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AN ANALYSIS OF STAFF DEVELOPMENT ACTIVITIES
FOR ELEMENTARY SCHOOL PRINCIPALS IN SUBURBAN
COOK COUNTY, ILLINOIS

by
Roger D. Prosise

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 Philosophy

April

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VITA

The author, Roger Dennis Prosise, is the son of Edward and Lucille Prosise. He was born October 1, 1954 in Chicago, Illinois.

His elementary and secondary education was obtained in the public schools of Chicago, Illinois. He graduated from Blaine Elementary School in 1968 and from Lane Technical High School in 1972. In September, 1972, Mr. Prosise entered the University of Illinois at Chicago, receiving the degree of Bachelor of Arts in history in December, 1976. He completed the Master of Arts in school administration in 1980 at Grace Seminary.

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CHAPTER I

OVERVIEW OF THE STUDY/RESEARCH METHODOLOGY

The principal is a key factor to an effective school. Research indicates the crucial role of the principal in developing and maintaining a positive school climate and in affecting student achievement. In view of the importance of the principalship, this study will analyze the professional development activities in which principals participate.

An effective principal can make a significant contribution to developing and maintaining an effective school. Some of the areas of schooling which could be affected by the principal are personnel selection and development, curriculum development, community relations, and student achievement. Also, an ineffective principal can contribute greatly to the ineffectiveness of a school through incompetent performance in the above mentioned areas. The performance of the principal is vital to the health or functioning of the school. In order to enhance performance and remediate weaknesses, school districts should be actively involved in providing solutions to personnel problems.

Professional development, or administrative staff development, is one avenue by which school districts seek

to affect performance. For this study, professional development or administrative staff development, is defined as "the sum of all activities designed for the purpose of improving, expanding, and renewing the skills, knowledge, and abilities of staff personnel."¹

Professional development activities can be provided to a principal in a number of ways. Some of the activities the school district could provide are seminars, institutes, tuition reimbursement for university courses, membership to professional associations and opportunities to interact with and observe colleagues. The principal himself or herself could assume the responsibility or part of the responsibility for his/her professional development and participate in professional development activities without the support, financial or otherwise, of the school district. The school district cannot force a principal to learn and grow professionally. Attendance at a conference or interaction with a colleague by a principal in and of itself does not guarantee professional development or growth for the principal. The principal must make a personal effort to learn and the topic or material discussed must be relevant to the principal's needs. Though the actual development of a

1. Dull, Lloyd Supervision: School Leadership Handbook. Charles E. Merrill Publishing Company. Columbus: 1981. p. 110

principal is highly individualistic and personal, the district can encourage growth and create opportunities to enhance learning. The district's commitment to professional development could serve as a motivating factor prompt a principal to continue learning and growing professionally.

According to Frederick Herzberg, professional development serves as a motivating factor in a job.² Thus, professional development activities should have a positive effect on job performance. Job performance may or may not be positively effected by the activities provided to principals. Some activities may be based on professional needs, as determined by the performance evaluation, and have a greater chance of enhancing performance. Other activities may not be based on professional needs, and consequently, the chances of enhancing performance are minimal. The identification of professional needs could be done formally or informally, through a performance evaluation, self-evaluation, or through discussion. Regardless of the method used to identify needs, it is important that the professional development activities in which a principal participates be related to needs of the principal.

2. Blanchard, K. and Hersey P. Management of Organization Behavior: Utilizing Human Resources. Prentice-Hall, Inc., New Jersey. 1982. p. 58

The activities could be administered in a systematic fashion and in such a way as to be relevant to the professional needs of the principal to the extent that performance improves. On the contrary, activities could be administered in an unsystematic fashion and completely irrelevant to the professional needs of the principal, consequently, there is no change in performance. This study analyzes the professional development, or administrative staff development, activities in relationship to the performance of elementary school principals.

A thorough review of the literature was conducted and provided a substantial amount of pertinent data. The review of the literature was divided into three components: continuing professional education, professional development or administrative staff development for principals, and management development for middle managers in business. These three components provide a comprehensive perspective on the function of staff development for principals in accordance with the purpose of this study. The continuing professional education component provides a general overview; the staff development for principal component focuses specifically on the professional growth and development of principals; and the management development component examines a different profession which requires similar skills and

applies the results to the principalship. Due to the voluminous amount of literature available in the area of continuing professional education, the literature review of this area was limited to two classics, Adults as Learners, by K. Patricia Class, and Continuing Learning in the Professions, by Cyril O. Houle. Cross and Houle are experts in the area of continuing professional education and adult learners and are highly respected by their colleagues. The review of the literature was limited in this area because the nature of the study is staff development for principals.

The many books and articles, written by a large number of authors, provided a sufficient amount of related literature for the purpose of this study. Several books and approximately seventy-five articles in the areas of human resource development and the principalship were read and a substantial amount of prevalent and pertinent information was gleaned from this literature. The information gleaned from the review of the literature is discussed in-depth in chapters two, three, and four. The management development literature served as a basis for analyzing management development for middle-managers in business and comparing this function with professional development for elementary school principals. The data for professional development

for elementary school principals was acquired through a review of the literature and thirty interviews with elementary school administrators.

Literature related to the school districts in the study and staff development literature produced by the districts were gathered and analyzed. The literature from the districts supplied the researcher with background information relating to the districts and information pertaining to the staff development activities available in the districts.

A pilot study was conducted with superintendents and principals of elementary school districts in Lake County, Illinois. The purpose of the pilot study was to refine the instrument and to assess potential problems of reliability and validity. The superintendents and principals critiqued the questionnaire for satisfactory content, overall clarity, construction of question, ease for completion, and general effectiveness. The instrument was then revised based on the data obtained from the pilot study. The pilot study helped assure the extraction of the desired information for the study.

Lake County elementary school districts which met the criteria in the study were included in the pilot study. Forty-two questionnaires were mailed to Lake County elementary school principals and superintendents.

Forty percent of the administrators in the pilot study responded to the questionnaire. The packet mailed to each administrator in the pilot study included a cover letter, a questionnaire, and a self-addressed, stamped envelope.

As a result of the pilot study, one question was eliminated from the questionnaire. The pilot study confirmed the validity and reliability of the instrument. (See Appendix I and II for a sample of the cover letter and questionnaire used in the pilot study.)

The data for this study were gathered through structured open-ended interviews with administrators responsible for professional development for principals, and principals in selected elementary school districts in Cook County, Illinois. One superintendent and two principals from each selected district were interviewed. The districts were randomly selected. However, the selected districts met the following criteria:

1. a public elementary school district;
2. a suburban (non-Chicago) district in Cook County;
3. a district with at least two building principals.

The sample represented 10% of the districts in Cook County which met the selection criteria. The data were

obtained from the Cook County Regional Superintendent's Office. The districts and schools in the study were randomly selected from the directory of suburban public schools in Cook County. The school districts were located in the north, northwest, west, and southwest areas of Cook County. Though the study does not specify any particular geographic region in suburban Cook County, a cross-section of areas was used in the study to validate the findings and to determine whether professional development for elementary school principals varies from one geographic region to another region.

Ten districts were involved in the study. The districts ranged in size from 5,538 students and eleven buildings to 440 students and two buildings. Each district in the study had at least two building principals and a superintendent. The study excluded districts where a central office administrator also served as a building principal.

The rationale for the selection of the sample was as follows:

1. The sample is representative of the portion of the population which meets the selection criteria identified in this study. Due to the nature of the study, more than 10% of the

districts which meet the selection criteria would be cumbersome.

2. Strictly public school districts were selected so the researcher could compare results obtained from institutions similar in nature.
3. 10% of the districts in Cook County which met the selection criteria were randomly selected because this provided the researcher with a sufficient number of subjects which generated sufficient data to draw valid conclusions. The subjects were able to respond in-depth to several questions during the interviews.
4. Staff development administrators and principals were interviewed to provide different perspectives on identical issues.
5. Districts with at least two building principals were selected to avoid the problem of interviewing one person who is both a principal and a central office administrator responsible for staff development. This selection criterion also established a guideline for the size of the district which helped assure the likelihood of the data from the interviews being from institutions similar in nature.

The structured open-ended interview was selected as the primary research method because of the nature of the study and the belief that sufficient data could be generated to provide needed insights into the research problem. Administrators responsible for professional development for principals and building principals had the opportunity to respond in-depth to the questions.

Three administrators, one superintendent and two principals, were interviewed from each district. The researcher interviewed each administrator in his or her office. The administrator responded to open-ended questions asked by the researcher. The interviews were tape recorded in order to ensure complete and accurate data sets. The audio-tape was later compared to the researcher's notes which were written on a questionnaire which was completed by the researcher during the interview. When necessary, revisions were made to the researcher's notes based on the data obtained from the audio-tape. Each interview was approximately one hour in length. Thirty interviews were conducted in the study. See Appendix II for a sample of the interview questions.

The data obtained from the interviews were examined with the intention of producing a description of the findings, similarities and differences in the responses, trends, and an explanation of the results. The data were

analyzed by comparing the results of the interviews with literature related to professional development for middle managers in business. This analysis generated similarities and differences between professional development for elementary school principals as compared to professional development for middle managers in business.

Based on the responses, a coding scheme was developed. The coding scheme was revised as the data analysis proceeded following the strategies for qualitative data analysis given by Miles & Huberman.³ In addition, the constant comparative method was used as well as methods of triangulation.

Qualitative research methods place greater emphasis on the personal "meaning complexes" generated by respondents rather than on the numerical frequencies assumed to be reflective of the respondents behaviors. Qualitative research stresses the careful and systematic observations of people in the individuals own personal and occupational settings and emphasizes the need of

3. Miles M. and Huberman, A. Qualitative Data Analysis: A Sourcebook of New Methods. SAGE Publications. Beverly Hills, California. 1984.

interacting with them in their own language and on their own terms.⁴

Qualitative data are a source of well-grounded, rich descriptions and explanations of processes occurring in local contexts.⁵ Fruitful explanations can be inferred from qualitative data. Data from qualitative studies help researchers go beyond initial preconceptions and frameworks.

In-depth interviewing is one method of qualitative research which is used to generate data which is rich in description concerning peoples behaviors in various social contexts.⁶ When using in-depth interviewing, the researcher is intent on understanding, in considerable detail, how people such as principals and superintendents view their occupational roles and how they came to develop the perspectives that guide day-to-day practices. As a result, the researcher will often have to spend considerable time with subjects in their own personal and occupational settings asking open-ended questions and recording responses. The amount of time a researcher

4. Kirk, J. and Miller, M. Reliability and Validity in Qualitative Research. SAGE Publications. Volume 1. Beverly Hills, California. 1986. p. 9

5. Op. Cit., Miles and Huberman. p. 15

6. Patton, M. Qualitative Evaluation Methods. SAGE Publications. Beverly Hills, California. 1980. p. 205

spends with subjects will depend on the purpose of the study, the number of subjects involved in the study, and the availability of subjects. For example, if a researcher is interested in determining how a principal spends his/her time during the course of a day, the researcher is more apt to spend the entire day with the principal. However, if a researcher is interested in one aspect of school administration such as staff development, spending the entire day with the principal would be unnecessary. Interviewing the significant parties involved, depending on the purpose of the study, should produce sufficient data. Open-ended questions allow the subjects to answer from their own frame of reference rather than from one structured by prearranged questions. The researcher attempts to stimulate subjects to freely express their thoughts on particular topics.

Five central features of qualitative research are:

1. "Qualitative research utilizes the natural setting as the direct source of data, with the researcher actively involved in the process. The researcher's insight as well as specific qualitative techniques are the key "instruments" for analyzing data. Thus, separating the act, word, or gesture from its context is to lose sight of respondents meaning-clusters significance in the eyes of the qualitative researcher.
2. Qualitative research is descriptive. The data collected are in the form of extended or brief

narratives rather than numbers. The data sources may include interview transcripts, field notes, photographs, videotapes, personal documents, memos, and other official records. Qualitative researchers analyze data as closely as possible to the form in which it was originally recorded or transcribed. This approach suggests that specific or multiple data sources have the potential of generating a comprehensive understanding of what is being studied.

3. Qualitative researchers are concerned with complex processes underlying the meaning(s) of social action rather than simply with outcomes or products that are numerically recorded and interpreted.
4. Qualitative researchers tend to, in part, analyze their data inductively. That is to say, abstractions and interpretations are inferred as the "particulars" that have been gathered are grouped together and analyzed. Data are generally not gathered with the intent of proving or disproving preconceived hypotheses. Theory developed using this perspective emerges from the many instances of collected data that are then interconnected. This is known as the grounded theory approach (Glaser and Strauss, 1967). The qualitative researcher may also use this approach to formulate additional important research questions. These can likewise be examined within the context of the particular study or as questions in need of further investigation.
5. "Meaning" is of essential concern to the qualitative approach. Qualitative researchers are concerned with the perspectives of the participants in the study."

7. Bodgan, R and Biklen, S. Qualitative Research for Education. An Introduction to Theory and Methods. Allyn and Bacon, Inc. Boston, 1982. p. 27

Qualitative research differs from journalism in some significant ways. Journalists, for example, are interested in particular events with a preference toward the "news makers."⁸ Rather than spending years collecting and analyzing data, they usually write with less evidence and work under deadlines. Their work is more directed at telling a story rather than analyzing it since they write for a different audience. Likewise, journalists generally do not address their concerns to theoretical questions or issues.

Generalizability usually refers to whether the findings of a study can be extended beyond the specific research subjects and the setting involved. Although not all qualitative researchers are concerned with the question of generalizability, those who are state such a concern explicitly. For example, researchers who are concerned with generalizability, may utilize probability sampling strategies, research or a number of settings or sites to show the nonidiosyncratic nature of their own work or they may draw upon findings from other studies in terms of triangulation by data.⁹

8. Ibid., p. 40

9. Op. Cit., Patton. 1980. p. 280

Qualitative researchers are also concerned with the effect their own subjectivity has as a possible source of bias on the data.¹⁰ To counter this possibility, qualitative researchers attempt to objectively study the "subjective" sources of their data.

Qualitative researchers attempt to guard against personal biases by such strategies as detailed recordings of field notes and "memoing" which include reflections on their own subjectivity.¹¹ Some researchers, additionally have their field notes critiqued by colleagues as a further check on bias and as a means for establishing reliability.

The presence of the researcher, of course, may affect the behavior of the people being studied. The researcher's presence is known as "observer effect," and almost all research is potentially affected by this problem. Because qualitative researchers are interested in how people act and think in their own settings, they must interact with their subjects in a natural, unobtrusive, and nonthreatening manner. To minimize the problems of potential bias, interviewers must model their

10. Op. Cit., Kirk and Miller. 1986

11. Op. Cit., Miles and Huberman. 1984. p. 69

interviews in terms of a conversation between two trusting parties rather than on a formal question-and-answer session between a researcher and a subject.

Reliability is the extent to which a measurement procedure yields the same or similar conclusions however and whenever it is carried out, and validity is the extent to which it gives the correct answer.¹² In the case of qualitative observations, the issue of validity is a question of whether the researcher interprets the observed behaviors correctly.

The validity of an observation or an instrument addresses the questions of whether measurements have currency and whether phenomena are properly labeled. Apparent validity, instrument validity, and theoretical validity help address these problems.¹³ Apparent validity refers to a measuring instrument which is so closely linked to the phenomena under observation that it is obviously providing valid data. Instrumental validity is concerned with matching observations from a measurement procedure with observations generated by an alternative procedure that is itself accepted as valid. Measurement

12. Op. Cit., Kirk and Miller. 1986. p. 19

13. Ibid., p. 22

procedures exhibit theoretical validity if there is substantial evidence that the theoretical paradigm rightly corresponds to observations.

Qualitative researchers are concerned with the accuracy and comprehensiveness of their data. They do not expect a consistency in results of observations made by different researchers or the same researcher over time in the same way as do quantitative researchers. Due to the fact that qualitative researchers often collect different types of data in a variety of settings they may reach different conclusions. Accordingly, qualitative researchers view reliability as a fit between what they record as data and what actually occurs in the setting under study, rather than the literal consistency across different observations.¹⁴ However, since two researchers studying a single setting can still produce different findings, one would question the reliability of one or both studies only if they yielded drastically contradictory or incompatible results.

Since qualitative research methods at times produce findings which are often suspect since the criteria to judge their adequacy are unclear, there is always an

14. Op. Cit., Bogdan and Biklen. 1982. p. 44

additional need justifying findings in light of the possibility of committing the qualitative counterpart of a Type II error, that is, accepting a finding that is in fact false.¹⁵

To counter this possibility, qualitative researchers employ triangulation strategies as a way of confirming qualitative findings. Triangulation involves several strategies by which a researcher attempts to generate and verify findings through the use of multiple perspectives. Triangulation has also been defined as the combination of methodologies in the study of the same phenomenon. These methodologies are:

1. data triangulation in which one uses several data sources, over time or at one point in time,
2. investigator triangulation which implies the use of several investigators,
3. theory triangulation in which certain perspectives are used to explain the findings of a particular research study,
4. methodological triangulation in which multiple methods are used. For example, two or more distinct methods, which yield similar findings, are used to increase external validity. This is known as "between" methods of triangulation. "Within" methods of triangulation increase internal reliability. This occurs when two or more techniques within a given method yield similar findings (i.e., observational records

15. Op. Cit., Patton. 1980. p. 109

and open-ended questionnaires). Though qualitative research can be conducted without triangulation, triangulation is viewed as a methodological strength and justification for conducting this type of research.¹⁶

"Between methods" variety of triangulation was used. In this study, the review of literature related to staff development for elementary school principals and the questionnaire administered in the pilot study yielded findings similar to the findings yielded through the interviews in the actual study. Similar findings from three distinct methods used in the study thus increased the internal reliability of the study. However, it should be noted, that the review of the literature, particularly in the area of management development, generated additional points of significance regarding staff development for elementary school principals, and, as such, could also be viewed as a form of triangulation by theory and data sources.

An additional issue relevant to qualitative research is that of guidelines to be used in the study of human subjects. These guidelines involve two issues: informed consent and the protection of subjects from harm, and are attempts to insure that:

16. Denzin, N. The Research Act. McGraw-Hill.
New York. 1978. p.291

1. Subjects enter research projects voluntarily, understanding the nature of the study and the dangers and obligations that are involved.
2. Subjects are not exposed to risks that are greater than the gains they might derive.¹⁷

In this study, the following ethical principles were adhered to:

1. The subjects' identities were protected so that the information collected would not embarrass or harm them.
2. Subjects were treated with respect and their cooperation in the research was sought. The subjects were told of the research project and permission to proceed was granted.
3. Data were not fabricated or distorted.

An interview is a purposeful conversation usually between two people which is directed by one of the participants in order to obtain valid and reliable information. Interviews may be used as the dominant strategy for data collection or they may be used in conjunction with participant observation, document analysis or other techniques. The interview is used to gather descriptive data in the subject's own words so that the researcher can develop insights on how subjects

17. Op. Cit., Bogdan and Biklen. 1982. p. 49

interpret some piece of the social world.

The subject is usually a stranger in studies that rely predominantly on interviewing. A good portion of the work involves developing a relationship and putting the subject at ease.

Most interviews begin with small talk in order to find a common ground and to build a relationship. In the early stage of the interview, the researcher briefly informs the subject of the purpose and makes assurances that what is said in the interview will be treated confidentially.

Some interviews are focused around particular topics or guided by some general question. Qualitative interviews offer the interviewer considerable latitude to pursue a range of topics and offer the subject a chance to shape the content of the interview. The interview falls out of the qualitative range of interviewing when the interviewer controls the content too rigidly.

For this study a pilot study was conducted with school administrators in public elementary school districts in Lake County, Illinois. An open-ended questionnaire, cover letter, and self-addressed stamped envelope were mailed to twenty-one superintendents and twenty-one principals in elementary school districts in Lake County. The criteria used to select school

districts for the actual study were also used to select school districts for the pilot study (See chapter 1 for criteria). There are two major differences between the actual study and the pilot study.

The differences are:

1. The subjects in the actual study were interviewed in person and the subjects in the pilot study completed a questionnaire and returned it to the researcher.
2. The actual study was conducted in Cook County and the pilot study was conducted in Lake County.

The pilot study was conducted to help insure and demonstrate validity. The study was explained to the subjects in the pilot study in the cover letter (See Appendix I for cover letter and Appendix II for pilot study questionnaire). The subjects were asked to revise and make suggestions to the questionnaire in order to insure the gathering of desired data based on the purpose of the study. The subjects were also asked to complete the questionnaire. Of the superintendents and principals in the pilot study, forty-three percent completed the questionnaire. Generally, the responses from the pilot study indicated the questions were clear, well phrased,

comprehensive, and appropriate for the topic of the study and to extract the desired data based on the purpose of the study. One revision was made to the questionnaire as a result of the pilot study (See Appendix III for final questionnaire).

The questionnaire consisted of ten open-ended questions. After a brief informal discussion in the beginning of each interview, which was helpful for establishing rapport, the interviewer posed the questions and the subjects responded in-depth. Depending on the progress of the interview, the questions were not necessarily asked in numerical order and there were times when an interviewee's response covered more than one question. This practice helped keep the interview on a natural, and still very informative level. This format was used in order to give the subjects opportunity to respond to questions in depth and to clarify all points raised during the interview. This format provided the researcher with in-depth, insightful, and comprehensive data.

The questions were written on the basis of the researcher's insight and understanding of staff development for elementary school principals. This was derived from several sources: the researcher's

involvement in staff development as an administrator, experience in developing staff development programs, and a review of the literature related to staff development for principals and middle managers in business.

The questions were designed to obtain comprehensive and in-depth data from the perspectives of superintendents and principals. The questions were so structured as to produce data which would enable the researcher to conduct a comprehensive analysis of staff development for elementary school principals. In order to accomplish this, questions addressed such issues as the purpose of staff development for elementary school principals, types of activities provided, importance of staff development, and effectiveness of staff development. There was also an opportunity at the end of each interview for the subject to make any final comments.

For the actual study, ten elementary school superintendents and twenty elementary school principals were interviewed. The subjects were from public suburban school districts in Cook County. Geographically, subjects were selected from a cross-section of the north, northwest, south, and southwest regions. One superintendent and two principals were selected from each of the ten school districts in the study.

Superintendents and principals were selected for the study in order to get both perspectives on staff development for elementary school principals. The superintendents are directly involved, and in many respects responsible, in the professional growth and development of principals. Principals, on the other hand, are the ones most affected by staff development activities for principals. Therefore, superintendents and principals were selected to enable the researcher to conduct a comprehensive analysis, from an administrator's perspective, of the staff development activities for elementary school principals.

Twenty principals and ten superintendents represents ten percent of the population in suburban Cook County which meet the criteria in the study. The number of subjects involved and the geographical cross-section from which the subjects were selected provides a fair representation of the school districts which meet the criteria in the study. A greater number of subjects would have been cumbersome given the present methodology.

Each subject was called on the telephone and an interview was arranged. The researcher experienced an extremely high rate of success when arranging the interviews. Each superintendent and principal reached by

telephone agreed to be interviewed. Three superintendents did not return the researcher's call, and in such cases, the researcher simply contacted another superintendent. A directory of public schools in suburban Cook County, obtained by the Cook County Educational Service Region, was used to contact the districts which met the criteria in the study.

As mentioned earlier, a superintendent and two principals were selected from each of ten districts. The superintendent of the district was contacted first, and after he or she agreed to be interviewed, the researcher then contacted two principals in the district to arrange interviews. The superintendent and principals were informed prior to the interview of the purpose of the study and who was participating in the study. The subjects were informed prior to the interview that the subjects would remain anonymous. This precaution helped insure open and honest responses. Each interview lasted approximately one hour. A questionnaire was used as a guideline for the interview. An identical questionnaire was used for the superintendents and principals. The researcher recorded the subjects' responses onto the questionnaire and approximately seventy percent of the interviews were taped. After collecting the data, the

researcher reviewed the recorded data and compared the written responses with the audio-taped responses. After this analysis, if there was a discrepancy between the audio-tape and the written record of the interview, appropriate changes were made. There were a few instances where the subjects seemed uncomfortable with the interview being tape recorded, thus some interviews were not taped. However, in these instances, the subjects tended to speak slower in order to give the researcher ample time to record the responses.

A constant comparative method of data analysis was used in this study. The constant comparative method is a combination of coding data and data analysis.¹⁸ The purpose of this method is to generate or suggest theory. The constant comparative method is concerned with generating or suggesting properties and hypotheses about a phenomenon.

The constant comparative method has four stages: (1) comparing incidents applicable to each category, (2) integrating categories and their properties, (3) delimiting the theory, and (4) writing the theory.¹⁹ When comparing

18. Glaser, B. "The Constant Comparative Method of Qualitative Analysis" Social Problems. 1964.
p. 437

19. Ibid., p. 439

incidents applicable to each category, the researcher codes an incident for a category and compares it with previous incidents coded in the same category. Memos were recorded throughout the analysis to tap the initial freshness of the analyst's theoretical notions. For example, in this study, the researcher compared responses to the various items on the questionnaire used in the interviews. The original list of categories for coding was reduced. Also, theoretical saturation of categories helped delimit the list of categories for coding. This is a result of the constant comparisons. This helped the researcher attain two requirements of theory; (1) parsimony of variables and formulation and (2) scope in the applicability of the theory to a wide range of situations.²⁰ When writing theory, it is necessary to collate the memos on each category. The coded data are the resource to return to for validating a point and providing illustrations.

A matrix is a systematic and creative figure which increases the understanding and meaning of a data base.²¹ The matrix used in a research project should be

20. Ibid., p. 441

21. Miles, M. and Huberman, A. Qualitative Data Analysis: A Sourcebook of New Methods. SAGE Publications, Beverly Hills, California. 1984. p. 211

functional and able to provide reasonable answers to questions in the study. "There are no fixed canons for constructing a matrix."²²

Matrices were used in this study to display and analyze the data. The matrix helped the researcher analyze and display the data in a systematic and comprehensive fashion. The matrix for this study follows a checklist format with one matrix for each item on the questionnaire. The matrix is partitioned by roles (ie. superintendent vs. principal) and responses to the item. This study was descriptive in nature and attempts to lay out data to identify the trends, similarities, and differences of the data which were gathered. This approach was essential to the valid analysis of data and the drawing of valid conclusions.

The responses to each item were recorded by percent of the number of participants or subjects who responded similarly or identically. Responses were categorized and summary remarks were recorded. Similar responses were clustered together in a category. Comments which were unrelated to the topic of discussion were eliminated. Summary remarks were recorded and illustrate and validate conclusions which were drawn from the analysis of the

22. Ibid., p. 211

data. The difference between the responses from the two roles was identified by percent in the matrix. The difference helped highlight a discrepancy in the responses.

In addition to the data being partitioned, data similar in nature were clustered so that contrasts between sets of responses on items could be clearer.²³ The clustering created a focused and integrative cross-role description that was practical and retained role-specific responses. The clustering avoided data being presented and analyzed in a fragmented fashion. Reading across the rows presents a role vs. role picture and reading down the columns gives a cumulative picture of each individual role. (See Appendix IV for sample of matrix).

The constant comparative method of data analysis and the use of the matrix as a method of data analysis and display enabled the researcher to draw valid conclusions and provide a rich description for the data collected in this study. The data analysis procedures will be discussed further in Chapter 3.

This study attempts to analyze in-depth the staff development activities for elementary school principals.

23. Ibid., p. 152

The strengths and features of qualitative research enabled the researcher to achieve this goal. Thus, a qualitative research method, namely the interview method, was incorporated in this study.

CHAPTER II
REVIEW OF THE LITERATURE
CONTINUING PROFESSIONAL EDUCATION

Professionals learn through study, apprenticeship, and experience. Theory and practice are directed in such a way so that each enriches the other.

Once the professional becomes established, it is important that he or she stay abreast of current developments in his or her field. Though the distinction between the selection and certification stages are clear, the transition between induction and continuing education is gradual. Continuing education familiarizes the professional with new techniques and of the expanding knowledge base of the profession.

The classic model of professional education is:

1. General education (emphasis on content in area of specialization)
2. Selection
3. Pre-Service specialized education
4. Certification of competence
5. Induction
6. Continuing education.²⁴

24. Houle, Cyril O. Continuing Learning in the Professions. Jossey-Bass Publishers. San Francisco: 1981. p. 4

Continuing education has experienced constant criticism.²⁵ For example, providers of continuing education have been criticized for having financial concerns rather than being concerned for the public interest. The value of continuing professional education has also been questioned. The impact continuing education has on an incompetent professional is minimal or non-existent.

It is critical that every professional perform his or her duties to the highest possible standards. Life-long study will help enable one to meet this need. Continuing professional education evolved because formal means of education were insufficient. The term "continuing professional education" came into general usage in the late 1960's.²⁶ Initially, continuing professional education was limited to a few techniques, but it gradually broadened to include all activities designed to provide learning for professionals.

Continuing education programs which have been accepted for a long period of time seem to be unsatisfactory for maintaining a desired level of professional practice. Simply providing more educational programs

25. Ibid., p. 6

26. Ibid., p. 7

will not bring about the necessary changes. The entire conception of professionalism must be rethought and restructured.

When looking at continuing education programs, it is essential to also look at pre-service programs. Since the goal of continuing education programs is to improve the skills of program participants, the providers of continuing education should provide programs which supplement and reinforce skills already addressed in pre-service programs. Pre-service educational programs must be redesigned to help prepare students to be life-long learners. Many professional schools are reorganizing their programs in order to move students into the world of work at a faster pace. The idea behind this change is to train students in a setting similar to the setting which will be encountered in practice.

Pre-service and in-service programs must attend to individual differences. Uniformity of training activities must be avoided in continuing education. Professionals are often at different stages in their careers, and thus should not be expected to attend the same lecture or workshop. Continuing education should not only keep up with new developments, but it should also help facilitate changes in life patterns or career lines.

Continuing education must be continuing in order to achieve its greatest potential. It must be self-directed. Each professional must monitor his/her own learning.²⁷

Collaboration among professions could offer great dividends.²⁸ The needs, objectives, and goals all have a marked resemblance across professions. A study of similarities among the professions could result in an exchange of ideas, techniques, and solutions to problems which would refresh practice in the professions. Inter-professional educational activities may provide additional insight which would benefit practice for the professionals involved.

Life-long learning and the professionalization process should have many goals in pre-service preparation and the years of actual practice. Characteristics which could serve as the bases for such goals follow.

1. "Members of a profession should be concerned with clarifying the professions functions. Though members of a profession may have different conceptions about the functions of their profession, they all perform basically the same duties. For example, a study of high school principals showed little relationship

27. Cross, K. Adults as Learners. Jossey-Bass Publishers, San Francisco. 1984

28. Op. Cit., Houle. 1981. p. 15

between the ways they spend their time and the ways they feel they should spend it. Of nine categories of responsibility, professional development ranked sixth in the list of what principals felt they should do and last in the list of what they did. A constantly changing sense of mission has become a characteristic of professions. This creates profound implications for continuing education.

2. The practitioners of a vocation should seek mastery of at least the rudiments of the information and theory that comprise the knowledge base of the profession.
3. Practitioners of a profession should seek to be able to use the theoretical bodies of knowledge to deal competently with a category of specific problems that arise in the vital affairs of mankind. Practicing professionals have the greatest opportunity for continuing education through creatively solving problems. Every practitioner should examine each situation and identify what could be gleaned from it. Investigation and inquiry should be applied to ordinary and extraordinary situations to the degree of learning which could be acquired from each situation. Experience may be a good teacher but reflection about experience is a better one. Failure to bring inquiry into each situation will result in evaporation of potential learning.
4. Practitioners should study topics not directly related to their occupation. This practice could provide relaxation, breadth of viewpoint, and a corrective for the boredom and routine often produced by professional practice. Often times work dominates life and it symbolizes what he or she is. Studying outside topics can instill a zest for experience, which will help one maintain dignity and resourcefulness upon retirement.
5. A formal means should be established to test practitioners to determine their capacity to perform at an acceptable level.

6. The vocation should provide for its members a subculture with distinctive attributes. During this process, work could become life for the professional person. Informal gatherings could have the most significant effect on the acculturation process.
7. Ethical practice should be established and refined due to changing circumstances. This may be reinforced by a formal code.
8. Practitioners who are incompetent or who fail to act according to ethical standards should be penalized.
9. The relationship of the work of the practitioner's vocation and that of allied occupations should be clearly established and maintained."²⁹

The ultimate aim of continuing education is to instill in practitioners of a vocation a mentality which encourages the use of the best ideas and techniques of the moment, but to also expect these ideas and techniques to eventually be modified or replaced. Practitioners must develop an awareness of the value of continuing education and the habit of participating in it.

The type of continuing education in which a professional participates is determined largely by education experiences which occurred earlier in life. The length of formal education in youth is positively associated with the extent of participation in education during the years of maturity. However, this does not

29. Ibid., p. 35

shed any light on the relationship between the extent of such participation and the quality of early schooling.

Leaders of professions have indicated that the admissions tests for their own schools were deficient in predicting which students would satisfactorily meet the demands of the school and the vocation. Major efforts have been made to improve the admissions process by trying to systematically identify personal qualities and traits which could be linked with competence in professional careers.³⁰ If continuing education is crucial to the profession, the admissions process should include a means for selecting individuals with a thirst for knowledge which is likely to endure throughout their careers. Admissions committees should attempt to develop methods for estimating the continuing education potential of its applicants.

Professional programs could enhance professional competence by establishing the students' commitment to life-long learning through curricular changes and by attempting to alter the behavior patterns of students. Life-long learning appears obvious, but it is often not communicated in professional schools in a systematic and

30. Ibid., p. 82

thorough fashion. If students are not taught the custom of continuing to learn, later in life they will not know how to do so. The professional's attitude toward future learning has been established by the time of entry into service. Anyone taught what to learn has been prepared for the present; anyone taught how to learn has also been prepared for the future.³¹

Four aspects of service have a significant influence on the nature and extent of every practitioner's continuing education. These four aspects are: the basic settings in which professionals work; the changes in career line that often occur with increasing age; the quality of the informal and formal worklife; and the age of the individual.³²

There are times when a change in career line has occurred and no provision has been made for learning the new role. The individual in this position has to learn through such devices as trial and error, reading, and seeking advice. Once the individual has adjusted to the new position, the maintenance of high performance standards becomes the guiding principle for continuing education. The maintenance and modernization of pro-

31. Ibid., p. 90

32. Ibid., p. 97

professional abilities is the goal of continuing education for this situation.

The practice of a vocation provides stimuli to learning in the form of opportunity, threat, or a combination of opportunity and threat. Some of the stimuli inherent in the practice of the vocation follow.

1. "Particular cases in the profession present problems which demand the attention of the practitioner. This is a particularly effective stimulus to learning in the early years of practice since each situation is novel for the new practitioner.
2. Professionals may experience crises of self-identification and stress where they doubt themselves, their goals, and the values of their work. This crisis could lead to living in a state of constant frustration, a change in career, or participation in a positive program of action.
3. Practitioners may have continuing informal contact with other members of the profession which may generate opportunities for learning.
4. Interaction with colleagues could be an extremely fruitful learning experience.
5. Professionals can assist one another through consultation when dealing with particular cases.
6. The establishment of role models could provide rich learning experiences in an organization, particularly to the junior members of the organization. Sir Arthur Fleming is quoted as saying: "A poor environment can rapidly convert a first class man into a mediocre one if he stays." Lord Jackson added, "The nature of an environment is largely determined by the senior men in it."

7. Institutional climate could encourage and provides continuing education for its members. An educative environment can be fostered in a number of ways, such as:
 - a. Design within the setting as many educative features as resources will permit and usage justify.
 - b. A systematic use of the team approach where specialists work together on particular problems which generates instructive interaction.
 - c. The development of an atmosphere of mutual growth and stimulation. Probing, gleaming, and the exchange of ideas are present throughout the mission for accomplishing the institutional goals.
8. The decision-making process can be used as an opportunity for learning. The use of as many people as possible in decision making is a way of using the mode of inquiry to expose and inform professionals to new problems and aspects of their work.
9. Members of a profession can be motivated to continue learning by the possibility of a decline or boycott of their practice."³³

Age affects the members of a profession. Regardless of age, professionals should be active students.

The individual's desire to learn ultimately controls the amount and kind of education one undertakes. If learning is dreaded, any external stimulus will thwart education. If learning is greatly desired, its burden will be light and rewards great.

33. Ibid., p. 106

Adults in America who are already relatively well educated are more likely to engage in learning activities. Advancing on their present jobs as opposed to getting new jobs was a greater reason for continuing education for professionals. Some factors which prevented professionals from engaging in learning activities are less time available, difficulty in finding courses at times convenient for them, heavier job responsibilities, and are more tired of formal instruction. Professionals were less concerned about cost, had fewer problems of child care and transportation, and were more confident of their ability to learn. Some evidence indicates that adult Americans are less satisfied with their intellectual development than with any other aspect of their lives.³⁴

Nine reasons for non-participation in learning activities developed by Dao are:

1. "Not enough time to participate in educational activities.
2. Individual and personal problems make it too difficult to participate.
3. Too difficult to succeed in educational activities.
4. Against the social norms to participate in educational activities.

34. Ibid., p. 143

5. Negative feelings toward the institution offering instruction.
6. Negative prior experiences in educational activities.
7. Results of educational activities not valued.
8. Indifference to educational activities.
9. Unawareness of educational activities available."³⁵

Some people put new practices into effect more rapidly than do other people. People can be distributed along a normal distribution curve in terms of the speed of adoption of an innovation. Rogers and Shoemaker identified five categories of people in their study of innovativeness.³⁶ At the upper limit are the innovators, who make up about 2.5 percent of the distribution and their chief characteristic is venturesomeness. Next on the curve are the early adopters, 13.5 percent and their chief characteristic is respectable; the early majority, 34 percent, deliberate; the late majority, 34 percent, skeptical; and the laggards, 16 percent, traditional. There is a positive correlation between rate of adoption and a favorable attitude toward education and learning

35. Dao, M.N. "The Orientations Toward Nonparticipation in Adult Education", University of Chicago. 1975, p. 48

36. Roger, E. and Shoemaker F. Communicating Innovations. New York: Free Press. 1971. p. 136

activities. There is also a direct linkage between continuing education and performance.

The most common measure of continuing professional education is the number of hours spent in learning activities. This measure does not indicate how well the learner performs during participation or subsequently. The continuing education unit (CEU) is another system for measuring continuing education in terms of extent of participation. The chief concern with the CEU is that no strong legitimizing body accredits the institutions permitted to award it.

The essential problem with measures of extent of participation is that they carry no assurance that desired change in the competence or performance of the participant has occurred. Also, very little interchange is possible among the many plans being developed. Using participation as the basis of evaluation tends to restrict the goals of continuing education to the mode of instruction.

The extent of learner satisfaction is a method of assessing the quality of an educational activity. Learner satisfaction is usually considered a highly significant measure. Other methods of evaluation are the demonstration by learners of their level of

accomplishment and the measurement of the extent of improved performance as a result of formal learning.

The evaluation of a professional's learning can be administered in several ways. Three ways to evaluate a professional's learning are peer appraisal, self-evaluation, and a formal system of evaluation.

A professional may learn from past experiences which procedure is best to follow for a particular case. However, there will be cases where unknown factors exist and the professional will not have previous cases to look back on.

Mandatory continuing education is a method for assuring professional quality. This practice is widely accepted in terms of recredentialing. However, studies have shown that the older a professional, the less likely he or she is to favor mandatory recredentialing.³⁷

When advancement in a profession occurs, continuing professional education is critical. If the continuing professional education does not occur prior to the advancement, the individual would have to learn his or her new responsibilities on the job. Detailed forms of career advancement learning experiences is likely to provide the greatest growth in professional education.

37. Op. Cit., Houle p. 284

Payment and promotion systems based to some extent on continuing education contribute significantly to the growth of professional education.

Criticism or outside pressure on the professions can lead to corrective action. Some of the forms of pressure are: attacks on a profession by its members; consumer concern; mass media interest and concern; and government decisions and judgments.³⁸

Continuing professional education working policies for the future are as follows:

1. "The primary responsibility for learning should rest on the individual.
2. The goals of professional education, including those of continuing learning, should be concerned with the entire process of professionalization.
3. Continuing education should be considered as part of an entire process of learning that continues throughout the life-span.
4. The patterns and methods of continuing education should be planned and conducted in terms of one or more of three modes of education: inquiry, instruction, and performance.
5. The provision of continuing education should expand so that it pervades all aspects of professional life.
6. Professions should collaborate on the planning and provision of continuing education.

38. Ibid., p. 295

7. The processes of recredentialing should be thoroughly rethought and redeveloped to determine the appropriate role of continuing education."³⁹

In the early 1970's, the Commission on Non-Traditional Study composed a definition related to lifelong learning, or what was then known as non-traditional study. It was agreed that non-traditional study is more an attitude than a system and thus can never be defined except tangentially. This attitude puts the student first, and the institution second, concentrates more on the former's need than the latter's convenience, encourages diversity of individual opportunity rather than uniform prescription, and de-emphasizes time, space, and even course requirements in favor of competence and, where applicable, performance. It has concern for the learner of any age and circumstance, for the degree aspirant as well as the person who finds sufficient reward in enriching life through constant, periodic, or occasional study.⁴⁰

In 1976 UNESCO's (United Nations Educational, Scientific and Cultural Organization) General Conference adopted the following definition:

39. Ibid., Houle. p. 305

40. Op. Cit., Cross, K. Patricia. 1984. p. X

The term lifelong education and learning denotes an overall scheme aimed both at restructuring the existing education system and at developing the entire educational potential outside the education system; in such a scheme men and women are the agents of their own education.⁴¹

The definition carries the ideas that the entire formal educational system should be restructured to develop lifelong learners; the world is full of people, organizations, and learning resources which should be targeted for improved education, and not simply schools; this definition also stresses the importance of helping people become self-directed learners.

The anticipated growth of lifelong learning in the United States can be attributed to three influences: demographic, social, and technological.⁴² The demographic factors indicate that there are larger numbers of adults in the population. Socially, the educational level of the populace has risen, the roles of women have changed, and life styles have changed. Education for adults has become necessary for some, desirable for others, and more acceptable and attainable for almost everyone. The technological change and the knowledge

41. Ibid., p. X1

42. Ibid., p. 2

explosion reveal that workers in society have difficulty with staying abreast of new knowledge.

Most adult learners are interested primarily in non-credit learning options that would add to their value as employees. Studies of adult learning interests indicated that over half of the respondents are interested in learning in order to get a new job, advance in their present position, or get a better job.⁴³ A majority of people think that education is the best way to become upwardly mobile in the labor market.

Factors most frequently mentioned as stimulants to job-related education are as follows:

1. "Job obsolescence.
2. Increased participation of women in the labor market.
3. Increased longevity in the labor market.
4. Job competition.
5. High aspirations.
6. Social acceptability of career change.
7. The portability of pension plans."⁴⁴

Arbeiter (1979), maintained that the extent of midlife career change has been greatly exaggerated.⁴⁵

43. Ibid., p. 20

44. Ibid., p. 21

45. Ibid., p. 22

Some argue that the boom market for adult education is to be found in education for leisure rather than job-related education.

Institutions of higher education have been criticized over the recruitment of adult learners. Warren Ziegler, a futurist at Syracuse University, expressed opposition to any policy that would facilitate the extension of formal education into the adult years. Ziegler contended that:

the history of public educational policy leads to the conclusion that to support means to define, curtail, render accountable, and ultimately govern. Lifelong learning should not be governed. It just should be.⁴⁶

The freedom of adults to determine their own learning programs is the issue in question. Colleges are being criticized for being more interested in meeting their financial needs for survival than in serving the learning needs of adults.⁴⁷

Professional associations are heavily involved in providing learning programs for adults. These associations may assume greater control over non-credit learning which is critical to professional advancement.

46. Ziegler, W. L. The Future of Adult Education and Learning in the United States. Syracuse, N.Y.: Educational Policy Research Center, Syracuse University Research Corporation, 1977. p. 17

47. Op. Cit., Cross. 1984

Mandated continuing education (MCE) describes the tendency of states and professional associations to require the members of certain vocations and professions to fulfill educational obligations in order to retain or renew their licenses to practice.⁴⁸ The objection to MCE is the extension of formal, competitive, and credentialed schooling into the adult years. The state of Illinois now requires school administrators to participate in continuing education or staff development programs at least every two years.

Mandatory continuing education is called on to solve a variety of social problems. However, MCE also poses a threat to individual choice and casts a negative image on education rather than a positive image reflecting opportunity for personal growth and human fulfillment.

Common sense conclusions regarding whether MCE results in greater professional competency follow.

1. "As a group, people who are required to learn are more likely to have up-to-date information than people not so required.
2. People who are motivated to learn are more likely to learn than those simply serving time in class.
3. Voluntary learning is most effective, but compulsory learning is better than nothing."⁴⁹

48. Ibid., p. 40

49. Ibid., p. 43

Cyril Houle said the major problem is not ensuring that a professional has the competence to do something but that he or she is actually doing it.⁵⁰ A professional must learn the evolving knowledge and theories in a field and the skills needed to implement the knowledge. This education cannot be obtained from simply attending a class. MCE does not necessarily protect the consumer from incompetent practice.

Research studies seem to divide adult learners into three groups, organized learning activities, self-directed learning, and formal learning for credit. The various groups of adult learners is true of the principalship. About one third of all adults participate in organized learning, almost everyone participates in self-directed learning, and less than 10 percent pursue formal learning for credit.⁵¹

The amount of formal schooling for an individual is the most significant variable related to educational interest and participation. The more education people have, the more interested they will be in further education, the more they will know about available opportunities, and the more they will participate. Principals

50. Ibid., p. 43

51. Ibid., p. 52

have at least a master's degree, thus there should be a positive correlation between principals and rate of participation in staff development activities.

Age is the second strongest variable influencing participation in adult education. The lack of interest in career success, declining energy, and lack of mobility impact the participation rate in adult education by people 55 or older.⁵² As principals age, it may be necessary for superintendents to provide more encouragement and direction for participation in staff development programs.

Adults engage in self-directed learning through learning projects, which could be thought of as a series of related episodes. In each episode more than half of a person's total motivation is to gain and retain certain fairly clear knowledge and skill, or to produce some other lasting change in himself. An advantage of self-directed learning is that it is relatively free of socio-economic bias.

Houle examined the motivation of active learners and out of his research emerged three groups.⁵³ The goal-oriented learners used learning to gain specific

52. Ibid., p. 62

53. Houle, C. O. The Inquiring Mind. Madison: University of Wisconsin Press, 1961. p. 13

objectives such as learning better business practices and learning to deal with family problems. For this group learning began with the identification of a need or interest. These learners select whatever method will best achieve their purpose and do not restrict themselves to one institution or method.

The activity-oriented learners participate primarily for the sake of the activity itself rather than to develop a skill. They may engage in an activity as a means of escape. This group did almost no reading.

The learning-oriented group pursued learning for the sake of learning. Their activities are constant and lifelong and they have a desire to grow.

Research was conducted in adult learners' motivation for participating in learning activities. Several conclusions can be drawn from this research.

1. "Almost every learner has more than one reason for engaging in learning.
2. Adults learners are frequently motivated by the pragmatic desire to use or apply the knowledge or skill.
3. Patterns exist for starting learning projects. First some people develop an awareness that they want to do something or are assigned a task which requires new learning. A second pattern starts with curiosity or puzzlement. The third pattern begins with the decision to spend some

extra time learning, followed by a decision about what to learn during that time.⁵⁴

Aslanian and Brickell conducted a study by hypothesizing an explanation which they tested through the collection of data.⁵⁵ They found that 83 percent of 744 adult learners interviewed by telephone identified some transition in their lives as the motivating factor for learning. Changes in job or careers were the most common causes for learning.

In addition to researching motivation for learning, barriers to learning is an issue which warrants examination. Obstacles to learning can be classified in three groups.⁵⁶ These barriers exist for principals as well as other professionals. The greatest barriers to learning were the situational barriers which arise from one's situations in life at a given time. Within this group, the cost of education and the lack of time were the greatest barriers.

54. Tough, A. Why Adults Learn: A Study of the Major Reasons for Beginning and Continuing a Learning Project. Monographs in Adult Education, No. 3
Toronto: Ontario Institute for Studies in Education. 1968. p. 12

55. Aslanian, C.B. and Brickell, H.M. Americans in Transition: Life Changes as Reasons for Adult Learning.
New York: Future Directions for a Learning Society, College Board, 1980. p. 162.

56. Op. Cit., Cross, p. 98

Institutional barriers were the second greatest barriers and these consisted of practices or procedures that discouraged or excluded working adults from participating in educational activities. These barriers include areas such as scheduling problems, problems with transportation, and lack of information about programs.

Dispositional barriers comprise the third group and they are related to attitudes and self-perceptions about oneself as a learner. The importance of this barrier may be underestimated in survey data. One problem lies in the social desirability issue. It is much more socially acceptable to say that learning activities cost too much or one is too busy to participate than it is to say that one is not interested in learning or lacks the ability.

Theory and practice must be interactive in an applied profession. The interaction of theory and practice should be evident in school administration, including staff development. Theory building in adult education has been difficult for the following reasons.

1. "The marketplace mentality in adult education precludes the search for explanations of complex phenomena.
2. The field of adult education has produced few scholars.

3. The multidisciplinary, applied nature of the field of adult education is a stumbling block to theory building."⁵⁷

Harry Miller (1967) used Maslow's hierarchy of needs to explain why adults participate in learning activities.⁵⁸ Data revealing who wants what in adult education support Miller's approach. Those with a high school education or less are interested primarily in job-related education, while education aimed toward self-understanding and personal development appeals primarily to well-educated people and to people not concerned about survival in the labor market. Miller also uses Maslow's hierarchy of needs to show a relationship between educational interests and age and position in the life cycle.

Kjill Rubenson (1977) developed a paradigm which is a modification and application of work by Vroom (1964), in which Vroom attempted to explain the motivation and incentives of people for work.⁵⁹ The comparison between

57. Ibid., p. 110

58. Miller, H. L. Participation of Adults in Education: A Force-Field Analysis. Boston: Center for the Study of Liberal Education for Adults, Boston University, 1967. p. 21.

59. Rubenson, K. "Participation in Recurrent Education: A Research Review". "Paper presented at meeting of National Delegates on Developments in Recurrent Education, Paris, 1977. p. 35

work and education can be drawn since both appear to be achievement-oriented activities. The application of Vroom's expectancy-valence theory to adult education seems appropriate.

The expectancy part of Rubenson's formula consists of two components: the expectation of personal success in the learning activity and the expectation that being successful in the activity will have positive results. These two components are multiplicative, which means if either component assumes a value of zero, the resultant force is zero and there will be no motivation to participate. Valence is the other part of the formula and its strength depends on the anticipated consequences of participation. This is the sum of the values that the individual places on the different consequences of participation.

Rubenson's paradigm shifts attention from demographic variables to individually based measures. His major focus is on how an individual learner perceives his environment and what he expects to gain from participation in adult education. His paradigm places much less emphasis on external barriers to educational participation as compared to other current studies.

Roger Boshier (1973) researched adult motivation for learning.⁶⁰ He concluded that adult education participation and dropout occur as a function of the magnitude of the discrepancy between the participant's self-concept and key aspects of the educational environment. His theory emphasizes the importance of the proper matching of adults to educational environments. Boshier and Rubenson recognize the self-esteem of the individual as being an extremely important factor in educational participation. Adults with negative self-evaluations are less likely to expect success in Rubenson's theory, and less likely to experience congruence with the educational environment in Boshier's theory.

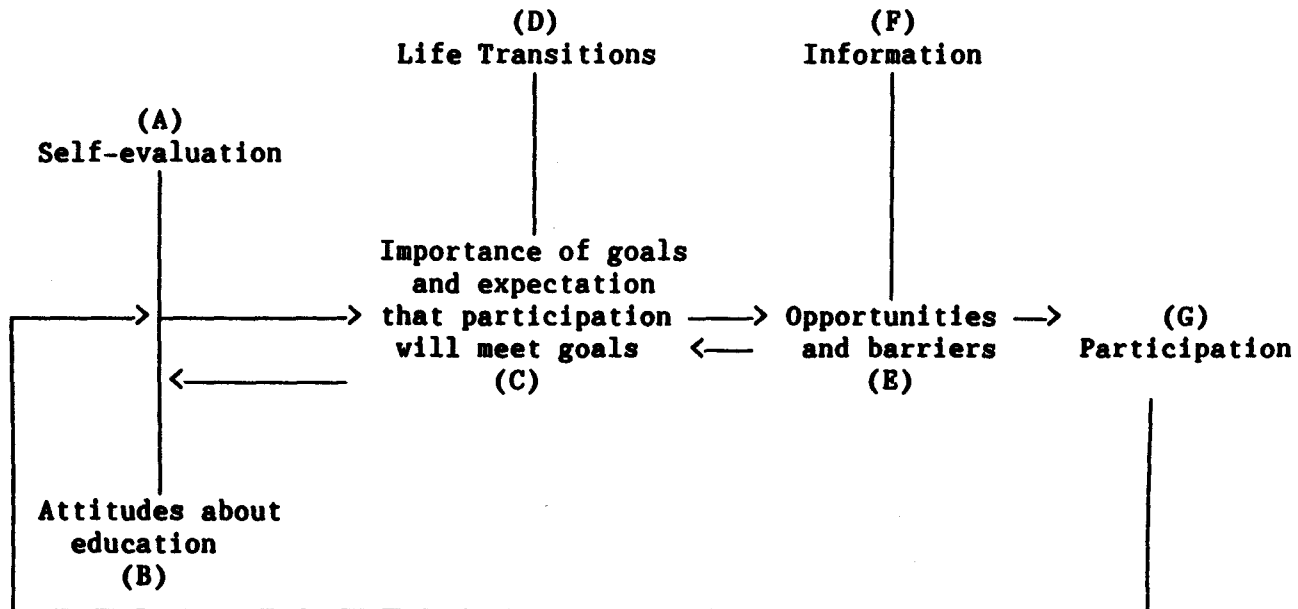
The following model (see Figure 1) identifies the relevant variables of participation in adult learning activities and hypothesizes their interrelationships. Participation in a learning activity is a result of a chain of responses, and not a single act, each based on an evaluation of the position of the individual in his/her environment.

Adult educators should begin at the beginning of this model, with an understanding of attitudes toward

60. Boshier, Roger. "Educational Participation and Dropout: A Theoretical Model." Adult Education, 1973, 23(4). p. 260

Figure 1

Chain-of-Response (COR) Model for Understanding
Participation in Adult
Learning Activities



Source: Cross, K. Adults as Learners. Jossey-Bass Publishers,
San Francisco, 1984. p. 124.

self and education, in order to understand why some adults do not participate in learning opportunities.

Learning can occur in a number of ways. Several human factors exist which may influence learning. The physical changes of a person may affect learning. If there is an age limit on learning performance, it is not likely to occur until around 75. Age 75 is when bodily functions begin to deteriorate.⁶¹

Generally, the time required for learning new things increases with age. However, speed of response by itself should not prevent anyone from learning whatever he/she desires. Physical changes occur with the eyes, and if not cared for, this could have a detrimental effect on learning. Normal physical changes of the eyes can usually be accommodated through the use of eyeglasses and increased illumination. Loss of hearing may be the most difficult physical impairment which accompanies aging. This is because hearing loss may isolate the individual and is not usually visible to others. Hearing loss can usually be treated and should not have a significant impact on learning capabilities until age 65 or older.

Aging and its relationship to intellectual functioning has been studied. Cross-sectional and

61. Op. Cit., Cross. 1984. p. 154

longitudinal studies generally concluded that normal, healthy adults can expect to be efficient and effective lifelong learners well into old age. Young people seem to perform best in their youth on tasks requiring quick insight, short-term memorization, and complex interactions. As people age, they accumulate knowledge and develop perspective and experience in the application of knowledge. The greatest problems with memory for older people occur with meaningless and complex learning. The following steps can be taken to minimize impairment of short-term memory. These points may be beneficial to providers of staff development for principals as they plan and present programs.

1. "The presentation of new material should be meaningful, and it should include aids to help the learner organize it and relate it to previously stored information.
2. It should be presented at a pace that permits mastery in order to strengthen the original registration.
3. Presentation of one idea at a time and minimization of competing intellectual demands should aid original comprehension.
4. Frequent summarization should facilitate retention and recall."⁶²

Generally, adult educators should emphasize the development of cognitive functions calling for integration,

62. Ibid., p. 164

interpretation, and application of knowledge.

Adults prefer to learn at their own pace and to use their own learning style. Adult learning research discovered that the three methods most commonly used in self-directed learning projects are practice, reading, and discussion.⁶³ The most frequently used methods in self-directed learning projects involve the learner and are active. The least common methods are passive - watching or listening to someone else. Short-term conferences, institutes, or workshops are the methods preferred and used largely by professionals and managers. The conferences and institutes methods are the most common methods among principals.

Media-based education has not been well received by adult learners. However, significant numbers of adult learners indicated that the media is an appropriate method for adult learning. Also, evidence is beginning to show that the acceptance of television and other non-traditional methods is in direct proportion to the individuals experience with them.⁶⁴ Videotapes as a means of staff development are becoming more popular among principals.

63. Ibid., p. 196

64. Ibid., p. 210

Theory development is a controversial issue in adult learning. Andragogy, a term popularized by Malcolm Knowles, could be considered a theory of adult learning and is defined as "the art and science of helping adults learn."⁶⁵ Andragogy is premised on four crucial assumptions about the characteristics of adult learners. These assumptions could have a direct impact on the type of staff development programs offered to principals. These assumptions are that as a person matures:

1. "one's self-concept moves from being dependent toward being a self-directing human being,
2. one accumulates a growing reservoir of experience that becomes an increasing resource for learning,
3. one's readiness to learn becomes increasingly oriented to the developmental tasks of one's social roles,
4. one's time perspective changes from postponed application of knowledge to immediacy of application, and one's orientation toward learning shifts from subject centeredness to problem centeredness."⁶⁶

Though characteristics of adult learners differ from characteristics of child learners, andragogy is neither uniquely suited to adults nor superior to more traditional education.

 65. Knowles, M. The Modern Practice of Adult Education: Andragogy Versus Pedagogy. New York: Association Press, 1970. p. 38

66. Ibid., p. 39

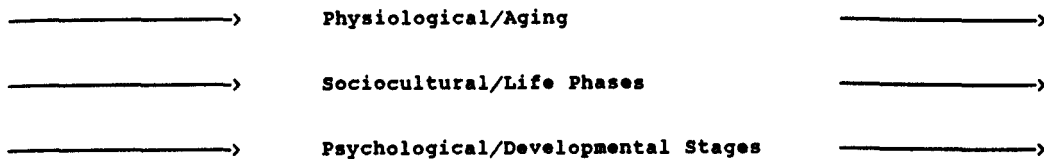
The appropriate contrast in adult education is not between adults and children but between learning and teaching. Kidd contrasts pedagogy, the science of teaching which focuses on the schoolmaster's behavior while teaching, with andragogy, which he defines as the science of pupil's behavior while learning.⁶⁷ Adult educators find this position appealing since they wish to capitalize on the ability of adult learners to assume more responsibility for their learning which is not the case for school children.

The following model (see Figure 2) may serve as a framework to accommodate current knowledge in the field of adults as learners. The purpose of the model, Characteristics of Adults as Learners - CAL, is to elucidate differences between adults and children as learners and to suggest how teaching adults should differ from teaching children.

The CAL model consists of two classes of variables. The personal characteristics describe the learner. The situational characteristics describe the conditions under which learning takes place. The two characteristics which differentiate the learning situation of the adult from that of the child are adults are typically part-time

67. Kidd, J. R. How Adults Learn. New York: Association Press, 1973. p. 23

Figure 2

Characteristics of Adults as Learners (CAL)**Situational Characteristics****Part-Time Learning vs. Full-Time Learning****Voluntary Learning vs. Compulsory Learning**

Source: Cross, K. Adults as Learners. Jossey-Bass Publishers, San Francisco, 1984. p. 235.

learners and they are usually volunteers. Figure 3 identifies phases of an adult's life which could affect learning (see Figure 3). The characteristics and phases outlined in Figure 2 and 3 are highly applicable to school principals.

Professional Development for Principals

A strong case can be made for the continuing education of the principal. One point in support of the continuing education for the principal is the argument that principals are poorly prepared for their jobs in the first place. Several studies have concluded that there is virtually no relationship between effectiveness on the job and formal preparation for the job.⁶⁸ Scholars have found classroom teaching as preparation for the principalship to be inadequate. Seymour Sarason, in his book The Culture of the School and the Problem of Change, makes the point that being a teacher for a number of years may be in most instances antithetical to being an educational leader or vehicle of change.⁶⁹

68. Brown, C. "The Principal as Learner" Principal
July/August 1974, p. 19

69. Ibid., p. 19

Figure 3

Descriptions of Life-Cycle Phases

Phase and Age	Marker Events	Psychic Tasks	Characteristic Stance
Leaving Home 18-22	Leave home Establish new living arrangements Enter college Start first full-time job Select mate	Establish autonomy and independence from family Define identity Define sex role Establish new peer alliance	A balance between "being in" and "moving out" of the family.
Moving into Adult World 23-28	Marry Establish home Become parent Get hired/fired/quit job Enter into community activities	Regard self as adult Develop capacity for intimacy Fashion initial life structure Build the dream Find a mentor	"Doing what one should" Living and building Launched as an adult
Search for Stability 29-34	Establish child in school Progress in career or consider change Possible separation, divorce, remarriage	Reappraise relationships Reexamine life structure and present commitments Strive for success Search for stability,	"What is this life all about now that I am doing what I am supposed to?" Concern for order and stability and with "making it"

Figure 3 (cont'd.)

Descriptions of Life-Cycle Phases (continued)

Phase and Age	Marker Events	Psychic Tasks	Characteristic Stance
	Possible return to school	security, control Search for personal values Set long-range goals Accept growing children	Desire to set long-range goals and meet them
Becoming One's Own Person 37-42	Crucial promotion Break with mentor Responsibility for three-generation family; i.e., growing children and aging parents For women: empty nest; enter career and education	Face reality Confront mortality; aging Prune dependent ties to boss, spouse, mentor Reassess marriage Reassess personal priorities and values	Suspended animation More nurturing stance for men; more assertive stance for women "Have I done the right thing? Is there time to change?"
Settling Down 45-55	Cap Career Become mentor Launch children; become grandparents New interests and hobbies	Increase feelings of self-awareness and competence Reestablish family relationships	"It is perhaps late, things I would like to do in the last half of my life" Best time of life

Figure 3 (cont'd)

Descriptions of Life-Cycle Phases (continued)

Phase and Age	Marker Events	Psychic Tasks	Characteristic Stance
	Physical limitations; menopause Active participation in community events	Enjoy one's choices and life style Reexamine the fit between life structure and self	
The Mellowing 57-64	Possible loss of mate Health problems Preparation for retire- ment	Accomplish goals in time left to live Accept and adjust to aging process	Mellowing of feelings and relationships Spouse increasingly important
Life Review	Retirement Physical decline change in finances New living arrange- ments Death of friends/spouse Major shift in daily routine	Search for integrity versus despair Acceptance of self Disengagement Rehearsal for death of spouse	Review of accomplish- ments Eagerness to share everyday human joys and sorrow Family is impor- tant Death is a new presence

Sources: Chickering and Havighurst, 1981; Gould, 1972; Lehman and Lester, 1978; Levinson and others, 1974; McCoy, Ryna, and Lichtenberg, 1978; Neugarten, 1968; Sheehy, 1976; Weathersby, 1978.

Another argument in support of continuing education for principals is that the job is changing and is defined differently by the publics served by principals. A third factor is that principals are basically immobile professionals and thus it is economically prudent to invest in their professional development. Also, simply the importance of the principalship should provide sufficient cause to invest in principals' growth and learning. Principals are in a strategic position and can have a significant impact on a positive school climate which should enhance student and teacher learning and development.

There are several reasons why more has not been done for the professional development for principals. Some of the reasons follow.

1. "A lack of funds specifically designed for this purpose. This country has not made a significant investment into the growth of the principal, particularly in light of the millions of dollars invested annually into the training of middle managers in the private sector.
2. The importance of such an investment is not understood.
3. There was little help available to meet the in-service needs of the principal. (Please note that this article was written in 1974.)
4. Principals may be reluctant to ask for assistance for fear of being considered weak and ineffective."⁷⁰

70. Ibid. p. 20

There are several sources available to provide professional development for principals. Some of these sources are the school districts themselves, colleges and universities, state departments of education, and the creation of institutions designed solely for the purpose of providing professional development programs for practicing school administrators.

People gain new insights which lead to changed behavior when they perceive a need for change in themselves. Change occurs from the inside, not the outside. This principle is true of administrators as well as teachers.

In order for principals to be able to expect teachers to change in a positive fashion, principals have to also change. The irony is that generally principals do not model change for those from whom they demand it.

A principals' center can be an excellent source of professional development for principals. The Principal's Center under the direction of Roland Barth conducted programs for principals in such areas as collective bargaining, RIFs, teacher evaluation, and computer.⁷¹ Principals involved in the Center were excited about the

71. Carmichael, L. "Leaders as Learners: A Possible Dream." Educational Leadership. October, 1982. p. 58

value of the information and collegiality available at the Center.

A principal's center focuses on improving professional skills, attitudes, and expertise among principals. The essential idea behind a principal's center is that it is directed by and for principals. The center could serve as a model for the idea of leaders as learners. Improved performance on the part of participants gives credibility to the value of professional development.

Staff development is referred to as any systematic attempt to change school personnel.⁷² There are various degrees and kinds of change which require staff development. Staff development topics to be examined are context, assessment, content, and process.

Context is the process of setting characteristics in which staff development occurs.⁷³ The characteristics of the settings influence the success of change efforts. Context includes physical and organizational properties of a setting, the history of prior change efforts, the perception of the mission of the school, and the capa-

72. Griffin, G. "Implications of Research for Staff Development Programs." The Elementary School Journal. Volume 83, No. 4, March 1983. p. 414

73. Ibid., p. 416

bility of the school to obtain the necessary resources to support the change.

Assessment refers to the careful examination of needs. This includes determining whether what is needed should be an object of a staff development program. This assessment could be administered by personnel within or outside the school district.

The content of staff development is the knowledge, skill, and attitudes which are meant to be incorporated into the school setting.⁷⁴ The content may vary from efforts to change several schools to activities designed to change a single behavior in a few teachers.

The process of staff development refers to the method by which content is conveyed to participants.⁷⁵ Process also includes the decisions and actions that are related to planning, implementation, and evaluation of content and delivery systems.

The availability of support systems that foster professional development can enhance or inhibit a principal's effectiveness. The culture of the system has a far greater influence on the effective leadership of principals than administrative workshops.

74. Ibid., p. 416

75. Ibid., p. 416

The pre-service programs of principals by universities are inadequate, if only because no one knows what principals will face until the situations arise. Pre-service programs are far less important than the professional development of practicing principals. The problem situations, which principals confront daily, have the necessary ingredients for professional growth. These moments of conflict hold great potential for learning.

In-service training should begin with principals identifying areas where they need help. The areas of concern should not be superimposed by superintendents.

A support system could provide rich avenues of professional development for principals. Few principals have a support system where they could obtain sound advice from other experienced administrators. Principals would have to learn to share problems without worrying about appearing inadequate in order to function in a support group which will meet their personal and professional needs.

There are four support systems which principals could depend on to enhance professional development.

1. Support within the school. A school-based support system is crucial because teachers could then be a part of solutions as well as a part of problems. Also, shared responsibilities can move the climate of the school from "him versus us" to "we're all in this together."

2. Support from other principals. Principals can help one another because they deal with similar problems, face similar pressures, and evolve different solutions. Principals have a great capacity to stimulate professional growth and effective practice in their colleagues.
3. Support from the central administration. When the central office runs a service agency for principals, then principals are able to establish service agencies for teachers, and teachers for children. The chain of command can function as a chain of support.
4. Support from outside the system. University courses and consultants are common external attempts to influence the effectiveness of principals. This approach tends to have minimal influence on performance and little effect on professional growth. However, utilizing a professional agency with a proven track record may be beneficial. The agency should address two primary questions:
 - 1) What kind of help do school principals need in developing effective leadership capabilities? and
 - 2) How can this assistance be provided? An external organization has no responsibility to judge or evaluate and should then be less threatening.⁷⁶

The principal greatly influences what teachers teach and what children learn. The development of principals as effective educational leaders is a crucial issue. Principals should be liberated from institutional constraints and provided conditions which will allow them to fulfill their potential as educational leaders.

76. Barth, R. "How to Ensure an Effective Principalship." The National Elementary Principal. March 1980. p. 15

Professional development is vital to the ongoing effectiveness of elementary school principals in view of the information explosion and technological advances. Unfortunately, professional development is traditionally one of the last priorities on the administrator's agenda. Few school districts offer in-service programs especially designed for administrators.

The successful completion of the best formal doctoral program in educational administration cannot equip the principal with all the necessary skills and competencies for effective performance in a time of rapid change. Effective professional development activities can help prevent professional obsolescence. Professional development for school administrators should be based on the following assumptions.

1. Every school district and administrator needs to improve the quality of performance and service.
2. All educational personnel can benefit from some form of effective in-service training.
3. It is important to capitalize on strengths and improving weaknesses through professional development activities.
4. The school district and the individual administrators are responsible for professional

development in order to enhance improved performance and goal attainment.⁷⁷

Principals should seek to realize full professional potential and not merely maintain effectiveness. A commitment to self-renewing activities and continuing study programs will help achieve this end.

Administrators should accept the responsibility for their own professional development, even in the absence of formal district programs. By assuming this responsibility, principals should: 1) allocate and protect regular time for such participation; 2) build a professional library and systematically file professional articles and notes; 3) devote a certain amount of income to professional development activities; 4) seek both individual and group professional development opportunities; and 5) participate in professional development functions when fresh enough to be receptive and able to learn readily.⁷⁸ It is also important for administrators to evaluate the programs in which they participate in order to assess the results of the program.

77. St. John, W. and Runkel, J. "Professional Development for Principals: The Worst Slum of All." Principal. March/April, 1977. p. 67

78. Ibid., p.68

Activities which may enhance performance are planned interaction with talented business executives since administrators of various endeavors encounter common problems, teaching university classes on occasion can be enriching, purposeful travel can be stimulating, and case studies and simulation exercises can be valuable.

Precautions which should be considered to improve professional development programs for administrators are:

1) administrators must have the freedom to practice their newly acquired skills on-the-job if professional development is to be successful; 2) adequate time and support are needed for effective participation; 3) activities must be interesting, significant, and activity centered; and 4) time and effort expended should be properly recognized.⁷⁹ William James once said, "The most important question a man can ask himself is not what shall I do, but what shall I become."⁸⁰ "The effectiveness of a professional development program is measured by the improvement in the performance of administrators and by the increased achievement in school district goals."⁸¹

79. Ibid., p. 69

80. Ibid., p. 70

81. Ibid., p. 70

The lack of in-service opportunities available to principals is incredible in view of the fact that they are critical to an effective school. "Bilingual teacher aides typically receive more in-service than most principals."⁸²

An in-service program for principals should have at least two goals: 1) benefits to students; and 2) increasing personal effectiveness should be blended into improving the effectiveness of the organization. Effective in-service programs have the following features in common.

1. Defined primarily by the learners and not "laid on" by the district office.
2. Offer participants opportunities to experience and to evaluate new behaviors (with feedback) in a safe environment.
3. Are ongoing and holistic: Instantaneous solutions to complex problems seldom work.
4. Offer reasonable rewards to participants.⁸³

There is a lack of agreement between principals and others, such as superintendents, as to what in-service

82. Olivers, J. and Armistead, L. "Schools and Their Leaders-Some Realities About Principals and Their Inservice Needs." NASSP Bulletin. October 1981. p. 103

83. Ibid., p. 104

should be provided when. "The only people with a high level of consistency in defining what is needed for the principalship are principals themselves."⁸⁴ The top five competencies identified by principals are:

1. School Climate. The principal will be able to analyze the relationship of school morale, climate, and policies and actively work toward the development of a positive school climate.
2. Personnel Evaluation. The principal will be able to provide leadership in the development of teaching performance standards and demonstrate ability to evaluate teaching performance.
3. Team Building. The principal will be able to demonstrate the application of interpersonal relations skills in articulating responses to staff needs and developing morale.
4. Internal Communications. The principal will be able to establish an effective two-way communication system utilizing a variety of procedures that allow for clarification and facilitation of communication among staff members, students, community members, and district level personnel.
5. Supervision. The principal will be able to utilize an effective planning model for developing and implementing practices to improve instruction.⁸⁵

84. Ibid., p. 105

85. Ibid., p. 106

The following methods may be used to determine whether a principal has internalized and can apply a given competency.

1. "Can the principal teach the competency to someone else?
2. Based on Bloom's Taxonomy, can the principal use the competency at least at the "application" level? Preferably, the principal will progress to the synthesis and evaluation levels.
3. Can professional colleagues observe the principal and agree that he or she uses the competencies?"⁸⁶

There are a number of obstacles limiting the potential effectiveness of in-service programs. Some of the obstacles are:

1. "Lack of networking among principals and other appropriate professionals.
2. Lack of systematic in-service programs for principals. The programs are often sporadic and fragmented, and consequently, less effective in bringing about desired change.
3. A critical need exists for the development of quality instructors.
4. A need for program development money.
5. There is a gap between research and practice. Practitioners and researchers must work together in order to achieve the greatest results."⁸⁷

86. Ibid., p. 107

87. Ibid., p. 108

The schools of the principals involved in the program for the Development of the Role of the Principal as an Educational Leader, at Bank Street College, experienced positive change.⁸⁸ As a result of participating in this program, principals performed more effectively. This program helped principals see new dimensions in their role, acquire new competencies, and develop a desire for professional growth.

The training objectives of the Bank Street program were derived from an ongoing assessment of the needs of the principals and their schools. The program sought to enable participants to:

1. "become aware of themselves as educational leaders;
2. develop and define goals, objectives, and strategies for their schools and for themselves;
3. develop a program of assessment of staff, children, programs, and self;
4. understand how adults learn and conduct staff development programs;
5. understand the learning and growth of children;
6. become competent in curriculum and development;
7. develop their schools as total learning environments;

88. Burnes, J., Blake, S. Scheldon, E. and Klopff, G.
"Inservice for Educational Leadership" Principal.
November/December 1975. p. 74

8. become more competent in school management; and
9. be more effective with parents and the school community."⁸⁹

Through self-evaluation, the principals saw themselves and were seen by staff as having the greatest strengths and fewest needs in the management and administration of their schools. Staff and participants identified staff development as the principals' greatest need.

The program attempted to determine the extent to which the training of principals as educational leaders would lead to change in their schools. At the conclusion of the program, participants identified significant changes which occurred in their schools. Principals reported an improvement in the climate and morale of their staff. There were also significant improvements in staff development activities and curriculum.

In 1975 the Learning Environments Consortium provided opportunities for principals who were members of the consortium to visit other schools which were members of the consortium to critique, compare, and comprehend the school programs.⁹⁰ The staff and the administration

89. Ibid., p. 75

90. Lowery, R. "School Management: Principals Assisting Principals" NASSP Bulletin. February 1982. p. 117

worked together to stimulate, challenge, and encourage the efforts of the school. The interaction, which was beneficial for teachers and administrators, provided opportunity to become more aware of each other's goals, frustrations, and successes.

Declining enrollments, new legislation, and reduced resources have had a great impact on school districts. Partly as a result of these tremendous influences, principals may have the greatest need for renewal compared to all other educators. The majority of educational improvement rests on the shoulders of the principal, though the principal has been neglected for years.

The Peer-Assisted Leadership (PAL) professional development program for principals was established in 1983 at the Far West Laboratory.⁹¹ Principals helping principals become more effective instructional leaders was a key feature of the program. The program trained principals to "shadow" other principals and to conduct "reflective interviews" with their partners.⁹² The program also introduced principals to The Principal's

91. Barnett, B. and Long, C. "Peer-Assisted Leadership: Principals Learning From Each Other" Phi Delta Kappan. May 1986, p. 672

92. Ibid., p. 673

Role in Instructional Management framework (see Figure 4).

The major goals of the Peer-Assisted Leadership program were:

1. to help principals develop skills to analyze their own and other principals' management behaviors,
2. to give participants opportunities to learn how other principals lead their schools,
3. to enable principals to gain support from colleagues,
4. to help principals integrate into their school settings PAL's framework of instructional leadership.⁹³

The following points emerged from this project:

1. Effective principals engage in "higher-order thinking" as they assess their school environments, personal strengths and limitations, and student programs and achievement.
2. Principals feel isolated and welcome opportunities to interact with and learn from colleagues.
3. Reflective interviews caused principals to engage in self-evaluation.⁹⁴

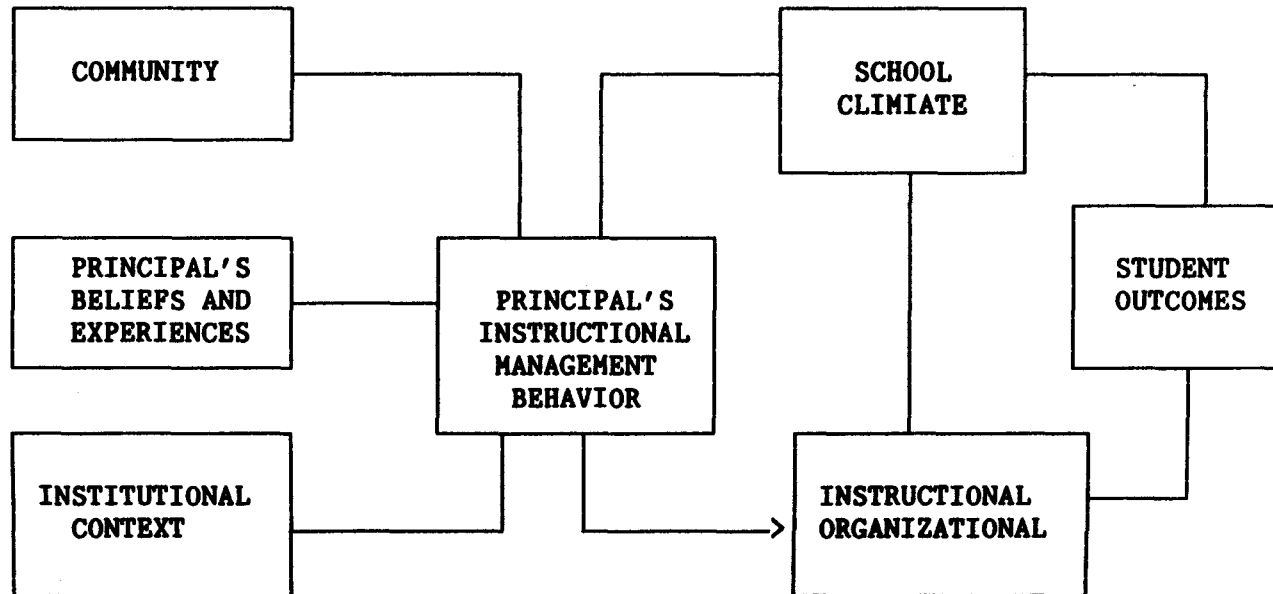
The PAL demonstrated to principals that there are many ways to be an effective instructional leader. There is no simple formula for effective instructional management.

93. Ibid., p. 673

94. Ibid., p. 673

Figure 4

The Principal's Role in Instructional Management



Source: Barnett and Long, 1986

The principals' center is a recent effort which attempts to meet the professional development needs of principals. The principals' center concept was borrowed from the grass-roots teachers' center movement of the 1970s.⁹⁵ The philosophy behind the principals' center is that participants benefit most from self-initiated and self-directed programs which emphasize personal strengths and relies upon collegial support. This program takes a bottom-up rather than a top-down approach to professional development. The principals' center's approach also recognizes the increased value of voluntary participation in programs as opposed to mandatory attendance.

The principals' center at Harvard University began in 1981.⁹⁶ The center approached professional development by having principals identify areas in which help was needed. The center also recognized that principals were valuable resources for one another. A mode was adopted which capitalized on strengths to be developed rather than one which emphasized weaknesses to be overcome.

Many principals' centers offer a variety of programs and formats, recognizing the individual needs and goals

95. Unikel, B. and Bailey, M. "A Place Where Principals Can Learn" Principal. May 1986. p. 37

96. Ibid., p. 37

of participants. The single event, which focused on a specific topic and allowed for varied settings, was the most frequently used program. Theme conferences and an ongoing series format were also popular.

Some management development programs for school leaders did not provide principals with skills they could use on the job. When developing such programs for principals, policy makers and program developers should look as much at the circumstances of the schools as at the individuals leading the schools.

Principals are expected to meet the demands of many groups within the school community - teachers, parents, students, supervisors, and federal and state mandates. These expectations could lead principals to experience role ambiguity. Leadership development programs should help principals restructure functions and roles and establish support mechanisms.

Raymond Miles (1975) human resources model emphasizes the abundance rather than the scarcity of human capabilities.⁹⁷ This model is based on the upper levels of Maslow's hierarchy of needs. Employee performance improves when employees are allowed to

97. Koch, M. "Management Training and Development For Educators -- Some Policy Issues" NASSP Bulletin. February 1982. p. 110

participate in decisions related to their work and when they exercise self-control and self-direction in carrying out their tasks.

Leadership development programs should meet the following criteria.

1. Relevance - Efforts are directed at those topics and targets perceived as most important.
2. Transferability - Efforts can make a difference in the work place.
3. Systematic Alignment - Behavior learned and applied in one portion of the system fits neatly with those in other segments.⁹⁸

The in-service education for small school administrators is generally neglected.⁹⁹ A study of the in-service needs of small school principals identified discipline, curriculum revision and organization, and personnel dismissal and evaluations as the greatest areas of concern (see Table 1 for results of the study).

281 principals of schools with less than 500 students were surveyed.¹⁰⁰ The principals were randomly selected. The responses of the principals did not differ significantly on the basis of the type of administrator,

98. Ibid., p. 110

99. Beckner, W. and Foster, J. "Inservice Education for Principals of Small Schools" NASSP Bulletin. October, 1980. p. 40

100. Ibid., p. 42

Table 1

Inservice Needs of Principals

Areas of Interest	% Indicating Strong Interest	Areas of Interest	% Indicating Strong Interest
Job Descriptions	25	Faculty and/or Staff Meetings	23
Benefits (retirement, leaves, insurance, tenure, etc.)	21	Utilization of Community Resources	18
Organziations and Negotia- tions	15	Buildings and Grounds	16
		The School Calendar	16
		Student Fund Raising	15
<u>Ancillary Services Personnel:</u>			
Maintenance and custodial Personnel Cafeteria Workers	31	CURRICULUM AND INSTRUCTION	
School Health Personnel	14	Curriculum Revision and/or Organization	55
Transporation Personnel	13	School Organization (class scheduling, etc.)	41
		Grading System Improvement	35
OPERATIONS		Individualized Instruction	35
		Learning Theories	15
<u>Financial:</u>		Team Teaching	14
Preparing Budgets: Depart- mental, School, and District Levels		Special Education	
Tax-office Operations	30	<u>Student Activites and Services:</u>	
Accountability Reports: Ex- peditures	21	Counseling Services	48
		Student Trips	17
		Leagues, Associations, etc.	13

Table 1 (cont'd.)

Inservice Needs of Principals

Areas of Interest	% Indicating Strong Interest	Areas of Interest	% Indicating Strong Interest
Sources of Revenue	19	Athletics, cheerleading, etc.	10
Attendance Reports	18	<u>Courses of Study:</u>	
Zero-based Budget Preparation		New Courses in Areas Such as Vocational-Technical	
<u>Curricular:</u>		Education, Career Education, etc.	45
Preparation for Accreditation Teams (The Self-Study)		Review of Textbooks	27
Testing Services	24	Writing and Revising Syllabi	21
School Libraries	14	New courses of Academic Nature (i.e. sex education)	20
Laws and School Compliances Regarding the Handicapped	12	<u>Understanding Students:</u>	
Non-traditional Students (i.e. continuing education, G.E.D. preparations, etc.)	11	Discipline: Legal and Effective	69
School Activities and Learning Experiences Reports	11	Modern Teenage Problems	34
Graduates: Follow-up Studies	11	The Problem Child	33
		Parent-student Relations	29
		Special Education Needs	18
		Speech and Communication Problems	15
<u>General Operations:</u>		Adjustment of Moving into a New School	13
Absenteeism and Tardiness and Policies for Each	34	ees (E.E.O. Rules and Regulations, etc.	39

Table 1 (cont'd.)

Inservice Needs of Principals

Areas of Interest	% Indicating Strong Interest	Areas of Interest	% Indicating Strong Interest
Public Relations	33	Inservice Education Techniques	
Faculty (or Staff) Personality		and Materials	32
Conflicts	28	Leadership Techniques	31
PERSONAL		Open-record Laws and the	
		right to Privacy	25
Dismissal: Legally and Pro-			
fessionally	51		
Evaluations	51		
Teacher Accountability	48		
Recruitment, Employment, and			
and Retention of Employment-			

Source: Beckner and Foster, NASSP Bulletin. October, 1980

level of administration (high school, junior high, elementary) or setting of the school district.

The lack of response to the professional needs of principals will lead to frustration and less than optimal performance on the part of principals.

Newly appointed principals have extensive knowledge of how to manage students and programs and a lesser understanding of how to manage teachers.¹⁰¹ A survey of selected principals in southeastern states indicated that the principals' attitudes toward managing teachers are similar to other first-line public sector supervisors.¹⁰² The principals and public sector supervisors agreed that communication, staff development, motivation, human relations, planning/organizing skills, performance appraisal, and leadership skills are the areas where the most training is needed in order to manage employees effectively. Figure 5 shows the comparison between the principals' and the public sector supervisors' rankings (see Figure 5).

In order to be an effective manager, principals are faced with the challenge of learning to manage on the job as various situations and crises occur. Another

101. Fields, J. "Principals and Management Training Needs" NASSP Bulletin. February 1982. p. 36

102. Ibid., p. 36

Figure 5

Comparison of Principals' and Supervisors' Rankings

Principal Ranking	Public Sector Supervisor Ranking	
1	3	Communications
8	21	Interviewing
10	13	Counseling
12	8	Disciplining
17	22	Hiring Procedures
7	20	Termination Procedures
2	2	Developing Employees
3	1	Motivation
4	6	Human Relations
14	10	Handling Complaints/Grievances
4	5	Planning/Organizing
3	7	Performance Appraisal
9	9	Decision Making
6	4	Leadership
17	14	Functioning in the Organization
13	16	Delegation
15	11	Management Methods (MBO)
11	23	Budgeting
5	15	Time Management
18	19	Conducting Meetings
16	12	Reporting System
19	18	Safety

Source: Fields, NASSP Bulletin, February, 1982. p. 38

challenge stems from the notion that management of educational organizations is mediocre. Robert N. Anthony believes it is mediocre because educational organizations "are absent of the profit measure, absent of competition, are political, have weak governing boards, strong tradition, and low management salaries."¹⁰³ The management concept of achieving goals with other people has not been sufficiently developed in schools.

The past does not provide the solutions to the new and complex issues faced by today's principals. The principal of the future will not be managing a set program, but will be working with the staff, students, and community in identifying needs; establishing high expectations; and developing, administering, and evaluating programs.¹⁰⁴ The role of school administrator is undergoing change as a result of several forces. Consequently, principals feel their role has diminished, they have been placed in impossible situations, and they are overworked and unappreciated.

Lake Washington School District, in Kuland, Washington, assessed the administrative structure at the

103. Ibid., p. 38

104. Hager, J. and Scarr, L. "Effective Schools -- Effective Principals: How to Develop Both." Educational Leadership. February, 1983, p. 39

building level and prioritized administrators' tasks in a way which was in agreement with the district and the administrator.¹⁰⁵ The assessment revealed that Lake Washington administrators needed leadership and management skills in the following areas.

Planning - the process of establishing priorities for how time is spent in the building and the importance of one task in relation to all others.

Directing - the process each administrator uses to set goals and objectives based on information from a variety of sources.

Organizing - establishing systems to carry out plans.

Human effectiveness - relating in a positive, motivating way to the people who must carry out the goal set for the school, as well as to the students, parents, and community members.

Controlling and monitoring - the skills necessary for administrators to accomplish school goals through other people.¹⁰⁶

Though there is no single, performance - based definition for principal effectiveness, various sources often agree on common factors which constitute principal effectiveness. Some of the factors which describe an effective principal are students in their schools perform well academically, and members of their school communities share a common sense of purpose and respond positively to what is occurring in their

105. Ibid., p. 40

106. Ibid., p. 40

schools. Currently, in-service training often consists of one-shot activities. The training tends to focus on such topics as specific instructional areas, curricular or technological innovations, or the implementation of new legislation. Yet, opportunities to think about the complexity of the principal's role or to use theory to analyze and understand their schools may be the most beneficial forms of training for principals. "In-service training programs need to provide increased opportunities for principals to apply relevant theory to their own settings in ways that permit them to generate alternative solutions to both recurrent and unique situations."¹⁰⁷ Experienced principals need in-service training programs which provide them with opportunities to experiment with new behaviors, to gather valid feedback in a non-threatening environment, and to learn from and support other principals.

In-service programs should provide more training in process and organizational skills. Training programs should also include developmental activities in data collection, perceptual objectivity, and the use of theory

107. Manasse, A. "Improving Conditions for Principal Effectiveness: Policy Implications of Research" The Elementary School Journal. Vol. 85, No. 3. January, 1985. p. 458

to structure and interpret concrete experience. "Principals need the chance to learn their own and others' biases, to recognize patterns, to make comparisons, and to weigh the advantages and disadvantages of options."¹⁰⁸

Participation in administrative staff development practices is directly related to administrators' effectiveness. Unfortunately, administrators are often isolated, have little time for self-improvement activities, or lack the knowledge needed to plan a self-improvement program.

Faculty feedback is one source which principals could use as a means of professional development. Faculty feedback is the process of gathering information from faculty members for the purpose of improving leadership or administrative practices. The data to be gathered must be perceived as data which can be used to improve leadership. Since there will always be some negative feedback, administrators should be prepared mentally to receive the data. Before taking any action, there should be a sufficient amount of feedback, and the data should be analyzed.

108. Ibid., p. 458

Principals should be engaged in long-range planning. The incidents which call for immediate attention should be addressed, but they should lead into the long-range plan.

Administrators and teachers should be involved in brainstorming sessions periodically. Formal training and reading may be deemed appropriate for continued development.

It is important for principals to collaborate with others, such as managers, other principals, and management consultants, to devise methods to increase their effectiveness as managers. Behavioral changes are usually evident when principals recognize the need for management skill development.

Under changing working conditions, a principal's job performance may be considered inadequate if the principal is not equipped to manage and lead in the new working conditions. In-service education for a principal relevant to changing or new working conditions should equip the principal to function effectively in the new working condition. In-service can help principals cope with new conditions by providing them with new skills. Two highly useful functions of in-service education are to help principals develop skills in planning and in

keeping them informed of current legal issues in education.

Principals should convey to their communities and fellow professionals that in-service is critical to their performance. Principals should also work together to develop relevant in-service programs, which are long-term and on-going, rather than a short-term process. These programs will mean more and be more valuable to them and the communities they serve. Without in-service programs, principals cannot be expected to stay abreast of research, try new ideas, or consider alternative solutions to educational problems.

The ambiguity of school goals make it difficult to identify characteristics of effective leadership. Effective behavior patterns in one setting may be ineffective in another setting. Most effective leaders will have one or two strong characteristics. It is highly unusual for a leader to have all the characteristics of an effective leader.

Effective leaders are optimistic that change is possible. Unfortunately, there are times when principals are not receptive to change and learning. "Having attained a position of influence and authority, principals seem reluctant to accept the role of continual

learner."¹⁰⁹ This kind of attitude and position should be addressed and changed.

MANAGEMENT DEVELOPMENT

"Management development is the process by which managers gain the experience, skills, and attitudes to become or remain successful leaders in their enterprises."¹¹⁰ Managers are regularly called upon to make critical decisions. It is important to keep them abreast of current issues and practices and to help them develop and maintain the skills necessary to be an effective manager.

The most popular management development program formats are sessions at trade association meetings, short seminars or workshops sponsored by colleges and in-house programs conducted by internal personnel. Outside consultants and internal trainers are the most common sources of mid-level management development and training.

The general purposes of management development include:

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109. Champlin, J. "Leadership: A Change Agent's View
Leadership: Examining the Elusive. ASCD,
Alexandria, VA. 1987. p. 50
110. Glueck, W. Personnel: A Diagnostic Approach.
Business Publications, Inc. Dallas, Texas 1978.
p. 365

1. To increase the effectiveness of managers and professionals.
2. To increase the satisfaction of the employee.
3. To prevent managerial obsolescence.¹¹¹

Obsolescence occurs when a manager no longer has the skills necessary for effective job performance.

Obsolescence can occur at various degrees. A manager can be obsolete in certain areas, be aware of it, and be open to development. Another degree would entail a manager being obsolete in areas and not aware of it. A greater degree of obsolescence, and most difficult to overcome, is when the manager knows he is obsolete at the gut level but denies it at the conscious level and refuses help.

The three major causes of managerial obsolescence are:

1. Technological obsolescence.
2. The "Peter principle", which occurs when managers were promoted into positions for which they were not qualified and cannot handle.
3. The aging process. Some people find it difficult to stay motivated and perform effectively as they get older.¹¹²

Obsolescence does not affect all employees equally. Factors which impact obsolescence are the environment and technology of the organization, the age of the managers,

111. Ibid., p. 367

112. Ibid., p. 367

the work ethic motivation of the managers, and the education of the managers.

Herbert Kaufman found that age is not the major explanation for obsolescence.¹¹³ The major factor is limited intellectual and cognitive abilities, low motivation, personal rigidity, and low self-esteem.

A series of practices which may help prevent obsolescence are: better selection, evaluation, career counseling, flexible personnel policies, and job redesign.¹¹⁴ The most crucial cause of obsolescence is the lack of challenging jobs.

There are many management development programs available for managers. However, until the managers are ready and willing to change and develop, the most elaborate program would be ineffective. Experts have noted that effective management development requires a positive attitude toward self-development by the individual manager.¹¹⁵ This attitude is true of principals as well.

Management training and development has become more results oriented and tied closer to corporate objectives.

113. Kaufman, H. Obsolescence and Professional Career Development. Amacon: New York, 1974. p. 86

114. Ibid., p. 93

115. Op. Cit., Glueck. p. 369

The change in corporate culture will lead to more attention to management training.

Training for middle managers will grow from less than one week per year to between one and two weeks per year within the next three to five years.¹¹⁶ Companies intend to rely more heavily on internally developed and administered courses for managers. Reliance on purchased or packaged programs, outside seminars, workshops conducted by experts and university and academic programs will remain constant or actually decrease in use. Management training and development professionals may spend more of their resources on tailoring and targeting programs to fit unique situations in the future.

Three methods for identifying training needs and designing and implementing programs will become more important in the years ahead.¹¹⁷ Formal written policy will be used for guiding the development of courses and articulating the objectives of training and development activities. Formal performance studies will be used to determine training needs and objectives. Also, a systematic evaluation of training efforts will be conducted. Senior executives will play a dominant role

116. Bolt, J. Bures, A. and Bula, R. "Are We Meeting the Management Training Challenge?" Training and Development Journal. January, 1985, p. 59

117. Ibid., p. 60

in directing and guiding training activities in the coming years. "The results of training and development activities will be monitored and measured more carefully than in the past to ensure that they support corporate objectives and are cost effective."¹¹⁸ However, though training departments will be required to increase their results and activities, the resources needed to accomplish these tasks will remain constant.

"Management development activities aimed at changing managerial performance for improved organizational effectiveness may well be a necessity, not a luxury."¹¹⁹

The most important methods of assessing management development and training needs are the judgment of superiors, performance appraisal and analysis of future position, and self-assessment by the individual. The needs assessment process is highly subjective with only performance appraisal a possible objective method.

Several factors are considered when selecting or rejecting a training program. The most important factor in selecting a program is the subject covered. Qualifications of presenters and program costs are also important factors. The main reasons for rejecting a

¹¹⁸. Ibid., p. 61

¹¹⁹. Ibid., p. 62

training program are program irrelevance, high cost and too great a time commitment. These factors are directly applicable to staff development programs for principals.

The primary benefit of a training program was perceived to be an increased or renewed enthusiasm for one's current position. Other perceived benefits were increased effectiveness in one's present position and reassuring the manager that one is doing his or her job effectively. A small percent of managers felt that training programs had no visible effect on participants and were a waste of time and money.¹²⁰ Management development and training programs seemed to have a positive impact on the organization. Such programs provide new ideas to the firm and efficiency is increased.

Many influences brought about supervisory training programs. The impact of labor contracts and the problems created for management was probably the most significant influence. Managers had to be taught how to deal more effectively with their workers and to accomplish goals through them. Changing working conditions has also had an impact on the staff development programs for principals.

Supervisors are often placed in positions with managerial responsibilities with absolutely no training

120. Ibid., p. 63

or experience in management. Supervisors frequently do not realize that people are their most important resource. Due to the lack of training, supervisors often fail.

Supervisors have to be experts in human relations. Problems often arise when the technically oriented supervisor becomes a manager. Research indicates that most first-line supervisors view the technical aspects of their jobs as more important than the human relations aspect.¹²¹ When supervisors do not know how to supervise organizations often experience high turnover, low morale, and inefficiency.

Managerial positions are extremely diverse. This characteristic reinforces the need for an individualized approach to management development.

Management development programs should be designed to blend work experience with classroom learning. The programs should be planned strategically and should be long term in nature. Programs are often conducted in a hit-or-miss fashion.

Job rotation is a method of management development. This method gives a candidate for general management the varied exposure needed for the position. Managers

121. Kinman, J. "How Do You Teach Managers To Think?"
Training and Development Journal. March, 1985.
p. 16

learning from other managers through informal interaction is another approach to management development. "Bringing people with diverse styles and problem-solving frameworks into management, listening to them, and creating an atmosphere in which their input is expected and accepted as a contribution, teaches managers to think."¹²²

"Billions of dollars have been spent on management development in recent years, yet the competitive decline of U.S. industry seems to refute the efficacy of these efforts."¹²³ Line managers should have the primary responsibility for developing managers, not the personnel office. Line managers know exactly what the jobs entail and what one needs to know to function effectively.

Some of the most effective managers learned from their managers, not from schools or other formal programs. Experience is the best way to learn to manage. The entire company should be viewed as a vehicle for learning experiences.

Motivated people will learn a great deal on their own, which includes learning from observing others. "People need to keep current in their fields to make good

122. Ibid., p. 18

123. Rosenthal, S. and Mezoff, B. "Improving the Cost/Benefit of Management Training." Training and Development Journal. December, 1980. p. 100

decisions as managers, and we attach no stigma to migration into and out of management."¹²⁴ Managers and prospective managers should be interested in management and committed to growth. Migrating into and out of management allows opportunities for individual growth. This practice is uncommon in school administration.

Management development should not simply rely on classroom training. It should have the complete involvement and commitment from all levels of management to develop subordinates on the job.

Work appraisal and planning impact the development of managers. Management development relies heavily on the managers' own initiative and commitment. Managers participate in defining their own development goals and performance objectives and do what is needed to accomplish these goals.

Successful management development is based on observations of how successful managers learn best: through the challenges, hardships, victories and role models (both desirable and undesirable) of their own work environment. "Developing successful managers demands a more integrated, individualized process that provides job assignments, role models and other work-place events that

124. Op. Cit. Kinman, 1985 p. 20

develop key management competencies."¹²⁵ Many crucial managerial tasks are learned on the job. The classroom instruction is often miseducation that inhibits managers' ability to learn from their experience. Managers can benefit greatly from direct experience, where "one has something to lose by making a mistake, as well as something to gain from finding a workable solution. Exercises that involve no emotional threat teach only how to work on exercises that involve no emotional threat."¹²⁶ Managers should be more sensitive to their environment so that learning could become a daily, on-the-job process.

Managers can learn by observing their supervisors, whether their superiors are effective or ineffective. Managers can learn how to manage from effective superiors and how not to manage from ineffective superiors.

Many management development approaches have not resulted in significant, lasting improvement of management skills. Some of the reasons for failure include a lack of direct program relevance to participants' work settings, lack of clear goals for applying what has been learned, and describing popular

125. Lean, E. "No More Pencils, No More Books." Training and Development Journal. April 1985. p. 63

126. Ibid., p. 63

theory rather than demonstrating how the theory applies to specific situations.

Managers learn the majority of the skills needed for management informally on the job. Depending on the individual, manager's learn at their own pace. There are managers who learn at a high pace and managers who learn at a low pace. Various factors influence learning. "High-learning managers tended to work in jobs that involved variety, lots of people contact, and the opportunity to influence policy-level decision making. On the whole, these jobs were stressful and dynamic."¹²⁷ These managers worked in environments which offered large amounts of freedom, ample support and resources, moderate to high degrees of change and instability, low goal clarity and high supervisory pressure.

Some companies allow managers to scale 300-foot cliffs, risking life and limb as part of their professional development.¹²⁸ The facilitator of this program is responsible for helping the climbers internalize and apply their experiences to the management role.

127. Lowy, A., Kelleher, D., and Finestone, P. "Management Learning: Beyond Program Design" Training and Development Journal. June 1986. p. 34

128. Zwieten, J. "Training On The Rocks" Training and Development Journal. January 1984. p. 33

The purpose of the cliff climbing program is for each person to build confidence in his or her ability to climb and trust in the equipment and belayer. This environment involves risk which has three components: the merging of action with awareness; feeling of competence and control; and receptivity. "What companies get from the climbing experience is turned-on people, people with heightened self-awareness, a sense of control and competence and a willingness to be receptive to the environment in which they work."¹²⁹

The majority of management training programs offered by organizations and universities are generic.¹³⁰ The programs usually provide awareness, concepts, stimulation, and new ways of thinking. However, very little of the training is directed at providing the practical skills needed to apply the knowledge gained in class to real performance problems on the job. "There's no evidence that management education works-any more than there is that any education works."¹³¹ The learning process includes the acquisition of knowledge as well as the skills of application.

129. Ibid., p. 33

130. Livingston, J. "New Trends in Applied Management Development" Training and Development Journal. January 1983. p. 15

131. Ibid., p. 15

Training is an extremely vulnerable line item when budgets are cut. As long as trainers cannot show concrete proof that their training contributes to the bottom line of profits or productivity, their budgets will continue to be cut. It is also important for school administrators to justify the districts' investment in staff development.

There is an increasing demand for instruction which is organization-specific and manager-specific. Generalized management training tends to be too broad in its focus. Managers want instruction which directly addresses their jobs and their problems.

The training program alone cannot assure the desired change in job performance, regardless of the relevancy of the program. The application of new skills and behavior must be fully supported by the boss and the organization in order for the training to be effective. New learning will be extinguished unless managers receive support and reinforcement from their superiors.

In hard-skill areas, such as the use of computers, budgeting, and supervisory practices, traditional management development programs are effective and efficient approaches. In such areas, training can result in acquisition of immediately usable skills which could result in the improvement of performance. However, measuring

performance improvement in interpersonal and conceptual areas, such as motivating others, is more difficult and highly subjective.

Training is not the solution to all performance problems. Many factors affect a manager's performance. For example, a good person-position match and a manager's relationship with his/her superior have a direct impact on job performance.

Maximizing the abilities of managers can be accomplished more readily by adhering to the following guidelines.

1. Provide meaningful work.
2. Encourage involvement in decisions and activities. Give managers as much autonomy as possible to carry out their responsibilities. Also, find ways to use managers' experience and knowledge in ways that go beyond their jobs.
3. Foster teaching and coaching. Older executives teaching new managers would greatly assist in the development of the new managers. The practice would also reassure older executives of their value to the organization.¹³²

Corporate learning has grown to be a \$30 billion industry.¹³³ "Workplace training and development is

 132. Lorsch, J. and Takagi, H. "Keeping Managers Off The Shelf" Harvard Business Review. July-August 1986. p. 65

133. Carnevale, A. "The Learning Enterprise" Training and Development Journal. January 1986, p. 18

roughly equivalent in size to the entire elementary, secondary, and higher education systems."¹³⁴ Training, not formal education, mainly determines what a person will earn throughout his working life. Also, training, not formal education, provides all the skills for two out of three jobs.

Economic, technological, and demographic forces affect training and development. Recent trends show training targeting areas where change has its greatest impact. "The lions' share of training and development increases appear to be among middle managers, first-line supervisors, professional and technical employees, and sales and marketing personnel." ¹³⁵

A study of the training and development programs for top managers at four leading corporations - General Foods, Xerox, Motorola, and Federated Department Stores - generated interesting findings.¹³⁶ The four programs had the following threads in common.

1. The impetus for a successful, effective executive training and development program comes from the very top of the organization.

134. Ibid., p. 18

135. Ibid., p. 26

136. Bolt, J. "Tailor Executive Development to Strategy" Harvard Business Review. November-December 1985. p. 165

2. All four programs have precisely articulated objectives.
3. The most important emphasis of the four programs is on the executive's role in implementing the corporation's strategies and achieving goals - including bottom - line business results.
4. The senior management team is involved in the design of the program.
5. Senior executives at three of the four corporations even teach part of the course.
6. Each program is custom designed.¹³⁷

Training and development is usually matched with deficiencies in employee skills. This involves an analysis of the tasks of various jobs, and a performance analysis.

Training needs and content are usually determined by the professional training and development staff. The data needed to develop programs are acquired through such methods as surveys, job analysis, critical incidents, performance appraisals, organizational analysis, and requests from line managers.¹³⁸ Though these methods may be effective, a more active solicitation from employees could be more effective. "When assessing the development needs of middle and senior managers, assumptions about

137. Ibid., p. 169

138. Oppenheimer, R. "An Alternative Approach to Assessing Management Development Needs" Training and Development Journal. March 1982. p. 72

similarities in duties and performance-related activities may not be valid."¹³⁹

Job incumbents should be consulted for development needs. Managers have a good, or better, an understanding as their boss as to what additional skills, abilities or knowledge would be helpful in their present or future job. This practice should also increase the incumbents' commitment to the training program to be developed.

In the 1950s, a study by Moorhead Wright of several hundred General Electric managers showed that the successful managers attributed not more than 10 percent of their growth to courses and formal training systems.¹⁴⁰ The following factors contribute to the ineffectiveness of management development programs and courses.

1. Program topics and content are similar. These programs won't help managers develop until they begin to emphasize the unique differences in contribution and application required at each of the major levels of management: supervision, middle-management, top-management.
2. Management and supervisory trainers have little or no background in management or supervision. More emphasis should be placed on defining the specific work of managers at particular levels of management and on developing instructional resources.

139. Ibid., p. 72

140. Hoffman, F. "Is Management Development doing the Job?" Training and Development Journal. January, 1983. p. 32

3. The programs are directed at the values of the presenters and designers, not at the needs of managers and organizations.
4. Management development efforts are not a part of an overall plan of progression, there is no continuing emphasis on development in the day-to-day job performance context, and topics are determined by what's popular in the market, rather than the progressive development needs of each level of management.
5. Line managers should take charge of a training activity, using staff to administer the program, but not to run it. The focus should be on addressing the needs of the organization, not on keeping the training activity alive.¹⁴¹

The ultimate responsibility for a manager's development resides within that manager. The self-development idea was not established in the human resource development field for a considerable length of time. "Self-development is learning resulting from action initiated by the learner. The learner decides what to learn, how to learn it, whether and how to transfer the learning, how to evaluate the learning process and so forth."¹⁴²

There are several approaches to management self-development. Some of the approaches follow.

141. Ibid., p. 34

142. Kur, C. and Pedler, M. "Innovative Twists in Management Development." Training and Development Journal. June, 1982. p. 88

1. "The residential community is a situation where people with similar values come to live together, and to learn skills and values from each other that would enable them to collectively build richer lives. There are also networks of related and geographically dispersed people who work in common endeavors and perpetuate, through training and socialization, common skills and practices.
2. Action learning is an approach in which the learner works on and solves an unresolved organizational problem.
3. Field study and joint-development activities are approaches in which university faculty and key managers of client organizations share joint responsibility for a project in which students solve the client's problems.
4. Structured experiences place learners in a situation of accelerated experience in which they follow a structured set of activities requiring various levels of interaction with others.
5. Coaching is a process in which a helper assists a client in problem solving or in mastering new skills.
6. Employee - assistance programs range from referral programs in which employees are directed to outside help, to professionally staffed programs providing psychological help to employees having problems such as alcoholism.
7. Body-mind techniques involve the use of relaxation, meditation, and physical and spiritual approaches to management development."¹⁴³

Networking is a situation where people purposely relate to each other, with the objective of being

143. Ibid., p. 89

mutually helpful. It is important to network with people within your profession as well as outside your profession in order to keep up to date on a broader front.

Becoming involved in new areas of a job could serve as a means of professional development. It can be easy to avoid the challenge of exploring new areas. Publishing and corresponding through letters can generate an exchange of ideas which would contribute to professional growth. Serving on a professional association can also be used for professional growth. The individual must recognize the need for keeping up to date in order to have a positive attitude toward professional development.

Five prevalent outcomes from management training are:

1. "Act as a motivator;
2. Build employee confidence and self-esteem;
3. Help to reduce stress;
4. Improve work relationships between participants and back home co-workers;
5. Help new managers through role changes."¹⁴⁴

The following suggestions may help maximize training benefits. This model may be transferrable to a school setting.

144. Op. Cit. Rosenthal and Mezoff, 1980. p.102

"Before the training event:

1. Conduct a pre-training interview with participants.
2. Inform participants about the training well in advance of the training event.
3. Encourage managers to meet with their subordinates/trainees prior to the training event.
4. Design the training to address issues of organizational role.

During the training:

5. Provide an opportunity for participants to informally discuss work related issues.
6. Structure the program to include free time for socializing and individual reflection.
7. Conduct training sessions off-site.
8. Structure the training to make it significantly different from the normal work routine.

After the training:

9. Publicize the training in the company newsletter.
10. Provide certificates of completion."¹⁴⁵

Assessment centers can assist an organization in the diagnosis of individual management development needs so that training and development effort can be invested most efficiently. An assessment center is a procedure incorporating group and individual exercises to identify

145. Ibid., p. 104

characteristics necessary for managerial success.¹⁴⁶ A number of individuals are processed at the same time, trained managers who are usually not in a direct supervisory capacity count and evaluate the assessment, and multiple exercises are used to evaluate behavior. Most assessment centers have as their strong secondary objective the building of individual development plans.

The use of information could be a very valuable source of management development. "Improved information has more potential than anything else I can think of for creating more competence in the day-to-day management of performance."¹⁴⁷ Information can be improved in two ways:

1. Improve the clarity, relevance, and timeliness of the data designed to inform people.
2. Improve people's ability to use the existing data.¹⁴⁸

Information can be used to provide direction and for confirmation. It could point an individual in a different direction or it could confirm that the individual is on the right course.

 146. Byham, W. "The Assessment Center As An Aid In Management Development" Training and Development Journal. June, 1980. p. 24

147. Gilbert, T. Human Competence: Engineering Worthy Performance. McGraw-Hill Book Company. New York. 1978. p. 175

148. Ibid., p. 175

More than twice as much money is spent on training people as is spent on defense.¹⁴⁹ Adult training is one the most promising single areas for fighting inflation. Over \$200 billion a year is spent on adult training, yet we do not know what we are getting for our money or whether we could get a great deal more.¹⁵⁰

149. Ibid., p. 212

150. Ibid., p. 212

CHAPTER III

PRESENTATION AND ANALYSIS OF DATA

Qualitative research generates data which are well-grounded and rich in description. This is to say that the data are meaningful, not superficial, and not taken out of context. The data accurately reveal the subjects' perspectives. The natural setting serves as the direct source of data for qualitative studies. As discussed in Chapter I, in-depth interviews were conducted with thirty school administrators, ten superintendents and twenty principals, in public elementary school districts in suburban Cook County. One superintendent and two principals were selected from each of the districts. Each administrator contacted for an interview had an opportunity to refuse to participate in the study. Fortunately, the researcher did not experience a problem of this nature. The interview research method allowed the subjects to respond in-depth to questions. The subjects appreciated the opportunity to expand on their thoughts and to clarify concepts discussed during the interviews. This method enabled the researcher to obtain data with "meaning" and to view issues from the subjects' perspective. For example, two principals responded, "Not Important," to the question,

"Among the superintendent's responsibilities, where does professional development for principals rank?" One response was from the perspective that the superintendent was uninvolved and not concerned with the principal's development. The other response was from the perspective that the principal's development was his responsibility, not the superintendent's. Though both principals responded, "Not Important," the reasons behind the responses were completely different. The interview research method obtained these kinds of data from the subjects.

Though the discussion during the interviews was informal, it was very informative. The researcher documented responses to questions and recorded the interviews on a tape recorder. The constant comparative method and matrices were used as the techniques of data analysis. The combination of coding and analysis occurring throughout the research experience enabled the researcher to identify properties and hypotheses about staff development for elementary school principals. For example, superintendents, when compared with principals, are more likely to think that principals attend conferences on the basis of goals rather than personal discretion.

Matrices are an economical means of identifying relationships between categories.¹⁵¹ In this study there are three sets of matrices, and within each set, there is a matrix for each question discussed during the interviews. The first set of matrices compares principals with superintendents; the second set compares superintendents with superintendents based on years with the district as a superintendent; and the third set compares principals with principals based on years with the district as a principal.

As discussed in Chapter I, clustering was used in this study as a technique of data analysis. Clustering is a general name given to the process of using and/or forming categories, and the sorting of things - events, processes, actors - into those categories.¹⁵² Clusters should be held lightly in the analyst's mind and premature closure should be avoided.

The subjects in this study were clustered by roles or positions, namely, principals and superintendents. The subjects' responses were also clustered into categories as identified in the matrices which are

 151. Miles, M. and Huberman, A. Qualitative Data Analysis. A Sourcebook of New Methods. SAGE Publications: Beverly Hills, California. 1984. p. 15.

152. Ibid., p. 219

presented later in this chapter. Responses which were identical or very similar were clustered in the same category. The clustering helped the researcher analyze the data generated by the interviews.

Clustering may reduce non-reliability by providing a focused and integrative cross-site description of staff development for principals. Clustering enabled the researcher to analyze and present data beyond a fragmented, site-by-site method. Clustering provides realistic data and retains the site-specific quality. Reading across the rows of the matrix, informs the reader of how the different categories, namely, principals and superintendents, responded to each item. Reading down the columns informs the reader of how each category responded to each item.

Tabulating the frequency of the occurrences of a particular behavior were also a part of the data analysis. When patterns, similarities, and differences were identified in the data analysis, and judged to be significant and important according to the researcher's judgment, the data were transformed into frequencies. Counting enabled the researcher to see rapidly what

patterns were emerging in a given portion of the data and therefore helped reduce possible bias.¹⁵³

Pattern finding is a productive strategy of qualitative data analysis.¹⁵⁴ Therefore, it is important to be able to identify evidence which shows the existence of a given pattern and remain open to the possibility of disconfirming evidence if it appears.¹⁵⁵ All patterns, simultaneously, should then be closely examined to insure against bias. The patterns identified in this study will be discussed further in this chapter.

This study has several limitations, which will be mentioned at this time. The study is descriptive in nature and was not, therefore, designed with the intent of drawing generalizations from the findings. Although the thirty administrators in the ten school districts comprising the study do constitute a form of representative sample of elementary school districts in suburban Cook County, many districts were not included in the study. The researcher discovered no difference in the results of this study based on geographical location.

153. Ibid., p. 215

154. Ibid., p. 216

155. Ibid., p. 216

The sizes of the school districts in the study were similar as indicated in Chapter I. Data from districts which had a person specifically and only responsible for staff development, were purposely excluded from this study. Districts with a person solely responsible for staff development were excluded to enable the researcher to compare data generated from districts similar in nature. The socio-economic levels of the districts included ranged from middle to upper-middle class. This information was obtained through informal discussion with the subjects prior to the interviews and from the researcher's observations. There was an absence of districts in the lower to lower-middle class socio-economic levels, thus eliminating the perspectives and insights from these types of districts. Delimiting the study enhanced the validity of the researcher's observations.

The interview research method is largely dependent on the subjects' degree of honesty in their responses during the interview. Though the researcher established rapport with the subjects and conducted the interviews in a non-threatening fashion, there were a few instances where the subjects' responses seemed skeptical and unconvincing to the researcher. For example, when a principal responded to the question, "How do the results

of the performance evaluation relate to professional development?", his response was extremely hesitant and he could not support his answer. The occurrence of this type of incident was minimal and insignificant to the results of the study.

The interviews were conducted informally, but centered around questions identified in the questionnaire. Though the subjects had opportunities to drift away from questions being asked, and at times did, the questionnaire served as a guide during the interview. The questionnaire was developed by the researcher based on his experience and knowledge of staff development and school administration. Likewise, a review of related literature and suggestions from selected school administrators, as a result of a pilot study, were instrumental in developing the questionnaire, thus contributing to the reliability and content validity of the interviews.

The following matrices display the data generated by the interviews. The subjects' responses were grouped into categories and summarizing remarks were documented for purposes of illustration and as a source of additional supporting evidence. The responses of the subjects were separated by role and years of experience for comparison. The frequency of responses is indicated

in percent and a "Difference" column highlights the difference by percent in the responses from the roles being compared. Although the "Difference" column is reported in percent form, technically there is not a statistical significance attached to the "Difference" column. However, the researcher considered the difference between responses from the two categories to be significant on several occasions. For example, 50% of the superintendents considered "Builds confidence" as a benefit of professional development and only 10% of the principals held this position. The 40% difference is a strong indication that the purpose and role of professional development should be re-examined. The matrix was an effective and economical method of analyzing and displaying data.

Due to the qualitative nature of the study, subjects were allowed to respond in-depth to the questions on the interview schedule. Therefore, on many occasions the subjects had more than one response to a given question. As a result, many of the matrices display more than twenty responses from principals and ten from superintendents, and the total percent recorded in many of the matrices thus exceeds one hundred percent. This method, however, is consistent with the qualitative approach which allows subjects to respond in-depth to questions

and elaborate on issues, rather than limiting their responses.

The following set of matrices describes the subjects' responses to the first item on the questionnaire. The question was, "What type of professional development, or administrative staff development, activities are provided for the principals in your district?" Matrix Ia compares principals with superintendents, Matrix IIa compares superintendents with superintendents, and Matrix IIIa compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix 1a

What type of professional development, or administrative staff development, activities are provided for the principals in your district?			
Response	Principal (%)	Superintendent (%)	Difference (%)
Conferences, seminars, professional association	100 · Very few activities provided · Attend conference at our discretion	100 · Very few activities provided	0
University/College courses	25	0	25
Principals Center/Articulation group	30	20	10
Consultant	10 · Consultant brought in occasionally	10	0
Internal program	10 · No activities within district due to size	20	10
Visit schools	5	10	5
Coaching/follow-up	5	10 · Superintendent recommends activities periodically	5
District curriculum committee	5	10	5

Analysis of Data Presented in Matrices

Types of Activities - Matrix Ia

Beyond conferences, seminars, and membership in professional associations, very little is provided on a consistent basis in the area of professional development for principals. As identified in other matrices in this study, articulation groups and principals centers were recognized as a source of professional development by several principals and superintendents. Interaction with colleagues was emphasized throughout this study. Opportunities to discuss common problems and programs were valuable experiences for principals. Practical suggestions were derived from these experiences and interaction with colleagues was also a source of rejuvenation. Job rotation, though more readily available in industry, is less likely to occur in school administration. In fact, due to state requirements, this may not be an option for many districts.

Several sources were under-utilized. For example, reading professional literature and listening/viewing professional audio/visual tapes were seldom recognized as sources of professional development. These sources could be referred to many times for reinforcement. Peer observation or peer-assisted leadership, as identified in the literature, was seldom identified and practiced as a

source of development.¹⁵⁶ Principals considered this method to be too threatening and were especially reluctant to use this approach with colleagues within their district. This approach could be a valuable learning experience for the observer and the model. Reflection about experience is a good source of learning. A lack of reflection about experience limits the potential for learning. As principals reflect, they may think of more effective ways of addressing situations. Principals could also study topics not directly related to their field. This type of study could provide relaxation and breadth of perspective.

A managers/school administrators center would be a concept worthy of consideration.¹⁵⁷ Professionals can learn from professionals in other fields. Managing and developing human resources is an important feature of school administration and management in business. Certainly managers from these two sectors could learn from interacting and sharing with one another. Supervising personnel, developing programs, and managing a budget are a few examples of functions school administrators and managers have in common. Brainstorming for solutions to problems and acquiring special speakers are methods of

 156. Op. Cit., Barnett and Long, 1986. p. 672

157. Op. Cit., Fields, 1982. p. 36

development which could be incorporated by a school administrators/managers center. Since the needs and goals of professionals are similar in nature, collaboration among professionals could offer great dividends.

Descriptive Matrices of Superintendents' Interviews

Matrix IIa

What type of professional development, or administrative staff development, activities are provided for the principals in your district?				
Response	Superintendent % (1-5 Yrs.)		Superintendent % (6-26 Yrs.)	Difference (%)
Conferences, seminars, professional association	100	. Principals can pick and choose what they want to attend . Funds available for conferences	100 . Funds available for conferences, etc.	0
Articulation group	17		0	17
District Curriculum Committee	17	. Principals have active part in participating on committees	0	17
Graduate Courses	17		0	17
Visit other districts	17		0	17
Internal Program	17		0 . No formal training outside of administrative council	17
Consultant	17		25 . Consultants brought in on occasion	8
Follow-up and Coaching	17	. Looking for behavior changes not just knowledge	0	17

Analysis of Data Presented in Matrices

Type of Activities - Matrix IIa

There were no great discrepancies in the responses to this item. There was very little variety in the kinds of activities identified by superintendents. Conferences and membership in professional associations were the prevalent approaches to professional development identified by both categories of superintendents. As mentioned in the analysis of matrix Ia, many other sources were under-utilized.

The establishment of role models, as identified in the literature, could provide rich learning experiences in an organization. The role model method could be particularly beneficial for junior members of the organization. Decision making could also be used as an opportunity for learning. The superintendent's use of as many people as possible in decision making is a way of using the mode of inquiry to expose and inform professionals to new problems and aspects of their work. Of course, if the superintendent does not incorporate or give serious consideration to the input from others, then the exercise would be superficial.

Descriptive Matrices of Principals' Interviews

Matrix IIIa

What type of professional development, or administrative staff development, activities are provided for the principals in your district?				
Response	Principal % (1-5 Yrs.)		Principal % (6-27 Yrs.)	
Conferences, seminars, and professional association	100	<ul style="list-style-type: none"> One principal per year attends national convention Attend conferences as they wish and as needs arise 	100	<ul style="list-style-type: none"> Funds available for conventions, workshops, and professional association Attend as interested
University courses	14	<ul style="list-style-type: none"> Tuition remission for graduate courses 	31	<ul style="list-style-type: none"> Money available for course work Encourages and supports graduate work
Articulation Group	43	<ul style="list-style-type: none"> District encourages interaction among principals Content and interaction on relevant topics are key 	23	<ul style="list-style-type: none"> Workshops and time to interact with principals
Consultant	0		15	<ul style="list-style-type: none"> Brought in to work with teachers and administrators for the entire year.

Descriptive Matrices of Principals' Interviews

Matrix IIIa (cont'd.)

Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Internal program	29 <ul style="list-style-type: none"> Not a lot; very little Weekend retreat to discuss goals 	8 <ul style="list-style-type: none"> Nothing provided within district Nothing within district due to size 	21
Visit schools	0	8 <ul style="list-style-type: none"> Reluctant to have other principals observe them 	8
Follow-up/Coaching	0	8 <ul style="list-style-type: none"> Later in year 	8
District curriculum committee	0	8 <ul style="list-style-type: none"> Active staff development with teachers 	8

Analysis of Data Presented in Matrices

Type of Activities - Matrix IIIa

Conferences, seminars, and membership in professional associations are the methods of professional development used largely by principals, regardless of years of experience. The conference and seminar method of professional development, common among principals, was also the method common among managers and other professionals.¹⁵⁸ Conferences often create opportunities for principals to interact with other principals. Interaction with colleagues was valued by principals.

Networking among principals is a source of support and could serve as a valuable educational opportunity.¹⁵⁹ The importance of networking may be especially true of principals new to a district and have yet to develop a strong support base. Principals with fewer years in a district identified articulation with colleagues and the existence of an internal program at a greater percent than the other category of principals. Though principals in general stressed articulation more than superintendents, this activity may be of greatest importance to principals relatively new to a district. With personnel

158. Op. Cit., Cross, 1984. p. 196

159. Op. Cit., Olivers and Armistead, 1981. p. 108

and programs still being unfamiliar, an articulation group would provide principals with practical and alternative approaches to solving problems in school administration.¹⁶⁰

160. Op Cit., Barth, 1980. p. 16

The following set of matrices describes the subjects' responses to the second item on the questionnaire. The question was, "Is there provision for individualized administrative staff development?" Matrix Ib compares principals with superintendents, Matrix IIb compares superintendents with superintendents, and Matrix IIIb compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix 1b

Is there provision for individualized administrative staff development?			
Response	Principal (%)	Superintendent (%)	Difference (%)
Yes; attend conference at own discretion	60	30 . Attend conferences as needs arise	30
Yes; based on goals	20	60 . Attend conferences which relate to goals	40
No	20	10	10

Individualized Development - Matrix Ib

There was general consensus that individualized development existed, personal discretion being the primary basis. Principals and superintendents disagreed on the issue of relating activities to goals. Principals did not view the conferences as related to goals but the superintendents recognized a relationship between goals and professional development activities. There were two opposing views on an individualized plan relevant to the size of a district. One view was that the district was so small the available resources were inadequate. The second view contended that all activities were individualized due to the small size. When developing a program, developers should look as much at the circumstances of the schools as at the individuals leading the schools. It would be futile to develop a program contingent upon unavailable resources and unrealistic expectations of personnel.

Based on the results from the principals, the superintendents were not as involved in relating activities to the principals goals as much as they would like

to have thought. The principal's personal discretion was the primary basis for individualization.

The professional development literature has emphasized the importance of inservice programs addressing individual differences.¹⁶¹ Uniformity of inservice programs should be coupled with individualized programs. Principals are at different stages in their careers, thus, calling for professional development which addresses their individual needs. This may be the most cost effective approach since individualized programs are more likely to enhance performance, rather than uniform or generic programs.¹⁶²

The management development literature identified two key points relevant to the individualization matrix:

1) chief executive officers are involved extensively in management development programs; and 2) corporations are beginning to develop programs which are tailored to the individual needs of managers.¹⁶³ Chief executive officer have recognized the impact managers have on the productivity of companies. Thus, the training and development of these managers was considered to be of

161. Op. Cit., Cross, 1984. p. 167

162. Op. Cit., Lorsch and Takagi, 1986. p. 65

163. Op. Cit., Bolt, 1985. p. 169

extreme importance. The chief executives became committed to the development of quality training programs for the managers.

Descriptive Matrices of Superintendents' Interviews

Matrix IIb

Is there provision for individualized administrative staff development?				
Response	Superintendent % (1-5 Yrs.)		Superintendent % (6-26 Yrs.)	Difference (%)
Yes; based on goals	83	<ul style="list-style-type: none"> . Based on principal's goals and interests . Highly individualized due to small size . Operate from MBO approach 	25 <ul style="list-style-type: none"> . Principals are encouraged and directed to attend certain activities and set goals 	58
Yes; personal discretion	17	<ul style="list-style-type: none"> . Principals can develop and select own program 	50 <ul style="list-style-type: none"> . Only on outside basis 	33
No	0		25 <ul style="list-style-type: none"> . No need for individualized . All principals have at least 15 years of experience 	25

Individualized Development - Matrix IIb

There was a tremendous difference in the responses to this item when analyzed based on years of experience in a district. Superintendents with fewer years in a district tended to relate individualized activities to goals at a much higher percentage than superintendents with more years in a district. The superintendents with greater years allowed principals to select activities at their personal discretion to a greater degree than the superintendent with fewer years in a district. Generally, superintendents provided individualized professional development for principals.

The superintendent with over five years in the district who did not recognize a need for individualized development had principals in the district with at least fifteen years of experience. This approach assumes that principals with this amount of experience have similar strengths, abilities, weaknesses, and are at identical points in their careers. If this assumption is false, the logical conclusion is the principals' professional needs are not being sufficiently addressed.

Superintendents from the pilot study indicated the availability of the following resources for individualized development: use of consultants; funds to support

programs tailored to specific needs; and an experienced administrator working with a new principal.

Descriptive Matrices of Principals' Interviews

Matrix IIIb

Is there provision for individualized administrative staff development?			
Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Yes; based on goals	43 <ul style="list-style-type: none"> Goal setting program with superintendent - talk out process for growth to occur 	23 <ul style="list-style-type: none"> Conferences tie into district priority and goal Due to size, almost everything is individualized in that activities relate to specific assignments Through appraisal system 	20
Yes; personal discretion	57 <ul style="list-style-type: none"> Set individual goals and receive support to reach goals Take courses as they wish Principals choose what they wish to attend 	46 <ul style="list-style-type: none"> Principals attend workshops as they wish 	11
No	0	31 <ul style="list-style-type: none"> Some activities are generic shot-gun approach No program available; principals are highly experienced No, but there would be if there was a need 	31

Descriptive Matrices of Principals' Interviews

Matrix IIb (cont'd.)

Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
		. No need in this district due to administrative organization	

Individualized Development - Matrix IIIb

Research identified experience as a resource for learning.¹⁶⁴ Principals are at different stages in their careers, and thus have varying degrees of experience. As a principal accumulates more and more experience, this becomes an increasing resource for learning.

A greater percent of principals with fewer years in a district compared to principals with more than five years in a district identified a relationship between staff development activities and principal's goals and interests. A higher percent of principals with more years in a district recognized an absence of individualized staff development. Superintendents may be more sensitive to the professional needs of newer principals, thus taking more action in this area for them. Though individualized staff development is necessary for all principals, it may be more beneficial for principals fairly new to a district. The adjustment to a new district is a learning experience which requires additional attention.

Several principals indicated that an individualized program would be available if the need were to arise.

164. Op. Cit., Manasse, 1985. p. 458

However, literature emphasizes the importance of individualized learning and development.¹⁶⁵

Industry is moving in the direction of individualized management development programs.¹⁶⁶ The individualized development approach has yielded the greatest results and is the most cost-efficient approach.¹⁶⁷ School districts could benefit from examining the aforementioned management development programs.

165. Op. Cit., Cross, 1984. p. 167

166. Op. Cit., Bolt, Bures, and Bula, 1985. p. 62

167. Op. Cit., Bolt, 1985. p. 169

The following set of matrices describes the subjects' responses to the third item on the questionnaire. The question was, "How are the professional development activities for the principals selected?" Matrix Ic compares principals with superintendents, Matrix IIc compares superintendents with superintendents, and Matrix IIIc compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix 1c

How are the professional development activities for the principals selected?				
Response	Principal (%)		Superintendent (%)	Difference (%)
Jointly by principal and superintendent based on goals and needs	55	. Arrives out of area of focus and priority	80 . Selected through goal setting process	25
Principal's discretion	50	. No district criteria . Principal selects what is of interest to him	20 . Principals are at a point in their career when they know what they need	30
Superintendent recommends	20		10	10
Based on ability to leave building	5		0	5
Recommendation from others	10		0	10

Selection of Activities - Matrix Ic

Superintendents emphasized goals and needs as the basis for selection, whereas principals considered personal discretion as a greater factor in the selection process. As was the case with Matrix Ib, superintendents recognized a direct relationship between goals and the selection of activities. This was inconsistent with the results from the principals. Many principals held the position that they selected the activities which were of interest to them.

A small percent of superintendents identified principal's discretion as being the basis for the selection of activities. The reasoning behind this position differed between the two superintendents. One position seemed to be one of indifference and lack of involvement in this area. The second position contended that principals, at least the ones in this particular district, were at a point in their careers where they were the best judges of what type of development was appropriate for them. This second position is consistent with the characteristics of being a professional as identified in the literature related to continuing education for professionals.¹⁶⁸ Namely, professionals are

168. Op. Cit., Houle, p. 74

committed to professional development and take the responsibility upon themselves for growing and learning in their profession.

The literature recognized professional development to be a self-directed function.¹⁶⁹ This supports the flexibility and freedom principals have in selecting activities. Personal discretion should be a strong factor when selecting activities.

169. Ibid., p. 123

Descriptive Matrices of Superintendents' Interviews

Matrix IIc

How are the professional development activities for the principals selected?			
Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
Jointly by superintendent and principal based on goals	67 <ul style="list-style-type: none"> . Through goal setting process . MBO approach 	100 <ul style="list-style-type: none"> . Administrative staff makes recommendations . Goal setting process 	33
Principal's Discretion	33 <ul style="list-style-type: none"> . Self-selection . At a point in their career when they know what they need 	0	33
Superintendent Recommends	17 <ul style="list-style-type: none"> . Superintendent's observations 	0	17

Selection of Activities - Matrix IIc

Superintendents with fewer years in a district identified principal discretion as the basis for selection at a higher percent than superintendents with greater years in a district. Both categories of superintendents recognized goals as being the basis for selection of activities.

Superintendent recommendation alone was not considered the basis for selection by ninety percent of the superintendents. This approach allows for a tremendous amount of freedom for principals to select activities. However, selecting activities jointly by the principal and superintendent was the approach most commonly used.

The pilot study results indicated, in addition to data already reported in this study, selection was based on district-wide assignments and the superintendent's evaluation of individual administrators.

Descriptive Matrices of Principals' Interviews

Matrix IIIC

How are the professional activities for the principals selected?				
Response	Principal % (1-5 Yrs.)		Principal % (6-27 Yrs.)	Difference (%)
Jointly by superintendent and principal based on goals and needs	71	<ul style="list-style-type: none"> . From building and district goals . Personal need 	46 <ul style="list-style-type: none"> . Arrives out of area of focus, goal, priority . Based on needs of district 	25
Principal's Discretion	43	<ul style="list-style-type: none"> . Principals choose as long as they stay within the budget 	54 <ul style="list-style-type: none"> . Self-directed . No district criteria . Control in principal's hands 	11
Superintendent recommends	29	<ul style="list-style-type: none"> . Superintendent makes suggestions 	15 <ul style="list-style-type: none"> . Superintendent selects in isolated instances 	14
Recommendation from others	29		0	29
Based on ability to leave building	0		8	8

Selection of Activities - Matrix IIIc

New assignments and positions influence the selection of activities for principals and managers. This was identified in the interviews and in the literature.¹⁷⁰

Principals with fewer years in a district stressed recommendation from others and working with the superintendent as important factors in selecting activities. Superintendents seem to be more involved with the newer principals in selecting development activities. Superintendents working with newer principals to select activities should not be accomplished at the expense of more experienced principals, but rather, in conjunction with the selection of activities for more experienced principals. Experienced principals need programs which provide them with opportunities to practice new behaviors and to gather valid feedback in a non-threatening environment.

Management development programs have become more results oriented and are closely related to corporate objectives.¹⁷¹ The practice of aligning development programs with objectives in the corporate sector may

170. Op. Cit., Cross, 1984. p. 86

171. Op. Cit., Bolt, Bures, and Bula, 1985. p. 60

serve as a model for school districts in terms of aligning the staff development activities for principals with the district's goals. Though there is merit in giving principals the freedom to select development activities using their personal discretion, district goals and objectives should be a major factor when selecting programs.

The following set of matrices describes the subjects' responses to the fourth item on the questionnaire. The question was, "Is the quality of the activity assessed?" Matrix Id compares principals with superintendents, Matrix IIId compares superintendents with superintendents, and Matrix IIIId compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix Id

Is the quality of the activity assessed?			
Response	Principal (%)	Superintendent (%)	Difference (%)
Yes; informal	80 . Informal discussion	70 . Informal discussion	10
Yes; formal	30 . Formal evaluation	70 . Formal evaluation	40
Yes; application	10 . Application	10 . Application	0
No	5	0	5

Assessment of Quality of Activity - Matrix Id

Superintendents, as compared to the principals, indicated that formal evaluation occurred to a larger degree. Principals, on the other hand, stressed the occurrence of informal evaluation more so than superintendents. Only 5% of the principals and 0% of the superintendents indicated that the quality of the professional development activity was not assessed.

The application of new skills or enhancing job performance is often the goal for attending development activities. However, application of new skills or enhanced job performance was seldom considered a means of assessment. Changing behavior and improving performance is the key purpose for professional development and, thus, should be a primary means of assessing activities.

Formal evaluation, or a report to the Board or superintendent would be beneficial in justifying and promoting professional development for principals. Before attending the activity, principals should identify why they should attend, what they plan to learn, and how this will effect their performance and improve the school. After attending the conference, they should report back to the superintendent and/or Board on these three areas. This approach should help districts receive a greater return on their professional development .

investment. This would eliminate the random selection of activities and should decrease the attendance of low quality activities. Since principals would be responsible for reporting on the benefits of the activity, it is possible they would be more selective when choosing activities.

The number of hours spent in learning activities is the most common measure of continuing professional education.¹⁷² This does not, however, indicate how well the learner performs during participation or subsequently.

172. Op. Cit., Cross, 1984. p. 40

Descriptive Matrices of Superintendents' Interviews

Matrix IIc

Is the quality of the activity assessed?			
Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
Yes; informally	83 . Principals tell superintendent what they got out of it and recommends to others . Discussion	50 . Discussion with superintendent	33
Yes; formally	50 . Completion of questionnaire or rating scale; probably not very valuable	75 . Principal reports to superintendent	25
Yes; application	0	25 . Peer evaluation; look * for change in behavior in relation to goal	25
No	17 . Verbally, not formally	0	17

Assessment of the Quality of the Activity - Matrix IIId

The superintendents with greater years in a district emphasized the occurrence of a formal evaluation of professional development activities. This was done by having the principal report to the superintendent or board regarding the activity and/or completing an evaluation form.

A change in behavior or an improvement in performance was identified on one occasion as a method of assessing the quality of an activity. Considering the purpose of professional development, improved job performance as a tool for assessment should receive greater attention. Using job performance as a method of assessment would direct and encourage participants of development activities to focus on obtaining information and techniques which would enhance performance.

The results of management development activities in industry will be measured and monitored more carefully than in the past to ensure that they support corporate objectives and are cost effective.¹⁷³ This practice could serve as a model for school districts.

173. Op. Cit., Bolt, Bures, and Bula, 1985. p. 61

Descriptive Matrices of Principals' Interviews

Matrix IIId

Is the quality of the activity assessed?				
Response	Principal % (1-5 Yrs.)		Principal % (6-27 Yrs.)	Difference (%)
Yes; informal	71	<ul style="list-style-type: none"> . Personal assessment . Discussion . No written evaluation required . Interaction regarding application 	85 <ul style="list-style-type: none"> . Discuss at principals meeting . Discussion with superintendent . Not required to give formal report 	14
Yes; formal	43	<ul style="list-style-type: none"> . Formal written evaluation 	23 <ul style="list-style-type: none"> . Report to board . Evaluation forms completed at times 	20
Yes; application	0		15 <ul style="list-style-type: none"> . Sees whether he uses them or not 	15
No	14	<ul style="list-style-type: none"> . Assessment for teachers but not for administrators 	0	14

Assessment of the Quality of
the Activity - Matrix IIId

Responses to this item were consistent with both categories of principals. Informal discussion as a method for assessing an activity was very common. Application as a form of assessment should be stressed to a greater degree. A primary purpose of professional development, to ultimately enhance job performance, was frequently lost sight of and the accumulation of knowledge becomes the end result.

A principal in the pilot study reported that the quality of the activity was not assessed. In order to provide and maintain a worthwhile program which is cost-effective, it is beneficial to assess the quality of the activities.

The following set of matrices describes the subjects' responses to the fifth item on the questionnaire. The question was, "Is there continuity between the various professional development activities principals attend?" Matrix Ie compares principals with superintendents, Matrix IIe compares superintendents with superintendents, and Matrix IIIe compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix 1e

Is there continuity between the various professional development activities principals attend?			
Response	Principal (%)	Superintendent (%)	Difference (%)
No	65 . More a matter of need and interest than continuity . Nothing written as of yet	70 . Each principal has different needs at different times	5
Yes	35 . All activities relate to goal for the year	30 . 3-5 year plan; development is ongoing	5

Continuity Between Activities - Matrix Ie

The majority of the districts in the study did not have a long range plan for staff development for principals. The principals' responses compared to the superintendents' responses show great similarity. Though 65% of the principals and 70% of the superintendents indicated that their districts did not have a long range plan, they did stress the importance of meeting the individual needs of the principals. These data are consistent with the data on Matrix Ib. Several districts indicated that they were currently developing a long range plan.

Districts should determine if professional development for principals is a priority. If it is a priority, the question as to whether a long range plan would be necessary should be addressed. Within the long range plan, it would be prudent to have flexibility within the plan which allows for and encourages individualized activities for principals. The principalship is a fairly mobile profession. Since many principals are with a district for a great number of years, a long range plan would help meet the professional needs of the principals at different points in their careers. Emphasis on professional development may keep them

cognizant of current issues in education and thus help them from growing insensitive to new and changing trends.

Descriptive Matrices of Superintendents' Interviews

Matrix IIe

Is there continuity between the various professional development activities principals attend?			
Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
No	67 <ul style="list-style-type: none"> Year-to-year approach No formal plan; each principal has different needs at different times 	75 <ul style="list-style-type: none"> Lack of common thrust and definition 	8
Yes	33 <ul style="list-style-type: none"> Develops 3-5 year plan based on staff needs Long range plan focuses on a theme 	25 <ul style="list-style-type: none"> Principals academy provides the most continuity 	8

Continuity Between Activities - Matrix IIe

There is great similarity in the responses to this item from the two categories of superintendents. There was clearly a lack of continuity between the professional development activities for principals. Effective inservice programs, as identified by the literature, are ongoing and holistic.¹⁷⁴ Follow-up and reinforcement, as part of the ongoing inservice process, are crucial for learning new skills and behaviors.

A superintendent in the pilot study reported a five year professional development plan worked out by the superintendent for each employee in the district. Assuming the plan contains effective activities and allows for individual differences, this program could serve as a model for other school districts.

174. Op. Cit., Livingston, 1983. p. 15

Descriptive Matrices of Principals' Interviews

Matrix IIIe

Is there continuity between the various professional development activities principals attend?			
Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
No	<p>43</p> <ul style="list-style-type: none"> . More desirable to have continuity, plan, and direction . Working on a plan this year . No real effort put into this area 	<p>77</p> <ul style="list-style-type: none"> . Long range plan not necessary . Goals may arise which are not long range . Not currently, but talking about long range plan . No formal plan, attend activities as needs arise 	34
Yes	<p>57</p> <ul style="list-style-type: none"> . Principal as instructional leader is the focus . Within district-ongoing 	<p>23</p> <ul style="list-style-type: none"> . In some cases . Mixture of both . All activities relate to goal for the year 	34

Continuity Between Activities - Matrix IIIe

Principals with less years in a district identified continuity and a long range plan in staff development at a significantly higher percent than principals with more than five years in a district. Assuming this category of principals has a large number of years remaining in their career, the importance of long range development may be of greater significance to them. It is important to provide appropriate staff development for principals relatively new to a district (See Matrix IIIg for further support). However, staff development for principals with many years in a district is also important and should not be overlooked. Staff development could teach, challenge, and stimulate principals with varying years of experience.

The following set of matrices describes the subjects' responses to the sixth item on the questionnaire. The question was, "What are the benefits of professional development activities for principals in your district?" Matrix If compares principals with superintendents, Matrix IIf compares superintendents with superintendents, and Matrix IIIf compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix If

What are the benefits of professional development activities for principals in your district?			
Response	Principal (%)	Superintendent (%)	Difference (%)
Performance			
Acquire new ideas/skills	90 . Keeps principals in touch with latest research . Discover how people outside district deal with similar problems	90 . Gives them opportunities to get different perspectives from others in field	0
Builds confidence	10	50 . Gives them greater confidence in working with teachers	40
Renews spirit/reinforcement	20 . Tend to get stale at times	10	10
Student achievement	5	0	5
Model for teachers	5 . Models what staff should be doing	0	5
Resource for district	0	10	10
Job satisfaction	0	10	10
Improved staff relations	0	10	10

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix If (cont'd.)

Response	Principal (%)	Superintendent (%)	Difference (%)
Promotion			
Direct benefit	10	10	0
Possible benefit	30 . Could be used for promotion	30 . One of the factors considered in promotion . Potential for promotion increases	0
Possible termination	0	10	10
Financial benefit	5	20 . Salary built into merit system	15
No benefit	50 . Never wanted to go to a higher position . Not used for this reason	40 . Promotion based strictly on performance	10
Other			
Interaction with colleagues	55 . Good to get out to see how others do things	30 . Being with people and exchanging ideas	25
Personal satisfaction	10	0	10
Time away from building	25	0	25

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix If (cont'd)

Response	Principal (%)	Superintendent (%)	Difference (%)
Personal assessment	5	0	5
New contacts	0	10	10
Demonstrates district's commitment to professional development	0	10	10

Benefits of Professional Development - Matrix If

There were some significant differences in the responses from the superintendents and principals. Superintendents emphasized professional development as a confidence builder to a much greater degree than principals. Although superintendents considered professional development as a method for building confidence, principals may seek other principals for confirmation and for building confidence. On the other hand, principals stressed the importance of interaction with colleagues and time away from the building as benefits to a greater degree than did superintendents.

Opportunities for principals to interact with other principals and to examine programs outside of their buildings could be a valuable means of staff development. This kind of support base could provide practical ideas and approaches to solving problems and help prevent principals from developing narrow perspectives. Moral support could also be obtained from interacting with colleagues.

Principals and superintendents realized the role professional development has in providing participants with new ideas and skills. The provision of new ideas and skills is consistent with the purpose for

professional development. Similarly, reinforcement was identified by 20% of the principals.

Superintendents were alone in identifying improved staff relations, job satisfaction, and a resource for the district as benefits of professional development. This could be partially attributed to their district-wide perspective rather than a school-wide perspective. Staff relations and job satisfaction are less tangible benefits identified by superintendents, yet it is important to improve in these areas.

"Role model for teachers" was recognized by a principal. Principals expect teachers to grow professionally. Principals learning and growing would serve as an example for teachers and would have a positive effect on the climate of the school.

"Student achievement" was recognized as a benefit by a principal. Student achievement would be an indirect and long-term benefit of professional development since principals are usually not in the classroom.

The literature identified advancement in present jobs as opposed to getting new jobs as a greater reason for continuing education for professionals.¹⁷⁵ 50% of the principals identified "No Benefit" related to promotion

175. Op. Cit., Houle, 1981. p. 134

as a result of professional development. 40% of the superintendents held this position. 30% of the principals and 30% of the superintendents identified a "Possible Benefit" related to promotion as a result of professional development. Generally, principals and superintendents did not consider professional development to be highly influential in the area of promotion. Performance, advanced degrees, and state certificates are major factors for promotions.

Descriptive Matrices of Superintendents' Interviews

Matrix IIf

What are the benefits of professional development activities for principals in your district?			
Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
Performance			
Builds confidence	50 . Gives them greater confidence when working with teachers	50 . Principals seem to provide more leadership in areas where they've attended workshops	0
Acquire new ideas/skills	83 . See marked improvement in performance	100 . Never sure of carry-over from speakers	17
Renewed spirit/reinforcement	17 . Principal comes back refreshed with new ideas	0	17
Resource for district	0	25 . Gives resources to staff	25
Job satisfaction	17 . Stress reduction and feeling prepared for leadership	0	17
Improved staff relations	17 . Will become more effective in working with staff and children	25 . The greater the feeling of self-worth, the greater the pay-off will be in staff relations	8

Descriptive Matrices of Superintendents' Interviews

Matrix IIf (cont'd.)

Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
Promotion			
Direct benefit	17 . Increases with size of the district	0 . Promotion based strictly on performance	17
Possible benefit	50 . One of the factors considered in promotion	0 . Not designed to promote principals	50
Financial	33 . Salary built into merit system	0	33
Possible termination	17 . If nothing was done about a perceived deficit, principal may be fired	0	17
None	0	100	100
Other			
Interaction with Colleagues	33 . Gives them opportunity to get different perspective from others in field	25 . Realize others have same problems and you're better off than other districts	8
New contacts	17	0	17
Demonstrates district's commitment to professional growth	17 . Shows principals district thinks it's important and it becomes important to them	0	17

Benefits of Professional Development - Matrix IIf

The superintendents with greater years in a district viewed the benefits related to promotion as less significant than superintendents with fewer years in a district. Superintendents with fewer years were more aware and sensitive to the promotional benefits of staff development.

Though superintendents indicated improved performance as a benefit of staff development, superintendents did not provide evidence to support this point. This benefit seemed to be based more on assumption than specific evidence or past experience. The lack of continuity in professional development activities, lack of reinforcement and follow-up, as identified in matrices IIa, IIIa, IIIe supports this conclusion.

"Building confidence" was recognized as a benefit consistently by both categories of superintendents. This response may stem from the notion that a greater knowledge base increases confidence. Greater confidence should enhance job performance. Motivation was identified in the pilot study as a benefit of professional development. Motivation should also improve performance.

Descriptive Matrices of Principals' Interviews

Matrix IIIf

What are the benefits of professional development activities for principals in your district?			
Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Performance			
Acquire new ideas/skills	100 <ul style="list-style-type: none"> . Should enhance performance . Keeps principal in tune with what's new . Provides new ideas to use in school 	85 <ul style="list-style-type: none"> . Helps principal become better learners . Provides knowledge base . Helps principal become more effective instructional leader . Provides new approaches 	15
Builds confidence	14 <ul style="list-style-type: none"> . Feel validated 	8 <ul style="list-style-type: none"> . Certain amount of confidence in knowing what's going on and being in tune 	6
Renews spirit/reinforcement	14 <ul style="list-style-type: none"> . Enriches skills principal already has 	23 <ul style="list-style-type: none"> . Refreshes principal on things he should know 	9
Student achievement	0	8 <ul style="list-style-type: none"> . Kids will achieve 	8
Model for teachers	0	8 <ul style="list-style-type: none"> . Model what staff should be doing 	8

Descriptive Matrices of Principals' Interviews
Matrix IIIf (cont'd.)

Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Promotion			
Direct benefit	0	15 . Promotion based on professional development	15
Possible benefit	14 . Limited	38 . It would help if one was interested . Not within district	24
Financial benefit	14 . Salary advancement based on hours taken	0	14
No benefit	57 . Intent is to help principal be a better principal . Not many opportunities within district	46 . Not intended for this purpose	11
Other			
Interaction with colleagues	57 . Learning from other principals in same situation	54 . Chance to meet other administrators	3
Personal satisfaction	0	15 . Keeps one current	15

Descriptive Matrices of Principals' Interviews
Matrix IIIf (cont'd.)

Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Time away from building	14	31 . Important to get out and keep abreast of issues . Good to get out and see how others do things	17
Personal assessment	0	8	8

Benefits of Professional Development - Matrix IIIf

There was generally little discrepancy in the responses from the two categories of principals. Both categories of principals identified acquiring new skills and ideas and interacting with colleagues as major benefits of staff development activities. The results are similar to benefits from management development programs.¹⁷⁶

The expectations a principal holds toward a professional development activity has a direct effect on the outcome of participation in an activity.¹⁷⁷ The expectation of personal success in the learning activity and the expectation that being successful in the activity will have positive results are critical in maximizing the benefits of professional development.

Unfortunately, principals frequently have little time for professional development and are often isolated in their jobs. Yet, there is a direct relationship between participation in administrative staff development programs and principals effectiveness.¹⁷⁸

176. Op. Cit., Fields, 1982. p. 38

177. Op. Cit., Cross, 1984. p. 116

178. Op. Cit., Manasse, 1985. p. 458

Management development programs seek to help managers acquire the experience, skills, and attitudes necessary to be successful leaders. The programs provide managers with the skills needed to make critical decisions. The purposes of the programs are to increase the effectiveness of managers, increase employee satisfaction, and prevent managerial obsolescence.¹⁷⁹

A significant percent of management development programs are ineffective.¹⁸⁰ The reasons the programs are ineffective are: the programs are too generic and broad in content; the trainers have little or no background in management; the programs are not directed at the needs of managers; there is no overall plan of progression; and managers are not involved in developing the programs. Although school districts can learn from successful programs at selected companies, it is apparent that business and industry have much to learn and areas in need of improvement.

Over \$200 billion a year is expended on training adults, which includes managers and principals.¹⁸¹ Though

179. Op. Cit., Glueck, 1978. p. 367

180. Op. Cit., Hoffman, 1983. p. 32

181. Op. Cit., Gilbert, 1978. p. 212

\$200 billion a year is an enormous amount of money, the return on this investment is uncertain.

The following set of matrices describes the subjects' responses to the seventh item on the questionnaire. The question was, "Among the superintendent's responsibilities, where do you as principal or superintendent think professional development for principals ranks?" Matrix Ig compares principals with superintendents, Matrix IIg compares superintendents with superintendents, and Matrix IIIg compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix Ig

Among the superintendent's responsibilities, where do you as principal or superintendent think professional development for principals ranks?			
Response	Principal (%)	Superintendent (%)	Difference (%)
Very important	40 <ul style="list-style-type: none"> . District committed to professional development . Principals are key line administrators 	80 <ul style="list-style-type: none"> . One of the most important roles the superintendent has . High priority among all staff 	40
Important	50 <ul style="list-style-type: none"> . Could see superintendent helping new principal . Day-in, day-out operations are most important 	20 <ul style="list-style-type: none"> . Should appear higher than it does . Tendency to hire experienced administrators 	30
Not Important	10	0	10

Professional Development Ranks as Superintendent's
Responsibilities - Matrix Ig

80 percent of superintendents considered professional development for principals as a very important aspect of their job. In comparison, a considerably lower percent (45%) of principals considered this a very important responsibility of superintendents. Therefore, although superintendents may perceive this as a very important responsibility, in many cases this message is not conveyed to principals.

Superintendents should examine their perceptions and compare the perceptions with what is actually occurring in professional development for principals. Other matters, even though they may be important, should not be allowed to dominate the financial and time investment of the superintendent and district. Financial resources and time should be specifically allocated to professional development for principals. Recognizing the importance of professional development and setting it as a priority is a responsibility of both the superintendent and principal. Principals should avoid the mentality of knowing all there is to know about the principalship since they've been doing it for ten or twenty years. Professionals ought to perceive themselves as lifelong learners and stay on the cutting edge of research in

their field. The primary responsibility for learning should rest on the individual, as identified in the literature.¹⁸²

182. Op. Cit., Houle, 1981. p. 39

Descriptive Matrices of Superintendents' Interviews

Matrix IIg

Among the superintendent's responsibilities, where do you as superintendent think professional development for principals ranks?			
Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
Very important	100 <ul style="list-style-type: none"> Changing demand on role of principal and inability of university to provide on the job training calls for greater professional development. Superintendents have to help principals improve since research indicates effective principals are key to effective schools. 	50 <ul style="list-style-type: none"> Community demands contemporary school One of the most important roles superintendent has; better principals are, the more effective superintendent is. 	50
Important	0	50 <ul style="list-style-type: none"> Tended to hire experienced administrators. Should appear higher than it does. 	50
Not Important	0	0	0

Professional Development Ranks as Superintendent's Responsibilities - Matrix IIg

Superintendents newer to their districts viewed professional development as a priority at a higher percent than the superintendents with greater years in the district. This perspective was due to the key positions principals hold in schools, the changing role of the principal, and the inability of universities to provide on-the-job training.

After serving as a district's superintendent for an extended period of time, precaution should be taken to avoid under-emphasizing the necessity of professional development for principals. Research identified effective principals as being crucial to effective schools.¹⁸³ Since this is the case, it is essential for principals to stay abreast of current issues in education on an ongoing basis. Professional development should be viewed as a life long process.

It was clear that superintendents addressed professional development during the employment process. Based on the results of this matrix, it would be fair to surmise that superintendents considered this to be an impor-

183. Op. Cit., Olivero and Armistead, 1981. p. 103

tant issue since 100% of the superintendents include it in the employment process.

Formal written policy will be used by industry to guide the development and implementation of programs and to articulate the objectives of training activities.¹⁸⁴ Senior executives will play a key role in directing and guiding the training function in the future.¹⁸⁵ Some senior executives are involved and committed to management development to the extent of leading seminars themselves. The training function will be looked on more as a necessity than a luxury. It may be prudent for superintendents to examine the increased role some senior executives have in management development and glean from these examples some practices which may be beneficial for school districts.

184. Op. Cit., Bolt, Bures, and Bula, 1985. p. 60

185. Op. Cit., Bolt, 1985. p. 169

Descriptive Matrices of Principals' Interviews

Matrix IIIg

Among the superintendent's responsibilities, where do you as principal think professional development for principals ranks?			
Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Very Important	43 <ul style="list-style-type: none"> . Superintendent supports and makes known what is available . Superintendent made a design in what he views as important - this is one area 	38 <ul style="list-style-type: none"> . District committed to professional development . Tuition reimbursement . If performance isn't improved at this level, programs will suffer . Should be a stronger thrust 	5
Important	29 <ul style="list-style-type: none"> . Important for superintendent to encourage principals to grow . Not primary responsibility of superintendent's 	61 <ul style="list-style-type: none"> . Could see superintendent helping new principal . Difficulties in district have caused superintendent to focus on other areas . Day-in, day-out operations most important 	32
Not Important	29 <ul style="list-style-type: none"> . It happens seldom and so little attention is paid to it . It's the principal's responsibility to grow, not the superintendent 	0	29

Professional Development Ranks as Superintendent's
Responsibilities - Matrix IIIg

Principals with greater years in a district tended to rank professional development as a superintendent's responsibility as important. Principals with fewer years in a district were the only ones to rank this responsibility as not important for superintendent's.

The principals, who categorized this responsibility as "Not Important," did so from distinct perspectives. One principal held a negative position and indicated that very little attention was given to this area. This perspective was a criticism of the superintendent and his/her involvement in professional development for principals. The second perspective did not consider professional development for principals to be a responsibility of the superintendent. This responsibility rested completely with the principal. Either extreme should be avoided. Principals certainly need to assume this responsibility. Yet, superintendents should be involved as well.

The literature identified several arguments to support the importance of professional development for principals.¹⁸⁶ One argument stated that principals are

186. Op. Cit., Brown, 1974. p. 19

poorly prepared for their jobs in the first place. Studies concluded that there is virtually no relationship between effectiveness on the job and formal preparation for the job. Classroom teaching as preparation for the principalship is inadequate. The point was made that being a teacher for a number of years may be in most instances antithetical to being an educational leader. Another factor indicated that the principalship is changing and the job is defined differently by the publics served by principals. A third argument suggested that principals are basically immobile professionals and thus it is economically prudent to invest in their professional development.

The following set of matrices describes the subjects' responses to the eighth item on the questionnaire. The question was, "When selecting a principal, does the superintendent attempt to determine if the candidate has a desire to continue growing professionally?" Matrix Ih compares principals with superintendents, Matrix IIh compares superintendents with superintendents, and Matrix IIIh compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix Ih

When selecting a principal, does the superintendent attempt to determine if the candidate has a desire to continue growing professionally?			
Response	Principal (%)	Superintendent (%)	Difference (%)
Yes	60 . Interview process . Past performance	100 . Interview process . Past performance	40
Unsure	40	0	40

Selecting a Principal - Matrix Ih

The principals responses did not conflict with the superintendents' responses. Superintendents recognized the value of professional development and viewed it as a desirable quality when selecting a principal. This perspective should be maintained in theory and in practice.

There are many essential components of school administration such as teacher evaluation and curriculum development. Knowledge and experience in these areas are crucial in the selection of a principal. Although a commitment to professional growth may not be a major factor in selecting a principal, it is a factor which should receive some attention and not de-emphasized. It should be in the minds of boards, superintendents, and search committees when examining credentials and interviewing candidates. As identified in this study, principals serve as a model for teachers and their behavior influences the behavior of teachers. The newly hired principal should realize and practice the responsibility of staying cognizant of current issues in education.

Descriptive Matrices of Superintendents' Interviews

Matrix IIh

When selecting a principal, does the superintendent attempt to determine if the candidate has a desire to continue growing professionally?			
Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
Yes	100 . Interview process . Examine references and past behavior	100 . Interview process . Examine references and past behavior	0

Selecting a Principal - Matrix IIh

Superintendents incorporated strategies in the selection process to identify professional development practices of the candidates for principalships. The interview process and an investigation of past practice were the primary strategies used for this purpose during selection procedures. There was no discrepancy on this item between the two categories.

Descriptive Matrices of Principals' Interviews

Matrix IIIh

When selecting a principal, does the superintendent attempt to determine if the candidate has a desire to continue growing professionally?			
Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Yes	86 . Interview process . Check with past employers	61 . Review track record . Interview process . References	25
Unsure	14	38 . Would hope so, but unsure	24

Selecting a Principal - Matrix IIIh

It stands to reason that the principals hired most recently are most familiar with the superintendents' selection practices. The comments indicate that principals considered this to be a valid issue to be addressed during the employment process. A principal in the pilot study indicated that this was not an issue in the selection of a principal.

The selection of principals and managers is a key factor in preventing obsolescence. It is imperative to hire an administrator with the desire and skills essential to being a lifelong learner, one committed to ongoing professional development.

The following set of matrices describes the subjects' responses to the ninth item on the questionnaire. The question was, "How are the professional needs of the principal determined?" Matrix Ii compares principals with superintendents, Matrix Iii compares superintendents with superintendents, and Matrix IIIi compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix I1

How are the professional needs of the principals determined?			
Response	Principal (%)	Superintendent (%)	Difference (%)
Self-determination	80 . Goal setting process	70 . Goal setting process	10
Superintendent determination	80 . Goal setting process . Evaluation sessions	90 . Observations . Evaluation conferences	10
Reading literature	5	0	5
Interaction with colleagues	20 . Concerns mentioned at administrative councils	0	20
Feedback from staff and community	0	10	10

Professional Needs Determined - Matrix Ii

The superintendents' responses were fairly consistent with the principals' responses with the exception of the "reading literature" and "interaction with colleagues" responses from the principals. The superintendents did not identify these methods as means for determining professional needs. Superintendents should become more aware of the importance of principals interacting with colleagues and create opportunities for this activity to occur more frequently.

Reading literature should be a common practice among principals. Reading could provide new ideas and help invigorate principals on their jobs.

Descriptive Matrices of Superintendents' Interviews

Matrix III

How are the professional needs of the principals determined?			
Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
Self-Determination	50 <ul style="list-style-type: none"> . Self-evaluation . Goal setting process 	100 <ul style="list-style-type: none"> . MBO system . Goal setting process 	50
Superintendent Determination	100 <ul style="list-style-type: none"> . Conference with superintendent . Evaluation by superintendent . Goal setting process . Review of artifacts 	100 <ul style="list-style-type: none"> . A lot not needed from superintendent for his group of principals . MBO system . Superintendent examines where improvement is needed 	0
Feedback from staff and community	17 <ul style="list-style-type: none"> . Bottom-up and top-down 	0	17

Professional Needs Determined - Matrix III

All the superintendents in this study practiced a method for identifying the professional needs of principals, according to the data obtained from the superintendents. Superintendents with less years in a district as compared with superintendents with more than five years in a district were less likely to view self-determination as a method for identifying professional needs. Superintendents were involved to a great extent in the identification of needs.

The results of self-assessment on the part of principals should provide superintendents with practical data to use for providing staff development for principals. As a result, the programs developed should be relevant to the needs of principals. Principals may also have a greater commitment to the programs since they had input in the programs.

Feedback from the staff and community was used by one superintendent. The recent Illinois education reform legislation should effect the lack of activity in this area. Districts will be directed to obtain feedback from the school's staff and community as a means of assessment. Feedback from the staff and community should help identify needs. Due to the amount of contact and

involvement a principal has with the staff and community,
this approach should produce valuable data.

Descriptive Matrices of Principals' Interviews

Matrix IIII

How are the professional needs of the principals determined?			
Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Self-determination	100 <ul style="list-style-type: none"> . What individual feels he needs to grow in . Self-evaluation . Goal setting program 	85 <ul style="list-style-type: none"> . Individual goals . MBO approach . Individual's desire and interest 	15
Superintendent determination	86 <ul style="list-style-type: none"> . Evaluation process . Goal setting program 	92 <ul style="list-style-type: none"> . Goal setting . MBO approach . Evaluation sessions 	6
Reading literature	14	0	14
Interaction with colleagues	29 <ul style="list-style-type: none"> . Brainstorming . Observation of other administrators 	15 <ul style="list-style-type: none"> . Administrative team meetings 	14

Professional Needs Determined - Matrix IIIi

Ongoing professional development for principals is more likely to occur when principals, on an individual basis, recognize and accept the need for change. When principals perceive a need for change in themselves, this leads to learning new skills which should effect behavior or performance.

There was a great amount of similarity in the responses to this item. Identification of needs by principals and superintendents were selected overwhelmingly by both categories of principals. Goal setting was identified by a large number of principals. Goal setting was consistently referred to when responding to this item.

Principals should identify areas where they need help. Other sources principals could look to for constructive feedback are other principals, teachers, central administration, and professionals in other fields.¹⁸⁷ The variety of perspectives would provide a rich and strong data base which the principals could use as a source and foundation for professional growth and development.

187. Op. Cit., Barth, 1980. p. 15

The following set of matrices describes the subjects' responses to the tenth item on the questionnaire. The question was, "If your district has a method for evaluating principals, please describe the method." Matrix Ij compares principals with superintendents, Matrix IIj compares superintendents with superintendents, and Matrix IIIj compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews
Matrix Ij

If your district has a method for evaluating principals, please describe the method.			
Response	Principal (%)	Superintendent (%)	Difference (%)
Formal evaluation	80 . Written/discussion	100 . Written/discussion	20
Informal evaluation	15 . Discussion	0	15
None	5	0	5

Method for Evaluating Principals - Matrix Ij

100% of the superintendents in the study indicated having a formal written evaluation whereas 20% of the principals indicated that either there was no method of evaluation or it was done informally. There is obviously a discrepancy in the responses. Although the focus of this study is not performance evaluation, this study recognizes a relationship between the performance evaluation and professional development. Performance should be assessed, formally and/or informally. Ideally, the assessment would be administered by the principal individually and also by the superintendent. The results of the performance evaluation should provide data from which an action plan could be developed to improve the performance of the principal.

Descriptive Matrices of Superintendents' Interviews

Matrix IIj

If your district has a method for evaluating principals, please describe the method.			
Response	Superintendent % (1-5 Yrs.)	Superintendent % (6-26 Yrs.)	Difference (%)
Formal	100 <ul style="list-style-type: none"> . Written/discussion . Based on job description and annual goals 	100 <ul style="list-style-type: none"> . Written/discussion . Based on annual goals . MBO system 	0

Method for Evaluating Principals - Matrix IIj

Based on the data obtained from the superintendents, all the superintendents in this study practiced a method for evaluating principals. Superintendents' responses were consistent for this item. Though the purpose of this study was not to analyze evaluation methods, due to the relationship between the evaluation of principals and professional development, it was appropriate to describe the evaluation methods being used by the districts in this study. The researcher did not conduct this study under the assumption that all districts have a method for evaluating principals.

Descriptive Matrices of Principals' Interviews

Matrix IIIj

If your district has a method for evaluating principals, please describe the method?				
Response	Principal % (1-5 Yrs.)		Principal % (6-27 Yrs.)	Difference (%)
Formal	100	. Goal setting process . Written/discussion	69 . Goal setting process . Written/discussion . MBO approach	31
Informal	0		23 . Not done very often . Discussion . Not sure which method used	23
None	0		8 . No written; no formal . Formal method will be adopted due to recent legislation	8

Method for Evaluating Principals - Matrix IIIj

Principals with fewer years in a district indicated the occurrence of a formal written/discussion method of evaluation at a higher percent than principals with greater years in a district. 31% of the principals with greater years indicated either informal evaluation occurred or none at all.

It is important that principals receive feedback from superintendents regarding their job performance. The study indicates that this is occurring. However, superintendents should be alerted not to neglect providing feedback to principals who have been in the district for a large number of years. Some of these principals indicated that they were unsure of the method used to evaluate them. Thus, the evaluation could not have had a tremendous effect on these principals. Feedback from the superintendent regarding job performance is valuable to the principal in that it could provide direction, confirm current practices being used, recommend alternative approaches, and improve morale.

The following set of matrices describes the subjects' responses to the eleventh item on the questionnaire. The question was, "How do the results of the principal's performance evaluation relate to the principal's participation in professional development activities?" Matrix Ik compares principals with superintendents, Matrix IIk compares superintendents with superintendents, and Matrix IIIk compares principals with principals. The analysis of the data follows each matrix.

Descriptive Matrices of Principals' and Superintendents' Interviews

Matrix 1k

How do the results of the principal's performance evaluation relate to the principal's participation in professional development activities?			
Response	Principal (%)	Superintendent (%)	Difference (%)
Direct relationship	40 <ul style="list-style-type: none"> Superintendent recommends activities related to area in need of improvement Develop action plan for growth areas 	60 <ul style="list-style-type: none"> In-service addresses areas identified in evaluation 	20
Some relationship	30 <ul style="list-style-type: none"> Results are a factor for determining goals for next year Some of the evaluation results will lead to specific program for professional development 	30 <ul style="list-style-type: none"> Results set tone for what is needed for growth 	0
No relationship	30	10	20

Evaluation Results in Relation to Activities

Matrix Ik

The principals and superintendents responses were fairly consistent on this item. Although there was not a strong relationship between the evaluation results and professional development, there was at least some relationship by the majority of the districts in this study. Based on the purposes of an evaluation and professional development, there should be a relationship between the evaluation and professional development. Districts which are not experiencing a relationship between the two should determine why this is so and take steps to strengthen the relationship in order to reap the benefits of the two functions.

An "Action Recommended" or "Steps to be Taken" section should be included on the evaluation forms and process. This would remind and direct principals to take action to remediate problem areas and to improve areas where improvement is needed. It is also crucial for principals and superintendents to stay abreast of current issues and activities in education so they would be in a position to recommend or take advantage of an opportunity

or activity if it were relevant to a professional need, goal, or interest. School administrators should be in a proactive rather than a reactive or passive position in recommending or participating in professional development activities.

Descriptive Matrices of Superintendents' Interviews

Matrix IIk

How do the results of the principal's performance evaluation relate to the principal's participation in professional development activities?				
Response	Superintendent % (1-5 Yrs.)		Superintendent % (6-26 Yrs.)	Difference (%)
Direct Relationship	80	<ul style="list-style-type: none"> Performance evaluation identifies needs; in-service addresses needs Areas for improvement lead to action plan 	25 <ul style="list-style-type: none"> Match results of assessment with available conferences and seminars 	55
Some relationship	17	<ul style="list-style-type: none"> Not always a direct relationship If something in an evaluation is of concern, there is a direct relationship 	50 <ul style="list-style-type: none"> Limited relationship in non-instructional areas Results set tone for what is needed for growth 	33
No relationship	0		25 <ul style="list-style-type: none"> Dependent upon person; some take more initiative; may be function of age; some may not want to move ahead. If they ask for advice, literature and conferences are made available to them as needed. 	25

Evaluation Results in Relation
to Activities - Matrix IIk

The literature suggested that there is little correlation between the principal's needs and the superintendent's perceptions of the principal's needs.¹⁸⁸ Consequently, minimal growth occurs.

A greater percent of superintendents with less than six years in a district recognized a direct relationship between evaluation and professional development activities. The majority of the superintendents with greater than five years in a district did not recognize a direct relationship between the results of an evaluation and participation in professional development activities. Considering the majority of the superintendents recognized improved job performance as a benefit of professional development, see matrix IIIf, and assuming that the performance evaluation serves as a method for identifying areas for improvement, neglecting to directly relate the results of a performance evaluation to participation in professional development activities is to limit and minimize the value of evaluations and professional development activities. These two sources

188. Op. Cit., Barth, 1980. p. 14

which are intended to enhance performance and thus improve school effectiveness, are not being utilized sufficiently and at maximum benefit in many districts. In providing and participating in professional development, superintendents and principals should be committed to meeting the principals' need to enhance job performance.

Descriptive Matrices of Principals' Interviews

Matrix IIIk

How do the results of the principal's performance evaluation relate to the principal's participation in professional development activities?			
Response	Principal % (1-5 Yrs.)	Principal % (6-27 Yrs.)	Difference (%)
Direct relationship	29 <ul style="list-style-type: none"> . Sets direction for activities you participate in . Foolish to ignore superintendent's recommendations since he controls purse strings . Action plan developed based on growth areas 	46 <ul style="list-style-type: none"> . Superintendent would encourage you to pursue area where growth is needed . Principal attends activities related to need . Some bearing, but degree is difficult to tell . Some results will lead to specific program . Limited in some areas 	17
Some relationship	14 <ul style="list-style-type: none"> . Some relationship at times 	38 <ul style="list-style-type: none"> . Results are a factor in determining goals for next year 	24
No relationship	57 <ul style="list-style-type: none"> . No established plan or close tie . Up to each principal . Not imposed; principal relates own goals to professional development activities 	15 <ul style="list-style-type: none"> . No relationship 	42

Evaluation Results in Relation to
Activities - Matrix IIIk

There was a significant difference in the responses between the two categories of principals in that more than half of the principals with less than six years in a district identified no relationship between the performance evaluation and participation in professional development activities. A principal in the pilot study reported no relationship between these two functions.

In view of the purposes of a performance evaluation and professional development activities, there should be a strong relationship between the two functions. The importance of a strong relationship is particularly true of principals fairly new to a district since they have a great deal to learn about the district, and in some cases, the position. Superintendents should provide more direction in this area, particularly for a new principal. This should lead to an improvement in the job performance of a principal, which would lead to a more effective school.

CHAPTER IV
CONCLUSIONS/RECOMMENDATIONS/IMPLICATIONS
FOR FURTHER STUDY

An elementary school principal is the leader of the school. The principalship is a demanding position which requires skills and abilities to administer many diverse functions. The principal is responsible for supervising professional and non-professional personnel, curriculum development, community relations, budget development and management, management of the physical structure of the building, and other administrative tasks. In performing these functions, a principal is expected to work constructively with various sectors. For example, the principal supervises teachers and custodians, communicates with parents and other community members, works with other administrators in the district, and supervises students. Due to the nature of the position, many demands are placed upon the principal's time. These demands extend well beyond and prior to the normal school day.

Research strongly supports the importance of the principalship in operating an effective school.¹⁸⁹ The principal is the central and focal character in a school.

189. Op. Cit., Hager, 1983. p. 38

This position influences the effectiveness of the many components of a school. The principal has a tremendous effect on what teachers teach and what children learn. The direction and achievements of a school are largely influenced by the vision and actions of the principal.

In response to the demands of the principalship, districts should be concerned with the professional growth of their principals. Growth opportunities would help enable principals to respond positively to demands and challenges which would result in a more effective school. A lack of growth opportunities may lead to a principal being overwhelmed by the demands of the position, thus possibly leading to an ineffective school.

The interviews conducted in this study generated results which were insightful, descriptive of current practices, and may influence the development of staff development programs for school districts.

Conclusions

1. Principals tend to rely on a limited number of sources for their professional development, rather than utilizing all available resources. Conferences, seminars, and membership in professional associations were the most common methods of professional development. Although principals centers and articulation groups were

identified by principals as valuable sources of development, only 30% of the principals in this study identified these sources as means of professional development.

Reading professional literature was identified as a source of professional development on only a few occasions. Factors which may attribute to the infrequent use of reading as a source of development are: the principal did not allocate a regular time for reading; the professional literature available was impractical and therefore not beneficial; the principal lacked the desire to read and failed to recognize the value in reading; and/or the principal did read and simply did not identify reading as a source of development. As a result of interacting with principals, it was discovered that some principals generally consider professional literature related to the principalship to be impractical and too theoretical. They fail to recognize how the articles and books will help them perform more effectively as principals. As discussed in Chapter III, principals value interacting with

colleagues as a practical and effective means of professional development. Interaction with colleagues frequently offers immediate benefits.

Peer observation was another method of development which was seldom identified during the interviews. This method of development is practical and cost effective. However, it could also be threatening to the principals involved in the observation. The principals involved run the risk of displaying professional weaknesses, and thus, become vulnerable to criticism. Seminars and conferences are very familiar to principals. These activities are non-threatening and usually fail to challenge principals to step out of their "comfort zone" for the sake of growing professionally. The peer observation method is uncommon and challenges principals to examine their performance and behavior.

The study further indicated that individualized professional development was being practiced in school districts. Though it was being practiced, there was no evidence which

suggested that districts were planning to concentrate on this approach more so than a generic approach. A generic approach is a broad approach which encompasses all of the administrators in the district without focusing on the unique needs of any specific administrator.

2. The application method of assessment should be emphasized and practiced to a greater degree in school districts. Ten percent of the principals and superintendents in this study identified "Application" as a method of assessing the quality of an activity.

Assessing the quality of programs and determining the benefits which resulted from the programs should generate valuable data. The school districts in this study assessed the staff development programs formally and/or informally. Satisfaction with existing programs should result in a desirable change in performance. Since a purpose of professional development programs is to help improve performance, quality programs should lead to change in behaviors.

Participation in professional development programs requires an investment on the part of school districts. This investment is in the form of finances, time, and human resources. Assessing the benefits of professional development programs should help districts determine whether the yield is worth the investment. For example, if a district invests five hundred dollars in a program, in addition to the principal's time, the district should take steps to determine whether this was a worthwhile investment. Districts are obligated to be fiscally responsible and should be aware of the results of the professional development investment. The majority of the districts in this study did not require principals to report formally to the superintendent and/or board of education regarding a professional development activity. Though a formal report would be impractical for every activity, it would be appropriate for national or regional programs. A quality control device such as this would provide districts with information as to how professional development funds are being

expended and may motivate principals to learn and apply more from the program.

3. Results from the interviews showed a lack of continuity between professional development activities. Several districts were in the process of developing a long-range plan for professional development, thus providing continuity between activities. The majority of the districts recognized the value of continuity and a long-range plan, though few districts practiced this approach.

Reinforcement and follow-up help insure learning. The application of skills and concepts presented in a professional development program is more likely to occur in a situation where follow-up and reinforcement are present. Follow-up and reinforcement are assets of a long-range plan. Therefore, a long-range plan should increase the probability of changing behavior. This does not mean that a long-range plan is inflexible and makes no allowance for needs which may arise without notice. A long-range plan should be flexible and developed to meet individual needs.

Procedures and practices which would help cause a change in behavior should be a strong component of a long-range plan. Due to the nature of the principalship, some of the professional development activities would be administered apart from the long-range plan. However, this does not mean that coaching and follow-up should be excluded.

4. Principals should assume the responsibility for their professional growth. As professionals, principals should assess their situations, determine what is needed for them to grow, and take steps to that end. An abundance of resources are available and should be used, though this is frequently not the case. As discussed in Chapter III, conferences and seminars are utilized as methods of professional development to a greater degree than the other methods of development. Due to the demands of the principalship and the factor that professionals should be committed to professional development, principals should see themselves as life-long learners and should be

actively involved in professional development events.

Professionals view themselves as life-long learners and are committed to professional development. Though the responsibility of professional development for principals rests with principals, superintendents should be involved by providing funds and sources necessary for development. A commitment by superintendents reinforces the value and importance of professional development. The superintendents should also provide suggestions and objective perspectives which principals could rely upon when planning their professional development. Senior executives in many corporations are highly involved and committed to management development. Senior executives are aware of the benefits which may result from management development programs and are committed to providing such programs which would help their managers grow.

5. Data from performance evaluations were available but underutilized. The performance evaluation is one method of communicating to principals areas where they are succeeding on

their jobs and areas where improvement is needed. This data should be objective and constructive. However, approximately fifty percent of the districts in this study did not realize maximum use of this data. Assuming the evaluations yielded constructive comments, the evaluation results provide principals and superintendents a strong basis from which to select and participate in professional development activities. Districts should follow-up performance evaluations by relating the results of the evaluations to the professional development programs.

This study makes the following recommendations as a result of the thirty in-depth interviews with principals and superintendents and a thorough and extensive review of related literature.

1. Data from performance evaluations should be used more efficiently by relating the results from the evaluations to professional development. The data from the evaluations provide clear direction for action to be taken to enhance performance. The evaluations identify strengths and deficiencies. The deficiencies

provide cause for developing and selecting professional development activities.

This study demonstrated that data from performance evaluations are underutilized. Sixty percent of the principals and forty percent of the superintendents indicated that there was either no relationship or some relationship between the results of the evaluation and staff development activities. There should be a direct relationship between these two functions. Areas in need of improvement, as identified by the performance evaluations, should be addressed by directing the principals to the appropriate personnel and/or programs to bring about the desired change in performance. In addition to identifying areas in need of improvement, performance evaluations also identify strengths in job performance. Therefore, to maximize the use of these data, if a particular principal has a strength in an area where another principal is deficient, a coaching-teaching relationship should be developed as a means of staff development. The coaching method would be relevant to the needs of the principal, practical for the demands of the position, and cost effective for the district.

2. Individualized programs which are tailored to meet the unique needs of principals should be available since these programs have greater probability in producing the desired change in job performance. Rather than investing and participating entirely in programs which are generic in nature or broad in scope, principals and superintendents should develop and select programs which target particular needs and goals.

The staff development programs should not be selected strictly on the basis of the principal's interests, but rather there should also be a direct relationship between the activities and professional needs and goals. Fifty percent of the principals in this study indicated that personal discretion was the basis for selecting activities.

Management development programs which are tailored to meet the unique needs of managers are being developed and implemented in many corporations. These programs maximize the abilities of managers and help corporations

reach their goals. School districts could realize these benefits by developing and incorporating individualized staff development programs for principals.

3. Principals should participate in a greater variety of professional development activities. Though conferences and professional associations are the most common means of development, other sources should also be utilized. For example, reading professional literature and biographies of leaders, peer observation, interacting with professionals and managers from non-school settings, and reflecting on past experiences are valuable and cost-effective methods of development which would provide principals with rich and practical learning experiences.

As identified in Chapter III of this study, principals are extremely familiar with conferences as a method of professional development and are comfortable with this approach. Since one of the benefits of conferences is the opportunity to interact with colleagues, it

would be prudent to create opportunities to interact with colleagues on a regular basis. A principals center would be an excellent source of professional development. Sixty percent of the principals in this study were not actively involved in a principals center or articulation group. Principals centers serve as a support system which should enhance a principal's effectiveness. Interaction with managers and professionals from non-school settings could serve as a valuable and practical method of development. Principals should pursue a variety of professional development activities to combat complacency and to enhance their job performance.

4. Develop long-range programs. These programs should be flexible and allow for individualization. However, long-range programs should provide follow-up, coaching, and reinforcement which help insure learning new behaviors. Sixty-five percent of the principals and seventy percent of the superintendents in this study indicated that there was a lack of con-

tinuity between the staff development activities and the districts did not have long-range plans in this area. In developing a long-range plan, in addition to superintendents and principals collaborating in developing a long-range plan, input and opinions from teachers and professionals from other fields should also be solicited in order to develop a comprehensive plan.

5. After attending a national or regional conference, direct principals to present formal reports to the superintendents and/or boards of education. This would have two positive results: a) The obligation of reporting back to the superintendents would, if nothing else, force principals to review and examine the notes and material gathered from the conference. This should reinforce learning and adopting desirable behaviors. b) This would help keep the boards of education informed of current issues in education and would be an indication of whether professional development funds are being expended responsibly.
6. The burden for professional development for principals rests with principals. Rather than

professional development for principals being a top priority for superintendents, it should be a top priority for principals, and superintendents should recognize and support this position. The need for ongoing professional growth accentuates the importance of selecting principals during the hiring process who have a desire to continue learning. One hundred percent of the superintendents in this study look for this quality when searching for a principal. Eighty percent of the superintendents in this study indicated that professional development for principals was a very important responsibility for the superintendents. However, the primary responsibility for learning rests with the individual.

Continuing education for professionals is a broad field of study. Numerous studies have been conducted in professional development for principals. However, further research could be conducted in the following areas.

1. Developing a network among principals, managers in business, and university professors as a source of professional development.

2. Determining the return and actual on-the-job benefits of professional development.
3. Migrating in and out of teaching and administration to be an effective instructional leader and to avoid job obsolescence.
4. Peer observation among principals as a means of professional development.

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APPENDIX I

July 16, 1986

Dear ,

Professional development, or staff development, for elementary school principals is an important issue. Effective professional development activities for principals should enhance the job performance of principals. I am conducting a study to analyze professional development, or staff development, activities for elementary school principals as these activities relate to the principals' job performance.

My name is Roger Prosise and I am currently the assistant principal at Butterfield School in Libertyville School District 70. I am working on my dissertation for a Ph.D. in administration and supervision at Loyola University of Chicago.

My actual study will focus on selected elementary school districts in Cook County, Illinois. However, you could be of great help by participating in my pilot study. The purpose of my pilot study is to refine the questionnaire I developed. Would you please read the enclosed questionnaire and check it for clarity, satisfactory content, construction of questions, ease for completion, and general effectiveness. Please make any comments or changes you deem appropriate. The questionnaire will be revised based on your comments. Your input will help eliminate problems of reliability and validity in my study.

I need your help to complete my dissertation. I realize you have a tremendous amount of work to complete. Any attention you can give to my questionnaire will be greatly appreciated. The pilot study will include selected superintendents and principals in Lake County. Please examine the enclosed questionnaire, make comments, and return to me in the enclosed self-addressed stamped envelope on or before August 31. Thank you for your assistance.

Sincerely,

P.S. If you wish to receive a summary of the results from my study, please indicate this on the completed questionnaire when you return it to me.

APPENDIX II

Pilot Study Questionnaire

1. What type of professional development, or administrative staff development, activities are provided for the principals in your district? (i.e. conferences, seminars, workshops, etc.)

2. Is there provision for individualized administrative staff development? (i.e. selected activities for an inexperienced principal separate from activities for an experienced principal) If so, how is this provided? If not, do you think it desirable? Please expand on your response.

3. What selection procedures are used to determine which principals attend professional development activities?

4. How are the professional development activities for the principals selected?

- a. Is the quality of the activity assessed? If so, how? If not, do you think it desirable? Please expand. (i.e. Do principals attend conferences based on convenience, cost, recommendation from other administrators, etc.?)

5. What continuity exists between the various professional development activities principals attend? (i.e. Do principals attend conferences on a hit-or-miss or one-shot basis or is there a long range plan for the professional development activities in which the principals will participate?)

6. What are the benefits of professional development activities for principals?

a. In relationship to job performance?

b. In relationship to promotion?

c. Other considerations.

7. Among the superintendent's responsibilities, where do you as principal or superintendent (please underline your position) think professional development for principals ranks? (please check one response)

 Very Important Important Not Important

Please comment on your choice in greater detail.

8. When selecting a principal, does the superintendent attempt to determine if the candidate has a desire to continue growing professionally? If so, how is this done? If not, do you think it desirable? Please expand.

9. How are the professional needs of the principals determined?

- a. If your district has a method for evaluating principals, please describe the method.

-
-
10. How do the results of the principal's performance evaluation affect the principal's participation in professional development activities?

APPENDIX III

Appendix III

Questions For Interview

1. What type of professional development, or administrative staff development, activities are provided for the principals in your district? (i.e. conferences, seminars, workshops, etc.)

2. Is there provision for individualized administrative staff development? (i.e. Selected activities for an inexperienced principal separate from activities for an experienced principal;) If so, how is this provided? If not, do you think it desirable? Please expand on your response.

3. How are the professional development activities for the principals selected?

- a. Is the quality of the activity assessed? If so, how? If not, do you think it desirable? Please expand. (i.e. Do principals attend conferences based on recommendations from other administrators, convenience, cost, etc.?)

4. Is there continuity between the various professional development activities principals attend? (i.e. Do principals attend conferences on a hit-or-miss or one-shot basis or is there a long range plan for the professional development activities in which the principals will participate?)

Please expand: YES NO

5. What are the benefits of professional development activities for principals in your district?

- a. In relationship to job performance?

b. In relationship to promotion?

c. Other considerations.

6. Among the superintendent's responsibilities, where do you as principal or superintendent (please circle your position) think professional development for principals ranks? (please check one response)

☐ Very Important ☐ Important ☐ Not Important

Please comment on your choice in greater detail.

7. When selecting a principal, does the superintendent attempt to determine if the candidate has a desire to continue growing professionally? If so, how is

this done? If not, do you think it desirable?
Please expand.

8. How are the professional needs of the principals determined?

- a. If your district has a method for evaluating principals, please describe the method.

9. How do the results of the principal's performance evaluation relate to the principal's participation in professional development activities?

10. Final comments.

APPENDIX IV

Descriptive Matrix

1. Question			
<u>Response</u> <u>(Category)</u>	<u>Role (%)</u> <u>(incidents)</u>	<u>Role (%)</u> <u>(incidents)</u>	<u>Difference (%)</u>
	% (Summary remarks)	% (Summary remarks)	

APPROVAL SHEET

The dissertation submitted by Roger D. Prosise has been read and approved by the following committee:

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The final copies have been examined by the director of the dissertation and the signature which appears below verifies the fact that any necessary changes have been incorporated and that the dissertation is now given final approval by the Committee with reference to content and form.

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of Doctor of Philosophy.

March 28, 1988
Date

M. Heller
Director's Signature