year. The determining of district goals is very important as the most important rated item in the board/superintendent relationship area was the implementation of board actions. The superintendent needs to know the goals of the board before he can implement them, and the setting of district goals was generally part of the process of the evaluation of the superintendent.

The keeping of the board informed about operations in the district was rated as an important item in board/superintendent relations. The data in Table 32 indicate the item rated most important because at this time the board members could observe the actions of the superintendent. The board meetings and study sessions are one of the few times that the board members directly observe the superintendent at work. Thus the superintendent can use the board meetings and study sessions as a time to report to the board on how well the district goals are being met.

Another vehicle of communication between the board and the superintendent was the self-evaluation of the superintendent. Elementary and unit district superintendents submitted self-evaluations to their boards,

but secondary superintendents did not do a self-evaluation. No reason
was given as to why the secondary superintendents did not do a self-
evaluation. The self-evaluations that were done were done prior to the
formal evaluation and afforded the superintendent an opportunity to com-
municate in writing with the board members. The self-evaluation was im-
portant to the superintendent in that as long as the achievement of the
district objectives was part of the self-evaluation, any other informa-
tion that the superintendent wanted to include in the self profile could
be inserted. To a certain extent the superintendent controls the content
of the self-evaluation and therefore to a degree controls the view the
board has of his performance. Since the board members each receive a
copy of the self-evaluation, each member may seek clarification from the
superintendent on an area of concern.

As the superintendent and board members plan the evaluation to-
gether, set district goals, and then assess the achievement of the goals,
their respective roles are defined. The roles of the board and superin-
tendent become defined through their interaction. Once their roles are
clear, there is less occasion for misunderstanding; and the board/super-
intendent relationship can be more harmonious.

According to Table 32, board presidents rated community input as
the third most important source of input on the performance of the super-
intendent. During the interviews several board presidents reported that

they wanted their superintendents to be highly visible in the community.
The board/superintendent rapport is in part dependent on the input the
board members receive from the community. Therefore, good communication
between the superintendent and the community will help to improve the
rapport between the board and the superintendent.

The evaluation process was reported in the interviews as a legiti-
mate vehicle for board members to use to voice concerns. If a good rap-
port is to be sustained between the board and the superintendent, board
members must have a comfortable forum for airing concerns.

Appraising

The administrative function of appraising was defined by Knezevich
as follows: "The administrator requires the courage to assess or evaluate
final results and to report the same to his constituency."[112]

The superintendent keeps the board informed about the operations
in the district. When preparing a report for the board, the superintendent
must appraise the progress being made by district personnel and interpret
the progress of the school board. The rapport of the superintendent with
the board is in part dependent upon the ability of the superintendent to
present the board with a comprehensive profile of the status of the dis-
trict and to make recommendations for alternative plans of action. Since

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[112]Ibid., p. 37.

the superintendent supervises all district employees at least indirectly, he is in a position to provide the board with the input they need in order to make district policy.

During the interviews several informants said that it is the professional responsibility of the superintendent to alert the board to educational issues that may have ramifications for future district operations. Board presidents indicated that they were more pleased with their superintendents when the superintendents were able to forecast issues of future concern. Board presidents who were alerted to issues in advance reported that their superintendents kept them "on top of things."

When the school board is struggling with an evaluation system, the superintendent should assist the board with the revision of the process, instrument, or both. Several board presidents reported that their superintendents recommended revisions in the evaluation system which their district was using. When the superintendent was instrumental in helping the board improve the evaluation system, the board/superintendent relationship was enhanced.

Deciding-Resolving

The administrative function of leading was defined by Knezevich as follows: "This function focuses on resolution of choices, that is, determining which of the many possible courses of action will be pursued."[113]

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[113]Ibid., p. 37.

During the interviews several instances were mentioned by the informants as occasions when the administrative function of leading was exercised by the superintendent. When the board addresses the task of setting yearly goals for the district, the setting of goals is usually done with the superintendent. At that time the superintendent works with the board members to set district goals for the coming year, and must decide which goals should be considered for the year. When the superintendent provides input to the board members on the goals he recommends be considered for the next year, he must first decide which goals would most benefit the school district. The superintendent is ultimately responsible for the attainment of the district goals that have been set jointly with the board. The superintendent must make decisions as to how the fiscal and human resources of the district will be used in order to attain the stated goals. The superintendent is responsible for reporting to the board members the progress being made on achieving the district goals throughout the year. The superintendent must decide not only what information to share with the board, but when the information should be shared and what form the reporting of the information should take.

Leading

The administrative function of leading was defined by Knezevich as follows: "Stimulating or motivating personnel to action and towards objectives."[114]

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[114]Ibid., p. 37.

The superintendent has the responsibility of accomplishing the yearly goals that have been determined by the board. The data in Table 28 showed that the second most important purpose of the evaluation was to ascertain if the district goals had been achieved. The achieving of district goals was reported by the board presidents as an important reason for conducting the evaluation. During the interviews several of the board presidents reported that it was the responsibility of the superintendent to see that the goals were accomplished. The superintendent was autonomous in his professional approach to running the district. As long as the superintendent was able to motivate district personnel towards the accomplishment of district goals, the board presidents reported that they did not interfere with the motivational techniques used by the superintendent.

Summary of Purpose Three

Of the nine criteria areas used to evaluate the performance of the superintendent, the area of board/superintendent relations was rated the most important.

The administrative function of communicating was the most critical function analyzed in the establishing and sustaining of a positive board/superintendent relationship. The evaluation process provided an occasion for: the sharing of information between the board and superintendent; the updating of the board by the superintendent on current district business;

the planning together of district goals for the coming year; the assessing of the accomplishments of the goals of the past year; and the suggesting of changes in the behavior of the superintendent.

The administrative function of appraising was important to the school boards. The board relied on the superintendent to assess which issues needed to be addressed by the board and to present the issues to the board with recommendations for alternative resolutions. Assessing issues which may be of future concern and alerting the board to the issues were also important to board/superintendent relations.

The superintendent was expected to use his professional expertise to make recommendations for the resolution of problems that confronted the school board. Additionally, the superintendent was expected to provide the necessary leadership for the district staff so that the goals designated by the board could be accomplished.

CHAPTER IV

SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

Chapter Four is divided into three parts. The first part of the chapter is a concise summary of the purpose, procedures, and findings of the research. The second part of the chapter consists of the conclusions reached in relationship to each of the three stated purposes of the study. The last part of Chapter Four is devoted to recommendations for school boards and superintendents relative to the research findings and recommendations for further study.

Summary

The general purpose of this study is to analyze the systems used by school boards to evaluate superintendents among the public school districts in Will County, Illinois.

Specifically, this study attempted to identify and analyze the evaluation procedures, criteria, and instruments used by school boards when they evaluated their superintendents. A second purpose is to compare the data from this study with the data presented in the professional literature concerning the evaluation procedures, criteria, and instruments used by school boards when they evaluate their superintendents.

The third purpose of the study is to determine the implications of the findings for board/superintendent relations in terms of Knezevich's administrative functions of communicating, appraising, deciding-resolving, and leading.

The procedures used in this study include a review of the related literature to gather information used in the construction of the questionnaire and interview guide. The questionnaire was field tested, modified, and sent to all twenty-nine public school superintendents and board presidents in Will County, Illinois. Twenty-two superintendents and twenty-one board presidents returned the questionnaires. All forty-three respondents were interviewed. The purposes of the interview were to verify information given in the completed questionnaires; to gain further insights into a selected group of questions on the questionnaire; and to ascertain the ramifications of the presence of an evaluation system and the reason or reasons for any changes in the evaluation system.

The data elicited from the questionnaires and personal interviews were tabulated and analyzed. The analysis described and interpreted trends, common elements, uniquenesses, and contrasts among districts between superintendents and board presidents. The findings in the sample were compared to the findings in the professional literature. The data gathered from the sample were analyzed in terms of Knezevich's functions of communicating, deciding-resolving, leading, and appraising to determine their implications for board/superintendent relations.

The following findings are the results of this study:

1. All districts evaluate their superintendents, but only half of them have an official evaluation policy. Formal evaluations are more common than informal evaluations. Most of the formal evaluation systems have been adopted and then revised in the last five years. The evaluations are usually done annually and jointly planned by the board and the superintendent. When informal assessments are done prior to a formal assessment the informal assessment takes the form of a self-assessment which is done by the superintendent. Secondary district superintendents generally receive a written copy of their evaluations and unit and elementary district superintendents generally do not receive a written copy of their evaluations. Elementary districts generally do not have the evaluation of the superintendent as part of the contract of the superintendent. Unit and secondary districts customarily include the evaluation as part of the contract of the superintendent. When the evaluation of the superintendent appears in the contract, specific details of the evaluation process are not mentioned. The most important purposes of the evaluation are to assess the present performance of the superintendent and ascertain the achievement of district goals. The retention of the superintendent is as dependent on the personality of the superintendent as it is on the achieving of district goals. The most frequently used evaluation instruments are the checklist or a combination of two or more formats.

2. The data from the study expanded upon the purposes listed in the literature for evaluating the superintendent. Few boards had received training in conducting evaluations of the superintendent even though the literature recommended training for board members. Only half the districts followed the recommendation in the literature to include the evaluation in the contract of the superintendent. The literature advocated the depersonalization of the evaluation process and the use of measurable criteria within the control of the superintendent. Measurable criteria within the control of the superintendent are used in the sample, but the evaluation process is not depersonalized. The nine administrative areas listed in the literature are generally used in the sample. The job description of the superintendent, district goals, and needs of the professional staff are listed in the literature as sources for the evaluation criteria and used in the sample studied. The formal, jointly planned, written evaluation is preferred in the literature and used by over half the districts in the sample. In the literature and during the interviews the informants indicated the evaluation process is more important than the evaluation instrument.

3. Communicating is the most important administrative function in the establishing and sustaining of a positive board/superintendent relationship. Appraising is the second most important administrative function. Deciding-resolving is the third important administrative function. Leading is the fourth administrative function.

Conclusions

This section of Chapter Four details the conclusions reached as a result of the research concerning the evaluation systems used by public school district boards to evaluate their superintendents in Will County, Illinois. The section is divided into three parts. Each part addresses one of the three stated purposes of the study.

Purpose One

The first purpose of the study is to identify and analyze the evaluation procedures, criteria, and instruments used by school boards when they evaluate their superintendents. The conclusions include all types of districts. When there is a difference in findings, the difference will be noted when appropriate. The conclusions reached as a result of the study are

1. Even though all school districts in the Will County population evaluate their superintendents, the official policy statements for the evaluation of the superintendents are not detailed enough to provide sufficient direction for the boards when they conduct the evaluations.

2. The evaluation systems and instruments used by boards to evaluate their superintendents are undergoing revisions as in their current forms the evaluation systems and instruments do not sufficiently meet the needs of the districts.

3. The relationship of the superintendent to the board is the most important criteria area evaluated, and the role of the superintendent at board meetings and study sessions is the most important source of input regarding the performance of the superintendent.

4. School board members are not well versed in the mechanics of evaluation and need more in-service training in the area of conducting evaluations of their superintendents.

5. The superintendents do not have a clearly defined active role in the evaluation systems relative to the assessment of their own performance and generally do not provide training for board members in the evaluation process.

Purpose Two

The second purpose of the study is to compare the data elicited from the respondents with the professional literature concerning the evaluation procedures, criteria, and instruments used by school boards when they evaluate their superintendents. The conclusion is that in the professional literature several recommendations are made concerning administrative appraisal. The recommendations that are in the professional literature and are not done by most districts are

1. Train board members in the process of evaluating the superintendent.

2. Adopt an official policy for the evaluation of the superintendent. (The secondary districts do follow this recommendation.)

3. Include the evaluation of the superintendent as part of
   the contract of the superintendent.
   (The secondary districts do follow this recommendation.)

4. Have the superintendent evaluate the board.
   (Not followed by any of the districts.)

The recommendations that are in the professional literature and are

done by most districts in the sample are

1. Use performance goals to measure the achievement of
   the superintendent.

2. Draw upon the job description of the superintendent, district
   goals, and needs of the professional staff as sources for
   the specific criteria for the evaluation of the superintendent.

3. Have the board members conduct the evaluation of the
   superintendent.

4. Conduct an annual, jointly planned, evaluation of the
   superintendent.

5. Present a composite evaluation to the superintendent in
   executive session.

Purpose Three

The third purpose of the study is to analyze the data to determine

the implications of the findings for the board/superintendent relations in

terms of Knezevich's administrative functions of communicating, appraising,

deciding-resolving, and leading. The conclusions are

1. Communicating is the most important administrative function

as it provided an occasion for the updating of the board by the superin-

tendent; the planning together of district goals; the assessing of accom-

plishments; and the suggesting of changes in the behavior of the superin-

tendent.

2. Appraising is the second most important function in that the board relied on the superintendent to assess which issues needed to be addressed by the board and to make recommendations to the board for alternate resolutions.

3. Deciding-resolving is important in that the superintendent is expected to use his professional expertise to make recommendations to the board to aid in resolving educational concerns.

4. Leading is important in that the superintendent is responsible for motivating district personnel towards the accomplishment of goals designated by the board.

Recommendations

Recommendations For Boards and Superintendents

1. When an evaluation of the superintendent is undertaken by the board of education, the evaluation should be a formal evaluation.

2. The formal evaluation should be adopted as board policy. The formal evaluation policy should be specific enough so that it provides direction for the board.

3. The formal evaluation process should be jointly planned by the board members and the superintendent and scheduled so that the board and the superintendent have time to prepare for the evaluation.

4. The formal evaluation should be preceded by an informal evaluation and should be included in the language of the contract of the superintendent.

5. The formal evaluation should occur once a year before the renewal of the contract of the superintendent.

6. The board should do the evaluation themselves, put the evaluation in writing, and give a written copy of the evaluation to the superintendent.

7. The evaluation should be done in executive session.

8. The superintendent should have the option of evaluating the board and presenting the results after he has received his evaluation.

9. School board members should receive training and assistance in the area of conducting an evaluation of the superintendent.

10. Board members need to draw upon as many sources of information as possible in order to gather input concerning the performance of the superintendent.

11. The criteria in the evaluation instrument should be stated in lay terms and should be items that are within the control of the superintendent.

12. The number of items on the evaluation instrument should be limited, and only the most important current district goals should be evaluated unless there is a specific reason to evaluate maintenance tasks.

13. The personal characteristics of the superintendent as well as the district goal achievements should be included in the evaluation.

Recommendations For Future Study

1. A replication of this study should be conducted in another county in Illinois. The purposes of the replicated study would be to see if the findings in the Will County study are confirmed by the findings in another county and to identify the conditions which would account for differences between the studies.

2. A follow-up study should be conducted in Will County in four years. Formal evaluation systems have only been used in most of the districts in Will County in the last four years. The study would seek to determine if the use of formal evaluation systems increases; if the continued use of formal evaluation has implications for board/superintendent relations; and if there are revisions in the formal evaluation procedures, criteria, and instruments now being used.

3. A national study relative to the evaluation of the superintendent by the school board should be made. The study should focus on

the current national status of the evaluation skills of school board members. The findings should be used as a basis for the development of a training manual that may be used as a reference for school board members who are independently developing or revising their system for evaluating the superintendent.

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APPENDIX A

APPENDIX A

PUBLIC SCHOOLS, WILL COUNTY, ILLINOIS

1980-81 SCHOOL YEAR

	Name of District	District Number
ELEMENTARY DISTRICTS	Chaney-Monge	88
	Channahon	17
	Elwood Community Consolidated	203
	Fairmont	89
	Frankfort	157C
	Homer Community Consolidated	33C
	Joliet Public Schools	86
	Ludwig-Reed-Walsh	92
	Manhattan	114
	Milne-Kelvin Grove	91
	Mokena	159
	New Lenox	122
	Richland School	88A
	Rockdale School	84
	Summit Hill School	161
	Taft School	90
	Troy Community Consolidated	30C
	Union School	81
HIGH SCHOOL DISTRICTS	Joliet Township High Schools	204
	Lincoln Way Community High School	210
	Lockport Township High Schools	205
UNIT DISTRICTS	Beecher Community Unit	200U
	Crete-Monee Community Consolidated	201U
	Laraway Community Consolidated	70C
	Peotone Community Unit	207U
	Plainfield Consolidated	202
	Reed-Custer Community Unit	255U
	Valley View Community Unit	365U
	Wilmington Community Unit	209U

APPENDIX B

APPENDIX B

This letter is to seek your assistance in field testing the questionnaire I am using in my dissertation research, which I am conducting as a doctoral student at Loyola University of Chicago.

My topic is "An Analysis of the Evaluation Instruments Used By School Boards to Evaluate Superintendents In Selected School Districts of Will County." As part of this analysis, I will attempt to identify evaluation procedures, criteria, and instruments used by districts in Will County when school boards evaluate their superintendents. In addition, as a result of this study, I plan to make recommendations as to specific procedures, criteria, and instruments that will assist school boards towards improving their superintendent evaluations and assist superintendents in improving their job performance.

To complete this research, I am seeking your assistance by asking you to look over (but <u>not</u> complete) the questionnaire and respond to its appropriateness in content and form. Please write any reactions directly on the questionnaire and return it to me in the self addressed envelope. I recognize that you maintain a busy schedule and appreciate your taking this time to assist me.

Sincerely yours,

Sandra Gould

Enc: Self addressed envelope
     Questionnaire

SG/ks

APPENDIX C

APPENDIX C

BOARD OF EDUCATION EVALUATION OF SUPERINTENDENT

Questionnaire

(To be completed by the Superintendent)

District Demographics

Type of District: (please check) Elementary _____

Secondary _____ Unit _____

Size of District: (enrollment) _____

Geographic Location: (please check) Urban _____ Suburban _____

Rural _____

1981 (tax year) Assessed Valuation Per Pupil A.D.A.: _____

Superintendent

What is your age? _____

How many years have you been employed as a suprintendent? _____

How many years have you been superintendent in this district? _____

Please indicate the highest degree you have obtained by checking ($\sqrt{}$):

Masters Degree _____ Certificate of Advance Standing (CAS) _____

Masters + _____ Doctorate Ed.D. _____

Ph.D. _____

Board of Education Evaluation of Superintendent

Does the Board of Education conduct an evaluation of the superintendent's performance?   Yes _____   No _____

Has your Board of Education adopted an official policy relative to the evaluation of the superintendent?   Yes _____   No _____

Is there a Board-approved job description for the superintendent?
Yes _____   No _____

Is a formal evaluation system utilized by the Board to evaluate the superintendent?   Yes _____   No _____

If there is a formal evaluation system, how long has the Board utilized this system?   _____

Is there an informal assessment of the superintendent prior to a formal assessment?   Yes _____   No _____   .

Is the evaluation process periodically reviewed and revised?
Yes _____   No _____

Is the superintendent provided with a written evaluation?
Yes _____   No _____

Is the system to evaluate the superintendent included as a part of the superintendent's contract?   Yes _____   No _____

How is the evaluation schedule determined? (please check one)
_____ By the Board   _____ By both the Board and Superintendent
_____ By the Superintendent   _____ Other

How often is the superintendent evaluated?
_____ Annually   _____ More than twice a year
_____ Twice a year   _____ As needed

The literature has suggested that the items listed below are often cited as the purposes of the Board of Education evaluation of the superintendent. In considering the purpose of the Board's evaluation of the superintendent, how important are the following items? Please indicate by checking the appropriate number.

	Extremely important					Not very important	
	1	2	3	4	5	6	7
Ascertaining the achievement of district goals							
Planning for future district goals							
Improving Board/Superintendent relations							
Clarifying for the superintendent his role in the school system							
Determining the priority of the superintendent's responsibilities							
Assessing present performance in accordance with job expectations							
Renewing the superintendent's contract							
Compensating the superintendent for his job performance							
Motivating the superintenden to improve his job performance							
Dismissing the superintendent							
Encouraging the professional growth of the superintendent							
Placating teacher's union							

In planning for the superintendent's evaluation, indicate the involvement by checking the appropriate column.

	Done by the Board	Done by the Superintendent	Done jointly by the Board/ Superintendent
The identification of the purpose of the evaluation	___	___	___
The setting of the time of the evaluation(s)	___	___	___
The setting of the methods and procedures to be followed	___	___	___
The designing of the evaluation instrument	___	___	___
The determining of the evaluation criteria	___	___	___

Please indicate by a checkmark in the first column below which of the following contribute input for the Board to use when evaluating the superintendent. Please rank the items checked in order of importance. (Let #1 be the source of most input.)

	Checkmark Column	Ranking Column
Superintendent self-evaluation	_____	_____
Superintendent monthly progress report	_____	_____
Superintendent performance at Board meetings/study sessions	_____	_____
Social occasions	_____	_____

Observation by and input from:

	Checkmark Column	Ranking Column
Community	_____	_____
Students	_____	_____
Teachers	_____	_____
Parents	_____	_____
Non-certificated staff	_____	_____
Subordinate administrators	_____	_____

*Which of the following are used as criteria for evaluating the superintendent? Please indicate the importance and use of the item by checking the appropriate columns. (#1 is high, #3 is low. A rating of #4 means that the items is not used.)

Board Relations

	1	2	3	4
Preparation of reports and materials for the board				
Presentation of reports to board				
Recommendations to the board				
Responding to requests from the board				
Keeping the board informed about operations in district				
Implementation of board actions				

	1	2	3	4

Community-Public Relations

Contacts with media

Interpreting district problems and concerns to community and public

Interpreting the educational program to the community

Responding to concerns of community

Periodic communications (publications, reports, newsletters, etc.) to community

Staff Personnel Management

Employment of personnel

Utilization of employed personnel

Administration of personnel policies and procedures

Administration of salary and benefits program

Direction of employee relations program

Administration of personnel evaluation programs

Management of Student Services

Providing comprehensive student personnel services

Management of enrollment and attendance policies and procedures

Management of student behavior and discipline

Providing for health and safety of students

Liaison with community agencies concerned with student services

Comprehensive Planning

Developing and implementing short- and long-range planning

Developing management systems (example: MBO)

Training administrators and supervisors in planning

Accountability procedures

Evaluation of planning results

Professional and Personal Development

Keeping self current professionally

Representing district at local, state, and
national meetings of interest to education

Contributions to profession by writing
and speaking

Participation in local, state, and
national professional organizations

	1	2	3	4

*The criteria listed are taken from the superintendent's job responsibilities
as stated in Evaluating the Superintendent, a joint publication of the
American Association of School Administrators and the National School Boards
Association.

Evaluation Instrument

Which format best describes the superintendent evaluation instrument?
(Please check /)

_____ Checklist Rating   _____ Forced Choice Rating

_____ Essay Evaluation   _____ Graphic Profile

_____ Evaluation by Objectives _____ Performance Standards

_____ Combination of two or more

Name of person completing questionnaire: _____

Name of School District and number: _____

APPENDIX D

APPENDIX D

BOARD OF EDUCATION EVALUATION OF SUPERINTENDENT

Questionnaire

(To be completed by the Board President)

Board of Education Evaluation of Superintendent

Does the Board of Education conduct an evaluation of the superintendent's
performance?   Yes _____   No _____

Has your Board of Education adopted an official policy relative to the
evaluation of the superintendent?   Yes _____   No _____

Is there a Board-approved job description for the superintendent?
Yes _____   No _____

Is a formal evaluation system utilized by the Board to evaluate the
superintendent?   Yes _____   No _____

If there is a formal evaluation system, how long has the Board utilized
this system? _____

Is there an informal assessment of the superintendent prior to a formal
assessment?   Yes _____   No _____

Is the evaluation process periodically reviewed and revised?
Yes _____   No _____

Is the superintendent provided with a written evaluation?
Yes _____   No _____

Is the system to evaluate the superintendent included as a part of the
superintendent's contract?   Yes _____   No _____

How is the evaluation schedule determined? (please check one)
_____ By the Board   _____ By both the Board and Superintendent
_____ By the Superintendent _____ Other

How often is the superintendent evaluated?
_____ Annually   _____ More than twice a year
_____ Twice a year   _____ As needed

The literature has suggested that the items listed below are often cited as the purposes of the Board of Education evaluation of the superintendent. In considering the purpose of the Board's evaluation of the superintendent, how important are the following items? Please indicate by checking the appropriate number.

	Extremely important						Not very important
	1	2	3	4	5	6	7
Ascertaining the achievement of district goals							
Planning for future district goals							
Improving Board/Superintendent relations							
Clarifying for the superintendent his role in the school system							
Determining the priority of the superintendent's responsibilities							
Assessing present performance in accordance with job expectations							
Renewing the superintendent's contract							
Compensating the superintendent for his job performance							
Motivating the superintenden to improve his job performance							
Dismissing the superintendent							
Encouraging the professional growth of the superintendent							
Placating teacher's union							

In planning for the superintendent's evaluation, indicate the involvement by checking the appropriate column.

	Done by the Board	Done by the Superintendent	Done jointly by the Board/ Superintendent
The identification of the purpose of the evaluation	____	____	____
The setting of the time of the evaluation(s)	____	____	____
The setting of the methods and procedures to be followed	____	____	____
The designing of the evaluation instrument	____	____	____
The determining of the evaluation criteria	____	____	____

Please indicate by a checkmark in the first column below which of the following contribute input for the Board to use when evaluating the superintendent. Please rank the items checked in order of importance. (Let #1 be the source of most input.)

	Checkmark Column	Ranking Column
Superintendent self-evaluation	_____	_____
Superintendent monthly progress report	_____	_____
Superintendent performance at Board meetings/study sessions	_____	_____
Social occasions	_____	_____
Observation by and input from:		
Community	_____	_____
Students	_____	_____
Teachers	_____	_____
Parents	_____	_____
Non-certificated staff	_____	_____
Subordinate administrators	_____	_____

*Which of the following are used as criteria for evaluating the superintendent? Please indicate the importance and use of the item by checking the appropriate columns. (#1 is high, #3 is low. A rating of #4 means that the items is not used.)

Board Relations

	1	2	3	4
Preparation of reports and materials for the board				
Presentation of reports to board				
Recommendations to the board				
Responding to requests from the board				
Keeping the board informed about operations in district				
Implementation of board actions				

	1	2	3	4

Community-Public Relations

Contacts with media

Interpreting district problems and concerns to community and public

Interpreting the educational program to the community

Responding to concerns of community

Periodic communications (publications, reports, newsletters, etc.) to community

Staff Personnel Management

Employment of personnel

Utilization of employed personnel

Administration of personnel policies and procedures

Administration of salary and benefits program

Direction of employee relations program

Administration of personnel evaluation programs

Management of Student Services

Providing comprehensive student personnel services

Management of enrollment and attendance policies and procedures

Management of student behavior and discipline

Providing for health and safety of students

Liaison with community agencies concerned with student services

Comprehensive Planning

Developing and implementing short- and long-range planning

Developing management systems (example: MBO)

Training administrators and supervisors in planning

Accountability procedures

Evaluation of planning results

Professional and Personal Development

Keeping self current professionally

Representing district at local, state, and
national meetings of interest to education

Contributions to profession by writing
and speaking

Participation in local, state, and
national professional organizations

1	2	3	4

*The criteria listed are taken from the superintendent's job responsibilities
as stated in Evaluating the Superintendent, a joint publication of the
American Association of School Administrators and the National School Boards
Association.

Evaluation Instrument

Which format best describes the superintendent evaluation instrument?
(Please check /)

_____ Checklist Rating   _____ Forced Choice Rating

_____ Essay Evaluation   _____ Graphic Profile

_____ Evaluation by Objectives   _____ Performance Standards

_____ Combination of two or more

Name of person completing questionnaire: _____

Name of School District and number: _____

APPENDIX E

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APPENDIX E

JOLIET PUBLIC SCHOOLS

420 North Raynor Avenue

Joliet, Illinois 60435

April 27, 1981

Dear Member District Superintendent and Board of Education President:

I am writing to seek your assistance and cooperation on behalf of Sandra Gould, District 86's gifted education program coordinator.

Mrs. Gould is completing work leading to the Doctorate of Education at Loyola University of Chicago and is now preparing her dissertation which will focus on Board of Education Evaluation of the Superintendent. Mrs. Gould has worked in District 86 for nine years and is a competent professional. I feel that the study she has undertaken can be of further benefit to Will County school district superintendents and board members.

Mrs. Gould has assured me that the results of her study will be shared with all member districts should they desire.

I, therefore, endorse Sandra Gould's study and seek your cooperation in completing the questionnaire and returning it to Mrs. Gould.

Sincerely,

/s/ Edmund R. Parpart

Edmund R. Parpart

ERP:jes

APPENDIX F

APPENDIX F

This letter is to seek your assistance with my dissertation research, which I am conducting as a doctoral student at Loyola University of Chicago.

My topic is "An Analysis of the Evaluation Instruments Used By School Boards To Evaluate Superintendents In Selected School Districts of Will County." As part of this analysis, I will attempt to identify evaluation procedures, criteria, and instruments used by districts in Will County when school boards evaluate their superintendents. In addition, as a result of this study, I plan to make recommendations as to specific procedures, criteria, and instruments that will assist school boards towards improving their superintendent evaluations and assist superintendents in improving their job performance.

To complete this research, I am seeking your assistance by asking you to:

1. Complete and return the enclosed questionnaire.

2. Provide a copy of the written evaluation process and the instrument used by the Board of Education if the Board makes a formal evaluation of your performance.

3. Ask the President of your Board of Education to complete and return a similar questionnaire which is enclosed.

I assure you that all responses will remain confidential and there will be no duplication of materials that you provide without your permission.

To facilitate the completion of this study, I would appreciate hearing from you by May 15, 1981. I recognize that you maintain a busy schedule and am hopeful that this will provide you with ample time to complete and return the materials.

I thank you in advance for your assistance and cooperation.

                                        Sincerely yours,

                                        Sandra L. Gould

SLG:lw
Enclosures: Self-addressed envelope
              Questionnaire
              Questionnaire for the Board of Education President

APPENDIX G

APPENDIX G

INTERVIEW GUIDE

The questions listed below were utilized to guide the inter-
view with the superintendents and board presidents from the district
who responded by completing the questionnaire. The questions were
asked in the same order and in the same way in an effort to make the
responses comparable.

1. What is the origin of the evaluation system and how
    was it established?

2. Describe the essence of the district's evaluation
    policy and process.

3. Who actually does the evaluation and how are they
    trained; how are the results reported and are they
    public knowledge?

4. What areas is the superintendent actually evaluated
    on?

5. What types of tasks take up most of your time; are
    these tasks the areas that are emphasized in the
    evaluation?

6. If the evaluation is part of the superintendent's
   contract, describe how it is manifested in the
   contract.

7. If there have been revisions in the evaluation process,
   what were they and why were the revisions made?

8. How would you change the evaluation process to make
   it better?

9. What are the strengths and weaknesses of your present
   evaluation system?

10. What positive or negative results have come from the
    evaluation process?

APPENDIX H

CRITERIA USED BY BOARDS FOR EVALUATING THE

SUPERINTENDENT - ELEMENTARY DISTRICTS

		High 1	2	Low 3	Not Used 4	Mean	Rank
	Board Relations						
1.	Preparation of reports and materials for the board	13(12)	2(2)			1.1(1.1)	3(2.5)
2.	Presentation of reports to board	11(1)	4(5)			1.3(1.4)	7(14)
3.	Recommendations to the board	12(10)	2(4)	1		1.1(1.3)	3(9.5)
4.	Responding to requests from the board	11(11)	3(3)	1		1.1(1.2)	3(5.5)
5.	Keeping the board informed about operations in district	14(10)	1(2)			1.1(1)	3(1)
6.	Implementation of board actions	11(12)	3(1)	1(1)		1.3(1.2)	7(5.5)
	Community-Public Relations						
7.	Contacts with media	3(3)	4(4)	5(5)	2(2)	1.7(1.9)	19.5(29.5)
8.	Interpreting district problems and concerns to community and public	8(11)	5(3)	2		1.6(1.6)	15 (24)

		High 1	2	Low 3	Not Used 4	Mean	Rank
9.	Interpreting the educational program to the community	7(10)	5(4)	3		1.7(1.3)	19.5(9.5)
10.	Responding to concerns of community	8(11)	5(3)	2		1.6(1.2)	15 (5.5)
11.	Periodic communications (publi-cations, reports, newsletters, etc.) to community	5(7)	7(3)	3(4)		1.9(1.8)	26 (27.5)
	Staff Personnel Management						
12.	Employment of personnel	10(8)	4(5)	1(1)		1.4(1.5)	9.5(19)
13.	Utilization of employed personnel	10(13)	5(1)			1.3(1.1)	7 (2.5)
14.	Administration of personnel policies and procedures	8(8)	7(6)			1.5(1.4)	12 (14)
15.	Administration of salary and benefits program	2(8)	10(5)	3(1)		2.1(1.5)	30 (19)
16.	Direction of employee relations program	3(7)	5 (6)	5(1)	2	1.9(1.6)	26 (24)
17.	Administration of personnel evaluation programs	3(8)	8 (6)	3	1	1.9(1.4)	26 (14)

		High 1	2	Low 3	Not Used 4	Mean	Rank
	Management of Student Services						
18.	Providing comprehensive student personnel services	6(8)	5(3)	4(1)	(2)	1.9(1.2)	26 (5.5)
19.	Management of enrollment and attendance policies and procedures	1(3)	5(9)	8(2)	1	2.3(1.9)	31 (29.5)
20.	Management of student behavior and discipline	4(8)	8(5)	2	1(1)	1.7(1.3)	19.5(9.5)
21.	Providing for health and safety of students	6(10)	7(3)	2(1)		1.7(1.4)	19.5(14)
22.	Liaison with community agencies concerned with student services	4(2)	4(7)	5(3)	2(2)	1.8(1.8)	23 (27.5)
	Comprehensive Planning						
23.	Developing and implementing short- and long-range planning	11(11)	3(1)	(2)	1	1.1(1.4)	3 (14)
24.	Developing management systems (example: MBO)	5(6)	5(3)	2(3)	3(2)	1.4(1.5)	9.5 (19)
25.	Training administrators and supervisors in planning	6(4)	3(5)	6(3)	1(2)	2 (1.6)	29 (24)
26.	Accountability procedures	8(8)	6(5)	1(1)		1.5(1.5)	12 (19)

APPENDIX H (continued)

		High 1	2	Low 3	Not Used 4	Mean	Rank
27.	Evaluation of planning results	6(4)	4(9)	4	1(1)	1.7(1.6)	19.5(24)

Professional and Personal Development

		High 1	2	Low 3	Not Used 4	Mean	Rank
28.	Keeping self current professionally	6(9)	7(3)	2(1)	(1)	1.7(1.3)	19.5(9.5)
29.	Representing district at local, state, and national meetings of interest to education	7(6)	7(4)	1(3)	(1)	1.6(1.6)	15 (24)
30.	Contributions to profession by writing and speaking	4(2)	5(8)	3(4)	3	1.5(2.1)	12 (31)

Note: * ( ) = Responses by board presidents.
    ** Superintendents (N=15; board presidents (N=14).

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APPENDIX I

CRITERIA USED BY BOARDS FOR EVALUATING THE

SUPERINTENDENT – SECONDARY DISTRICTS

		High 1	2	Low 3	Not Used 4	Mean	Rank
	Board Relations						
1.	Preparation of reports and materials for the board	2(2)				1 (1)	6.5 (8.5)
2.	Presentation of reports to board	2(2)				1 (1)	6.5 (8.5)
3.	Recommendations to the board	2(2)				1 (1)	6.5 (8.5)
4.	Responding to requests from the board	1(2)	1			1 (1)	6.5 (8.5)
5.	Keeping the board informed about operations in district	2(2)				1 (1)	6.5 (8.5)
6.	Implementation of board actions	2(2)				1 (1)	6.5 (8.5)
	Community-Public Relations						
7.	Contacts with media	1(2)		1		2 (1)	25 (8.5)
8.	Interpreting district problems and concerns to community and public	1(2)	1			1.5(1)	17 (8.5)

		High 1	2	Low 3	Not Used 4	Mean	Rank
9.	Interpreting the educational program to the community	1(1)	1	(1)		1.5(2)	17 (28.5)
10.	Responding to concerns of community	1(1)	1(1)			1.5(1.5)	17 (21.5)
11.	Periodic communications (publications, reports, newsletters, etc.) to community	(1)	1	1(1)		2.5(2)	29.5(28.5)
	Staff Personnel Management						
12.	Employment of personnel	2(2)				1 (1)	6.5 (8.5)
13.	Utilization of employed personnel	1(1)	(1)	1		2 (1.5)	25 (21.5)
14.	Administration of personnel policies and procedures	1(1)	1(1)			1.5(1.5)	17 (21.5)
15.	Administration of salary and benefits program	2(1)	(1)			1 (1.5)	6.5 (21.5)
16.	Direction of employee relations program	1(1)	(1)	1		2 (1.5)	25 (21.5)
17.	Administration of personnel evaluation programs	1(1)	(1)	1		2 (1.5)	25 (21.5)

		High 1	2	Low 3	Not Used 4	Mean	Rank
	Management of Student Services						
18.	Providing comprehensive student personnel services	1(1)	1(1)			1.5(1.5)	17 (21.5)
19.	Management of enrollment and attendance policies and procedures	1(2)		1		2 (1)	25 (8.5)
20.	Management of student behavior and discipline	2(2)				1 (1)	6.5 (8.5)
21.	Providing for health and safety of students	2(2)				1 (1)	6.5 (8.5)
22.	Liaison with community agencies concerned with student services	1(2)		1		2 (1)	25 (8.5)
	Comprehensive Planning						
23.	Developing and implementing short- and long-range planning	2(2)				1 (1)	6.5 (8.5)
24.	Developing management systems (example: MBO)	1(2)	1			1.5(1)	17 (8.5)
25.	Training administrators and supervisors in planning	1(1)	1(1)			1.5(1.5)	17 (21.5)
26.	Accountability procedures	2(1)	(1)			1 (1.5)	6.5(21.5)

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		High 1	2	Low 3	Not Used 4	Mean	Rank
27.	Evaluation of planning results	1(2)	1			1.5 (1)	17 (8.5)
	Professional and Personal Development						
28.	Keeping self current professionally	1(1)	1(1)			1.5(1.5)	17 (21.5)
29.	Representing district at local, state, and national meetings of interest to education		2(2)			2 (2)	25 (28.5)
30.	Contributions to profession by writing and speaking		1(2)	1		2.5 (2)	29.5(28.5)
31.	Participation in local, state, and national professional organizations			2(2)		3 (3)	31 (31)

Note: * ( ) = Responses by board presidents.
    ** Superintendents (N=2); board presidents (N=2).

APPENDIX J

CRITERIA USED BY BOARDS FOR EVALUATING THE

SUPERINTENDENT - UNIT DISTRICTS

		High 1	2	Low 3	Not Used 4	Mean	Rank
	Board Relations						
1.	Preparation of reports and materials for the board	3(2)	2(3)			1.4(1.6)	5.5 (17)
2.	Presentation of reports to board	3(4)	1(1)	1		1.6(1.2)	14.5(3.5)
3.	Recommendations to the board	2(1)	3(4)			1.6(1.8)	14.5(23.5)
4.	Responding to requests from the board	2(2)	3(2)	(1)		1.6(1.8)	14.5(23.5)
5.	Keeping the board informed about operations in district	3(4)	2(1)			1.4(1.2)	5.5(3.5)
6.	Implementation of board action	5(5)				1 (1)	1 (1)
	Community-Public Relations						
7.	Contacts with media	2(1)	3(4)			1.6(1.8)	14.5(23.5)
8.	Interpreting district problems and concerns to community and public	2(3)	3(2)			1.6(1.4)	14.5(9.5)

		High 1	2	Low 3	Not Used 4	Mean	Rank
9.	Interpreting the educational program to the community	1(2)	4(3)			1.8(1.6)	23.5(17)
10.	Responding to concerns of community	2(1)	3(4)			1.6(1.8)	14.5(23.5)
11.	Periodic communications (publications, reports, newsletters, etc.) to community	(1)	4(1)	1(3)		2.2(2.4)	30.5(31)
	Staff Personnel Management						
12.	Employment of personnel	3(2)	2(2)	(1)		1.4(1.8)	5.5(23.5)
13.	Utilization of employed personnel	4(3)	1(2)			1.2(1.4)	2 (9.5)
14.	Administration of personnel policies and procedures	2(2)	3(3)			1.6(1.6)	14.5 (17)
15.	Administration of salary and benefits program	2(3)	3(2)			1.6(1.4)	14.5(9.5)
16.	Direction of employee relations program	1(2)	3(3)	1		2 (1.6)	28 (17)
17.	Administration of personnel evaluation programs	3(3)	1(2)	1		1.6(1.4)	14.5(9.5)

		High 1	2	Low 3	Not Used 4	Mean	Rank
	Management of Student Services						
18.	Providing comprehensive student personnel services	1(1)	4(3)	(1)		1.8 (2)	23.5(27)
19.	Management of enrollment and attendance policies and procedures	(1)	3(2)	1(2)	1	1.8(2.2)	23.5(29)
20.	Management of student behavior and discipline	1(2)	3(2)	1(1)		2 (1.8)	28 (23.5)
21.	Providing for health and safety of students	3(3)	2(2)			1.4(1.4)	5.5 (9.5)
22.	Liaison with community agencies concerned with student services	2(2)	3(2)		(1)	1.6(1.2)	14.5(3.5)
	Comprehensive Planning						
23.	Developing and implementing short- and long-range planning	2(3)	3(2)			1.6(1.4)	14.5(9.5)
24.	Developing management systems (example: MBO)	1(1)	3(2)	(2)	1	1.4(2.2)	5.5 (29)
25.	Training administrators and supervisors in planning	2(2)	2(3)	1		1.8(1.6)	23.5 (17)
26.	Accountability procedures	3(4)	2(1)			1.4(1.2)	5.5 (3.5)

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	High 1	2	Low 3	Not Used 4	Mean	Rank
27. Evaluation of planning results	1(3)	4(2)			1.8(1.4)	23.5(9.5)
Professional and Personal Development						
28. Keeping self current professionally	(3)	5(2)			2 (1.4)	28 (9.5)
29. Representing district at local, state, and national meetings of interest to education	1(2)	2(3)	2		2.2(1.6)	30.5 (17)
30. Contributions to profession by writing and speaking		1(4)	2	2(1)	1.6(1.6)	14.5 (17)
31. Participation in local, state, and national professional organizations	(1)	3(2)	1(2)	1	1.8(2.2)	23.5 (29)

Note: * ( ) = Responses by board presidents.
    ** Superintendents (N=5); board presidents (N=5).

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sary changes have been incorporated and that the dissertation is now
given final approval by the committee with reference to content and form.

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