DOCUMENT RESUME

ED 151 907	EA 010 401
AUTHOR	Gephart, William J., Ed; And Others
TITLE	The Evaluation of Administrative Performance: Parameters, Problems and Practices. A CEDR Monograph.
INSTITUTION	Phi Delta Kappa, Bloomington, Ind.
REPORT NO	NSPER-75
PUB DATE	75
NOTE	249p.; Papers from three meetings of the 1975 National Symposium for Professors of Educational Research held at the Ohio State University, the University of Oregon, and Texas Christian University; For individual papers see EA 010 402-412; Best copy available
AVAILABLE FROM	Phi Delta Kappa, P.O. Box 789, Bloomington, Indiana 47401 ($3.50)
EDRS PRICE	MF-$0.83 Plus Postage. HC Not Available from EDRS.
DESCRIPTORS	*Administrative Personnel; *Administrator Evaluation; Administrator Role; Case Studies; *Educational Administration; Elementary Secondary Education; *Evaluation Criteria; *Evaluation Methods; *Performance; Personnel Evaluation; Program Descriptions; Systems Development

ABSTRACT

This volume contains papers presented at three 1975 meetings of the National Symposium for Professors of Educational Research (NSPER). The papers cover the scope and nature of administrative performance (including the evaluation of administrator performance and the role of the school administrator), problems and issues in the evaluation of administrators, designing a plan for evaluating administrative performance, and a summary that addresses four issues raised by administrator evaluation. Five case studies of evaluation programs and plans are also included. (DS)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

U S DEPARTMENT OF HEALTH
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL NATIONAL INSTITUTE OF EDUCATION POSITION OR POLICY

"PERMISSION TO REPRODUCE THIS MATERIAL IN MICROFICHE ONLY HAS BEEN GRANTED BY

PDK

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM"

ED151907

EA 010 401 - EA 010 412

The Evaluation of Administrative Performance: Parameters, Problems & Practices

William J. Gephart
Robert B. Ingle
and
W. James Potter
Editors

A CEDR Monograph
PHI DELTA KAPPA

NSPER: 75

THE EVALUATION OF ADMINISTRATIVE PERFORMANCE: PARAMETERS, PROBLEMS AND PRACTICES

NSPER: 75

William J. Gephart
Phi Delta Kappa

Robert B. Ingle
University of Wisconsin–Milwaukee

W. James Potter
Virginia Commonwealth University

ERIC
Full Text Provided by ERIC

TABLE OF CONTENTS

INTRODUCTION 3

PART I: THE SCOPE AND NATURE OF ADMINISTRATIVE PERFORMANCE 11

The Evaluation of Administrative Performance.
James Lipham 13

The Role of the School Administrator: Perspectives for a Conference on Administrator Evaluation
Alan K. Gaynor 31

Evaluating School Administrators: The Scope and Nature of Administrative Performance
Max G. Abbott 51

PART II: PROBLEMS AND ISSUES IN THE EVALUATION OF ADMINISTRATIVE PERFORMANCE 67

Problems and Issues in the Evaluation of Administrative Performance
Dale L. Bolton 69

PART III: CASE STUDIES 93

Case Study Number One: Hyde Park, New York
Frank Gray 95

Case Study Number Two: La Canada Unified School District, California
Donald C. Ziehl 112

Case Study Number Three: Lake Washington School District, Washington
Daniel Sullivan 150

Case Study Number Four: Los Angeles County, California
Marvin R. Matthews 180

Case Study Number Five: Mesa Public Schools, Arizona
Frank L. Vicino 196

PART IV: GEPHART ON DESIGN 217

Designing a Plan for Evaluating Administrative Performance
William J. Gephart 219

PART V: SUMMARY 237

Administrative Evaluation: A Caveat
Robert B. Ingle 239

A Design for Administrative Appraisal, CoPOP: Cooperative Performance Objective Plan 245

APPENDIX 247

Bibliography of Additional Useful Resources 249

INTRODUCTION

The immediate purpose of this report is to reflect the concerns and issues discussed at the three meetings of NSPER: 75. These sessions (held at the Ohio State University, the University of Oregon and Texas Christian University) dealt with the topic "Evaluating Administrative Performance."

In a more general sense, it is hoped that this report will be a useful resource to practioners and theoreticians who deal with the problem of evaluating the performance of administrators.

Origin of NSPER

The activities of NSPER (National Symposium for Professors of Educational Research) began in the mid 1960's when research training programs came under a great deal of scrutiny. Reports such as the AERA-PDK Study Committee (Clark and Worthen, 1966), the Phi Delta Kappa Symposium on "The Training and Nurture of Educational Researchers" (Guba and Elam, 1965) and the USOE project "Training for Educational Research" (Buswell, et al., 1966) identified a need for greater quality in the training of educational researchers. With the advent of Title IV of the Elementary and Secondary Education Act of 1965, substantial support was provided for the preparation of greater quantities of researchers. While more and more universities were creating their own research training programs, the people assigned to teach these programs frequently felt ill-prepared for the assignment. In an attempt to remedy this growing problem, NSPER was created with two objectives: 1) to provide an opportunity for people who teach about research and related skills to exchange information about problems, materials and techniques in their instructional assignments, and 2) to help these individuals obtain new information from leaders in the field.

Under the guidance of Phi Delta Kappa, NSPER offered its first symposium in the fall of 1967 at the University of Maryland where it focused on alternative approaches for teaching the four basic research areas: introduction to research, measurement, statistics and advanced design. The 56 participants came from universities in more that 30 states, Canada and England. Their

ERIC Full Text Provided by ERIC

enthusiasm to a symposium where they could share information about content, techniques and resources caused NSPER to offer subsequent sessions on other research topics over the next eight years.

NSPER: 68 "Instructional Materials Development for Research Instruction"
Held at the University of Colorado

NSPER: 69 "Research Techniques from Selected Disciplines that are Possibly Applicable to Education"
Held at University of Chicago

NSPER: 70 "Introductory Research Course: Content, Technique and Resources"
Held at Washington University in St. Louis

Because of the growing interest in the sumposiums, NSPER offered three sessions in the fall of 1971, and has been offering at least three sessions every year since then.

NSPER: 71 "Graduate Measurement Instruction"
Held at University of Wisconsin – Milwaukee, University of Florida and University of Arizona

NSPER: 72 "Similarities and Differences in the Research and Evaluation Processes"
Held at Michigan State University, San Francisco and University of North Carolina

NSPER: 73 "Teaching About Evaluation".
Held at University of Wisconsin – Milwaukee, SUNY – Albany, UCLA and Chicago

NSPER: 74 "The Evaluation of Teaching"
Held in Denver, Seattle and Atlanta

ERIC
Full Text Provided by ERIC

NSPER: 75

After NSPER: 74 many participants were concerned about extending evaluation designs to examine the area of administrative performance. This then became the topic of the NSPER: 75 sessions which were planned around the following three broad objectives:

1. Participants will be exposed to, discuss and critique presentations which delineate:
   - A. The scope and nature of educational administration with a focus on setting performance objectives.
   - B. The problems and issues in evaluating administrative performance.
   - C. Case studies of plans or procedures that are currently being used in educational institutions for evaluating administrative performance.
   - D. Steps found useful in designing administrative performance evaluation plans in the participants' settings.
2. Working in small groups the participants will outline plans for designing and implementing evaluation of administrative performance at their educational level.
3. Participants will use each other as resources through the exchange of information on problems encountered in a specific setting and on alternative resolutions that have been effective in other settings.

The most ambitious NSPER yet, the 1975 symposium, generated six major presentations and showcased six case studies. Each session offered a presentation of two original papers: one concerned with "The Scope and Nature of Administrative Performance" and one dealing with "Problems and Issues in the Evaluation of Administrative Performance." Moreover, each session displayed an in-depth look at two case studies where educational administrative activity was examined in a regular, systematic and unique fashion. These case studies were discovered after a nationwide search turned up 21 model studies which were then reduced to six (three pairs of contrasting evaluation methodology).

All three sessions were identical in structure. The first day featured a presentation of two major papers by their authors who fielded questions and responded to comments following their readings. Two case study presenters explained the workings of their systems designed to evaluate their local administrators, then answered questions. A lecture by Bill Gephart, NSPER co-director, offered engineering as well as theoretical perspectives for organizing the task of developing an evaluation scheme. All this presentation activity was followed by small group discussions where participants grouped by similar backgrounds knitted together their understandings of the evaluation process to solve the task of designing their own system of examining administrative performance. The third day consisted of a general wrap-up discussion highlighting not only the group session products, but also all the emerging concerns and perspectives that had been generated throughout the symposium.

Several major issues in conducting an evaluation of administrative performance were continually raised by the participants at all sessions. These recurring questions and problems can be grouped into seven categories relevant to evaluation (Significance, Inputs, Measurement, Scope, Confidentiality, Trust, and Serendipity). It was these seven categories, which were woven intricately through all the papers presented and case studies discussed, that tied all the effort and concerns together into the central problem of evaluating administrative performance.

Significance

Why undertake an evaluation if it will have no effect on continuing the administrator's employment or directly improve his performance? If those in charge are not prepared to make a decision when the information indicates it, then why bother to design an evaluation system to gather that data? Can a system to evaluate administrative performance be meaningful in situations where there are no opportunities for reward such as promotions or pay raises?

Inputs

Who decides on who will make the decision as to whom will be included in what type of evaluation of whom? Who will choose or determine the instruments and methods of measuring administrative performance? What shall be the criterion of good or bad administrative performance? Are job descriptions valid criterion against which to measure someone's practical performance? Should an administrator's superordinates or his subordinates or his peers or himself or all of the above determine what his goals should be?

Measurement

Should direct observations be included as a method along with the more conventional rating scales, questionnaires and self reports? How valid and reliable are all these devices? Does what you are measuring have any real and direct purpose in supporting the decision to be made? Should already existing and related documents be used (such as school board minutes, attendance records, reports to other agencies)? Are there any problems in taking information gathered for one purpose and using it to make decisions on another matter?

Scope

Should we limit evaluation to only areas where we have reliable measuring instruments? In an MBO system, what should happen if an administrator excells on three stated objectives, but fails miserable on 97 others – should he be fired? In setting your own objectives as an administrator, how much of other people's performance should you include in your own personal objectives? How can we attempt to evaluate administrative actions that fail in the short-run but which *may* have great advantages in the long run (or visa versa)? Is it possible to evaluate administrators on how they handle unplanned-for and suddenly arising circumstances; these areas are rarely included in any evaluation design, but yet often form the real reason administrators do or do not survive? Should the evaluation design include an appeal procedure, if so at what point and by whom?

Confidentially

If all information is made public then how ambitious will an administrator be in setting his own goals, and how honest will a person be in judging the performance of another? But if information is kept too secretive a person's career may be manipulated by data he knows nothing about.

Trust

How can an evaluator instill trust in his accuracy, objectivity and fairness? Should he also try to reduce the anxiety in the administrator being evaluated or is anxiety an irremovable part of any real evaluation effort? Can anxiety be reduced by trust?

Serendipity

Could it be that what occurs during the evaluation process is even more important than the end product?

General Evaluation Designs

Many of the group sessions resulted in a general design for evaluating administrative performance. These efforts have been synthesized into the following two examples.

First Example

Step 1 Determine Purpose of Evaluation Effort. (What is this evaluation to accomplish?)

Step 2 Translate This Purpose into Appropriate Criteria. (Personal, administrative or instructional goals.)

Step 3 Locate or Design Instruments to Gather Needed Information to Measure Against Criteria.
  a. gather information from co-workers, subordinates, superordinates and others
  b. use a system of examining existing records
  c. use direct observation

Step 4 Compare Gathered Data Against Criterion.

Step 5 Use The Insights Gained to.

a. write descriptive report of strenths, weaknesses or discrepancies.
b. make summative judgment on worth of the program and its administrator.
c. recycle information back into a formative process for decision-making.

Second Example

When administrative performance is seen more as a part of a total system, then the evaluator could begin by getting his administrator to visualize what would be an "ideal system of operating" given his resources. Once the administrator is able to fantasize that, he performs the second step where he lists what would be necessary (sub-behaviors and events) for such an ideal system to operate. In the third step, these sub-behaviors and events are compared to what is actually happening at present. The final step is to design a system to incrementally adjust the status quo, continually bringing it more in line with the "ideal goal of operations."

PART I

THE SCOPE AND NATURE OF ADMINISTRATIVE PERFORMANCE

Although the three papers in this section were written simultaneously and apart from one another, each reinforces the ideas of the other two in the task of explicating the range of performances on which an educational administrator can and/or should be evaluated. In addition each paper presents a unique addition to the theory on this subject.

In "The Evaluation of Administrative Performance," Dr. James Lipham, University of Wisconsin, sees evaluation as a sub-system of administrative performance which, in turn, is a sub-system of the school itself.

Dr. Alvin Gaynor, Boston University, focuses on the sociological factors in his paper, "The Role of the School Administrator: Perspectives for a Conference on Administrator Evaluation." By discussing the diversity of perceptions that people hold, both individually and collectively, about the role of a school administrator, he reminds us of the full scope of administrative performance.

"Evaluating School Administrators: The Scope and Nature of Administrative Performance," by Max Abbott, University of Oregon, warns of the need to keep the role of administrative performance and the evaluation of it at a manageable level.

EA 010 402

ED151908

THE EVALUATION OF ADMINISTRATIVE PERFORMANCE

James M. Lipham

Although the evaluation of teachers and teaching performance has received systematic and sustained attention of theoreticians and practitioners in education (Gephart, Ingle, and Saretsky 1975), the attention given in our profession to the evaluation of administrators and administrative performance can only be characterized as scattered and spasmodic. It is entirely appropriate, therefore, that under the auspices of Phi Delta Kappa, we are now attempting to map the dimensions of the domain of administrative performance, to share extant conceptualizations and current practices, and to chart possibly promising paths for the future.

In this keynote paper, I will define and delimit this domain by setting forth a model for the evaluation of administrative performance which includes three basic and interrelated systems. First, at the macroorganizational level of analysis, one must consider the performance of the total organization, whether a school or school district, through time. Next, at the microorganizational level of analysis, attention must be directed to the scope and nature of the administrative performance system. Third, also at the microorganizational level, is the administrative evaluation system. Although the terminology, modes of analysis, and operational procedures in each of the three systems may vary, it is necessary to describe their major constituent elements and the primary interrelationships among them. The paper concludes with an enumeration of some cautions and injunctions regarding theory and practice in the evaluation of administrative performance.

The Organizational Performance System

As one school of organizational theorists has stressed, the most basic consideration in viewing organizations in any society is the global, macroscopic analysis of the performance of the organization as an entity (Cyert and March 1963, Thompson

1967). Within this view, attention must be paid to the goals of the enterprise, its articulations with society, its use of human and material resources, its organizational structure and processes, and ultimately the extent to which it is productive in achieving its assigned or presumed tasks as defined and perceived by both external observers and members of the organization.

Typically, the overall performance of the organization is assessed in terms of long-range goals and objectives it ought ideally to achieve, and the expectations for organizational performance are deliberately set higher than present or actual accomplishments to keep the organization "on the move." As Halpin (1957) emphasized, however, if the performance of the organization is to be assessed accurately, its achievements must be spelled out in terms of the changes that it seeks to induce in the behavior, or the products of behavior, of its members.

As shown in Figure 1, in assessing the performance of the organization, whether at time 1 or time n, one may view the organization in terms of a basic systems model – its inputs, processes, outputs, and feedback mechanisms. This systems schema is particularly productive for analyses made by intraorganizational participants. Those external to the organization, however, often tend to evaluate its total effectiveness on the basis of circumscribed, particularistic variables. For example, citizens may complain about the costs of schooling (inputs), administrative or teaching behavior (processes), and the achievement levels of students (outputs) – sometimes simultaneously.

Although a multitude of taxonomic schemata have been propounded for macroorganizational analysis, two dimensions have withstood the test of time for evaluating organizational performance. These are: organizational achievement and organizational maintenance (Barnard 1938, Cartwright and Zander 1953). Organizational achievement, of course, includes such variables as productivity, cost per unit of gain, adoption of innovative programs and procedures, and levels of achievement obtained. Organizational maintenance includes such variables as satisfaction, belongingness, identification, motivation, and morale. As shown in Figure 1, the degree of change in organizational achievement and the degree of change in organizational maintenance are the primary indicators that must be used in assessing

Full Text Provided by ERIC

the performance of the organization at one point, as compared with any other point, in time.

Embedded within the system of macroorganizational performance are several interrelated performance systems for each focal role within the organization, such as the student performance system, the teacher performance system, and the administrative performance system. Although the nature and the relationships of each of these performance systems should be analyzed, our attention here is perforce limited to consideration of the scope and nature of the administrative performance system.

The Administrative Performance System

The administrative performance system constitutes the second basic element of the model shown in Figure 1, and is at the microorganizational level of analysis. Within this level, attention first must be directed to the scope and nature of administrative performance, and then to the classes of variables which condition behavior in any administrative role.

Scope and Nature of Administrative Roles

Regarding the scope and nature of administrative roles within the educational organization, literally dozens of taxonomies have been developed. In general, however, four conceptualizations have been found fruitful: the task approach, the process approach, the theoretical approach, and the competency approach to educational administration (Lipham and Hoeh 1974).

The Task Approach. The task or functional approach to administration analyzes "*what*" it is that administrators do and typically groups these tasks according to the following: (1) *the instructional program*, (2) *staff personnel*, (3) *student personnel*, (4) *financial and physical resources*, (5) *the administrative organization*, and (6) *school-community relations* (Campbell et al. 1971).

Although the task approach to the analysis of administrative performance was for a time disparaged as being unduly prescriptive, it remains that school organizations are still largely structured on a functional basis, as are preparation programs for school administrators. What one is expected to do and what

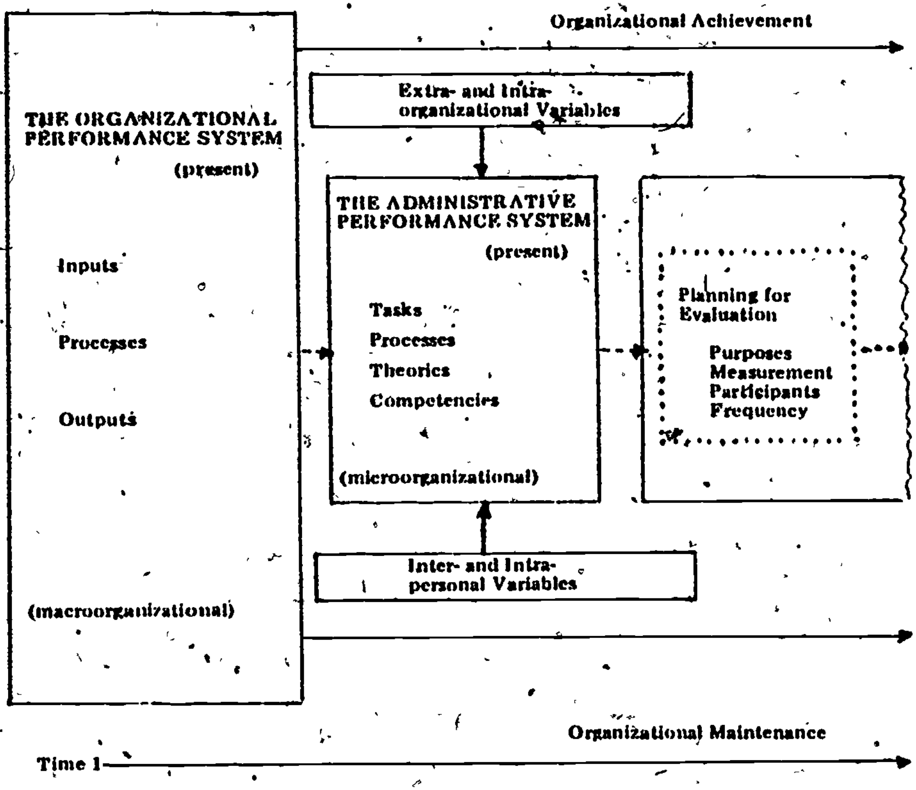
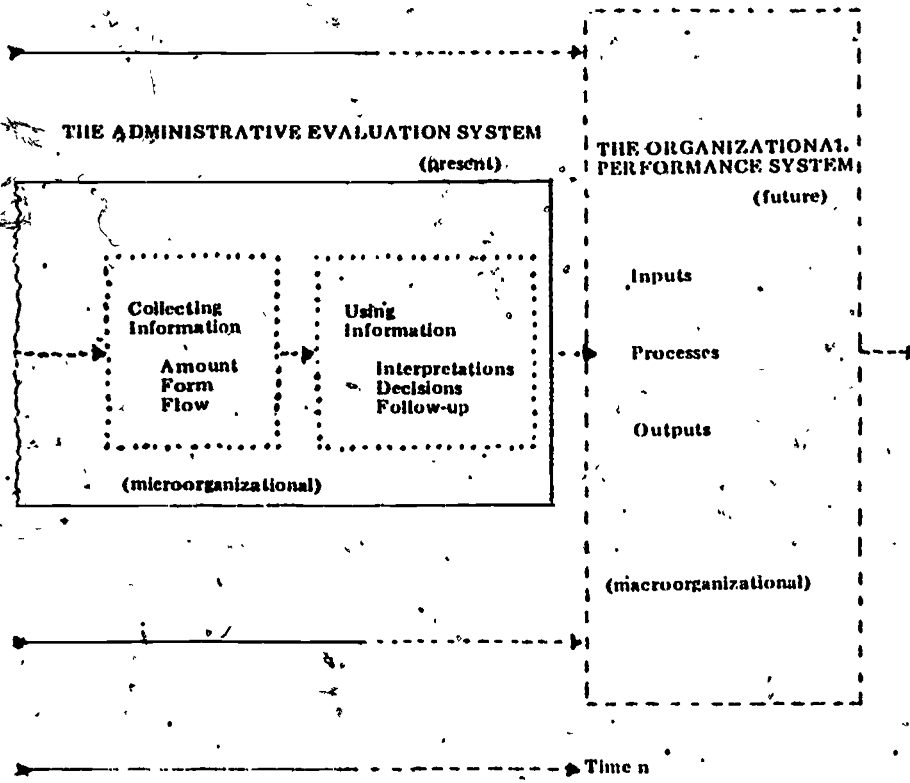

Organizational Achievement
THE ORGANIZATIONAL PERFORMANCE SYSTEM
(present)
Inputs
Processes
Outputs
(macroorganizational)
Extra- and Intra-organizational Variables
THE ADMINISTRATIVE PERFORMANCE SYSTEM
(present)
Tasks
Processes
Theories
Competencies
(microorganizational)
Planning for Evaluation
Purposes
Measurement
Participants
Frequency
Inter- and Intra-personal Variables
Organizational Maintenance
Time 1

Figure 1. A Model for the Evaluation of Administrative Performance


THE ADMINISTRATIVE EVALUATION SYSTEM
(present)
Collecting Information
Amount
Form
Flow
Using Information
Interpretations
Decisions
Follow-up
(microorganizational)
THE ORGANIZATIONAL PERFORMANCE SYSTEM
(future)
Inputs
Processes
Outputs
(macroorganizational)
Time n

ideally one should do are the most basic of considerations in the analysis of role behavior (Getzels and Guba 1957). Moreover, the difference between actual performance and ideal performance is a useful, if only derived, measure of role effectiveness.

The Process Approach. The process approach to analyzing the scope and nature of the administrative role is concerned less with "*what*" is done than *with "how" it is done*. Here again, several taxonomies of the administrative process have been drawn (Gulick 1937, Gregg 1957). Generally, the administrative process in education is seen as including the following stages: *planning, decision making, organizing, communicating, coordinating, stimulating, and evaluating.*

As with the task approach, certain shortcomings were noted concerning the process approach to administration, namely, *that it may be cyclical, that its stages are interrelated and not necessarily sequential*, that it can only be *inferred*, and that its evaluation *approaches the impossible* (Halpin 1958). Moreover, the process approach to administration has been unduly hampered by some theoreticians and practitioners who seize upon a particular stage of the process as central and, with missionary zeal, attempt to subsume all functions, if not all processes, within it. Even so, it cannot be denied that the perceived processes utilized by administrators forms much of the basis for the evaluation of their performance, both by self and others.

The Theoretical Approach. The third and particularly popular approach to the analysis of administrative performance within the past two decades is that of the theoretical, foundational, or behavioral science approach. Within this view, the concern is not so much with "*what*" is done or "*how*" it is done, as it is with "*why*" *it is done*. Derived largely from the administrative and social sciences, the theoretical approach to the analysis of administrative behavior draws heavily upon the following foundational bodies of theory: *general systems theory, social systems theory, values theory, organizational theory, role theory, personality theory, decision theory, and leadership theory* (Lipham and Hoeh 1974).

Although some have questioned the extent to which the so-called theory movement in administration has lived up to its earlier promise (Halpin 1969), the issue of whether or not the theories are relevant for research, practice, and training in educational administration has been thoroughly examined and answered in the affirmative (Culbertson et al. 1973). Parts or all of the theories continue to be widely utilized in both the training of administrators and the evaluation of administrative performance.

The Competency Approach. The competency/performance-based approach to the scope and nature of administrative performance represents a significant new thrust on the American educational scene. This approach draws upon the previous ones in the following unique ways: the theoretical approach, in that specific indicators of behavior or behavioral outcomes are identified and analyzed; the process approach, in that process relations are stressed more than are the product outcomes of behavior; and the task approach, in that the role functions of specific administrators are typically enumerated in some detail. Thus, the competency-based approach identifies specific administrative roles, such as superintendent of schools, central office supervisor or coordinator, or school principal, and, through use of a theory-process, theory-task, or, more typically, a process-task grid, specifies both the competencies to be attained and the indicators of their fulfillment. Within this approach, more work has been done to date regarding the principal's performance than has been done regarding other administrative roles within the educational organization.

The competency-based approach is designed to prepare persons that are competent to perform in an administrative role in education because systematic attention has been given in their training experiences to: (1) identifying training needs and inputs; (2) specifying the domains of administrative role behavior and assigning priorities to them; (3) developing measures of competency performance; (4) providing individualized, reality-centered learning experiences; (5) assessing the acquisition of understandings, skills, and attitudes; and (6) certifying competence to perform effectively (Lipham 1975).

All of the major national associations in educational administration have recently been working at refining the competency-based approach to administration, as have some universities and school systems (Culbertson, Henson, and Morrison 1974). Even so, considerable opposition to the competency-based approach has been engendered. Some professors and practitioners object philosophically to the emphasis on consensus, orderliness, and accountability; others object to the content domains included or excluded; others object to the measurement indicators utilized; and still others object to fractionalization of the administrative role. Without belaboring the antisystems opposition, suffice it to observe that the competency-based approach takes initial and continuing cognizance of the major variables which condition and affect the role behavior of the administrator.

Variables Conditioning Administrative Behavior

As shown in the boxes above and below the administrative performance system in Figure 1, two classes of variables continually condition administrative behavior: organizational variables and personal variables. These conditioning variables affect either total or specific aspects of the behavior of the administrator. Since the nature of the organizational-individual relationship has been documented in detail elsewhere (Getzels, Lipham, and Campbell 1968), suffice it here to mention merely some potent examples of the content included in each domain.

Organizational Variables. Two classes of organizational variables continually affect the behavior of the administrator: extraorganizational variables and intraorganizational variables (Halpin 1957). Among the more powerful extraorganizational forces, if not pressures, which impinge upon the administrator are: values conflicts within the society regarding such issues as race, religion, technology, and other conditions of environmental uncertainty; differences in expectations held for the school as an institution; the nature and extent of financial support of the schools; and constitutional, legislative, judicial, administrative, and other powerful political mandates on the school and its administration.

The following are among the set of significant intraorganizational conditioning variables: organizational goals, objectives, and priorities; organizational size; organizational structure, including degree of centralization, communication, formalization, stratification, and complexity; and organizational cohesiveness, adaptability, and productivity (Lipham 1973a).

Personal Variables. Two classes of personal variables likewise influence administrative performance: interpersonal variables and intrapersonal variables. The interpersonal variables include the extent of intermember compatibility; values similarity, informal interaction; interpersonal communication, group cohesiveness, and satisfaction, belongingness, and morale to mention only a few.

The intrapersonal variables which affect the behavior of any administrator include, in addition to age, race, sex, training, and experience, such factors as health, intelligence, values, interests, attitudes, and other characteristics of the administrator as an individual.

Since the foregoing classes of variables influence the behavior of the administrator, they may be utilized at certain junctures in the administrative evaluation system to define, analyze, understand, predict, and even evaluate the "effectiveness" of the administrator.

The Administrative Evaluation System

The third essential system, also at the microorganizational level, is that which is utilized to evaluate the performance of administrators. This system is actually a subsystem in two respects: first, it is a subset of both the organizational and the administrative performance systems described earlier since only some, but by no means all, of the organizational and administrative behaviors will be assessed. In yet a different respect, the administrative evaluation system is also a subset of the total personnel evaluation system of the schools. Here, however, our focus is not so much on the evaluation of students or the evaluation of teachers as it is on the evaluation of administrative personnel. Although the evaluation of administrative personnel possesses much in terms of formative and summative evaluation that is common to the evaluation of all members of the organization, there are certain uniquenesses in objectives, procedures, and outcomes of the administrative evaluation system that need to be explored (Lipham and Fruth 1976).

As shown in Figure 1, the administrative evaluation system consists of three sequential processes: planning for evaluation, collecting information, and using information (Bolton 1973).

Planning for Evaluation

In planning for the evaluation of administrative performance, four considerations are essential: (1) the purposes of the evaluation, (2) the means for measuring performance, (3) the persons who will do the measuring, and (4) how often the measures will be taken. The reasons for evaluating administrators may, of course, be legion, but the following are typical: to change goals or objectives, to modify procedures, to implement programs, to hire or promote personnel, to protect organizational participants, to change role assignments, to change and improve behavior, to terminate services, or to reward role performance. An administrative evaluation system may be designed to serve any or all of these purposes. In any event, in implementing an administrative evaluation system, it is absolutely essential that the purposes for the evaluation be raised from an implicit to the explicit level. In this regard, for example, one is reminded of the situation in a major, urban American school system wherein a Management by Objectives form of administrative evaluation was "sold" to the principals by the superintendent as a means for improved personal and organizational performance, only to discover subsequently that the "hidden agenda" of both the superintendent and the school board was that of "merit pay" for principals. Suffice it to observe, therefore, that the time at which the inauguration or revitalization of a system for evaluating administrators is discussed, one must seriously question the overt and covert reasons for engaging in the administrative evaluation process.

Regarding the procedures for measuring administrative performance, no entirely satisfactory method has yet been discovered or devised. Questionnaires, checklists, interviews, observation scales, videotaping, time sampling, critical incidents, and other direct and indirect techniques for sampling, analyzing, and summarizing behavior have all been attempted with varying degrees of success. Ironically, however, such instruments and procedures typically assess only the frequency with which certain administrative behaviors have been attempted, rather than the potency or quality of the behaviors which have been accepted and implemented (Lipham 1973b). Whichever devices are used for assessing administrative performance, they must be viewed as relevant, valid, and reliable by all participants in the evaluative process.

Concerning the issue of who should participate in the evaluation of administrators, current suggestions range from including only the administrator's organizational superiors to including anyone and everyone who may "know" or "have a right to know" about an administrator's performance. Within the educational organization, however, at least the following should be involved: immediate organizational superiors, immediate organizational subordinates, and the administrator being evaluated. Currently, participation in administrative evaluation systems in education varies widely. Some school districts mandate participation by the board of education; others utilize "impartial" extraorganizational consultants; still others provide for peer evaluation or inclusion of an administrator's bargaining unit; a few include evaluations by such "lower" organizational participants as students; and some occasionally seek evaluations by such extraorgranizational reference groups as parents' and citizens' advisory committees. Whether or not broadening the base of participants increases the relevance, validity, reliability, and utility of the performance evaluation system, however, remains to be seen, since previous experience has shown that the correlations both within and between the descriptions of administrative behavior made by the several possible reference groups are neither entirely systematic nor necessarily predictive. If it is difficult to reach agreement on descriptions of actual administrative behavior, it is even more difficult to reach consensus on the evaluations of that behavior (Halpin 1957).

Regarding the frequency of administrative evaluations, the typical incantation is that it must be a continuous process - day-to-day, rather than once-a-year. Obviously, formative evaluations are continuously made regarding the behavior of the administrator in both implementation evaluation and progress evaluation (Alkin 1969). Even so, an adequate administrative evaluation system will give attention not only to formative but also to summative evaluation at specified points in time so that information concerning the products or outcomes of behavior can be periodically collected and assessed.

Collecting Information

If one assumes that adequate attention has previously been given to the purposes and objectives of the administrative evaluation program, the means for measuring performance, the persons who will do the measuring, and the frequency with which the measures will be taken, then the process of data collection should simply involve implementation of the evaluation plan. Even so, attention in this phase must be directed toward the amount, form, and flow of information resulting from the evaluative process (Lipham 1974). Regarding the amount of information, evaluative systems in education typically depend upon an inadequate data base which can be attacked from any and all directions. Emerging practices in the evaluation of administrative performance, therefore, pay particular attention to the amassing of specific documentary evidence regarding each behavioral phenomenon to be assessed.

Concerning form, evaluative information must be more than a mere collection of disparate observations. It must be summarized and organized if it is to be useful. Increasingly, school systems are utilizing powerful information processing concepts, tools, and techniques to increase the utility of information for informed decision making.

Concerning information flow, the summarized data must be available to decision makers at times it is needed; otherwise it is useless. Since all evaluation is time-bound, the importance of this variable is obvious, if the data are to be used.

Using the Information

The third process in the administrative evaluation system is that of using the evaluative information. If the amount, form, and flow of evaluative information are adequate, then three additional steps remain: interpreting the information, making evaluative decisions, and following through on the evaluation results. The interpretation of information is, of course, a highly personalistic process. In fact, each individual is surrounded by a unique perceptual screen which is a composite of such variables as values, intelligence, creativity, need-dispositions, abilities, and interests (Lipham 1974). Training, previous experiences, and situational variables also influence the ways in which one cognizes, structures, and acts in decision situations. At this crucial stage in the performance evaluation system, therefore, it is often essential to meet, react, discuss, explain, and even justify one's interpretation of evaluative data regarding an administrator's performance.

The next step in the evaluative process is that of making decisions based on one's interpretation of the data. In administrative evaluation systems this step unfortunately is often oversimplified, such as by checking a point on a rating scale or forming an "either-or" evaluative judgment. Without detailing subsequent steps in the decision-making process, suffice it to observe that at this juncture the evaluative system ordinarily becomes cyclical – one returns to test both the viability of the initial objectives, as well as the extent to which they have been achieved. Moreover, in rendering judgmental decisions, one typically seeks for meaningful articulations between and among the administrative evaluation system, the administrative performance system, and the organizational performance system.

Even the best evaluative system is to no avail if the information simply "sits around." The primary purpose of the evaluation system is to effect specific changes in subsequent administrative behavior. An adequate administrative evaluation system, therefore, pays particular attention to follow-up and follow-through procedures including: the techniques for evaluative feedback, which participants in the process receive what feedback, and what kinds of corrective interventions may be helpful. Traditionally, such follow-through has been largely accomplished through individual interviews and conferences between the administrator and those doing the evaluating. Because such data are particularly potent, however, a recent trend has developed to document evaluative decisions thoroughly to allow for due process and grievance procedures. Evaluative forms, therefore, will need to be developed, completed, reviewed, kept secure, and compiled to chart changes in administrative behavior through time.

A final form of follow-through relates to evaluation of the evaluative process itself. Since no personnel evaluative system has yet been perfected, it is necessary to recycle and reexamine the planning, information collecting, and information utilization processes so that the evaluative system may continue to be renewed and refined.

Improving the Evaluation of Administrative Performance

Based on the model presented, several suggestions can be offered which may enhance the evaluation of administrative performance in the future. These suggestions grow out of certain shortcomings that have been observed regarding present practices in the evaluation of educational administrators.

First and foremost, one must acknowledge that the articulations between and among the three systems previously described are only dimly understood, and therefore frequently abused. On the one hand exists the fallacy of ascription -- blaming the administrator for anything and everything that happens, or fails to happen, in the organization. On the other hand exists the fallacy of avoidance -- believing that the effects of administrative performance perhaps may be known only to God. As we were earlier cautioned (Halpin 1957), it may be impossible to get there (assessing organizational achievement and maintenance at time n) from here (assessing the variables, which condition administrative behavior at time 1). With surprising consistency, however, such ascription errors are made, assuming that because the administrator ranks highly on a "friendliness" scale then the organization is well maintained, or believing that because the administrator scores highly on the "productivity" dimension of leadership then the achievement of the organization will be great – ad nauseam. Correspondingly, such avoidance errors are made as blaming students, teachers, parents, politicians, society at large, or anyone other than the administrator, for conditions in the schools. Although the ascription-avoidance issue can never be universally resolved, we must at least be aware of its dysfunctionality for evaluating administrators and seek constantly to develop better conceptualizations and procedures for articulating macroorganizational and microorganizational analyses and evaluations.

A second typical tendency which must be avoided exists primarily within the administrative performance system. Untold, fruitless efforts of both scholars and practitioners in educational administration have been directed toward "grinding one's favorite axe" – focusing on a particular task, process, theory, or competency as the sine qua non in administration. Actually, all four perspectives of the scope and nature of administrative performance have essential uniquenesses to contribute to our understanding and analysis. We must, therefore, avoid either theoretical or practical parochialism by utilizing an eclectic approach to analysis of the administrative role in education.

Within the administrative evaluation system a number of pitfalls exist. First, regarding purposes, the tendency exists to view personnel evaluation as being done to, for, about, or by someone, rather than being done *with* someone. Increasingly, we must emphasize the mutuality of the evaluator-evaluatee relationship. Next is the tendency to confuse descriptions of actual behavior with those of idealized behavior. In evaluating performance we must keep our "is's" and our "oughts" straight. Third is the tendency to mix descriptions of behavior with evaluations of that behavior. By now, we should at least be able to describe phenomena objectively. Fourth, the tendency exists to view one variable as an indicator of all others. Again, we are knowledgeable about the "halo effect," yet we ignore it in actuality. Fifth, is the tendency to accept the evaluations of only one reference group as "gospel," while at the same time ignoring the formal and informal evaluations made by other significant reference groups. Programs for evaluating administrators tend particularly to give more weight to evaluations made by organizational superiors than those made by peers and organizational subordinates. Finally within this system, we must guard against the tendency to settle for measurement of the possible as being an adequate substitute for measurement of either the actual or the desirable. Proxy measures of effectiveness must always be viewed with suspicion.

Finally, of course, we must guard against the tendency to feel that we have solved the problems existing in a complex domain only because we have partially described it. In this regard, it can only be hoped that the model proposed herein will not so necessarily be applied as it will be revised in our future efforts to improve the evaluation of administrative performance.

REFERENCES

Alkin, M. C., Evaluation theory and development. *UCLA evaluation comment* 2 (October), 1969.

Barnard, C. I., *The functions of the executive*. Cambridge, MA: Harvard, 1938.

Bolton, D. L., *Selection and evaluation of teachers*. Berkeley, CA: McCutchan, 1973.

Campbell, R. F., et al., *Introduction to educational administration*. Boston, MA: Allyn and Bacon, 1971.

Cartwright, D. and H. Zander, *Group dynamics: research and theory*. New York, NY: Harper and Row, 1953.

Culbertson, J. A., et al., *Social science content for preparing educational leaders*. Columbus, OH: Merrill, 1973.

Culbertson, J. A., C. Henson, and R. Morrison, *Performance objectives for school principals*. Berkeley, CA: McCutchan, 1974.

Cyert, R. M. and J. G. March, *A behavioral theory of the firm*. Englewood Cliffs, NJ: Prentice-Hall, 1963.

Gephart, W. J., R. B. Ingle, and G. Saretsky, *The evaluation of teaching*. Bloomington, IN: Phi Delta Kappa, 1975.

Getzels, J. W. and E. G. Guba, Social behavior and the administrative process. *School review*. 65 (Winter), 1957.

Getzels, J. W., J. M. Lipham, and R. F. Campbell, *Educational administration as a social process*. New York, NY: Harper and Row, 1968.

Gregg, R. T., The administrative process, in R. F. Campbell and R. T. Gregg eds., *Administrative behavior in education*. New York, NY: Harper and Row, 1957.

Gulick, L., Notes on the theory of organization, in L. Gulick and L. Urwick, *Papers on the science of administration*. New York, NY: Institute of Public Administration, Columbia University, 1937.

Halpin, A. W., A paradigm for research on administrator behavior, in R. F. Campbell and R. T. Gregg eds., *Administrative behavior in education*. New York, NY: Harper and Row, 1957.

Halpin, A. W., *Administrative theory in education*. Chicago, IL: Midwest Administration Center, University of Chicago, 1958.

Halpin, A. W., A foggy view from olympus. *Journal of educational administration*. 7 (May), 1969.

Lipham, J. M., Content selection in organizational theory and behavior, in J. A. Culbertson, et al., *Social science content for preparing educational leaders*. Columbus, OH: Merrill, 1973a.

Lipham, J. M., Leadership: General theory and research, in L. L. Cunningham and W. J. Gephart eds., *Leadership: the science and the art today*. Itasca, IL: Peacock, 1973b.

Lipham, J. M., Improving the decision-making skills of the principal, in J. A. Culbertson, C. Henson and R. Morrison, *Performance objectives for school principals*. Berkeley, CA: McCutchan, 1974.

Lipham, J. M. and J. A. Hoeh, Jr., *The principalship: foundations and functions*. New York, NY: Harper and Row, 1974.

Lipham, J. M., Competency/performance-based administrator education (C/PBAE): recent developments in the United States, in M. Hughes, ed., *Administering education: international challenge*. London, England: Athlone, 1975.

Lipham, J. M. and M. J. Fruth, *The principal and individually guided education*. Reading, MA: Addison-Wesley, 1976.

Thompson, J. D. 1967. *Organizations in action.* New York: McGraw-Hill.

EA 010 403

ED151909

THE ROLE OF THE SCHOOL ADMINISTRATOR: PERSPECTIVES FOR A CONFERENCE ON ADMINISTRATOR EVALUATION

Alan K. Gaynor

> "The role of the principal has changed rapidly – and radically – in the last two decades. Among the most important aspects of these changes are: (1) The principal's responsibilities now embrace the entire set of managerial and instructional functions, and (2) The principal is expected to cope in spite of ambiguity, conflict and diversity in expectations, power, and experience."
> Leon Lessinger (1975)

The task I have been assigned as a participant in this conference is a seemingly simple one which is straightforwardly related to the conference purposes and format. I am to speak to the role of the school administrator as a starting point for others who will then speak to the evaluation of the performance of the administrator in this role. The logic is clear and irrefutable. It is certainly useful to know what a person is expected to do before one sets about assessing how well he/she does it.

The problem for me, however, was multifold. First, there are a variety of roles in a school district which are typically classified as administrative. These include the superintendency and other central office roles as well as the principalship and assistant principalship among possible others at the building level. The specifics of these roles are quite different although plainly they also share significant common elements. A question, then, was which of these roles to speak to and how to do this in a brief and useful way.

The decision I finally came to was to choose one of these roles and define it out of a conceptual framework broad enough to relate, at least implicitly, to the other administrative roles as well. For a variety of reasons, reasons which to me were compelling, I have chosen to focus this paper upon the role of the building principal. I will make explicit my reasons for this decision further on in the paper.

A second aspect of my problem was related to the obvious fact that school principals perform roles which, although often similar in many respects, also differ significantly among school districts and even among attendance areas within school districts. It seemed important, then, even at the risk of seeming abstract or indecisive, to seek ways within the paper to speak to some of the major sources of role variation among principals.

A third aspect of my problem derived from an awareness of the multiplicity of sources of role definition for even a single school principal with her/his own school district and school attendance area. Here, too, I felt it was important to incorporate within the paper some framework which might assist the evaluation specialists in at least conceptualizing this bureaucratic and political reality.

In sum, then, and by way of introduction, it was the complexity of the problem of defining "the role of the school administrator" in some simple and unambiguous way which led me to make a series of decisions which have, ultimately, determined the format and substance of this paper. It will deal, then, with the role of the school principal and with those variables which seem to account for much of the variation and ambiguity in the principal's role over time and place.

Focus Upon The Principalship

The logic leading me to the school principalship as the role to focus upon as input to a conference on the evaluation of administrator performance is simple and compelling. It seems clear that the forces leading to a widening national concern for administrator evaluation, and implicitly to this conference, are those forces known collectively as the accountability movement.

Of course, school superintendents have been accountable in most localities for years. That, indeed, they have is attested to by the statistics describing superintendent turnover. The tenure of superintendents has been increasingly short in recent years as fiscal problems and community turmoil have emphasized the degree of *political* accountability inherent in this typically untenured role position.

Thus, at least at this point in time, the accountability movement is not newly directed at school superintendents. In many ways, they have always been accountable. Rather, the pressure for renewed and more systematic accountability has been directed at the school district's tenured professional personnel, those whose accountability is not so much political as it is bureaucratic. This pressure was directed first at teachers and more recently it is being directed at building principals.

The conclusion I have drawn is that the principalship is, at this stage of the accountability movement, the true target of that movement as it focuses upon the formal evaluation of school administrators. Thus, it seems reasonable to assert that our energies in this conference should be directed foward explicating the role of the school principal and methods for evaluating the performance of individual school principals. Fortunately, these insights should also have payoff in addressing the evaluation of other school administrators.

Role As A Social Construct

The key starting point, it seems to me, in thinking about evaluation of personnel, is that role is a social construct, a product of the institution as a social system, and that although role *behavior* is in part idiosyncratic, the role, itself, along with the limits of variation in behavior it allows to individual roleholders, is institutionally defined. Persons who transcend the limits of behavioral variation are subject to sanction within or, ultimately, expulsion from the social system.

The importance of this understanding is that the sources of variation in the *role* of the principal are generic to the *society* in all of its cultural and political complexities whereas the degree to which the individual is willing and able to conform to this role is a product of (1) the objective clarity and mutual consistency of the role expectations transmitted to the individual by diverse role senders and (2) the individual's own values, abilities, needs, and dispositions to act (Kahn, et al., 1964; Getzels, et al., 1968).

There have been several major studies in education of administrative role behavior, studies which illustrate the social definition of administrative roles in schools and the press on administrators to reconcile conflicting role expectations. Research at the University of Chicago (Getzels, et al., 1968) focused primarily upon the tension between the role expectations of the institution and the need-dispositions of individuals as roleholders in determining role behavior. In another set of studies, Gross, et al., (1958) developed and tested a theory to predict how superintendents would behave when faced with incompatible role expectations. McCarty and Ramsey (1971), consistent with the conception of role as a social construct, tested, in a third set of investigations, the impact of differences in patterns of community and school board power structure upon the role behavior of school superintendents.

It might be noted with accuracy at this point that much of the research on administrative role behavior in education has targeted upon the superintendency. Some researchers, however, have focused their investigations upon the principalship. Sayan and Charters (1970), for example, replicated on principals the Gross study of role conflict resolution among superintendents (Gross, et al., 1958). Foskett (1967) surveyed educators in order to describe modal patterns of task expectations for school principals and Gaynor (1975) more recently has been validating an instrument for use in analyzing discrepancies among members of the role set in the task expectations held for school principals.[1] Thus, there have been some empirical studies of the role of the school principal in addition to the prescriptive offerings put forth in at least fifty years of textbooks on administration and supervision.

Two Dimensions of Role: Task and Style

Before moving to a discussion of the sources of their *variation*, it seems useful to identify, at least in broad outline, the modal population of role expectations *typically held* for school principals. The role of the school principal, like any role, can be conceptualized in terms of two primary components. The task component of the role defines *what* the principal is expected to do. The style component of the role defines *how* the principal is expected to perform these tasks in a social context. Evaluation designs will probably need to facilitate description and analysis of role behavior on both of these dimensions.

---

[1] The School Principals Task Inventory (SPTI (III). PRELIM) is a 46 item questionnaire which scores respondents on ten task factors and two overall dimensions of "Maintenance" and "Leadership" orientations.

The Task Dimension

Findings and prescriptions describing the modal tasks of school administrators have been generally consistent over time. In a book on general school administration written 50 years ago, a book focusing upon the role of the superintendent, Stayer, et al., (1925), identified, amoung others, the following tasks of the school administrator:

Business Administration of Schools
School Publicity
Buildings and Equipment
Census and Attendance
Classification and Progress of School Children
Supervision of Instruction
Curricula and Courses of Study
Records and Reports
Extra-curricular Activities
Personnel Management

In a similar book published 13 years ago, (Campbell et al., 1962) listed essentially the same administrative functions:

School-Community Relations
Curriculum Development
Pupil Personnel
Staff Personnel
Physical Facilities
Finance and Business Management
Organization and Structure

In a book on the principalship published just two years ago (Jacobson, et al., 1973) identified, among others, the following tasks of the school principal:

Making a School Schedule
Instructional Leadership
Educational Diagnosis
Evaluating Student Progress
Guidance
Pupil Personnel Concerns

Managing Extra-curricular Activities
Teacher Personnel Problems
Records and Reports
Supervising Non-instructional Personnel
The Principal in the Community

Although the specific phrases differ, it seems that despite 50 years difference in time and despite some shift in focus from administration at the district level to administration at the building level, the functions prescribed by the textbook writers are remarkably consistent.

My own data produced ten factors which, although different in some respects, remain generally similar to the textbook writers in their definition of the tasks of the school principal (Gaynor, 1975):

Leadership Factors
- Developing and maintaining effective staff relations
- Developing and maintaining effective community relations
- Developing and implementing educational goals
- Maintaining the principal's own professional growth
- Making decisions about professional personnel

Maintenance Factors
- Supervising non-professional personnel
- Maintaining order and routines
- Monitoring the performance of students and teachers in achieving the goals of the school
- Managing the finances of the school
- Monitoring and communicating student achievement data in relation to other schools

Foskett's survey instrument organized 45 task items into four broad categories which, in his research, were scored as subscales (Foskett, 1967).[2] Although less specific in their orientation from the descriptions cited above, they are broad enough to subsume many of the same tasks:

---

[2] However, I have been able to find no description of the construct validation procedures used by Foskett to support the empirical validity of his four subscales. Analyses done at Boston University and Bentley College on recent New Hampshire data by Murray Ingraham and Peter Graffman do not support the factor integrity of Foskett's subscales.

- Acting Toward Teachers
- Acting Toward Pupils and Parents
- Acting Toward Profession
- Acting Toward Community

Finally, a recent volume describing a collaborative project between the Altanta Public Schools and the University Council for Educational Administration devotes a chapter to each of six task domains associated with the role of the school principal (Culbertson, et al., 1974). Like Foskett, Culbertson takes a broad cut at defining the task content of the principal's role, one which may prove helpful to evaluators as an alternative to more specific formulations:

- Initiating and Responding to Social Change
- Preparing the Organization for Effective Response
- Decision-Making
- Achieving Effective Human Relations and Morale
- Administering and Improving the Instructional Program
- Evaluating School Processes and Products

The purpose of this brief review of the literature has been to provide some broad sense of the shape of the task domain commonly associated with the role of the school principal. However, this exposition has dealt so far only with one aspect of the principal's role. It has dealt only with *what* the principal is typically expected to do. It now remains to discuss the other major aspect of the role: *How* the principal is expected to behave in performing those tasks.

The Style Dimension

The literature on what is generally called "Leadership" or "Leadership Style" is essentially synonymous with that aspect of role which I have labelled "The Style Dimension." This literature is so extensive that several major reviews of it have appeared over the last 25 years (Stogdill, 1948; Gibb, 1954; Stogdill, 1974).

It is clearly not within the scope of this paper to attempt to review that literature again. However, it does seem important, first, to call this broad knowledge base to the attention of those concerned with administrator evaluation and, second, to describe several dominant themes which have characterized the thinking of theorists and researchers about leadership and leader behavior.

Much of the thinking about leadership style goes back to an early and seminal piece of research on small group dynamics by Lewin, Lippitt, and White (1939). In this study, three modal types of leader behavior were posited and their effects upon group performance tested. Out of this study came concern among organizational researchers for the concepts of authoritarian, democratic and laissez-faire leadership styles and much of the research which followed has, in essence, attempted to replicate, elaborate, and refine those concepts and to understand the nature of the leader-follower interaction under a variety of conditions (Stogdill and Coons, 1957; Tannenbaum and Schmidt, 1957; Likert, 1961; Blake and Mouton, 1964; Fiedler, 1967; Reddin, 1967 and 1970; Hersey and Blanchard, 1972).

Related to the nature of the authority relationships which define the dynamics of task group operation is theory and research about the beliefs and attitudes of leaders towards other members of the task group. To what extent, for example, are those beliefs and attitudes positive and trusting, and how do differences in beliefs and attitudes toward others affect leader behavior (McGregor, 1960)?

Independent of authority relationships, conceptually if not always empirically, is the concept of leader orientation to task and/or to persons. Much research has been done to establish the social reality of these orientations and their existence, at least in the perceptions of respondents in work situations, is well documented (see Sergiovanni and Starratt, p. 88).

Several relatively simple ways of conceptualizing leader behavior have emerged from this research and become building blocks for further theory building and testing. One of these, which derived directly from the work of Lewin, Lippitt and White (1939), deals with the nature of the authority relationship between the leader and other members of the task group. Emphasis is put upon describing the extent to which leadership is directive or non-directive, decision-making centralized or participative, and power concentrated or diffuse. (See, for example, Likert, 1967.) The most recent writing about leadership has been based upon a growing consensus that neither leader behavior nor its effectiveness is independent of its context. There is evidence of long-standing that leader behavior is affected by the group (see, for example, Merei, 1949) and that its effectiveness is contingent upon characteristics of the group (Fiedler, 1967; Hersey and Blanchard, 1972) and its environment (Lawrence and Lorsch, 1969).

This growing body of research has helped to elaborate and differentiate our understanding of the leadership act. Despite new knowledge, however, this understanding is still primitive (in fact, we probably sense better than ever before how primitive it is) and we still do not possess accurate predictive models of leadership effectiveness. What is clear is that the relationships among leaders and others in complex social situations are much more complicated than was earlier believed. The remainder of this paper focuses upon the sources of role variations for principals utilizing a known conceptual model as a framework for exposition.

Sources of Variation in Role Expectations for Principals

I have defined role as a social construct comprised of two dimensions, task and style. The task dimension appears, at least to me, to be the more straightforward of the two, although in practice it is difficult to separate what a person does from how he/she does it. In any case, there are undoubtedly serious problems facing even those who seek to do no more than to describe what a principal actually does and how she/he does it.

Portraying accurately role *behavior*, alone, can be a demanding and time consuming mission (see, for example, Wolcott, 1973) even though the object of observation is but a single individual exhibiting a single set of behaviors. Defining role *expectations* and *perceived* role behavior, though, which involves all of the multiple persons and groups constituting the social and political reality of the principal's world, is an exponentially more complex and difficult task. And yet this is precisely the task without which the observer cannot comprehend the principal's behavior in the only way it can adequately be understood - in the context of forces, many of them conflicting, which motivate that behavior and define its success or failure *in situ*.

The Social Systems Model

One of the most useful role models I know is that developed beginning about twenty years ago by Getzels, Guba and others (Getzels, et al., 1968). The "Social Systems Model" portrays the systemic interaction of individuals and institutions in shaping social behavior.

The model depicts the tension between the institution operating as an open system in its cultural environment and the individual institutional participant, replete with her/his personality and physiological characteristics, possessed of a complex of values, beliefs and attitudes deriving from a subtle overlay of personal and sub-cultural reference groups. Further refinements of the model also show groups (task groups and informal social groups within the institution) as mediators between individuals and the institution (Figure 1).

It is my view that the major sources of variation in role expectations for principals are depicted or implied in this model. Thus, it may prove helpful to those of us who are interested in developing useful systems of administrator evaluation to attend to the relationships identified in the model.

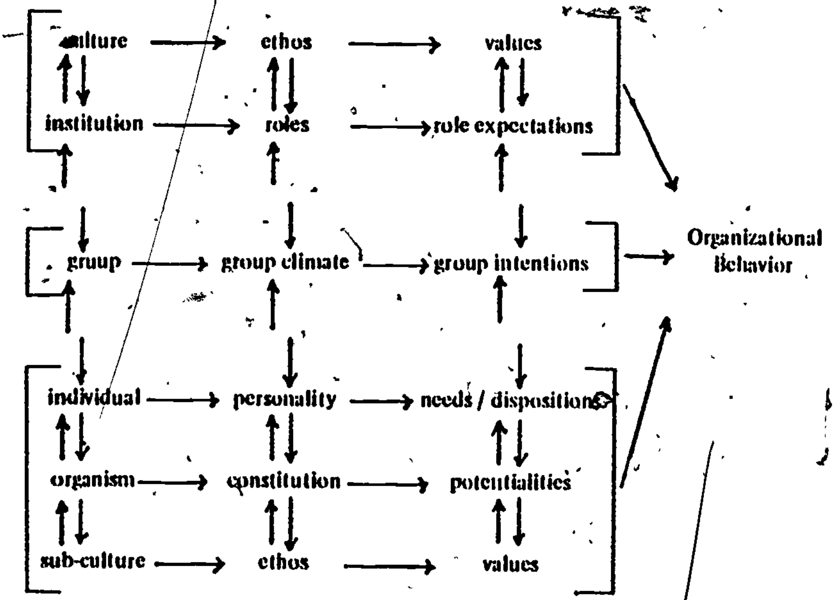
A useful way to view the Getzels-Guba paradigm is as a system of major state variables impacting upon role behavior. Each variable constitutes a *general* factor which requires specification *in situ* in order for it to achieve practical utility in organizational analysis.

For example, two of the variables constituting the model are the institution and its cultural environment. The institution is defined by its constituent roles which, in turn, are defined by specific sets of role expectations held by influential persons or groups comprising the role set. Similarly, the cultural environment is defined by its constituent ethoses which, in turn, are defined by specific sets of attitudes, beliefs, and values.

The institution can be specified at whatever level of system aggregation seems analytically useful. For example, the organization can be specified as a particular school district or as a particular school building. Once this specification is stated, system boundaries are implied and the environment becomes defined. It may sometimes even become useful to specify one set of boundaries for one level of analysis and another set of

Figure 1

Getzels–Guba Social System Model
(modified version)


culture
ethos
values
institution
roles
role expectations
group
group climate
group intentions
Organizational Behavior
individual
personality
needs / dispositions
organism
constitution
potentialities
sub-culture
ethos
values

ERIC
Full Text Provided by ERIC

boundaries for a subsequent and different level of analysis - much as one would use maps of different scale or lenses of different orders of magnification.

When It's Sioux City It's Not Detroit

Major elements of the model with respect to the organization are its environment and the individuals and groups in the environment upon whose commitment and support the organization depends. Thus, a significant source of variation in the principal's role is place.

Community norms, sometimes homogeneous, sometimes pluralistic, provide a basis for differing and often conflicting demands upon principals. Some of these demands are for participation in decision-making; others are for allocations of staff, funds, or program resources. Still other demands are for expressions by the principal of support for one set of educational values or another, or for regulations (e.g., with respect to dress, discipline, etc.) which go beyond mere statements in the support of such values. (See Easton, 1965, and Almond and Powell, 1966.)

Community norms influence both the content of demands and the nature of action in support of demands. Communities variant in their values, beliefs, and attitudes tend to have variant expectations for what the school principal should do or even *be*. These differences among communities would seem to have significant implications for those who would evaluate the principal's performance.

When It's the Teachers It's Neither the Community Nor the Central Office

In understanding how she/he is expected to behave, the principal must be sensitive to the expectations not only of citizens but of teachers and upper administrators as well. Unfortunately, there are many school systems in which those do not match. Often teachers are drawn from a population systematically different in values, beliefs, and attitudes from the community which the school presumes to serve. The conflicts in some cities between middle class white teachers and black or Hispanic parents and students have received national attention, for example, and can place the principal in an extremely difficult position as an administrator in the middle.

Similarly, principals often have to deal with substantial differences between the expectations of the superintendent and those of the teachers or between the conflicting expectations of Teacher factions in her/his own building. It seems to me that determining the extent of the principal's awareness of these forces and the degree to which her/his responses are calculated and knowledgeable constitutes a significant domain for evaluation.

When It's Today It's Not Yesterday

Another source of variation in the principal's role is time. Time is built into the Social Systems Model implicitly. The cultural environment changes over time, in terms of the national climate for education, the legal and fiscal supports for and demands upon the school, and the composition of the community of the school district or the school attendance area. Not only do environmental factors shift over time but so, also, does the composition of the faculty in terms of the need-dispositions and cultural characteristics of new members. Sometimes these changes can be dramatic and call for a different set of priorities for the principal among tasks or even for a significantly different style of leadership.

The impact of time on the principal is to increase the pressures for personal flexibility and organizational adaptiveness. The evaluation of principals should include provisions for longitudinal diagnosis. It should seek to describe the relationship between changes in the needs and expectations of community and staff and actions by the principal to alter her/his leadership style and to initiate and implement adaptations in the structures, processes and outputs of the school.

Lack of Clarity About Causal Relationships

The thrust of the paper to this point is, in my judgment, consistent with the admonition of the American Association of School Administrators concerning the selection of school principals (AASA, 1967, p. 24):

> Selection of a principal requires consideration of two sets of variables: (1) Personal (How well do the aspirant's personal characteristics meet the criteria in general?) and, (2) Situational (What are the specific demands of the position that might make a difference?)

If, as I believe they are, these criteria are appropriate as a basis for selecting school principals, it can be argued effectively, I think, that they also represent sound guidelines for evaluating their administrative performance.

The major problem, however, is that despite reams of research findings on leadership, there are still not available accepted predictive equations relating specific combinations of personal and situational characteristics to administrative and organizational effectiveness. What, for example, are the key personal characteristics? Do they have the same salience in different administrative situations? What are the key variables within the situation? Do we have available a conception of situational variables (a dynamic model, for example) which is sophisticated enough to account for interactions among situational variables which alter their relative importance *in combination* with each other in different places and at different times? Is there a hierarchy of situational variables (e.g., size or complexity, degree of crisis, etc.) similar to Maslow's hierarchy of needs or are there multiple interacting hierarchies?

Only when there is some assumed knowledge about causal relationships between personal role behavior, on the one hand, and the nature of the situation in terms of known key variables, on the other, does evaluation become possible which is more than displaced evaluation (that is, evaluation of the measurable rather than the significant).

It is also important to note that organizational performance, which after all is the ultimate criterion in evaluating administrative performance, is extremely difficult to measure. This is especially so in the public schools because of vague and diffuse indicators and because of the general lack of consensus about organizational ends (Miles, 1967; Elboim-Dror, 1973). Research by Derr and Gabarro (1972) also supports this view:

> The initial studies also show that considerable difficulties arise when an attempt is made to use the [Lawrence and Lorsch] model to explain organizational performance in school systems because of the difficulty in defining system effectiveness.

Conclusions and Implications for Evaluators

There are available for evaluators a variety of prescriptions and surveys defining the modal tasks associated with the role of the school principal. For the most part, the lists of tasks, although written with some variation in perspective, language, and degree of comprehensiveness, exhibit enough consistency to provide a *general* basis for defining the task responsibilities of the *typical* school principal.

One problem is that there may not be sufficient typicality among school situations to enable evaluators to design standard instruments which combine ease of administration with sufficient flexibility to judge usefully the performance of principals in widely variate contexts. For example, the role of the principal in multi-unit (Pellegrin, 1970) and participative decision-making schools (Bentzen, 1974) is quite different than in traditional self-contained classroom schools. However, this thesis is ultimately an empirical one which remains to be tested.

A second problem lies in the lack of validated knowledge about causal relationships among the personal characteristics and administrative styles of school principals, situational variables, and administrative or organizational effectiveness – partly because of a knowledge base which is still inadequate to the complexities of largely counterintuitive social systems (Forrester, 1971) and partly because of the continuing lack of consensus about the critical criteria defining effectiveness. Thus, the evaluator may often be left measuring the measurable even when those variables are neither agreed upon by a major segment of those concerned nor demonstrably predictive of operational effectiveness (for example, in terms of student achievement).

The conclusion I draw from this estimation of the current state of the art is that despite the fact that "it seems increasingly urgent that ways be found for . . . insuring that only personally effective, well-qualified people enter and remain in the principalship," (Anderson, 1973) evaluation should not seek to outstrip the knowledge base which supports it. It should emphasize description and diagnosis, not ratings, rewards and sanctions (except where causal relationships are unusually certain and where indicators of effectiveness have been mutually agreed upon).

Mainly, in my judgment, the intent of evaluation should be to help the principal to understand better the complexities of the bureaucratic, cultural-political, legal, and fiscal environment of the school and to mirror for the principal her/his behavior in relation to that environment. The prime focus should be upon helping the principal to determine what changes in task priority and administrative style are likely to work better, to help the principal to gain the knowledge and skills necessary to make those changes, and to provide formative feedback on the process over time.

This approach is probably the only one that is justified given the state of knowledge and political consensus at the present time.

REFERENCES

AASA Committee on the Selection of School Principals. *The Right Principal for the Right School*. Washington, D.C.: The American Association of School Administrators. 1967.

Almond, Gabriel A. and G. Bingham Powell, Jr., *Comparative Politics: A Developmental Approach*. Boston, MA: Little, Brown, 1966.

Anderson, Robert H., "Organizing and Staffing the School." In John I. Goodlad and Harold G. Shane eds., *The Elementary School in the United States*. The 72nd Yearbook of the National Society for the Study of Education, Chicago, IL: University of Chicago Press, 1973.

Bentzen, Mary M., *Changing Schools: The Magic Feather Principle*. New York, NY: McGraw-Hill, 1974.

Blake, Robert R. and Jane S. Mouton, *The Managerial Grid*. Houston, TX: Gulf Publishing, 1964.

Campbell, Roald F., John E. Corbally, Jr., and John A. Ramseyer, *Introduction to Educational Administration*. Second Edition. Boston, MA: Allyn and Bacon, 1962.

Culbertson, Jack A., Curtis Henson, and Ruel Morrison eds., *Performance Objectives for School Principals: Concepts and Instruments*. Berkeley, CA: McCutchan, 1974.

Derr, C. Brooklyn and John J. Gabarro, "An Organizational Contingency Theory for Education." *Educational Administration Quarterly*. Spring, 1972. 8(2).

Easton, David, *A Systems Analysis of Political Life*. New York, NY: Wiley, 1965.

Elboim-Dror, Rachel, "Organizational Characteristics of the Educational System." *Journal of Educational Administration*. May, 1973. 9(1): pp. 3-21.

Fiedler, Fred E., *A Theory of Leadership Effectiveness*. New York, NY: McGraw-Hill, 1967.

Forrester, Jay W., "Counterintuitive Behavior of Social Systems." *Technology Review*. January, 1971. 73(3): pp. 1-16.

Foskett, John M., *The Normative World of the Elementary School Principal*. Eugene, OR: The Center for the Advanced Study of Educational Administration, 1967.

Gaynor, Alan K., "The Multidimensional World of the School Principal." Paper presented at the Annual Meeting of the American Educational Research Association, Washington, DC: April 3, 1975.

Getzels, Jacob W., James M. Lipham, and Ronald F. Campbell, *Educational Administration as a Social Process*. New York, NY: Harper and Row, 1968.

Gibb, Cecil, "Leadership." In the *Handbook of Social Psychology*. Gardner Lindzey ed., Cambridge, MA: Addison-Wesley, 1954. Vol. 2.

Gross, Neal, W. S. Mason, and A. W. McEachern, *Explorations in Role Analysis: Studies of the School Superintendency Role*. New York, NY: Wiley, 1958.

Hersey, Paul and Kenneth H. Blanchard, *Management of Organizational Behavior: Utilizing Human Resources*. Second Edition, Englewood Cliffs, NJ: Prentice-Hall, 1972.

Jacobson, Paul B., James D. Logsdon, and Robert R. Wiegman, *The Principalship: New Perspectives*. Englewood Cliffs, NJ: Prentice-Hall, 1973.

Kahn, Robert L., Donald M. Wolfe, Robert R. Quinn, and J. Diedrick Snoek, *Organizational Stress: Studies in the Role Conflict and Ambiguity*. New York, NY: Wiley, 1964.

Lawrence, Paul R. and Jay W. Lorsch, *Organization and Environment: Managing Differentiation and Integration.* Homewood, IL: Richard D. Irwin. 1969.

Lessinger, Leon, "Forward." In Fenwick W. English, *School Organization and Management.* Worthington, OH: Charles Jones, 1975.

Lewin, Kurt, Ronald Lippitt, and Ralph K. White, "Patterns Of Aggressive Behavior in Experimentally Created 'Social Climates'." *Journal of Social Psychology.* 1939. 10:pp. 271-299.

Likert, Rensis, *New Patterns of Management.* New York, NY: McGraw-Hill, 1961.

Likert, Rensis, *The Human Organization: Its Management and Value.* New York, NY: McGraw-Hill, 1967.

McCarty, Donald and Charles Ramsey, *The School Managers: Power and Conflict in American Public Education.* Westport, CT: Greenwich Press, 1971.

McGregor, Douglas, "The Human Side of Enterprise." In Warren G. Bennis and Edgar H. Schein, eds., *Leadership and Motivation: Essays of Douglas McGregor.* Cambridge, MA: Massachusetts Institute of Technology Press. 1966.

Merei, Ferenc, "Group Leadership and Institutionalization." *Human Relations.* 1949. 2: pp. 23-39.

Miles, Matthew, "Some Properties of Schools as Social Systems." In Goodwin Watson, ed., *Change in School Systems.* Washington, DC: National Training Laboratories, 1967.

Pellegrin, Roland J., *Some Organizational Characteristics of Multiunit Schools.* Technical Report No. 8. Eugene, OR: The Center for the Advanced Study of Educational Administration, The University of Oregon. May, 1970.

Reddin, William J., "The 3-D Management Style Theory." *Training and Development Journal*, April, 1967. pp. 8-17.

Reddin, William J., *Managerial Effectiveness*. New York, NY: McGraw-Hill, 1970.

Sayan, Donald L. and W. W. Charters, Jr., "A Replication Among School Principals of the Gross Study of Role Conflict Resolution." *Educational Administration Quarterly*, Spring, 1970. 6(2): pp. 36-45.

Stogdill, Ralph M., "Personal Factors Associated with Leadership: A Survey of the Literature." *Journal of Psychology*, 1948. 25: pp. 35-71.

Stogdill, Ralph M., *Handbook of Leadership*. New York, NY: The Free Press, 1974.

Stogdill, Ralph M. and Alvin E. Coons, eds., *Leader Behavior: Its Description and Measurement*. Research Monograph No. 88, Columbus, OH: Bureau of Business Research, The Ohio State University, 1957.

Strayer, George D. and N. L. Engelhardt, *Problems in Educational Administration*. New York, NY: Bureau of Publications, Teachers College, Columbia University, 1925.

Tannenbaum, Robert and Warren H. Schmidt, "How to Choose a Leadership Pattern." *Harvard Business Review*, March-April, 1957. pp. 95-101.

Wolcott, Harry F., *The Man in the Principal's Office: An Ethnography*. New York, NY: Holt, Rinehart and Winston, 1973.

EA 010 404

ED151910

EVALUATING SCHOOL ADMINISTRATORS: THE SCOPE AND NATURE OF ADMINISTRATIVE PERFORMANCE

Max G. Abbott

My task is to discuss the scope and nature of administrative performance in schools. The focus of the discussion is the assessment of performance.

I want to emphasize at the outset that there are two major reasons for assessing (evaluating if you will) performance. First, and most importantly, the results of assessment should be made available to the individual involved, the object of assessment, to be used as a basis for personal and professional growth and improvement. Inevitably, however, decisions must be made regarding such issues as promotion, retention, and salary improvement. Thus, assessment data also serve a managerial function, that of providing a rational basis for making those decisions.

When attempts are made to assess performance, and certainly when the assessment is conducted with the ultimate objective of improving that performance, it is essential to think in terms of effects. There is little point in attempting to improve the performance of administrators unless there is reason to think that in doing so some improvement will occur in the organization. The hope is that such improvement will ultimately facilitate student learning.

The requirement to point to the effects of administrative actions and to the relationship of those actions to the successful functioning of the school is fraught with problems. The fact is that there is little dependable, verified knowledge about such relationships. There is a good deal of writing on the topic that is speculative, some of it even persuasive; there are bits and pieces of research available that are suggestive; and there is a limited body of theoretical literature that lends credence to some of the speculations. But definitive, long-range research remains to be done on the subject.

We cannot wait until the research has been completed; however. The mere attempt to apply what is now known may serve to dramatize the fact that much more needs to be learned.

In the meantime, efforts must go forward to identify the most plausible sources of the meaningful effects of administrative performance and to use those sources as a basis for assessing (and improving) that performance.

We can begin by clarifying the difference between the role of the administrator and the roles of other personnel in the school. Whereas teachers, counselors, nurses, and psychologists work directly with students, and thus are intended to affect them directly, administrative performance is only indirectly related to student behavior and achievement. The direct output of administrative performance is improvement in the environment in which teaching and learning occur. Thus, it is the effects of the administrator's performance upon teachers and other functionaries as a group – upon the organization – that provide the basis for determining effectiveness. An effective administrator enhances the performance of subordinates, both individually and collectively. An ineffective administrator is one who inhibits the effectiveness of subordinates, either individually or collectively.

This point emphasizes what I consider to be the major function of administrators, that of facilitating and enhancing the ability of other members of the organization to carry out their duties to the best of their abilities. There is another function that administrators must perform, however: a control function. Superintendents must enforce state laws and regulations and board policy. Principals, as first-line administrators, have a primary responsibility for monitoring those laws, regulations, and policies and of insuring that they are not violated in the day-to-day operations of the school.

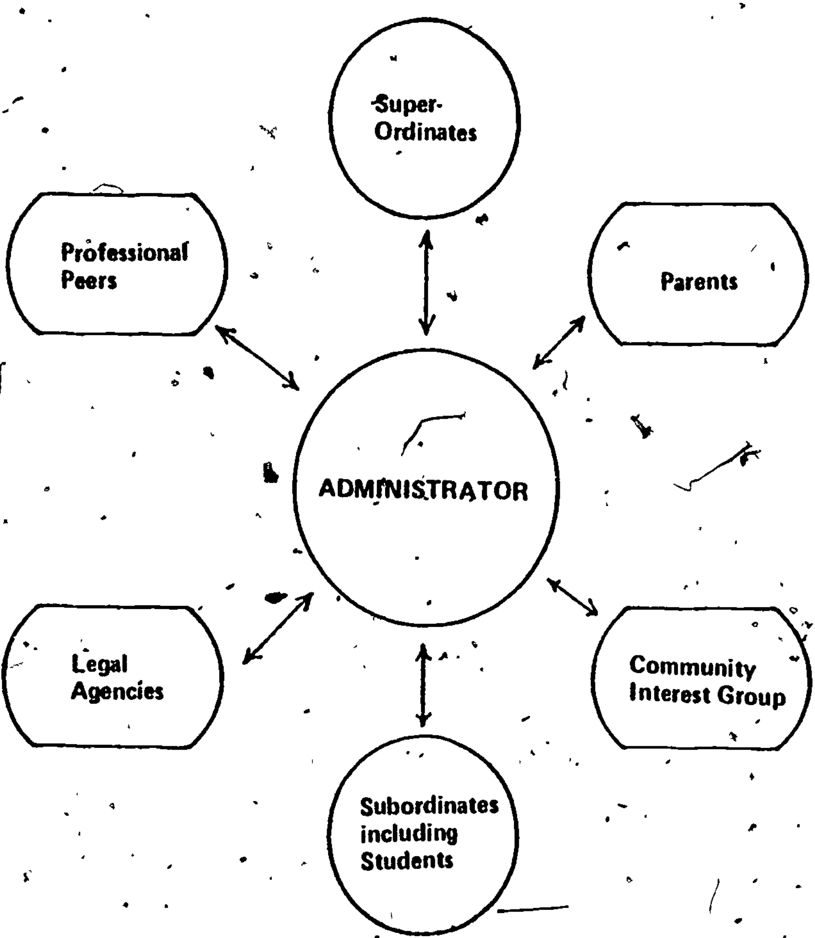
Thus, the administrator, at any point in the organization, must perform, simultaneously, functions that are to some degree incompatible and that involve conflicting expectations for performance. Superordinates tend to place emphasis on the enforcement of policies and regulations, the control function. Subordinates tend to place emphasis on facilitative and supportive behavior, a representative function.

The picture is still more complex, however. As portrayed in Diagram 1, there are other groups who may, and do, hold expectations for how an administrator will perform. (The groups listed in the diagram are illustrative, not inclusive.)

It may be that by now you have concluded that I am

DIAGRAM No. 1

ADMINISTRATIVE PERFORMANCE AND REFERENCE GROUP EXPECTATIONS


Super-Ordinates
Professional Peers
Parents
ADMINISTRATOR
Legal Agencies
Community Interest Group
Subordinates including Students

suggesting that the possibilities for conflicting expectations, and the difficulties of satisfying all of those expectations, are so great that no administrator can satisfy them all; thus no equitable system for assessing performance can be devised. Obviously that is not the case. Many administrators manage to work their way through this maze of conflicting expectations, and they do so in such a manner as to satisfy the majority of those who hold the expectations. The issue before us here is to explore how we might develop a reasonable means of determining the extent to which administrators perform satisfactorily in that complex world.

Up to this point I have been discussing primarily the scope of administrative performance. To provide a framework for assessment I turn now to a brief but more explicit discussion of the nature of that performance. To do this, I will refer to two ways of viewing the administrative role. First, the role can be viewed as a set of tasks that administrators perform. Second, the role can be viewed as a process, a series of actions tak[illegible] as administrators perform their tasks. In Diagram 2, I refer to these two ways of viewing administration as dimensions of administrative performance. (Note that in respect to each task area, essentially the same process would be used to perform the tasks.)

At this point, I merely want to point out the types of tasks with which administrators must deal. In this typology those are listed as tasks related to school-community relationships, curriculum development, pupil personnel, staff personnel, physical facilities, finance and business management, and organization and structure. Later I shall return to the issue of administrative tasks as a basis for the assessment of performance. Before doing that, however, I want to discuss in some more detail the notion of administrative process.

I am using the definition of process employed by Campbell and his colleagues in their book *Introduction to Educational Administration*: "the way by which an organization makes decisions and takes action to achieve its goals." With minor variations, I am also using the components (steps) suggested by Campbell, et al., - decision making, programming, motivation, coordinating, and appraising

DIAGRAM NO. 2

DIMENSIONS OF ADMINISTRATIVE PERFORMANCE

	PROCESS DIMENSION				
TASK DIMENSION	Decision Making	Programming	Motivating	Coordinating	Appraising
School-Community Relationships					
Pupil Personnel					
Staff Personnel					
Curriculum Development					
Physical Facilities					
Finance and Business Management					
Organization and Structure					

ERIC Full Text Provided by ERIC

Decision Making

I will spend more time discussing decision making than the other process components because of its critical importance in how an organization functions and because of the central role of administrators in determining the quality of decisions that are made.

To say that decision making is the essence of organizational functioning is merely to state the obvious. Effectiveness in facilitating the making of decisions looms large in any set of criteria for assessing administrative performance. But what are the particular abilities related to decision making that provide criteria for assessment? I would suggest five: (1) the ability to differentiate among types of decisions; (2) the ability to determine the amount and type of information needed to reach decisions; (3) the ability to determine the appropriate involvement of other people in reaching decisions; (4) the ability to establish priorities for action; and (5) the ability to anticipate accurately the consequences of decisions.

Differentiating Among Types of Decisions

Decision situations vary along a number of dimensions, with the result that there are wide variations among the types of decisions that must be made.

A number of classification schemes might be used to describe those variations. For example, decisions could be differentiated in terms of their implementation requirements and the implications those requirements hold for participation in the decision-making process. If a decision can be implemented only if it is fully understood and supported by a school faculty, obviously the faculty needs to be involved in making the decision. On the other hand, if a decision can be implemented merely through administrative action, and particularly if the content of the decision is of little consequence or interest to faculty members, then the involvement of the faculty not only wastes valuable time but is also damaging to faculty morale.

The variations among types of decisions must be taken into account as one determines the amount and type of information needed to support a decision, the procedures that should be used to reach a decision, the individuals who should be involved in decision making, and the steps that need to be taken to implement the decision once it is made. The ability of an administrator to discriminate among issues and thus to differentiate among types of decisions is essential if the organization is to take appropriate action.

Determining the Information Needed for Decision Making

Search for information constitutes a significant first step in preparing to make a decision. In fact, every step in decision making requires information – information concerning the nature of the problem, information concerning solution requirements and alternatives, information regarding the probable consequences of adopting various alternative solutions, information about the feasibility of different approaches to implementing a decision, and information regarding the outcome once a decision has been implemented.

The administrator who consistently makes decisions without adequate information will inevitably be enmeshed in self-generated problems. This may occur when action is initiated to solve a problem that does not in fact exist, when the administrator fails to recognize a problem that is literally clamoring for attention, or when the administrator's perception and definition of a problem are so inaccurate that any action taken would be inappropriate.

However, just as it is possible to err by taking action without adequate information, so is it possible to err by delaying action unduly while a search for further information is undertaken. Those who would postpone making a decision until *all* of the information is at hand need to be reminded that *all* of the information can never be assembled. Problem situations do not remain static. They change with the passage of time. It is never possible to know whether one has reached the best decision; it is only possible to determine whether one has reached a satisfactory decision. One aspect of effective administrative performance, therefore, is the ability to determine when sufficient information has been assembled to justify action, and then to act.

Determining the Appropriate Involvement of Other People

There is considerable confusion about the issue of employee participation in decision making. The writing on "democratic administration" has been particularly misleading in this respect, frequently conveying the impression that all employes have an inherent *right* to be involved in every decision that is made.

There are obviously a number of reasons why employes should participate in the making of some decisions; indeed there are many occasions when such participation is essential. As I suggested earlier, a decision that depends upon the full understanding and support of a faculty for its successful implementation obviously requires the participation of that faculty. Other decisions require such participation as a means of assembling adequate information, regarding either the nature of the problem or the probable consequences of alternative courses of action. There are a number of additional reasons why employee participation is frequently advantageous for the organization, including the fact that such participation increases individuals' commitment and tends to enhance employee morale.

The fact remains, however, that there are occasions when decisions must be made unilaterally, without the direct involvement of employes. Sometimes this occurs because the urgency for action is such that there simply is not time to allow involvement to occur. At other times, the decision to be made is of little direct interest to employees; in such cases their involvement would be viewed by the employees as a waste of time on their part and as an indication of timidity on the part of the administration. Finally, there are some decisions that are of such overriding importance to the board or the administration, or that deal with such sensitive issues, they must be made from a managerial perspective.

An effective administrator must be able to make defensible judgments in this area. The administrator needs to be skillful in recognizing when involvement is needed and when it is unnecessary, in judging when participation is essential for implementation and when it is irrelevant, and in determining whether an issue is in fact of unusual importance to the management of the organization.

Establishing Priorities for Action

It is always the case that administrators have more problems and issues brought to their attention than they can possibly deal with. Some will be crucially important, many will be trivial; some will require immediate attention, others can or should be deferred; some will require the personal attention of the administrator, others can be delegated. In other words, any administrator is constantly confronted with the necessity to establish priorities for action. This can be done deliberately and with forethought or it can be allowed to occur fortuitously, by default. In either case priorities will be established.

The administrator who moves deliberately to establish priorities is performing in a proactive mode. In doing so, it is possible to control the way time is used and to increase the probabilities of remaining "on top" of problems. On the other hand, the administrator who allows priorities to be established by default is performing in a reactive mode, and will frequently be engaged in putting out brush fires. Manageable problems will frequently become unmanageable.

Anticipating Consequences

Decision making consists essentially of estimating the future state of a system. That is, reaching a decision involves making choices based on predictions of the probable consequences of alternative courses of action. It is characteristic of all decision making, however, that no decision produces only one effect or set of effects, and the consequences of decisions are never limited to those that are intended. All decisions result in multiple consequences, some intended and some unintended, some anticipated and some unanticipated. A decision to initiate a course of action to solve one problem may create other problems. It may also generate an entirely different response from the one intended.

An accurate assessment of the probable consequences of a proposed solution strategy (decision) will greatly reduce the chances that an organization will be taken by surprise. In some instances, such an assessment will reveal probable unintended consequences with potential for serious disruption. With advance information, the organization is able to take steps to minimize or to counteract those disruptive effects. In other instances, harmful aspects of the unintended consequences of a proposed decision will be judged to be so seriously inimical to the organization as to render that decision untenable. Such judgments obviously cannot be made unless those unintended consequences are anticipated. A crucially important administrative skill, therefore, is the ability to elaborate and make explicit the possible consequences, both intended and unintended, of each solution strategy proposed. Only by doing so is it possible to minimize unanticipated (surprising) consequences.

Programming

Once a decision has been reached, a central task of administrators is to take the lead in establishing and maintaining an effective organization for implementing the decision. This involves two major classes of action: (1) establishing structural arrangements that are appropriate for the functions to be performed; and (2) providing adequate incentives to elicit the necessary contributions from members of the organization.

Actions taken related to structural arrangements are what I am referring to as programming. The administrator has a major responsibility for assessing the tasks to be performed in reaching the decision outcomes and for deploying resources, both human and non-human, appropriately according to those tasks. This responsibility involves the selection and assignment of personnel; the development of position descriptions and requirements; the procurement, allocation, and utilization of facilities and supplies; and the establishment of schedules for the effective and efficient use of time.

The way a unit is organized to perform a given task or set of tasks should be determined by the nature of those tasks, whether they represent temporary responses to ad hoc issues or whether they consist of programmed activities designed to carry out essential and enduring organizational functions. The establishment of a committee, for example, could be an appropriate way of organizing to perform an ad hoc task if the task calls for obtaining a variety of points of view and considering a number of alternative courses of action. There are other tasks, however, such as writing a document, that call primarily for the efforts of an individual and for which a committee may be wholly inappropriate.

The use of modular scheduling; the adoption of team teaching; the development of other arrangements for the use of time, space, and personnel for instructional purposes; all of these can conceivably produce beneficial effects. To do so, however, it is essential that all those participating understand the nature of the structural changes and the demands that they place on the interaction patterns of both staff and students. They must also recognize the necessity for altering approaches to instruction and the use of learning materials that arise when new structures are adopted. Such understanding and recognition are not likely to occur unless the administrator is able to conceptualize the relationship between structure and function and can thus take the lead in making the necessary accommodations.

Motivating

Although the development of structural arrangements and the procurement and allocation of resources are important steps in organizing for work, these tasks represent only a first step. An effective organization is one in which the members understand and support the contributions that they must make to implement a decision, and in which a personal sense of achievement is derived from making those contributions.

This means that the administrator must constantly be aware of two imperatives for organizational functioning. First, there must be visible evidence of movement in the sense that the purposes for which the organization exists are being accomplished. Whether this is referred to as task orientation, thrust, production emphasis, or some other term denoting accomplishment, it is an essential element of organizational functioning. Second, members of the organization must be provided with rewards or incentives that are commensurate with the contributions that they are expected to make. The most obvious rewards are those that take the form of salaries and other monetary benefits. But there is massive evidence to demonstrate that monetary rewards alone are insufficient inducements to sustain wholehearted efforts over a period of time. A sense of personal achievement, recognition from others, opportunities to accept responsibility and to experience advancement and professional growth all of these must accompany work if that work is to have sufficient meaning in an individual's life to sustain morale and to provide the motivation to continue to make maximum contributions.

The actions of administrators determine to a large extent whether or not these two imperatives are fulfilled. Some administrators become so preoccupied with task accomplishment that they lose sight of the fact that they are dealing with humans who have their own aspirations for achievement and their own needs for personal fulfillment. Other administrators become so thoroughly imbued with the human element that they forget that the organization exists for purposes that extend beyond the mere happiness and comfort of the employees. To understand the interaction of organizational demands and human needs, of task accomplishment and personal fulfillment, and to perform accordingly, is an important aspect of effective performance in the administrative role.[5]

There are indicators available that can be used to determine whether an administrator functions effectively in this domain. One such indicator can be found in the way an administrator uses information and formulates problems. Mature and competent individuals tend to view problems as a challenge; they respond to the problems confronting them. This occurs, however, only if the problems are viewed as real and of direct concern to those who must participate in solving them. An effective administrator, therefore, is alert to information that indicates that a problem either exists or is arising; such an administrator seeks ways to share that information with others so that they accept the problem as one calling for attention.

The incentive to perform is also affected greatly by the ways administrators use rewards and sanctions. Although teachers, like employees in other organizations, look to a variety of sources for social support, they are particularly sensitive to the way administrators respond to their performance. If their attempts to be creative and imaginative are met with indifference or hostility on the part of administrators, then the incentive to be creative and imaginative will be seriously curtailed. If recognition, including promotion, consistently goes to those who are submissive and passive, then submissiveness and passivity become the accepted norms for behavior.

Coordinating

The need for coordination is inherent in all activities involving the efforts of two or more individuals. Depending on the nature of the organization, coordination may take a number of forms. The assembly line in some manufacturing firms represents a classical example of a response to the need for coordination.

The school is not a manufacturing firm, however, despite recent attempts to define students and student outcomes as products. Coordination in an educational organization is achieved primarily through (1) developing appropriate descriptions of positions and defining the relationships among positions, and (2) establishing adequate provisions for the sharing of information among those who occupy complementary positions.

Evaluating

In the present context, the term evaluating is used to refer to the need to determine the extent to which a given decision produced the desired outcomes. Although it may at some point involve assessing individual performance, it consists primarily of accumulating information to determine the adequacy of (1) the initial decision, (2) the programming efforts to implement the decision, (3) the incentives provided to motivate the participants, and (4) the provisions made to coordinate those efforts.

Implications for Assessing Performance

The evaluation of administrative performance requires attention to both dimensions of that performance, process and tasks. The criteria for evaluation should be drawn from expectations for performance that are held by relevant reference groups, with appropriate attention to the conflicts that exist regarding those expectations.

Earlier, as illustrated in Diagram 1, I indicated that there are many groups that hold expectations for the performance of administrators, including parents, professional peers, legal agencies, and community interest groups. These I would refer to as secondary reference groups. The primary interest groups, subordinates and superordinates, are members of the organization and are those whose expectations provide the major source of evaluative criteria. In developing criteria, it is essential to pay attention to the need for both facilitative and controlling behavior. This means that the expectations from which the criteria are drawn are necessarily situation specific; that is they come from personnel in the particular organization, school or school district, in which the performance is being evaluated.

It will be recalled that evaluating performance regarding process involves making judgments about the quality of behavior related to decision making, programming, motivating, coordinating, and appraising. The scope of behaviors related to process is so great that at best those behaviors can be sampled. One way to do this is to develop a scale that samples process behavior, validate the scale using the expectations of the appropriate superordinates and subordinates, and to administer the scale periodically. The results obtained can then be used to assess performance in relation to those expectations. This, in turn, can lead to altering behavior of the administrator being evaluated, modifying the expectations for performance, or both. Assuming reasonably adequate performance, both will generally occur, leading to a narrowing of the gap between expectations and performance and to an increase in the general level of satisfaction of all involved.

One example of such a scale was developed for use in evaluating the performance of department heads at Mankato State College in Minnesota, as discussed in the Winter 1975 issue of *Educational Record*. Both the Dean and members of the department rate the department head on five dimensions of performance. Included in the scale are such items as the following. communicates . . . in a timely, responsive manner; is duly sensitive to . . . needs for information; gathers pertinent facts before acting; consults with others on important decisions; initiates and sustains action toward defined goals; encourages initiative and innovation; makes time for planning by delegating routine work; and, overall, should the . . . administrator be retained in the position?

As is the case with behavior related to process, the scope and range of administrative tasks is too great to monitor completely. Thus, it is necessary to find a way to sample task performance. In this case, sampling can be accomplished by paying attention to priorities for action at a given point in time.

At periodic intervals, generally at the beginning of an academic year, each administrator could be required to develop a list of tasks to be targeted for priority attention. To meet the test of congruence with expectations that list should be submitted for ratification by both subordinates and superordinates. At the end of the specified period, again generally an academic year, the administrator would prepare a report that would include:

1. a brief description of the tasks that received major attention during the year,
2. a summary of accomplishments, including a discussion of problems that inhibited accomplishment,
3. a self-appraisal of performance in relation to the priorities that were established at the beginning.

After receiving the report prepared by the administrator who was the object of evaluation, the immediate supervisor would prepare an evaluative statement regarding the administrator's performance. In preparing this evaluation, the supervisor would be expected to obtain evidence from subordinates and other relevant groups regarding the administrator's performance in respect to the priority tasks that had been established and agreed upon earlier. That evidence should be summarized in writing.

The performance reports of both the supervisor and the administrator being evaluated would serve as the basis for a conference between the two. Both the assessment of performance for the period of time covered by the reports and a work plan for the ensuing period would be discussed and reviewed.

Based upon the conference, the supervisor would prepare a summary evaluation report, to become a part of the administrator's personnel file. Supplementary information could be provided by the administrator whose performance was being evaluated, through which it would be possible to provide documentation to support any point at which that individual disagreed with the supervisor's report.

Obviously, the specific procedures outlined here would need to be modified to fit specific situations. Two general principles should govern in any case, however. Evaluation of administrative performance should be situationally specific and should be based upon reasonable three-way agreement regarding expectations for that performance, beginning with the administrator being evaluated and including both subordinates and superordinates. Criteria for evaluation should be drawn from both the process and task dimensions of the administrative role in the specific situation.

ERIC
Full Text Provided by ERIC

PART II

PROBLEMS AND ISSUES IN THE EVALUATION OF ADMINISTRATIVE PERFORMANCE

Dr. Dale Bolton, professor of education at the University of Washington, sees an amorphous mass of problems and issues concerning the evaluation of administrative performance. To give structure to the wide range of concerns, he has choosen to sub-divide the field into three categories: (a) designing, (b) implementing, and (c) evaluating a system for evaluating administrative performance. At the heart of this paper is a discussion of the often overlooked question: "Should a system be designed which takes into consideration the reality of the situation which exists?"

EA 010 405

ED151911

PROBLEMS AND ISSUES IN THE EVALUATION OF ADMINISTRATIVE PERFORMANCE

Dale L. Bolton

The task which I face in discussing "Problems and Issues in the Evaluation of Administrative Performance" is relatively straightforward, even though it is quite difficult. As one faces the subtleties of the ideas included in this topic, one becomes aware of a rather amorphous mass of problems, issues related to the problems, and issues independent of the problems. The problems and issues are indefinite in that they are described differently by different people, have different significance to individuals in various roles, and appear to change from situation to situation and from time to time. Yet there appears to be a historical persistence to some of them. The technical name for all of this is, of course, a "mess." I perceive that my task is that of sorting out some of these ideas in such a way that the amorphous mass might begin to take shape, and that the separation of the "mess" into divisions with reasonable boundaries might help clarify our thinking and perhaps lead to fruitful action.

Therefore, I have chosen to subdivide the topic into three major divisions: (a) designing, (b) implementing, and (c) evaluating a system for evaluating administrative performance. The preface is concerned with what I consider to be a major issue which must be faced prior to designing an evaluation system, and one which is not generally discussed or recorded in the present literature.

Preface

It appears to me that the basic issue which must be faced by anyone responsible for evaluating administrators is, "Should a system be designed which takes into consideration the reality of the situation which exists?" A corollary to this is the issue of whether an effort should be made to convince others to take into consideration and attempt to cope with the reality which exists.

At first glance the answer to this question appears obvious -- to the extent that one may even question whether an issue actually exists. Yet the manner in which some people behave causes me to wonder whether this question has been faced seriously. Let us consider some examples of reality which bear on this issue.

First, there is the well-known fact that schools have clients and that these clients are outside the school system. Further, a sizeable portion of these clients have recently become vocal about the fact that they expect educational administrators to be productive, and that they should be accountable to the outside clients for this productivity. In many situations, the clients have disparate values and views concerning what is important regarding productivity, but there is considerable agreement that the need for accountability exists. Yet, there are still a number of administrators who desire to ignore the posture of clients for accountability - almost to the extent that they either think it is unreal or that it will go away. Should our evaluation of administrative performance take into consideration these two real forces: the external pressure for accountability, and the internal resistance to interference by nonprofessionals? If so, are we willing to face the reality of the difficulty of acquiring an accurate measure of the nature of the two forces, how they impact on each other, and how they change from time to time?

Second, let us examine some internal conditions of reality. It appears to me that a continuum exists with relation to how precisely different administrators desire to communicate and to describe their own activities. Some are very precise, others are much more vague and ambiguous. For example, if you ask three building principals how often they make systematic classroom visits with follow-up conferences, one principal might indicate that he visits a few classes each week, another might indicate that he visits two or three classes per week, while yet another might indicate that over the first six weeks of school he visited 16 classrooms, which averaged just slightly more than five classrooms every two weeks. They may be describing very similar behavior, yet the precision of description is considerably different. Each may have real or imagined reasons for thinking that his means of communicating is beneficial, yet others with whom he communicates may wish that events were described differently.

Another internal condition of reality is that there are varying degrees of commitment to the use of evaluation as an integral part of the managerial style. Some are convinced that the emphasis on evaluation in management is merely a passing fad, others view it as an impediment to creative activities, and still others think that it prevents the full development of a helping relationship with supervisees. When people with these views get mixed signals from top administrators, their initiative in the use of systematic evaluation is an indication of their commitment to it becoming a part of their managerial style. It appears that where the lack of commitment is at the top, the issue of whether (or how) to face this reality is of a somewhat different nature than when this lack is at other levels in the organization.

Another example of an internal condition of reality to be considered is that of differing levels of enthusiasm for task accomplishment. We all have known individuals who approach retirement with the view that it should begin several years before going off the payroll, or the person who has so many outside activities which consume energies that very little remains for learning new skills or procedures, or the person who is emotionally or physically distracted to the extent that there is considerable preoccupation with these personal problems. Each may be minimally competent, yet be considerably lacking in enthusiasm for work productivity.

The overall issue, then, is whether or not we should take into consideration such examples as these when we design and implement a system for evaluating administrative performance. Or should we simply ignore such conditions which might exist and design as though everyone accepts our view of how we think people and the world ought to be?

If one decides to consider these realities, in what way should they be "considered"? Should we try to cope by attempting to effect change in other's views of their environment and their job, or should we try to change the environment and the task in such a way that it coincides more adequately with their views? Etzioni (1972) has indicated that the latter procedure may be more successful (and even more ethical) than trying to change people, and that we may be spending too much effort attempting to accomplish the very difficult task of changing people.

Design

With this issue of what to do with the reality of situations which face us as a background, let us turn to the formidable task of designing a system for evaluating administrative performance. What are some of the problems and issues here? I shall deal briefly with the bases for design, criteria for evaluation, means of data collection, use of data, and certain general principles.

Bases for Design

Yogi Berra, the eminent major league baseball player and coach is quoted as saying "If you don't know where you are going, you might end up someplace else" (Monroe 1973). In spite of its considerable ambiguity, this statement still should remind us of the tremendous need for clarification of the reasons for evaluation of personnel. But surely such stated purposes, even though they clarify direction and give us one basis for designing a system of evaluation, are not sufficient for providing the bases for design. Some descriptions of evaluation systems include a philosophical statement, indicating what the adopting body believes to be true about such things as behavior, the nature of man in general, the way adults learn, and motivational factors for adult behavior. At other times, assumptions regarding such things as whether individuals desire change in themselves, or what constitutes fairness among employes, or what productivity a person can be responsible for are not made explicit; rather, they must be implied by the manner in which procedures and criteria are described.

What, then, are the problems and issues in this area? Let me list just a few:

1. How can *all* purposes for evaluating administrators be stated, without getting embroiled in meaningless arguments over whether one is primary or more basic than another? If it is desirable to evaluate administrative performance for the purpose of improving that performance and it is also desirable to evaluate in order to make administrative decisions, then there are times when problems occur in stating both of these in such a way that it is acceptable to all parties concerned and still precise enough to assist in the

design process.

2. How can assumptions regarding such things as the general and unique nature of man, about the purposefulness of an organization, and about the recognition and handling of conflict in an organization be stated without becoming so ponderous that they become meaningless to anyone except the author? Surely it would be helpful in designing an administrative performance evaluation system to have clearly in mind what assumptions are made regarding the need to restrict administrator's behavior, or whether one is to assume that each administrator in the organization desires to improve his own performance.
3. In what manner is the organization expected to be fair to all people? Should all be treated alike by applying common criteria to all? Or in what way should fairness be exhibited by showing consideration for unique circumstances, interests, and talents? Related to this is the type of problem which sometimes occurs when a person is hired for a certain job and emphasis, and later this individual wants to change the job due to a developing interest. Therefore, he sets goals and objectives more in line with this developing interest and pushes for mutual agreement. One consequence of such behavior might be the erosion of the direction of the organization; another might be that the style of management approaches a "muddling through" process rather than a design.
4. What behavior and results of behavior can a given administrator be expected to control and/or influence? Should an administrator be evaluated on certain activities or results if indeed the external forces are so great that he can have little impact? Or, conversely, should he get credit for supportive external forces which he did not influence?
5. A problem exists when there is an apparent lack of consistency between written statements which provide the bases for design and the description of procedures which follows. For example, if the statement of purpose indicates that the evaluation system is designed *only* for improvement and the statement of roles of the evaluator includes: (a) assisting evaluatees, (b) judging overall effectiveness, (c) keeping records for central office, and (d) evaluating appeal

procedures: then a problem of inconsistency exists.

Criteria for Evaluation

If there is one area which captures the heart of most discussions regarding evaluation, surely this is it. It is in this arena that people differ over the need for a job description, over perceptions of role expectations, over how goal statements should be written, and over the impact of performance standards on behavior. Even the meaning of the term "criteria for evaluation" is unclear; some people are referring to characteristics or personal qualities of administrators (such as emotional stability, appearance, and sociability), others are referring to certain functions performed (such as implementation or maintenance), others are referring to procedures used by administrators (such as conducting inservice programs for teachers, planning with PTA groups, or initiating a change in some aspect of the curriculum), while still others are referring to results of behavior (such as changes in teacher behavior, or changes in school climate or parental satisfaction). With such differences being expressed, numerous problems and issues exist. The following are illustrative:

1. How much detail should be provided in specifying standards of performance for administrators? Since there is almost an unlimited number of behaviors and results of behaviors which might be specified, what level of generality is likely to be most helpful to evaluator and evaluatee? Is this level of generality likely to be different for different individuals? There appears to be a need for standards of performance to be specific enough to give direction and allow judgments regarding excellence and progress to be made. However, too much detail may cause a lack of attention on the important tasks, tend to drive out creative and assertive people, and attract only the passive and conforming.
2. How can evaluative criteria be written in such a way that there is a clear relationship between the processes to be used and the outcomes expected? Sometimes processes are discussed as though they are ends in themselves; job "targets" are written as though there is no distinction between process and product. For example, in the area of

"professional development," a target of "attending an inservice course each year" will be rather meaningless unless there are some outcomes expected. Research does not clearly specify what administrative behaviors or characteristics produce particular results. Therefore, there is a need for local organizations not only to specify what results are desired, but also make a first estimate of what behaviors are likely to produce those results.

3. How can criteria be specified so that they are pertinent despite fluctuations of expectations due to situations and changes over time? Most administrative jobs are dynamic rather than static. Consequently, there is a problem of keeping criteria flexible enough to be up-to-date and yet provide stability to the direction and functioning of the organization.
4. How can criteria be stated so they are "real" enough to administrators that they become commited to act on the basis of them? Sometimes written job descriptions and role expectations are helpful in clarifying the general nature of a job; but administrators with the same job description may interpret them differently and consequently perform in entirely different ways. In order for evaluation of administrative performance to occur, the role expectations and the job descriptions must be translated into specific objectives and these objectives must be measurable. For trivial tasks, this is easy; for the significant ones, problems exist.

Means of Data Collection

The collection of information needed to evaluate administrative performance is harder to deal with than for evaluation of teachers. Basically, information can be collected in one of three ways: observation of behavior, asking questions, and examining written documents. Certain processes used by teachers are difficult to observe (e.g., how well the teacher manages emergencies), but *most* of the processes used by administrators are considered unobservable or would require an intrusion which would severely alter the situation. Therefore, more emphasis is likely to be placed on information from records, from self-report devices used by the evaluatee, and by self-report devices used by clients and subordinates of the evaluatee. Problems and issues which arise regarding the specifics of such records and devices include the following:

1. How can agreement be reached regarding who collects data, what data will be collected, when and where will it be collected, and how will the data be collected? The extreme emphasis on evaluating teachers on the basis of classroom processes has had an impact on the evaluation of administrators, and there is therefore a hesitancy in saying one has adequate information to make evaluative judgments unless considerable observing is done. Yet, judgments must be made, and the more interpretable information one has at the time the judgment is needed, the better the judgment is likely to be.[1] Explicitness regarding data collection is not only likely to reduce conflict but also is likely to facilitate the beneficial use of the data.
2. How can forms be developed which will facilitate the analysis and interpretation of the data, the making of short-term decisions, and the summarizing of data and conclusions which cover a longer period of time? Many school districts have developed summary report devices which they then attempt to use for short-term recording, analysis, and interpretation of data. The results can be as disappointing as trying to hammer a nail with a rubber-heeled shoe or carving a delicate wood sculpture with a table knife.

Use of Data

The use of data involves the analysis and interpretation of data prior to making decisions, during which time communication is occuring between the evaluator and the evaluatee. Since much has been written regarding the analysis and interpretation of data, let us focus on the nature of the decisions to be made. Aside from the infrequent decisions regarding modification of assignment, these decisions appear to be concerned with the following questions:

1. Were the results satisfactory? Did we accomplish what we

---

[1] Some even posit such rules as "Any yardstick, no matter how crude, is better than none at all" (see: Monroe 1973).

wanted to accomplish?

2. Were the goals reasonable? Were goals set that were reasonable for the situation, or should they be lowered or raised?
3. Was the process fully implemented? That is, when we decided that we wanted certain outcomes to occur, we also decided on a process to use in order to accomplish these outcomes; was this process implemented as designed?
4. Should the process be modified? Whether or not the goals change, should the same procedures continue to be used?

For example, suppose that a principal sets an objective that he would like for all social studies teachers in the building to be asking at least 25% of their questions at the "analysis" level of Bloom's *Taxonomy* by the end of the first quarter of the school year. That is an outcome objective for which we can answer the question of whether the results are satisfactory. But at the time the outcome is decided upon, a process should also be determined to accomplish the outcome. Suppose this principal's process is to observe and record the level of questions that is being asked by each teacher at three different time intervals and provide individual feedback and discussion of how teachers might modify their behavior in order to ask higher level-questions. If that is the process to be used, then one decision must be focused on whether this process was implemented. This information is needed if one desires to replicate the process to obtain similar results, or to determine whether to establish controls over the implementation, in case the process was not followed properly (e.g., if three observations were not made, and therefore feedback not provided). Finally, the decision regarding changing the process should be based on the answers to the questions regarding results and changing of goals. If the teachers did reach the level of 25% analysis questions, and if similar *principal* objectives have to do with assisting teachers in changing their behavior, then this principal may decide to continue to use relatively frequent feedback and discussion as a procedure.

As the evaluator is looking at the data and trying to make these types of decisions, he is communicating with the evaluatee. The analysis, interpretation, and decision making are not done in isolation.

What are some problems and issues concerning the use of data?

1. How do we design a process for evaluation that will allow us to examine data prior to coming to conclusions? This is a very difficult task, because it involves not only describing what should be occuring, but also training people so they will not quickly jump to conclusions.
2. How can the process be designed so that both the evaluatee and the evaluator are involved in communicating with each other regarding the use of data? Are they actively and cooperatively involved in making sense out of the data and in making decisions regarding goals, implementation and procedures?
3. How can the process be designed so that the focus of the total decision process is on the relationship of the processes and outcomes? The tendency is to look at one or the other. Initially, management by objectives procedures which originated in business and industry had a heavy emphasis on outcomes, or production. However, there is a tendency for educators to focus on process, on what teachers and administrators do, with less emphasis on direct results of these processes. I perceive the problem here to be one of acquiring and using data in such a manner that the process is examined in relation to the outcomes in a specific situation. In effect, the administrator is concerned with the question "What works for me in my situation?" "What" is the process, and "works" is the outcome, and the problem of data use is to focus on the interrelationship of these two types of data.
4. How can the evaluation system be designed so that records are open to evaluatees, and so that communication is open and authentic between evaluators and evaluatees? This question is related to both legal and ethical issues, and implies that there is a need to design a system which allows people to know what is happening to them.

Some General Principles

Let us turn now to some general principles of designing a system for evaluating administrative performance. A bias exists on my part that the process of evaluation is much more important than the devices used for recording information. To date the practice has been to seek forms and devices for recording information that will allow evaluators to operate effectively without having to work hard to develop the skills needed to plan, to interact sensitively with people, and to make judgments that benefit both people and the organization.

There also is a tendency to desire closure and permanency for a situation. Open, dynamic circumstances require work, reactions, and coping. When large segments of the organization and the external environment are changing at the same time, many administrators desire that some parts of the system remain stable long enough to be able to cope with parts that are changing. Hence, the desire for closure and permanency on certain procedures and outcomes. Desire for closure and permanency are sometimes related to a leaning toward isolationism. Some principals tend to view the building attendance area as their world, to isolate themselves and to close out the needs of the total organization or what is happening at other levels of the organization.

What are the problems and issues related to these tendencies?

1. How can an evaluation process be designed so that a cyclical process is used rather than a linear one? There is a desire to reach closure at a certain time, but that closure is simply the starting point for the next cycle of events.
2. How can an evaluation process be designed so that it is a subsystem of the overall strategy of management? Many administrators do not see how evaluation helps them do their job better; consequently, they resist incorporating it into their managerial style.
3. How can an evaluation process be designed so that it includes both a self-evaluation component and an external evaluation component? The self-evaluation component is continuous, involves the evaluatee as evaluator, and provides instant feedback. However, the external evaluator is necessary in order to assure that criteria are compatible with the goals of the organization.

ERIC Full Text Provided by ERIC

Implementation

This section will include a discussion of purposes and payoff as they relate to implementing an administrator evaluation system, a consideration of who will develop the plan of implementation, some problems and issues regarding the general orientation of the implementation process, some legal and ethical problems, and some problems regarding the reinforcement and support of the evaluation system.

Purposes and Payoff

There is a need for administrators who are responsible for implementing a process of evaluation to obtain concurrence of those who will be involved in implementing it. Otherwise, an ostensibly well-designed evaluation system may be difficult to implement because of differences of views regarding purposes or reasons for evaluating, practicality of processes, or potential benefit for the time invested. Because of such difficulties, many argue for the same people being involved in designing the evaluation system who will be involved in implementing it. Where different people are involved in the two stages, there needs to be a clear understanding of the relationship of design and implementation, and individuals need to be willing to change plans and goals where there is sufficient evidence that there will be extreme difficulty in implementation.

What are some of the problems and issues?

1. There is the problem of translating the purposes of an evaluation system to actions needed for implementation. There is a tendency to write purposes in general terms on which everyone can agree; then, when the implementation stage is reached, disagreements occur. For example, some evaluation systems state the purposes of evaluation in general terms and omit any specific statement regarding the use of evaluation for the purpose of release of personnel. (Perhaps the general statement includes something about the need to modify assignments of personnel, however.) When written reports are filed and letters written which indicate that action is to be taken regarding release, considerable confusion and animosity are likely to occur.

The problem here is that of designing purposes so that the implementation and action will logically follow.

2. How can the implementation occur in such a way that payoff from the evaluation process will be greater than the amount of time and money put into it? Whether the system of evaluation is worthwhile or not is an empirical question within a specific situation (not a deductive one for all situations), and payoff for the administrator needs to be determined in terms of what the administrator is desiring to accomplish with this subsystem of his total management system.
3. How can the evaluation process be designed so that evaluation becomes an integral part of the total management style, so that evaluation permeates all levels of the organization? When this occurs, supervisors begin to model the behaviors desired in subordinates. For example, if a superintendent expects principals to collect information from teachers regarding their perceptions of the principal's behavior, then the superintendent should model that behavior by asking for principal's perception of the superintendent's behavior. When evaluation permeates the total management system, there should be a much more conscious decision of whether to attempt to change situations in which people work or to try to provide training and supervision to change the behavior of the people.

Who Develops Plan for Implementation

The plan for implementation should include the objectives of the implementation (specifically, the outcomes desired if the implementation is done properly), the activities which will be needed, the people who will be involved, the time sequence of events. Those who are involved with developing such a plan should be both capable and willing to deal with the future, anticipating and exploring possible consequences of various alternatives. Likewise, the people who are involved should have a stake in the outcome due to being affected directly; yet they should make substantive contributions via their ideas and viewpoints. It is desirable that the planners represent a large number of people in the organization and be able to communicate with them as plans are progressing.

What are the problems and issues?

1. Should the development of a plan for implementing the evaluation process be developed by an individual, a committee, or a task force? The distinction between a committee and a task force is usually in terms of the time blocks provided for meeting and working, and the duration over which the groups function. The committee meets for short periods over a long time, while a task force meets in larger time blocks and finishes its work more quickly.
2. How can the implementation be planned in such a way that adequate time is provided for communicating with those who have a stake in the outcome and yet not so much time elapses that large numbers of people lose interest in the project? This is a problem of making judgments regarding the time lag needed to plan the implementation.
3. What is a workable size group for planning the implementation and how can resources be provided to the group for making decisions? Two people may be too few and 50 may be too many, but there should be a workable size group for planning the process. Resources may include released time from other responsibilities as well as expert consultant help for information.
4. How can the implementation be planned in such a way that the eventual formal negotiation process (for adoption) will be facilitated? It is likely that the group selected for developing the plan will facilitate the negotiations process if they are people who have credibility with the negotiating groups. Once the design is completed, the formal negotiations will proceed rapidly and smoothly. The problem is how to involve people who have that kind of credibility.

General Orientation

Generally, administrators are concerned with developing both high productivity and high morale. To accomplish this, it is considered desirable to have open, authentic communication; to adopt a futuristic and goal oriented posture (rather than looking

ERIC
Full Text Provided by ERIC

backward at problems) in order to evade adversarial relationships; to limit the responsiblity of individuals to the extent that they do not feel harassed by the multiplicity of tasks; and to face realistically the resistances to evaluation procedures.

What are the general problems and issues?

1. How can an evaluation system be implemented so that adversarial relationships are minimized? Generally, one assumes that adversarial relationships between evaluator and evaluatee lead to less productivity and lower morale. Therefore, the problem is one of getting evaluators to focus on what can be done in the future to accomplish objectives rather than to have a fault-finding attitude regarding problems of the past. The analysis and interpretation of data should be realistic and not evade problems, but the emphasis should be on what is to be done during the next cycle in order that outcomes will be accomplished.
2. How can evaluation systems be implemented so that there exists a realistic and well-understood division of labor? Elsewhere (Bolton 1974) I have discussed the distinctions between processes and products of teachers, principals, and superintendents. Where the superintendent's process is a management development program, the direct product is principal behavior, i.e., the process of the principal. Likewise, where the principal's process is a supervision and inservice training program for teachers, the direct product (outcome) is teacher behavior — or the teacher's process. Only in the case of the teacher is the product that of student behavior. In each instance, the product of one person (e.g., the superintendent) is the process of another (e.g., the principal). Until the distinction between process and product is clarified so that one knows *whose* process and product is being discussed, there will be great difficulty in separating people's responsibilities and having a reasonable division of labor.
3. How can the implementation occur so that resistances to evaluation are realistically considered? There exist certain kinds of positive views toward evaluation, including the following:
   a. Evaluation contributes to accomplishing organizational goals.

b. Evaluation determines the contribution which an individual makes to the organization.
c. Evaluation has the potential for identifying certain weaknesses and therefore identifying ways of improving the organization.
d. Evaluation has the potential for improving communication and reducing conflict.
e. Evaluation provides the capability for recognizing high performance.

On the other hand, there is a need to understand that there are certain resistances (Anderson 1975, Bolton 1973). Illustrative of the resistances are the following:

a. Evaluatees resist when they think there is a lack of objectivity in the evaluation process. In many cases they are saying that the evaluator does not have the expertise to evaluate, or have access to proper information, or know how to analyze the information, or know how to determine what is important, or know how to communicate with the evaluatee.
b. Evaluators resist when they are not sure of the criteria of the process to be used.
c. Evaluators resist on the basis that evaluation is a waste of time and effort or that there is not enough time to do the job. This is generally a time management job, and one which usually requires shifts of priorities as well as additional training.
d. Evaluators also resist placing themselves in a position which could adversely affect another person's life. Of course, another perspective is that an evaluator has the potential for helping a person do a job better and get more satisfaction out of it.
e. Evaluatees resist when they perceive that the basic motivation of the evaluator is that of fault finding, i.e., that the evaluation is designed to be used *against* the evaluatee.

4. How can the evaluation process be implemented so that surprises can be minimized? For example, criteria should be discussed, conference and report schedules explained, and meanings of measuring devices clarified.
5. How can the evaluation process be implemented so that

evaluators who need training in the skills needed to function effectively are provided such training? Evaluators need to feel comfortable in their role as evaluator in order to communicate effectively and to develop a trust relationship with evaluatees. Also, they need to understand procedures thoroughly and be able to follow through with them as designed. For example, if the evaluation process includes management by objectives procedures, then evaluators generally need training in the skills of writing and critiquing objectives, in conducting conferences, and in providing feedback – to name only a few of the skills needed.

Legal and Ethical Problems

It appears rather obvious that we are currently in a legalistic era. Such an era requires that the evaluator have considerable information regarding criteria and processes. Due process is especially important when there is a consideration of change of assignment or release. Ethical considerations of open files and open communication are also important when implementing the administrator evaluation system.

What are the problems and issues?

1. How can the evaluation system be implemented so that communication processes are explicit and agreed upon by the parties involved? What communication is needed before you collect information, what information is needed during the time information is being collected, and what information is needed after collecting information? Also, what communication should be written and what should be oral?
2. How can the evaluation system be implemented so that information regarding the specific purposes of evaluation, and actions to be taken, can be communicated regarding each evaluatee's status? For example, an evaluatee has either a status of "retain in the organization," or "consider for release from the organization." If the evaluatee is in the "retain" category, then his goals are likely to be concerned with improvement of performance and his actions with planning and implementing procedures to bring about such improvement. The evaluator's actions will focus on

providing feedback and assistance. If the evaluatee is being "considered for release," his purpose will also be concerned with improvement of performance; but in addition, there is a goal of improving and changing behavior to the extent that the status changes to "retain." Under such circumstances, the major evaluatee actions are to modify behavior in the manner specified by the evaluator. Therefore, the evaluator must not only take action to provide feedback and assistance, but also to give specific directions regarding the needed change of behavior. There generally is no problem on the evaluator's part in providing direction. There may be a problem, however, in providing it explicitly in writing, and in specifying exactly what assistance will be provided in order that the evaluatee's behavior may be modified. All of this information system should be implemented in such a way that it is related to the local grievance procedure.

Reinforcement and Support of Evaluation System

There is a tendency for systems to die, whether they be physical organisms or organizational structures (Smith 1956). Evaluation systems are no exception. Unless support and reinforcement are provided, an evaluation system will die rather quickly and provide very little benefit to individuals or the organization during the duration of existence. If one had complete information regarding the nature of events to come, support could be provided in such a manner that the system would not only survive longer but be of a high quality during its lifetime. Even though complete information is not available, decisions must be made regarding support and reinforcement when evaluation systems are implemented.

- What are the problems and issues?

1. Who will provide reinforcement and support to the evaluation system? Will top level administrators and the Board of Education support the evaluation system, or will it only be supported by the public and mid-management? How can the system be implemented so that support is assured by people in status and power?
2. What should be the form of reinforcement and support? Is it sufficient that top management provide annual reminders

of reports due, or is the process so continuous that much more frequent review and use of evaluative information is needed?

3. How can an evaluation system be implemented in such a way that it receives support and reinforcement simply because it is truly an integral part of the total management strategy and style? Reinforcement becomes a natural consequence of its successful use as a part of day-to-day operation, and the problem is that of implementing in such a way that this occurs.

Evaluation

If one desires to evaluate the system used to evaluate administrative performance, one might first raise the question "What makes a good evaluation system?" In response to such a question, I would first posit that it should do something for administrators – both those who are evaluating and those who are being evaluated. Second, I would suggest that there should be certain indications that the system is working once it is in operation.

What Should Evaluation System Do

Let us examine some problems and issues in relation to what the system used to evaluate administrative performance should do, especially for administrators.

1. How can we acquire evidence that the evaluation system is helping administrators do their job better? Specifically, is there evidence that the evaluation process helps administrators to provide service to others and service to the organization? The service to others should help them to perform better and be more satisfied with their job. The service to the organization is to assist it to proceed in the direction it is designed to go – because it is a purposeful organization. If anything is damaging the organization, are administrators taking steps to correct the errors that creep in? In effect, is the administrative evaluation system helping administrators to bring about better performance of individuals, teams, and groups, and to correct errors as they

occur?

2. How can we acquire evidence that the evaluation system is helping administrators develop a strategy for management which is cyclical and self correcting, rather than linear and oblivious to correction? What is the intent here? Let me illustrate both the linear and the cyclical style by identifying certain steps that characterize the styles.

Linear. The linear style of management appears to go through the following stages.

1. Begin the year.
2. Specify general goals. Let us suppose this person has three goals: students achieve higher, students like school better, and teachers are more satisfied with their jobs.
3. Exhort and encourage people. This person emphasizes the positive, repeats the limited set of goals often, and may use a large repertoire of cliches and current catch phrases. All of this activity is designed to encourage and commit people to exert effort toward the general goals.
4. Maintain the organization. This person knows that maintenance in an important function, since without it certain activities deteriorate; so he replaces materials and equipment, listens to complaints, and sees to it that functions performed last year are repeated.
5. Wait for problems to occur. This person knows that there will be problems, so he waits for them.
6. Solve problems. When problems occur, this person solves them. He becomes very good at problem solving, and the more experience he has at problem solving, the better he becomes. And the better he becomes, the more people bring their problems to him for solving. And the more problems they bring, the more dependent they become on him for solving their problems. And this continues through the year.
7. End the year.

This may be somewhat exaggerated, but my intent is to display a person whose aim appears to be to finish the year. The linear strategy starts, goes through the year, and ends. I have sometimes described this as a basketball referee strategy. You probably have seen some basketball referees who behave in such a way that you are pretty sure that their real object is to finish the game and get out the back door before the crowd descends upon them. Some administrators operate in that way also. They really want to finish the year and get all the keys turned in at the end of the year and get out before the whole place collapses around them.

Cyclical. Contrast the following phases with those just discussed.

1. Plan. Included in this phase is the specification of general goals as indicated in the linear strategy. However, this person does not conclude his planning here. There also is the need to identify specific objectives, activities needed to accomplish the objectives, people who will be engaged in each of the activities, and the time sequence of events.
2. Implement. This is a matter of putting the plan into operation, of taking the initiative to see that the activities are begun and kept on schedule.
3. Maintain. This is the same function as identified in the linear strategy; except that the focus is in relation to a specific plan rather than to prior activities.
4. Evaluate. This part of the cycle provides the feedback necessary to aid in correction, by re-planning, by modifying implementation procedures, or by changing maintenance activities.

The person who uses such a cyclical style of management may go through the cycle a number of times during the year concentrating on various aspects of the part of the organization for which he is responsible. The incorporation of evaluation in this style encourages others to model administrative behavior. For example, teachers see a relationship between this administrative strategy and the teaching strategy they have been encouraged to use, *viz.*, diagnosis, prescription, implementation, and evaluation. They see the benefit of making long-range plans and of correcting these plans in terms of short-range evaluation.

The problem here is that of designing an administrative evaluation system which encourages administrators to incorporate evaluation into their own administrative strategy.

Is The Evaluation System Working

What are the indications that the system for evaluating administrative performance is working? What are the problems and issues which relate to this question?

1. What evidence is there that the function of evaluation permeates the management system? Are there indications that all levels of the organization structure consistently use evaluation of personnel to increase its effectiveness, or do people perceive that higher levels impose it only on the lower levels?
2. Is there evidence that sufficient time is being spent to implement the evaluation procedures? This is related, of course, to the problems identified above. Unless evaluation is given high enough priority for sufficient time to be allocated, well-conceived plans will not produce desired results.
3. Is there evidence that the evaluation system includes: (a) clearly stated purposes (Why do we have a personnel evaluation system?); (b) evaluatee goal setting (including clear statement of what is expected, by whom); and (c) details for implementation, such as a description of how and when data will be collected, analyzed, and interpreted for making decisions (What is done, by whom?)?
4. Is there evidence that results are occurring? Are students learning? Are teachers improving? Are problems being solved and errors reduced? Is the morale of the evaluatees and evaluators improving? Is parental satisfaction increasing? This is a matter of gathering information regarding who and in what way people are affected directly by the evaluation system.

Concluding Comments

This discussion has assumed that evaluation is defined as a process of making judgments of events, behaviors, or results of behaviors in light of certain predetermined and preferably agreed-upon objectives. What is the evidence that such judgments (which are judgments regarding the performance of individuals) are being made rather than those which could be psychologically.

damaging and often adversarial-inducing judgments regarding the worth of individuals as people? An overall problem is one of how to keep this judgment making regarding performance in constant perspective, in order to assist administrators in doing their job better. Without such perspective, there exists a tendency to examine personality and engage in faultfinding both of which have negative effects on individuals and organizations.

To summarize, my intent has been: (a) to emphasize the need to determine consciously whether we should face the complexity of the reality of evaluating administrative performance, and (b) to identify some of the problems and issues of designing, implementing, and evaluating administrative performance. Hopefully, the organization of the ideas will contribute to understanding the interrelationships of these three facets of an evaluation system.

REFERENCES

Anderson, L. W., "More About Teacher Evaluation." OCLEA, Sept. 1975. pp. 3-6.

Bolton Dale L., "Evaluating School Processes and Products: A Responsibility of School Principals." *Performance Objectives for School Principals*. Culbertson, Jack A., Curtis Henson, and Ruel Morrison, eds. McCutchan Publishing Corp., 1974. pp. 220. Chapter 7, pp. 170-196, with reference to page 182.

Bolton, Dale L., *Selection and Evaluation of Teachers*. McCutchan Publishing Corp., 1973. pp. 211. Reference to pages 95-96.

Etzioni, Amitai, "Human Beings are not very easy to change after all." *Saturday Review*, June 3, 1972. pp. 45-57.

Monroe, Willy H., "Helping School Staffs Perform Under an Accountability System." *Colorado Journal of Educational Research*, Spring 1973. pp. 9-14. Vol. II, No. 3.

Smith, Nicholas M. "A Calculus for Ethics: A Theory of the Structure of Value, Part I." *Behavioral Science*, April 1956. pp. 111-142. Vol. I, No. 2.

Full Text Provided by ERIC

PART III

CASE STUDIES

This section displays five examples of evaluation efforts which are being employed to systematically examine administrative performance in local school districts. They show the limitations as well as the potentialities of actually putting theory into practice.

The case studies showcased here include the evaluation efforts in Hyde Park, New York; La Canada Unified School District, California; Lake Washington School District, Washington; Los Angeles County School District, California; and the Mesa Public Schools, Arizona.

ED151912

EA 010 406

CASE STUDY NUMBER ONE
Hyde Park, New York

Frank Gray

> *". . . Principals should be – and want to be evaluated. They do, however, want a system that: 1) measures reality, 2) considers only the variables that can be controlled, 3) spells out clearly and ahead of time, what the principals are to be measured against, 4) is not subject to different conclusions by different evaluators and 5) permits principals to have some voice in determing goals.*
>
> *All these necessities are satisfied by a job targets procedure, which is a personalized adaptation of the management by objectives approach."*
>
> William L. Pharis, Executive Secretary of the National Association of Elementary School Principals

Before an evaluation can "happen" there has to be a great deal of planning, says Frank Gray. The following outline can serve as a useful guide to that planning.

I. Planning For Evaluation

Planning for Planning

Determine Objectives
Determine People who will be involved
Determine Activities that should occur
Determine Time sequence of events
Will planning occur on a piecemeal or comprehensive basis?

In Hyde Park, the Board of Education and Administration desired an appraisal program that was directed toward improving an individual's performance. Several guidelines were provided for the development of a program through a policy statement by the

Board, namely:

1. Performance Based – Primarily, it was felt that appraisal must be positive in its approach, making expectations clear to an appraisee prior to collecting data about its achievement. Evidence that support was given to the appraisee should also be provided.
2. Uniform Procedures – The appraisal process should be applicable to administrators, professional, and non-professional staff and students.
3. Due Process – Data gathered through appraisal should be able to be used for re-employment decisions. Appraisal should be objective rather than based on personality factors.
4. Compensation – The appraisal program should have the flexibility of being applied to any future plans for differentiating salary payments.
5. Operationalize Goals – Procedures in appraisal should allow not only the opportunity for an individual to develop his strengths and improve his weaknesses, but to further the goals of the organization.

With these points in mind, a task force of administrators and teachers set out to clarify the purpose and philosophy of appraisal.

Purpose of Appraisal

The purpose of appraisal in Hyde Park is to promote improved performance.

Specifically, we believe there are a number of related reasons why an appraisal program is desirable – the most important being:

1. To motivate teachers and administrators to render their highest level of professional service.

   Teachers and administrators are like other people – they perform better when they know that their work is understood and appreciated by their supervisors and their colleagues.
2. To help teachers and administrators succeed in their chosen profession.

University preparation alone does not fully qualify anyone to completely carry out the requirements of any teaching or administrative position. The school has an obligation when it employs a person who has made the sacrifices of time, effort, and money necessary to become a professional. The teacher and administrator must be given every opportunity for success.

3. To aid in assessing the overall school program to determine how well it is progressing toward district goals.

   How teachers and administrators perform, individually and as a faculty, determines the rate at which a school program will achieve its objectives – indeed, whether or not it will achieve them at all.

We are convinced that the appraisal process described herein, with its emphasis on good planning, deliberate achievement of performance objectives, and systematic evaluation of results achieved with appropriate follow-up action, can be a powerful force for improving instruction and increasing the effectiveness of district teachers and administrators.

Philosophy of Appraisal

We believe we have a responsibility to students, patrons and staff to carry on a continuous program of appraisal of the competencies of all personnel.

We believe that the primary purpose of appraisal is the development of a more effective educational program for students.

We believe that appraisal is a cooperative process wherein the individual appraised and the person responsible for making the appraisal feel a joint responsibility to focus upon performance areas needing improvement, to work together to achieve the best results, and to assess the results.

We believe appraisal is a means – not an end in itself. This procedure should motivate self-improvement of the appraisee.

We believe that improvement of competence is always possible; a need for improvement does not necessarily imply incompetence.

We believe that improvement of individual performance is not

ERIC
Full Text Provided by ERIC

accidental. Improvement comes when a deliberate effort is made to achieve it.

We believe that there should be performance guidelines and standards which staff members may use in self-appraisal and which appraisers may use as they counsel and assist those with whom they are working.

We believe that appraisal must and does involve work planning and review.

We believe that the individual being appraised should have a number of appraisal conferences with the person doing the appraising. The staff member should be given a copy of the appraisal record. There should be freedom to discuss and disagree with the appraiser's judgments.

We believe that this appraisal process should not be used as basis for merit pay but *only* to improve instruction.

Next the planners must translate philosophy into specific program objectives which will support the purpose of their institution. These objectives will be used as bench marks upon which subsequent evaluations of the program will be made.

Objectives of Appraisal

The objectives which the Hyde Park Appraisal Program hopes to achieve are:

1. Clarify the performance expectations of the individual; i.e., make duties and responsibilities of the appraisee and appraiser more clear.
2. Establish both short and long term job targets that will bring about learner, professional or program improvement.
3. Bring about a closer working relationship between the appraisee and appraiser.
4. Make appraisal relevant to on-going job performance.
5. Maintain the following procedures in the accomplishment of job targets:
    a. Establish "ground rules" or plans for both the appraisee and appraiser to follow up on "target" achievement.
    b. Maintain accurate records of all appraisal conferences and other appraisee-appraiser contacts.
    c. Assess the effectiveness of job performance both by

self-appraisal and appraisal by the appraiser; i.e., make it a *cooperative* process.
   d. Conduct meaningful appraisal conferences directed toward improving performance.
6. Establish appropriate ways for follow-up of actions needed for further improvement.
7. Assess the program's effectiveness periodically; revise it as necessary.

To be most effective, evaluation planning should be a cooperative effort.

Who Should Plan?

Although it is the responsibility of a school district to evaluate its employes, those directly affected by the program should participate in its planning, implementation, and the evaluation so that:

1. a better plan will develop
2. there will be more commitment to the goals and procedures
3. appraisees and appraisers will know what they are to do
4. appraisees and appraisers will know what will be evaluated
5. morale will be enhanced

The planning activity culminated in the following set of beliefs for evaluation at Hyde Park.

1. *Primary Purpose*: To safeguard and improve quality of instruction
2. Emphasize helping people to be successful, not eliminating people
3. Help answer:
   "How am I doing?"
   "Where do I go from here?"
4. Similar evaluation procedures should be applied to students, teachers, administrators, and classified personnel
5. Emphasize job performance, not personality
6. Mutual agreement on what to be evaluated and criteria by which success is to be judged
7. Allow for a considerable amount of self-evaluation
8. Staff involvement in development of program

9. Keep it simple

II. Creating The Plan

Guidelines were established to make sure every ramification of the plan was to be considered.

1. Who are appraised?
   All administrative and supervisory personnel are appraised.

   Personnel assessed under the Hyde Park Administrative Appraisal Program are: Assistant Superintendent for Business Services, Assistant Superintendent for Instructional Services, Principals, Assistant Principals, Director of Communications Services, Director of Special Projects, Supervisory of Special Education, Supervisor of Transportation, School Lunch Manager, Supervisor of Plant Operation and Maintenance, Business Manager.
2. How often?
   Administrative and supervisory personnel are appraised each year.
3. Who are the appraisers?
   Each administrator and supervisor will be appraised by his immediate superior or by some other administrator designated by the Superintendent.
   a. The Superintendent is evaluated by the Board of Education.
   b. The Superintendent serves as appraiser for the Assistant Superintendents, Principals, and Director of Communications Services.
   c. The Assistant Superintendent for Instruction serves as appraiser for the Supervisor of Special Education and Director of Special Projects.
   d. The Assistant Superintendent for Business Affairs serves as appraiser for the Supervisor of Transportation, School Lunch Supervisor, Supervisor of Plant Operation and Maintenance, Business Manager.
   e. The Principals serve as appraisers for the Assistant Principals.
4. Role of appraiser

The appraiser is primarily a counselor and coach rather than a judge. He assists the appraisee in seeing his strengths and weaknesses and in specifying the objectives to be accomplished during the appraisal year. He then assists the appraisee to achieve his goals, and also helps him to assess his degree of achievement and to identify possible objectives for the next appraisal period.

Although the appraiser's primary role is to assist the appraisee to improve his professional competence, to help the appraisee to be successful, he is also charged with the responsibility of judging the appraisee's overall effectiveness.

5. Appraisal Schedule

The appraisal time period for all administrators and supervisory covered by the Hyde Park Administrative Performance Apprai$al Progam is March 1 of one year to March 1 of the following year. (See Appraisal calendar.)

6. Conferences

The appraiser and appraisee will hold a *minimum* of four conferences during the appraisal period: —

a. Target setting conference at the start of the appraisal period.

b. Two interim conferences for the purpose of providing assistance to the appraisee and assessing his progress in achieving his objectives.

c. Evaluation conference at end of appraisal period.

7. Appeal

The appraisee signs and receives a copy of the final appraisal report which will be sent to the personnel office. If he does not agree with the assessment, he may append a dissenting statement to the form or request a conference with the appraiser's supervisor.

A reasonable timetable of deadlines was created.

Hyde Park's Appraisal Program Calendar

Date	*Action*
By May 1	Establish Job Targets
Between	(A) Regular Administrative & Supervisory

ERIC Full Text Provided by ERIC

		Contacts
May and	(B)	Appraisee and Appraiser Work Together to Achieve Targets
March	(C)	Interim Conferences as Needed
By May 1	(A)	Appraisee Self Assessment
	(B)	Appraiser Assessment
	(C)	Evaluation Conference
	(D)	Next Appraisal Period Begins

The first step in the appraisal cycle is the setting of job objectives. This is accomplished by the appraisee thinking about the district's programs and goal priorities, his own professional strengths and weaknesses as they relate to the position description for his job, and the learner objectives contained in the district's curriculum guides. At the same time, his appraiser is identifying possible job objectives for the appraisee. The appraisal conference, and it is always a series of meetings, provides for a mutual discussion and agreement as to the job objectives for the year.

Several criteria are considered when formulating objectives:

1. Target objectives should be sufficiently delineated and specific so as to give the appraisee a reasonable chance to define them, establish evaluative criteria, and achieve some results.
2. Targets should be challenging – stimulating the appraisee to reach out.
3. Target objectives must be capable of completion with a fixed or series of fixed time periods.
4. Target objectives should be measurable.
5. The temptation to have a large list of target objectives should be resisted. No one can improve in everything simultaneously. Priorities are set through the job targeting process.

After the objectives are established, the appraiser and appraisee develop the plan of action. This defines what action both parties must undertake to complete the target.

Target setting is completed when the following is clear to the appraiser and appraisee.

Guidelines for Job Targets

1. What is the reason for choosing the target?
2. Who is to accomplish the target?
3. What will be accomplished?
4. What will you do and what help will be expected from others?
5. What activities, processes, material and personnel are needed? or How will the job target be sought?
6. What are expected dates for completion for parts as well as the total work plan?
7. What kinds of data will be collected to assess target achievement?
8. What will be an acceptable level of job target accomplishment?

An example of a fully developed administrative job target would be:

Appraisee ____________ Position ____________
Appraisal Period ____________
Appraiser ____________ Postion ____________

Objective:

To assist teachers to improve their instructional skills, and to further building priorities through the development of a planned program of supervision.

Work Plan:

	Time Line
1. The appraisee will develop working categories for the purpose of making decisions on the frequency, timing and nature of supervisory contacts with staff members.	September 5, 1976
2. A supervisory schedule will be developed to include, appraisal contacts, clinical observations and visitations. The schedule will reflect the following guidelines: a. Observation clusters will be utilized	September 10, 1976

ERIC Full Text Provided by ERIC

to concentrate on specific teaching skills.

  b. Visitations will be clustered with observations to follow-up on recommendations made during post-observation conferences.
  c. Visitations will also be utilized as a follow-up of appraisal conferences.
  d. Isolated drop-in visitations will be incorporated to maintain a working overview of classroom programs.
  e. The appraisee will work with teachers on the Appraisal Program to insure targets focus efforts towards accomplishing building and district goals.

3. Special emphasis will be placed on those teachers who will be eligible for tenure, and those probationary teachers experiencing difficulty.
4. Time will be alloted during faculty meetings to discuss the supervisory program. Teachers will become aware of plans for clustering observations and increased visitations.
5. The appraisee will further develop his skills as an observer. Concentration will be on identifying instructional patterns in the classroom and the means for collecting supportive data. This will be accomplished by reading literature (Cougan and Goldhammer), making visitations to other schools, and attending workshops designed to increase observation skills.
6. The appraisee will enroll and complete the course ED 603 – Clinical Supervision, at the State University during the fall, 1976 semester, to upgrade skills as an observer. January, 1977

Full Text Provided by ERIC

Monitoring Plan:

1. A copy of the supervisory schedule will be sent to the appraiser. September 15, 1977
2. The appraiser will receive copies of all supervisory contacts with staff members within one week of contact.
3. The appraisee will submit to the appraiser written reaction of visitations, conferences and workshops attended.
4. The appraisee will keep a log of readings completed.

Appraiser Assistance:

1. The appraiser will offer his reaction and suggestions for improving observation/visitation reports.
2. The appraiser will make arrangements for the appraisee to meet with Paul Michards, Professor of Educational Administration, to discuss his model of pattern frequency charting as a means of summative evaluation.
3. The appraiser will provide the appraisee with readings helpful in developing observation skills.
4. The appraiser will provide support to the appraisee for making visitations, attending conferences and workshops.

Outcomes Expected:

1. A closer working relationship with staff will result as evidenced by pre- and post-testing, with the Krueger Climate Scale.
2. Increased information on which to base recommendation for tenure and re-employment will be evidenced by

comparison of the quality of the 1977 evaluation summaries with those of 1976.

3. Clustering of supervisory contacts will provide more precise information on the teacher's instructional skills.

During the time the appraiser and appraisee are working toward target achievement, data are being collected on the achievement of the various parts of the work plan; there should be no surprises. These data are non-judgmental and are used to provide feedback on how well things are proceeding. In collecting data, a variety of techniques (e.g., visitation by appraiser, self-evaluation, observation by Superintendent, colleague, Assistant Superintendent, or other personnel, use of video tape or tape recorder as a self-monitoring technique) are considered. The type of monitoring done will depend upon the nature of the target.

The data are used throughout the appraisal period to change or modify or continue the action of the job target. There seems to be little sense in holding good information back which might have been put to use six months earlier. Interim conferences are also held to discuss progress toward job targets.

In preparing for the final conference or performance review, the emphasis is on objective analysis of the data collected by both the appraiser and appraisee. The administrator goes through a period of self-appraisal in which he might ask the following questions:

- — How well did I "hit" the target?
- — What succeeded?
- — What failed? Why?
- — Was help adequate?
- — Was my own effort ample?
- — How can my performance be further improved?

At the time the appraiser considers the same questions. The final conference will focus not only in reviewing the data to determine how well the target was reached, but will develop follow-up plans.

The real effect of appraisal is the impact it will have on the growth of the administrator and his future impact on the instructional program. Therefore, the final conference focuses on follow-up activities to reinforce the gains that have been made and the identification of targets for the next appraisal cycle.

III. Support

In creating and implementing any plan there must be an investment of time and training.

Training for Evaluators

In-service courses
Conferences skills
Setting objectives
Time management
Systematic planning
Monitoring achievement
Clinical supervision
Written documents and manuals
Conferences and seminars
Role playing
Discussion at regular administrative meetings
Analysis of targets and evaluations
University courses
Individual consultation
Workshops or clinics
Group meetings devoted to evaluation

Time for Evaluators

Time for planning
Time for visits
Time for conferences
Time for follow-up

Process of Installing Personnel Appraisal

1. Commitment by Board, Administrators, and Teachers
2. Appraisal Committee
3. Intensive In-Service
    a. Appriaser

   b. Appraisee
4. Pilot Program
5. Continuous Evaluation of Program
6. Monitoring of Process
7. Part of a Total System
8. Communication
9. Focus on Positive and Improvement

The planners also realized that there was often a discrepancy between what people ideally expected from the evaluation and what was actually being delivered in reality.

Evaluation of Educational Personnel

Way it usually is	*Way it ought to be*
Threatening to teachers and administrators	Wanted because it gives insight into own performance
Rating of underlings by supervisors	Evaluatee and evaluator are partners
Used for administrative decisions (Judgmental)	Used to Stimulate improved performance (Diagnostic)
Same "Yardstick" for all	Emphasis on Maximum growth for individuals
Focused on what individual is and does	Focused on what individual achieves
Past oriented (Where we have been)	Future oriented (Where we want to go)
Evaluatee unaware on what judged	Evaluatee takes part in determining evaluation criteria
Program instituted by others	Evaluatees actually involved in developing the plan

Subjective evaluation instruments and procedures	Success criteria mutually agreed on in advance
Little-if any-feedback	Open communication between evaluatee and evaluator

In an effort to prevent people from developing unrealistic expectations about the evaluation effort, Gray had to continually remind people what the plan would and would not do.

The Hyde Park Plan Does

Provide data for personnel decisions
Upgrade skills
Operationalize goals
Increase communications
Make expectations clear
Make people feel good about accomplishment
Cause people to establish priorities
Take time

The Hyde Park Plan Does Not

Cause less paperwork
Relate pay to performance

Systematic Review

Is administrative performance improving?
Are administrators receiving assistance?
Are administrators with problems improving?
Do administrators understand what is expected of them?
Are the board and superintendent provided adequate information for making personnel and policy decisions?

Advantages and Disadvantages

Among the advantages of the job target approach:

1. Performance objectives not only serve as a guide for others

to appraise the performance of an administrator, but also enable the administrator to appraise his own performance.

2. The performance objectives approach enables an employee and his employer to view all aspects of a job and focus improvement on specific areas.
3. The approach is individualized and can be applied to all sectors of the educational community, students, teachers, administrators, and the board.
4. The performance objectives approach is part of the total MBO/R approach which allows for a more efficient and effective operation of the school organization.
5. Performance objectives enhance communication between an administrator and his appraiser. When an administrator knows what his objectives are and what actions are needed for achieving objectives, it results in an improved attitude toward his job.

There are, of course, specific drawbacks to the performance objectives approach. Among the major pitfalls we found were:

1. The job objective does not guarantee adequate performance. An administrator can make himself look good if he can get his immediate supervisor to mutually agree to objectives which can be achieved without much effort.
2. Busy or "make work" objectives can undermine the appraisal program. Objectives must be seen as relating to on-the-job performance.
3. Nothing destroys the performance appraisal program faster than an unskilled appraiser. An administrator must have confidence in the person that is serving as an appraiser.

IV. Tips For Evaluation Planning

Superintendent and board must make their commitment known.

Help all who will be affected (appraisees and appraisers) to absorb new ideas and master the skills involved.

Don't wait to discover the perfect system before beginning.

Make haste slowly. It requires much time, communication and patience in order for staff to gain knowledge and understanding and to develop necessary skills.

Superintendent and board must continue to stress performance evaluation as a top priority.

Finally, if improved performance is desired goal, in evaluating administrative performance, the administrator and evaluation must:

1. Understand the goals of evaluation
2. Accept the responsibilities inherent in the process
3. Share in the establishment of job targets
4. Be willing to look realistically and critically at job performance
5. Accept suggestions and help in job improvement
6. Be willing to accept changes which will improve job performance

EA 010 407

ED151913

CASE STUDY NUMBER TWO

La Canada Unified School District
Donald C. Ziehl, Ed.D.

The effectivess of the La Canada Unified School District's evaluation design is based on the belief that evaluation is more a matter of personal contact between supervisory and subordinate workers than it is a matter of forms and procedures. However, in an effort to convey insights into the personality and performance of this program, it is the forms which comprise this report.

Basic Essentials
Objectives Based Performance Review System

1. UNDERSTAND DISTRICT ENVIRONMENT
   - A. Collective Bargaining
   - B. Participative Management
   - C. Collegial Environment
   - D. Community Values

2. UNDERSTAND DISTRICT LEADERSHIP STYLE
   - A. Theory X, Theory Y
   - B. Board and Superintendent Modeling

3. UNDERSTANDING OF DECISION-MAKING ROLES
   - A. Model of Professionalism
   - B. Decision-Making Matrix

4. UNDERSTANDING OF POSITION FUNCTIONS
   - A. Responsibility
   - B. Authority
   - C. Reportability

5. ORGANIZATIONAL AGREEMENT ON OBJECTIVES OF PERFORMANCE REVIEW SYSTEM
   - A. Job Understanding
   - B. Personnel Development
   - C. Salary Placement

ERIC Full Text Provided by ERIC

6. AGREEMENT OF DISTRICT EFFECTIVENESS AREAS
    - A. A.M.A. (American Management Association)
    - B. L.C.U.S.D. (La Canada Unified School District)
    - C. Stull Bill

7. AGREEMENT OF FEEDBACK INPUT PROCEDURES

8. AGREEMENT OF EVALUTOR/EVALUATEE ROLES
    - A. Coach
    - B. Mentor
    - C. Judge
    - D. God

9. AGREEMENT ON PERFORMANCE REVIEW SYSTEM SEQUENCE

10. AGREEMENT OF PROCEDURE ANNUAL PERFORMANCE SUMMARY

MANAGEMENT DECISION MAKING MATRIX	MANAGEMENT POSITION OR INVOLVED GROUP																		
TYPE OF DECISION	School Board	Parent Advisory Groups	Parents	PTA Council	Superintendent	Asst. Superintendent Business	Director Inst. K–8/Personnel	Director Inst. 9–12	Director P.P.G.S.	Admin. Cabinet	Admin. Staff	Inst. Plan. Group	Principals	Teachers	Teachers Assoc.	Faculty Councils	CEC	Students	Other
Assignment of classroom teachers																			
Individual classroom organization																			
Fiscal control at building level within budget																			

Establish District budget priorities																			
Evaluate Building Principals																			
Determine annual bus schedules																			
Establish length of school day																			
Evaluation of special programs																			
Determine course content																			

Development of 3-5 year facility needs report																			
Development of personnel within staffing unit plan																			
Organizing Spec. Ed. Programs within individual buildings																			

How To Use This Form

Put one letter (A to D) in each box.

A = Makes final decision to accept or reject

B = Holds prime responsibility to plan and make recommendations

C = Is involved in formulation of plan and recommendation

D = Is informal of decisions

These letters are hierarchically ordered, so it is assumed that an 'A' also includes B,C, and D. It is not necessary to fill in all spaces. If in doubt, use a '?'.

SAMPLE EFFECTIVENESS AREAS

La Canada Unified School District

1. Community Relations
2. Staff Relations
3. Student Relations
4. Instruction
5. Administration
6. Self Renewal

5-year Personal Professional Plans

California - Stull Bill

1. Student Progress
2. Public and Professional Relations
3. Learning Environment
4. Professional Growth

American Management Association

1. Planning
2. Organizing
3. Controlling
4. Coordinating

Areas of Principal Responsibilities*

1. School Organization
2. Instructional Program
3. Relationships with Students
4. Relationships with Staff Members
5. Relationships with Community
6. Relationship with Supervisors
7. Plan and Facilities
8. Schedules, accounts, and other Management Matters
9. School Climate

---

*"Evaluating School Principal," developed by Arthur Rosenberg.

SEQUENCE – OBJECTIVE SETTING

SPRING		SUMMER		FALL		WINTER
Solicit	*Review*	*Determine*	*Prepare*	*Agree*	*Revise*	*Review*
Staff	District Goals	District Effectiveness Areas	Individual Performance Objectives	on Standards of Measure	Objectives and Standards As Needed	Continuously During Year
Peer Input	Objectives					
Superior	Position Responsibilities and Authorities	I st Draft with Peers	*Review*			
April-May		July-August	Sept-Oct		Nov-Dec	Jan-March

Performance Review

Performance Review Preparation Form

Name ______________________ Position ______________________
Supervisor ____

Major Responsibilities (Effectiveness Areas)	**Standards**
1. ______________________	1. ______________________
______________________	2. ______________________
______________________	3. ______________________
2. ______________________	1. ______________________
______________________	2. ______________________
______________________	3. ______________________
●	●
●	●
●	●

Once the Performance Review Preparation Form is filled out, it can be charted outlining a superintendent's perceived areas of emphasis. The following is an example of such a chart. Notice that by going through this process, the superintendent himself is stating his responsibilities and translating them into performance standards which he knows he will be judged on. Additionally, he suggests what his results should be and these also become his observable goals.

ERIC Full Text Provided by ERIC

AREAS OF EMPHASIS – SUPERINTENDENT – 1975-76
GENERAL ADMINISTRATION

Responsibilities	*So That*	*Results*	*How To Measure*	*Standards*
Direct, monitor and evaluate activities of district administrative staff		La Canada Unified School District Administrative Services are planned, organized, and controlled effectively and efficiently		1.1 Administrators reporting to superintendents will have a minimum of five individual MBO review sessions prior to May, 1976 1.2. Prior to December, 1975, Assistant Superintendent of Business will update three-year plans and report same to Governing Board 1.3 Superintendent, along with Assistant Superintendent of Business, will visit each school site quarterly to observe safety conditions, housekeeping standards,

		plant needs and send written observations to responsible personnel
Coordinate activities of District Administrative and Board Approved Advisory Groups	Committee tasks may be accomplished on schedule	2.1. Superintendent of designate will meet with each Advisory Group once each semester 2.2. Board will receive at least two written reports indicating status of all Advisory Group activities during year 2.3. Superintendent will attend all Affirmative Action Citizen Advisory Committee meetings and accomplish needed staff work on schedule
Develop plans for future organizational change and program improvements	LCUSD will contine to be on "growing edge" of public education in California	Superintendent will devote a minimum of 10% of his energies and time reading, attending conferences, gathering data and preparing reports which project future needs and direction (daily

record of time commitments-
tally of reports prepared)

COMMUNITY RELATIONS

Responsiblities	*So That*	*Results*	*How To Measure*	*Standards*
Keep lines of communication within La Canada open to the maximum number of groups so that two-way communication is assured		Community school relations continue to be positive		1.1. An analysis of community organizations will be made prior to November 1, and a plan developed for Board/Staff student contact with key community groups 1.2. Prior to October 15, written communications with all community organizations (Coordinating Council roster) will be accomplished, at

least five requests for
speaker-students will result

1.3. Prior to December 1, Board President and Superintendent will present for Governing Board approval a plan for contacting priority 1 community groups.

1.4. A minimum of 15 Senior Citizens will become actively involved as Volunteer Instructional Aides during the 1975-76 school year

1.5. Each Community Service Club will devote at least one session to a local school matter presented by a district staff member

1.6. Prior to February, an updated Fact Book will be developed, printed, and distributed to LCUSD staff and constituents

2. Actively participate in community organizations and events that foster welfare of students and the total community	Community will be aware of LCUSD student, staff and program accomplishments	2.1. Superintendent will continue his relationships to La Canada Kiwanis, YMCA, Board of Directors, La Canada PTA Council, and will attend 80% of the regularly scheduled meetings. 2.2. Superintendent will attend an average of ten community related events per month (tally – date book) 2.3. Superintendent will meet with La Canada Board of Realtors a minimum of four times during the 1975-76 school year

GOVERNING BOARD RELATIONS

Responsibilities	*So That*	*Results*	*How To Measure*	*Standards*
. Keep Governing Board Members infomed of La Canada Unified School District matters and perform reponsibilities as secretary to Governing Board		Policy and monitoring functions of Governing Board can be performed effectively and efficiently		1.1. Satisfaction with information gathering and report to Board will be evidenced as judged by Board President
				1.2. Board Agenda development process will allow sufficient time and provide sufficient background data so that Governing Board can take action without requiring additional time or data (95% affirmative tally)

		1.3. Regular Board Meetings will last an average of 3 hours 1.4. Personnel Items, both classified and certificated will be handled in regular session 80% of the time (tally) 1.5. Minutes, correspondence and requested reports will be completed prior to next regularly scheduled meeting 1.6. Meet and confer minutes will be mailed within 24 hours of each meeting
Seek increased understanding of staff and Governing Board expectations by direct involvement in mutual goal seeking activities	Superintendent of Governing Board place emphasis in agreed upon areas	2.1. Prior to November 1, administrative staff and Governing Board will have reviewed Superintendent's goals and objectives and agreed upon standards of measurement 2.2. Quarterly reviews of Super-

		intendent's goals and objectives will be scheduled by Superintendent and President of Governing Board
3. Seek additional ways to assure greater Governing Board and Staff understanding	Lines of communication remain open between district staff and Governing Board	3.1 Board Representatives to Meet and Confer will meet a minimum of four times with administrative staff for purposes of feedback, input, etc. 3.2. Each building faculty will have been directly involved with sharing Board/Staff views at least once each semester (tally) 3.3. Meet individually with each Board member at least once each semester at the Board member's convenience.
. Assist Governing Board in preparation of Board	Board can improve its effectiveness and model be-	4.1 Board President and Superintendent will prepare pro-

ERIC
Full Text Provided by ERIC

Goals and Objectives		haviors consistent with district's MBO emphasis		posed first draft of Governing Board's 1975-76 Goals and Objectives prior to November 1
5. Serve as appointment secretary for Board		Board Goals and Objectives involving time schedules and appointments will meet standards		5.1. Daily tally of appointments will be maintained

STAFF RELATIONS

Responsibilities	*So That*	*Results*	*How To Measure*	*Standards*
				1.8. Superintendent, prior to May, 1976, know by name every employee in the district (checklist). 1.9. Superintendent will meet with LCTA President on a scheduled basis that will

		average twice per month (checklist)
2. Assure that all district employees are actively involved in job enlargement activities	Employees will improve their efficiency and effectiveness	2.1. Superintendent's Secretary, other classified secretarial personnel and Superintendent will develop 1975-76 plan for secretarial/clerical in-service prior to November 1 2.2. Assistant Superintendent of Business and Superintendent will develop a plan for maintenance and custodial in-service prior to November 1
3. Encourage community and staff to improve district programs	Additional Item – 10-27-75 LCUSD programs will continue to be recognized for excellence and supported by staff and community	3.1. A completed plan for initiating a child care center will be developed for consideration of Governing Board prior to May 1, 1976
● ● ●	● ● ●	● ● ●

Principals should also determine their own goals and performance objectives within the educational institution. The goals should be reasonable and worthwhile. Below is an example of one such goal statement.

Goals and Objectives for 1975-76
Principal

I. COMMUNITY RELATIONS

1. Members of the Kiwanis Club will view the high school program as one with high quality. At least three club meeting programs will be presented by myself or members of the staff.
2. At least 75% of the members of the PTA Board, in an anonymous survey will rate the high school's instructional program at least good, on a scale of poor, average, good, or excellent.
3. The community view of our athletic program will be improved through the articulation of our athletic philosophy by the athletic director and myself.
4. Through participation on the Pasadena Area Coordinating Council of Continuing Adult Education, I will continue to improve and enlarge the Adult Education courses offered on the LCHS campus.

II. INSTRUCTION

5. On all tests, our 11th and 12th grade students will average in the top decile on state norms, or at least one grade level equivalent above actual placement.
6. By January, 1976, a proposal on revised graduation requirements will be presented to the School Board for its consideration.
7. Students and parents will have an improved attitude toward our foreign language program as measured by feedback provided by the counseling staff and the department chairman.
8. The program of articulation between FIS and LCHS will be improved over last year as perceived by the Super-

intendent, the Director of Instruction K-8, the two Principals, and Department Chairmen of both schools.

a. At least two joint in-service meetings will be held involving the total school staffs.

b. At least three departments will initiate meetings with their counterparts at FIS.

9. Through participation on the User's Group of the Data Processing Consortium, I will help establish a functional test scoring program and an operational "California Guidance" system by June 1976.

III. SELF-RENEWAL

10. By March 1976, I will have met with at least one university representative to explore the possibility of entering into a doctoral program.
11. Through attendance at management conferences as participant or presentor, I will sharpen my own management abilities as measured by the Superintendent.
12. I will organize and present at least three programs on values and/or interpersonal relationships to groups in the community or to the school staff.

IV. PUPIL PERSONNEL SERVICES

13. Students will perceive me as a strong, but fair, principal: one who listens to their point of view and demonstrates a respect for it, as measured by an anonymous survey taken in the Leadership Class and the Principal's Advisory Committee.
14. The community will have an improved perception of high school counseling services, as measured by feedback from the PTA Board.
15. Student accountability for attendance in class will be improved as a result of administratively initiated systems.

V. MONITORING

16. The general housekeeping standards of the high school

will be perceived by community and staff as being of high quality.

17. The high school MGM program will be a more visible and well structured program as a result of the efforts of the head counselor and the MGM teachers. I will meet with the, head counselor and appropriate MGM teachers at least twice during the year to discuss program progress.

VI. ADMINISTRATION

18. Serving for this year with the authority to select certificated personnel for recommendation of hiring, all teachers hired will be evaluated at the end of the year as having met District standards without qualification.
19. Students, teachers, and parents will perceive that the high school administrative team is sensitive to special needs of each group. The team will be viewed as effectively administering the high school program.
20. Each member of the team will be able to identify distinct points of growth in the other members of the team.

VII. EVALUATION OF PERSONNEL

21. All probationary certificated personnel will complete the evaluation process by March 1. All appropriate steps will be completed on schedule by all evaluators.
22. All permanent certificated personnel will be visited at least once by me, prior to May 1, 1976.

VIII. STAFF RELATIONS

23. High school teachers will become more aware of the K-8 instructional program and will have a positive attitude toward the work of their colleagues at the other two levels.
24. All teachers at the high school will have a better understanding of the total school program through:
    a. The work of the Committee on Inter-department Communication (Bicentennial Committee), which I

chair.

b. Joint meetings of at least-half of the departments prior to pre-registration next Spring.

25. All members of the District Administrative Staff will perceive me to be honest and open in my relations with them. They will view me as being supportive of the total District program, not just that of the high school.

IX. MEMBERSHIPS HELD

Data Processing Consortium
    Member – Users Group
    Representative of Users Group to Board of Directors
Pasadena Area Coordinating Council of Continuing Adult Education
Kiwanis Club
    Chairman – Vocational Guidance and Education Committee
Board of Directors – Hillside Developmental Learning Center
La Canada Chapter – American Red Cross – Board Member
Professional Memberships
    ACSA
    NASSP
    ASCD

X. FIVE-YEAR PROFESSIONAL GROWTH PLAN

June, 1976 – Decide on Doctoral program (go-no go)
If I enter the Doctoral program, I will complete it by 1979, at the latest. Within five years, I plan to be a Superintendent of a small suburban school district.

At the end of the goal period, the principal is judged on how well he met his objectives. The evaluation is conducted by his immediate superior and is contained in a report like the example below.

Performance Review
1974-75
Principal

This is this principal's second year at the High School, his 11th year in the District and 18th year in the profession. His goals and objectives have been demanding and he has, with one major exception, achieved them at an exemplary level.

He is, in my estimation, the most effective high school principal we have had. His instructional leadership qualities, plus the organizational format of the high school have allowed him, as principal, to attend matters heretofore unattended.

1. Student Progress

Goals and objectives in this area of responsibility have been demanding and have been achieved. The quality of programs has constantly been under review and reports to administrative staff and Board have been of a very high quality. The most recent Option II report is an example of this effort.

2. Learning Environment and Classroom Management

Again, demanding goals and objectives have been developed and fulfilled. He and his administrative team have constantly reviewed their individual responsibilities, and with the advent of coordinator of attendance, needed improvements have been made in the counseling and discipline processes.

An increased number of classroom teachers are taking an active role in the on-campus supervision. All of this effort has resulted in higher student and staff morale.

3. Public and Professional Relations

Demanding goals and objectives have again been achieved at a very high level. He has exceptional leadership qualities. It is not surprising to me that he chairs several groups that interface with the High School and District. He worked this year as the chairman of the Pasadena Area Coordinating Council for Adult Education and his efforts as chairman of the Data Processing

Users Group are noted. The area of public and professional relations is an area of responsibility in which, I feel, he has made great strides this year. He has a sensitivity to both the inside and outside functions needed to maintain a first class secondary program.

4. Professional Growth

His professional growth activities for this school year have centered on staff and administrative inservices. His objectives have been met in this responsibility area. Next year, he will be attending the Center of Educational Leadership inservice sessions. Those skill-building activities should further sharpen his leadership skills.

5. Developmental Gap

The major goal and objective that he and I feel has not been achieved concerns articulation of the 7-8 grade program with the high school. This area will receive increased emphasis next year.

6. Five-Year Professional Goals

Within the next five years, he plans to enter a doctoral program with a long range goal of becoming a suburban superintendent of schools.

7. Summary

This principal is viewed very highly by his colleagues within the organization and is maintaining strong staff relations. His planning skills are superior to those of his colleagues. In my view, he represents a very strong potential as a future district superintendent.

Director of Instruction 9–12/ LCHS Principal	District Superintendent
May 19, 1975	May 19, 1975
Date	Date

La Canada High School
Office of the Principal

Memo to: Superintendent Date: May 16, 1975
From: School Principal Subject: 1974-75 Assessment of Principal

1. Student Progress

A. Programs in English, Math, and Science now have demonstrable sequences of skills and implemented procedures for tracking the progress of students.

B. Student achievement in English has been remarkably satisfying.

C. Foreign Language has revised their program to better insure true achievement of language skills, rather than "mastering the system."

D. Measured achievement by our students this year shows a continued high level, in comparison with other districts in California. The 12th grade class contains an extraordinary number of top students – as reflected in the number of National Merit Finalists and state testing results.

2. Learning Environment and Classroom (School) Management

A. With changes made in the Administrative structure this year, the following has occurred:

(1) Improved counseling services.

(2) Greatly improved discipline procedures. Specific: I have not been involved in a single student discipline case this year.

(3) Some improvement in the attendance accounting system. Still much room for improvement. The coordinator in attendance will be focusing on this for next year.

(4) Management of Instructional Program has resided almost entirely in my office, causing a system overload. I intend to share some of these responsibilities with the head counselor next year.

B. General student morale has been positive this year. Teachers are reporting that students are "sticking with their studies" better than in the past, as the end of the year approaches.

C. Staff morale has been high this year. No major conflicts between teachers/administrators/counselors have caused any dislocation of staff attitudes and feelings.

D. Campus supervision and monitoring has improved greatly. Teachers are participating in this function in a formal program for the first time in a number of years. The administrative team, excepting myself, has participated more than in the past, contributing to a reasonably tight activity period and lunch period control.

E. The Option II program has relieved a number of pressures that previously impacted both students and teachers. It provides a viable alternative to our junior and senior students.

3. Professional Growth

Our high school In-Service Program this year has accomplished the following:

A. An organized, department by department, assessment of our current instructional program.

B. Systematic plans for changes in the Instructional Program.

C. Department Chairmen assuming leadership positions within their department and within the total faculty.

4. Public and Professional Relations

A. School and its program is viewed in a quite positive light through Board Reports, press releases, and my interface with the PTA.

B. Organizations and positions held:

(1) Kiwanis
  a. Chairman – Vocational Guidance Committee
  b. Chairman – Ad Hoc Committee to work with the Hillside Development Learning Center
(2) Pasadena Area Coordinating Council for Adult Continuing Education – District Representative

(3) North San Gabriel Valley Data Processing Consortium
  a. Member – User Group
  b. User Group representative to the Board of Directors
(4) La Canada Chapter – American Red Cross – Vice Chairman
(5) Membership held in:
  LGTA – apparently for the last year
  CTA – apparently for the last year
  ACSA
  NASSP
  ASCD

Summarizing, I feel very confident that I have achieved the great majority of my goals and objectives, and that I have identified ways in which to remediate those areas where I met less than complete success.

La Canada Unified School District
Statement of Goals and Objectives

Name ______________________ Date ______________
Current Assignment and School ______________________
Class ______________________ Step ______________

I. Statement of Goals and Objectives

A. *Student Progress*

1. Every student in Eng. 2AB4 will be able to write an organized five-paragraph essay consisting of:
   a. a beginning paragraph in which the central idea is introduced, and
   b. three supporting paragraphs which express their topics clearly in the topic sentences, and
   c. a concluding paragraph which summarizes the main thought and subordinate paragraph topics.

Measurement:
topic and thesis sentences which express the main

idea of the paragraph and essay;
movement from a generalization in the topic sentence to specific examples and support in succeeding sentences;
summarizing skill and sense of conclusion at the end of the essay;
growth in each of the above skills recorded on student writing (all 1st semester students have completed, 2/24/75)

2. 80% of the students in Eng. 2AB4 and Eng. 3-4 will be able to recognize the significance of the characters and theme the author has created and will be able to reflect that recognition in writing and speech.

Measurement:

ability to interpret symbols and images
ability to make inferences about characters
ability to draw conclusions
ability to determine author's intent
ability to determine significance
ability to compare and contrast

The abilities will be continually practiced in class discussion, writing exercise, and reading tests (more than half completed, 2/24/75).

3. 70% of the students in Eng. 2AB4 and Eng. 3-4 will be able to discover specific ways in which their writing needs to be improved, and will be able to independently implement improvements.

Measurement:

completion of grammar units related to written grammatical weakness;
ability to condense thoughts through increased use of phrase and clause modification;
ability to increase and/or reorganize support within individual paragraphs to produce consonance with the topic sentence;
ability to improve expository skills by developing ideas through definition, through classification, and by specific examples;
growth observed in individual writing conferences

B. *Learning Environment and Classroom Management*

4. Instruction will be provided to diagnose and meet the majority of student needs most effectively by individualized writing analysis and by periodic writing conferences with every student in which student and teacher mutually agree upon how his/her writing may be improved (at least one conference; 2 with most, 2/24/74).

Measurement:

increase of student suggestions for improvements, decrease of teacher suggestions

5. Student motivation and interest in current trends in language and literature will be fostered by bulletin boards and other visual displays in the classroom. Student self-expression and independent writing will be encouraged through journal writing labs in which the student reacts to a wide variety of stimuli.

Measurement:

observation of student interest
periodic journal entry reviews

C. *Professional Growth (Personnel electing Planned, Approved Program complete and attach form 4022.6)*

6. I will increase my teaching effectiveness by regular evaluation of my lesson plans and curriculum units and by seeking student evaluation of class activities.
7. I will expose myself to new developments and methods of teaching through attending one conference and studying new materials drawn from the English Journal and publishers (three conferences attended, 2/24/75).
8. As second-period team leader, I will offer and encourage other team members to offer electives including literature of value and substance and assignments which demand the best efforts from students.

D. Public and Professional Relations

9. I will establish an atmosphere of mutual cooperation with parents by calling them when needed and by sending home during the year four progress letters for each student in Eng. 2AB (2 progress letters sent 2/24/75).

E. Other Responsibilities

10. As coordinator of the Eng. 2AB writing curriculum, I will continue to establish guidelines and provide materials to other Eng. 2AB teachers so that a greater uniformity of Eng. 2AB writing proficiency may be achieved.
11. I will strengthen extra-class relationships with students and faculty by supporting and attending athletic and non-athletic student activities throughout the year (renewed: 2/24/75).

II. Conditions which may affect achievement of objectives cited may be attached. All objectives are subject to revision.

III. The above Statement of Goals and Objectives is assessed as ________Demanding ________or Acceptable.

________________	________________
Evaluator's Signature	Evaluee's Signature
October, 23, 1974	October 25, 1974
Date	Date

La Canada Unified School District
Memorandum

To: Governing Board Members
From: Clerk of the Board
Subject: Board of Trustees Statement of Goals and Objectives 1974-75
Date: December 10, 1974

I. Communications

The Board of Trustees will continue to expand its efforts to maintain meaningful two-way communication with staff, students and community.

Objectives

A. Each member of the Board will visit each school in the district at least once each year with an emphasis on classroom visitation and staff dialogue.

Minimum Acceptable Level

All schools will be visited by at least one board member.

Method of Measurement

Tally of visits by principals.

B. The Board will meet at least once each semester with the augmented administrative staff to increase understanding between the management team and the Board.

Minimum Acceptable Level

An increase in understanding by a majority of the members of the management team and by a majority of the members of the Board,

Method of Measurement

Affirmative response to questionnaire

C. The Board will meet with parent groups to listen and exchange ideas.

Minimum Acceptable Level

At least one Board member will meet at least once each year with the La Canada PTA Council, with three PTA executive boards or at parents' meeting in the district.

Method of Measurement

Tally of visits

Public Communication

D. The Board will continue to prepare articles of community interest for publication by local newpapers.

Minimum Acceptable Level
At least three articles will be published during the school year.

Method of Measurement
File of articles published.

Student Communication
E. The Board will continue to be sensitive and responsive to student concerns and communications.

Minimum Acceptable Level
Based upon requests by students.

Method of Measurement
Record of dates of requests and dates of responses.

II. Management

The Board will continue to fulfill its responsibilities with regard to efficient and effective management of finances, personnel, physical facilities and planning.

Objectives
A. The Board will review pertinent policy statements for timeliness.

Minimum Acceptable Level
The Board will review one policy series (and related procedures) during each two-month period.

Method of Measurement
Reports from Board members of policies reviewed.
B. The Board will request review of long-range plans in the areas of finances, facilities and personnel annually by March 1. Special attention will be given to replacement of administrative personnel and long-range needs pertaining to replacement of large equipment items.

Minimum Acceptable Level
Update in each category by March 1.

Methods of Measurement
Report date and copy of reports.

C. The Board will assess the current Health Insurance Plan.

Minimum Acceptable Level
Decision on Health Insurance Plan by March 15.

Method of Measurement
Stated

D. The Board will identify, by February 1, areas for staff review which will serve as a basis for anticipated Meet and Confer sessions.

Minimum Acceptable Level
Identification of areas for staff review by February.

Method of Measurement
Written dated reports.

E. The Board will convene a District Advisory Committee to review current educational issues relating to: 1. Employer/Employee Relations, 2. Impact of Serrano – Priest School Finance and 3. Curriculum Changes and the Implications for La Canada Unified School District.

Minimum Acceptable Level
Committee will be appointed and functioning by February 1, 1975.

Method of Measurement
A completed committee report of findings and recommendations will be presented at a Governing Board Meeting prior to February 1976.

III. Instructional Program

The Board of Trustees will continue its efforts to keep the educational program of the district in close relationship to the adopted District Educational Philosophy and Educational Goals.

Objectives

A. The Board will review and update Policies 100 and 110 annually prior to December 1.

Minimum Acceptable Level

At least one Board member will work with a committee selected by the Superintendent and be prepared to discuss proposed additions and changes by December 1.

Method of Measurement

Report to the Board

B. The Board will request review of specific educational programs.

Minimum Acceptable Level

By January 1, Board members will indicate to the Board President, educational programs to be reviewed by the professional staff.

Method of Measurement

Tally of requests made and requests fulfilled.

C. The Board will solicit from its professional staff alternate plans to improve the effectiveness of the teaching/learning process.

Minimum Acceptable Level

The Board will request the Directors of Curriculum to report to the Board periodically on alternate plans which are being studied or which appear to merit study. Within the resources of the District the Board will allow time and provide resources for studying plans which appear to have merit.

Method of Measurement

Reports from the Directors of Curriculum on alternate plans which are being considered.

D. The Board will make a study related to so-called personal values (traditions, ethics, values) which affect or which may affect personal decisions. The purpose of the study will be to identify values which might be considered as appropriate to include in the course of study.

Minimum Acceptable Level
Adoption before June 30, 1975 of a plan of action to complete the study, including designation of personnel (Board, staff, committees) who will participate, method of reporting and time lines.

Method of Measurement
Board minutes.

IV. Personal Growth

The Board of Trustees will commit itself individually and collectively improve its knowledge and skill of educational matters.

Objectives

A. Each Board member will attend at least one conference conducted by a recognized school board or administrative association.

Minimum Acceptable Level
Stated

Method of Measurement
Report of attendance

B. in addition to reading regularly all publications received, each Board member will read at least one book each semester that relates to current educational matters.

Minimum Acceptable Level
At least three board members will read four books during the school year.

Method of Measurement
Reports to the Board.

C. The Board will, through the Superintendent's office, request reports on legislation as it affects the school district.

Minimum Acceptable Level
Except for emergency legislation, the Board will be made aware of legislation that requires action by the district prior to the time when action is required. Except for emergency legislation, the Board will be made aware, within a reasonable time after enactment, of legislation which establishes new programs or eliminates or restricts established programs or which requires increased expenditures from local funds or which deals with personnel.

Method of Measurement
Written dated brief summaries of the legislation submitted to the Board not later than the effective date of the legislation (other than emergency legislation).

Materials Provided With Case Study From La Canada, California

References

1. Argyris, Chris, *Integrating the Individual and the Organization*. New York, NY: John Wiley & Sons, 1964.

2. Batten, J. D., *Tough-Minded Management*. 1963 Rev., American Management Association, 1969.

3. Bell, Terrell H., *A Performance Accountability System for 1974 School Administrators*. New York, NY: Parker Publishing.

4. Bennis, Warren, *Organization Development: Its Nature, Origin, and Prospect*. Reading, MA: Addison-Wesley Publishing Company, 1969.

5. Blake, Robert R. and Jane S. Mouton, *The Managerial Grid*. Houston, TX: Gulf Publishing Company, 1964.

6. Drucker, Peter F., *The Effective Executive*. New York, NY: Harper & Row, 1966.

7. Drucker, Peter F., *The Practice of Management*. New York, NY: Harper & Brothers, 1954.

8. Goble, Frank, *Excellence in Leadership*. New York, NY: American Management Association, 1972.

9. Goble, Frank, *The Third Force*. New York, NY: Grossman Publishers, 1970.

10. Kay, Emmanuel, *The Crisis in Middle Management*. New York, NY: A.M.A.A.C.O.M., 1974.

11. Kobayashi, Shigeru, *Creative Management*. New York, NY: American Management Association, 1974.

12. Koontz, Harold and Cyril O'Donnell, *Principles of Management*. 3rd ed., New York, NY: McGraw-Hill, 1955, 1964.

13. Likert, Rensis, *New Patterns of Management*. New York, NY: McGraw-Hill, 1960.

14. Likert, Rensis, *The Human Organization: Its Management and Value*. New York, NY: McGraw-Hill, 1967.

15. Maltz, Maxwell, *Psycho-Cybernetics*. Hollywood, CA: Wilshire Book Company, 1960, 1964.

16. Maslow, Abraham H., *Motivation and Personality*. New York, NY: Harper & Row, 1954.

17. McGregor, Douglas, *The Human Side of Enterprise*. New York, NY: McGraw-Hill, 1960.

18. Myers, M. Scott, *Every Employee a Manager*. New York, NY: McGraw-Hill, 1970.

19. Odiorne, George S., *Management and the Activity Trap*. New York, NY: Harper & Row.

20. Townsend, Robert, *Up The Organization*. New York, NY: Alfred A. Knopf, 1970.

EA 010 408

ED151914

CASE STUDY NUMBER THREE

Lake Washington School District, Washington

Daniel Sullivan

On February 5, 1973, the Lake Washington School District Number 414 in Kirkland, Washington, adopted a revised policy statement regarding the evaluation of the performance of its administrators. The purpose of that effort was, to establish an evaluation system which would improve the quality of instruction by:

1. Strengthening positive motivation through recognition of performance and accomplishment.
2. Providing an understanding of the administrator's assignment and major performance areas.
3. Fostering communications on performance through multi-level evaluation and review.
4. Establishing documented performance as a decision base for personnel actions.
5. Insuring the compatability of administrator objectives and District goals.

The evaluation plan is administered in the following manner:

Administrator Performance Evaluation

A. General Evaluation of Performance

A written evaluation of performance takes place annually and includes a midyear conference. The purpose of the midyear conference is to orally review the administrator's performance.

B. Staff/Peer Evaluation of Performance

An administrator shall give each staff member for whom he is directly responsible the opportunity to complete an Administrator Performance Evaluation. Whether the administrator shares the results of these evaluations with his supervisor is optional with the administrator.

A written evaluation of performance by a peer chosen by the administrator may take place annually.

C. Evaluation of Management By Objectives

Evaluation of established objectives takes place annually and also includes a midyear conference. Evaluation is performed by (1) the administrator and (2) his immediate supervisor.

1. *Establishment of Objectives and Plans for Accomplishment.* Objectives and plans for their accomplishment is established jointly in a planning conference by the supervisor and the administrator to be evaluated. The conference should also include definition of the criteria to be used in measuring accomplishment. A copy should be provided for both the supervisor and the administrator being evaluated. Objectives established should consider current District, school or department goals.
2. *Midyear Conference.* A review conference will be held between the administrator and his supervisor at midyear. Progress should be reviewed at this point and effort redirected as deemed necessary by the two persons involved.
3. *Final Review Conference.* A final review conference is held between the administrator and his supervisor prior to June 30. Prior to this conference, both the administrator and supervisor should have completed the evaluation instrument. The conference should include a point-by-point review of plans and accomplishment as seen by both parties.

D. Documentation and Filing

The completed and signed general evaluation and the management by objective work sheet will be placed in the administrator's evaluation file and will be filed with the immediate supervisor. The completed subordinate/peer evaluation may, at the discretion of the administrator, be included in his evaluation file. The completed and signed summary evaluation and response will be forwarded to Personnel Services for inclusion in the administrator's personnel file.

E. Schedule of Events for Evaluations

1. *June 1 - October 15*

Review previous evaluations.
Complete and review administrator's outline of duties and supervisor's response.
Complete and review statement of unique factors and establish objectives.

2. *December 1 - February 15*

Midyear review conference.

3. *March 1 - June 30*

Complete evaluation of objectives.
Administrator receives and reviews staff/peer evaluation.
Complete general evaluation of performance.
Supervisor submits signed summary evaluation and response to Personnel Services.

F. Adjusting Grievances

1. *Definitions.*
   (a) "Grievance" means a complaint by a certificated employee concerning the application of "Administrator Performance Evaluation";
   (b) "Grievant" means a certificated employee of the District having a grievance;
   (c) "Certificated Employee" means any employee of the Lake Washington School District as defined in the state code;
   (d) "Organization" means that organization which has won a majority in an election to represent the District's certificated employees as provided in the state code;

(e) "District" means Lake Washington School District Number 414;

(f) "Board" means Lake Washington School District Number 414;

(g) "Superintendent" means the District's chief administrative officer;

(h) "Administrative Supervisor" means anyone who has supervisory responsibilities as part of his job description;

(i) "Next Appropriate Line Administrator" means the individual who has supervisory responsibility for the administrative supervisor to whom the grievance is orginally submitted;

(j) "Grievance Review Request Form" means a printed form utilized in the process of adjusting grievances under this procedure. The form shall include:

The facts upon which the grievance is based.
A reference to the section of "Administrator Performance Evaluation" alledged to have been violated.
The remedy sought.

(k) Words denoting gender shall include the masculine, feminine, and neuter, and words denoting number shall include both the singular and the plural.

2. *Time Limits.* The adjustment of grievances shall be accomplished as rapidly as possible. To that end, the number of days within which each step is prescribed to be accomplished shall be considered as maximum and every effort shall be made to expedite the process. Under unusual circumstances, the time limits prescribed in this statement may be extended by mutual consent of the grievant and the person or persons by whom his grievance is being considered. To the extent that time limits are expressed in days, the days shall consist of school days except that after June 1 they shall consist of all days exclusive of weekends and holidays so that the grievance may be adjusted before the close of the school year or as soon thereafter as is possible. Grievance claims involving retroactive compensation shall be limited to no more than 30 days prior to written submission of grievance.

3. *Representation*. At his request at each formal step in the procedure the grievant may be represented by the Organization; however, the Organization shall not be obligated to represent any grievant. Adjustments shall not alter the terms of "Administrator Performance Evaluation."
4. *Class Grievances*. In case of a number of individual grievances involving in principle the same dispute, subject to the consent of the employees involved, one employee's grievance shall be mutually selected as representing the typical grievance. All decisions of that grievance will be binding on the other grievances.
5. *Confidentiality*. All matters pertaining to specific grievances shall be confidential information and shall not be unnecessarily or indiscriminately related, disclosed or divulged by any participant in the grievance adjusting process or by any employee or director of the District. All documents, communications and records dealing with grievances and their adjustment shall be filed separately from the grievant's personnel file and two years after the adjustment has resulted, all such documents, communications, and records including those held by the Organization, excepting a record of the grievance and the final adjustment thereof, shall be destroyed.
6. *Freedom from Reprisal*. Individuals involved in grievance adjustment proceedings, whether as a grievant, a witness, a representative of the Organization, or otherwise, shall not suffer any restraint, interference, discrimination, coercion or reprisal on account of their participation in the grievance adjusting process.
7. *Assistance in Investigation*. During the course of any investigation by the Organization, either to determine whether it will represent a grievant or to enable it to represent the grievant effectively, the District shall cooperate with the Organization and furnish to it information germane to the grievance subject to the consent and knowledge of the grievant.
8. *Procedures*. Every effort shall be made to resolve grievances, or potential grievances, through free and informal communications between the grievant and his immediate administrative supervisor. However, if such informal pro-

cesses fail to provide an acceptable adjustment of the grievance, then the grievance may be processed as follows:

Step 1: The grievant, or at his request the Organization on his behalf, may submit an executed Grievance Review Request Form to the grievant's immediate administrative supervisor who shall arrange for a meeting to take place within five days after receipt of the form. The grievant, a representative of the Organization (if the Organization accepts the grievant's request for representation) and the grievant's immediate administrative supervisor shall attend the meeting. In addition, both the administrative supervisor shall provide the grievant with a written response to the Grievance Review Request within three days after the meeting.

Step 2: If the grievance is not adjusted at Step 1 to the satisfaction of the grievant, then the grievant, or at his request the recognized employee Organization acting on his behalf, may refer the grievance to the next appropriate line administrator within five days after receipt of the written answer prescribed in Step 1, or within eight days after the meeting prescribed in Step 1 is held, whichever is the later. The administrator shall arrange to meet with the grievant and with a representative of the Organization (if the Organization accepts the grievant's request for representation) within five days after the grievance has been referred to him. Both the administrator and the grievant may have present others who might contribute to an acceptable adjustment of the grievance. The administrator shall provide his written decision concerning the grievance and any adjustment of it to the grievant within three days after the meeting.

Step 3: If the grievance is not adjusted at Step 2 to the satisfaction of the grievant, then the grievant, or at his request the Organization acting on his behalf, may refer the grievance to the Superintendent within four days after receipt of the written answer prescribed in Step 2, or within seven days after the meeting prescribed in Step 2 is held, whichever is the later. The Superintendent or his designee shall arrange to meet with the grievant and with a respresentative of the Organization (if the Organization accepts the grievant's request for representation) within five days after the grievance has been referred to him. Both the Superintendent or his designee and the grievant may have present others who might contribute to an acceptable adjustment of the grievance. The Superintendent or his designee shall provide his written decision concerning the grievance and any adjustment of it to the grievant within five days after the meeting. The Superintendent shall not delegate an individual who has been involved in one of the previous steps.

Step 4: Arbitration. If the grievant is not satisfied with the disposition of his grievance at Step 3, or if the Superintendent or his designee has not provided a written decision within the time limits prescribed in Step 3, then the grievant, or at his request the Organization acting on his behalf, may have the matter submitted to final and binding arbitration under the rules and administration of the Federal Mediation and Conciliation Services.

If a demand for arbitration is not filed within 15 days of the date on which the meeting prescribed in Step 3 is held, then the grievance shall be deemed withdrawn and that specific grievance may not be re-entered.

Each party shall bear the full costs for its representation in the arbitration. The fees of the arbiter shall be divided equally between the District and recognized employee Organization, *provided, however,* that the recognized employee Organization declines to represent the grievant elects to proceed to arbitration without representation by the Organization, then the fees of the arbiter shall be paid one-half by the District and one-half by the grievant.

9. *Deviation from Procedure* Grievances involving an administrator above the level of unit administrator may be initiated at Step 2 or Step 3, whichever is appropriate.

Before the administrators could be evaluated, the planners had to decide on what a good administrator was. They devised the following description of a model administrator and his/her performance.

Indicators of Administrator Effectiveness

Indicators of administrative effectiveness are listed in seven task areas. The categories of the tasks are:

A. Curriculum and Instruction
B. Staff Personnel
C. Pupil Personnel
D. Finance and Business Management
E. School Buildings and Equipment
F. School-Community Relations
G. Professional Growth

Beneath the heading of each task category will be descriptions of administrative performance which will be indicators of effectiveness. *Few of these descriptions will be appropriate for all administrators. The descriptions of performance cover all levels of administration* in the Lake Washington School District.

A. Curriculum and Instruction

1. The effective educational administrator responsible for curriculum and instruction coordinates his efforts with the efforts of others for cooperative development of the instructional program.
   a. Initiates, administers, and facilitates systematic development of a school system philosophy specifying instructional and curricular objectives.
   b. Assumes leadership in developing school, departmental, or area philosophy consistent with school system philosophy.
   c. Contributes to the development of system-wide curricular structure consistent with school system philosophy.
   d. Develops administrative structure and defines administrator responsibilities in the area of curriculum and instruction.

e. Provides leadership for the development of comprehensive goals and related sequences of performance objectives for particular curriculum areas. Analyzes results and revises goals and sequences accordingly.

f. Cooperatively develops instructional guidelines and resources, and makes provisions for their use and refinement.

g. Develops and/or administers assessment program and in-service programs for staff members.

h. Establishes and maintains a professional library for staff use.

i. Develops programs of student activities consistent with school district philosophy.

j. Organizes and administers supplemental programs based on identified needs of those served by the programs.

2. In cooperation with other staff members, the effective educational administrator responsible for curriculum and instruction consistently seeks improvement of instruction and of the total instructional program.

a. Keeps informed about significant new developments in curriculum and instruction.

b. Stimulates and assists staff members in investigating and evaluating promising new developments.

c. Works with staff in the implementation of instructional changes under way in the district.

d. Works with staff in his area of responsibility so as to support and strengthen the Career Compensation Plan.

(1) works toward staff cooperation and support.

(2) assists staff members in selecting appropriate and significant objectives for professional growth.

(3) assists in development and execution of professional growth plans, including means of measurement.

(4) completes required general evaluations as outlined in Career Compensation Plan.

e. Conducts research projects related to curriculum and instruction as appropriate.

f. Obtains and disseminates information and initiates proposals relative to supplemental funding of curriculum and instruction projects.

g. In cooperation with staff, evaluates and makes recommendations concerning materials, and texts.

h. Works for curriculum development and improvement of instruction.

i. Prepares annual reports as requested of status, accomplishments, needs, unresolved issues in area of responsibility.

j. Attempts to resolve conflicts within area of responsibility.

k. Follows systematic plan for involving community, staff and students in curricular and instructional planning.

l. Contributes to overall efforts by accepting responsibility for special assignments.

3. The effective educational administrator responsible for curriculum and instruction cooperatively develops and implements changes of viewpoint, teaching strategies, and school program to serve varying needs of students.

   a. Works cooperatively with staff members to increase flexibility in instruction.

   b. Works with staff in development and application of teaching strategies which place students in active roles (e.g. - student-teacher planning).

   c. Develops programs of voluntary activities based on students' interests.

   d. Identifies and uses special abilities of staff members and students in particular activities.

   e. Provides for systematic review, evaluation, and refinement of methods for meeting individual differences.

   f. Develops and refines methods of reporting pupil progress which are consistent with instructional objectives for individual students.

4. The effective educational administrator responsible for instructional resources and services organizes and administers instructional resources and services to meet the needs of students, teachers and administrators by:

   a. Participating in the selection and ordering of materials for all instructional resource centers.

   b. Supervising the collection of recommendations for additional instructional materials from teachers and administrators.

c. Providing in-service workshops for instructional personnel in the utilization of audio-visual equipment and the construction of visual materials.

d. Ensuring that appropriate instruction in the proper use of instructional resource facilities and materials is provided for staff and students.

B. Staff Personnel

1. Recruitment and Selection:

The effective educational administrator responsible for recruitment and selection:

a. Cooperatively and appropriately participates in the employment cycle of the school system.

b. Actively participates in the development and implementation of recruitment programs and selection procedures for certificated personnel.

c. Develops recruitment materials and works with other educational administrators in recruiting and employment of classified personnel.

d. Attempts to correlate the effectiveness of selection procedures with teaching performance.

e. Develops a plan and/or assists in analyzing causes of employee turnover and retention.

f. Provides information and suggestions for upgrading the effectiveness of the substitute teacher program.

g. Encourages capable student teachers in the school system to seek a teaching career.

2. Assignment, Load and Transfer:

The effective educational administrator responsible for assignment, load and transfer:

a. Implements school board policies pertinent to these areas.

b. Consults with other administrators regarding assignment procedures and enlists their cooperation in making the process as effective as possible.

c. Makes work assignments, when possible, based on the strengths of the individual in relation to the description of his job.

d. Makes assignments on the basis of the individual's qualifications and, when possible, consideration of his desire for the assignment.

e. Makes instructional and service loads equitable and as fair as possible.

f. Cooperates with other administrators in determining assignment, load and transfer requirements for the school system.

3. Orienting the School Employee:

The effective educational administrator responsible for orienting the new school employee:

a. Develops orientation programs to introduce new personnel to the school system and the community.

b. Designs orientation programs which naturally lead into the in-service training programs of the school system.

c. Cooperates in the development of programs and procedures which provide the opportunity for experienced staff personnel to assist new employees.

4. Development of Personnel:

The effective educational administrator responsible for developing staff personnel:

a. Cooperates in developing comprehensive in-service education programs which are well-organized and well-planned.

b. Communicates with members of the school system the nature of the professional development program and how its objectives relate to their areas of concern.

c. Provides opportunities for selected professional development experiences for school employees under his supervision.

d. Utilizes a wide variety of in-service techniques and tools in implementing the program in order to meet the needs and interests of the whole staff, i.e., workshops, brainstorming, buzz sessions, demonstrations, group discussions and role playing.

e. Supports in-service training programs on a system-wide basis.

5. Staff Management Role:

The effective educational administrator responsible for fostering the staff management role:

a. Develops a cooperative and positive relationship with other school personnel to achieve the goals of the school system.

b. Stimulates staff morale, promotes organizational purpose and readiness to change.

c. Exhibits rational administrative behavior in job-relevant situations which encourages other school personnel to trust and respect his leadership.

d. Seeks a balance between concern for organizational needs and personal satisfaction.

e. Represents management at the various levels (as appropriate) of the grievance procedure.

6. Personnel Administration and Employee Organizations:

The effective educational administrator responsible for establishing positive relationships with employee organizations:

a. Operates within his appropriate role in the organizational plan of the school system.

b. Encourages informal organizations.

c. Cooperates in establishing a communication procedure whereby problem-situations or concerns can be discussed in terms of the goals and objectives of the school system.

d. Strives for relationships with employee organizations which will encourage such organizations to assist in the attainment of the further development of each employee in meeting the school system's goals and objectives.

7. Special Education Programming:

The effective educational administrator responsible for Special Education programs maintains, supports, and develops program(s) of Special Education by:

a. Disseminating information about services of Special Education, types of disabilities served, and methods of referral.

b. Following systematic procedures for identifying students in need of Special Education services and for placement in Special Education.

c. Formulating and following specific procedures for incorporating Special Education into the total school program and for including Special Education students in the total program of school activities.

d. Working with other personnel to enrich the instructional program for Special Education.

e. Providing in-service activities for school personnel to enable them to recognize and meet needs of exceptional children.

C. Pupil Personnel

1. The effective educational administrator ~~responsible~~ for pupil personnel services devises and maintains efficient records systems to meet student and organizational needs:
   - a. Attempts to provide for efficient and systematic maintenance of necessary and desirable individual records.
   - b. Follows district policies regarding confidentiality of student records.
   - c. Cooperates in the plan, development and refinement of group and individual guidance activities.
     - (1) involves staff members in the study of student needs and development of appropriate policies, strategies, and classroom activities emphasizing developmental and preventive guidance.
     - (2) arranges for in-service programs directed to initiating, maintaining, evaluating, and refining school guidance functions.
   - d. Applies principles of effective guidance to handling of student problems and conflict situations.
     - (1) deals with causes as well as symptoms of student problems.
     - (2) conducts systematic, constructive follow-ups to crisis encounters with students as appropriate.
     - (3) develops case studies of persistent or severe student problems as appropriate.
     - (4) acts to influence future behavior by securing teacher or student commitments to positive courses of action.
     - (5) uses many sources of data for making major decisions affecting students.
     - (6) consults with and makes referrals to specialists in seeking to resolve persistent or severe student

problems.

(7) defines and pursues courses of action which emphasize enabling as well as controlling functions.

e. Provides for essential *social services* directly affecting students' school experience, in close cooperation with other school services and community agencies by:

(1) supplying essential information about available social services to teachers, nurses, guidance personnel, and administrators.

(2) coordinating efforts of social services and guidance in areas and matters of mutual concern and responsibility.

(3) developing orderly procedures for referrals to social services and for providing follow-up reports on referrals.

(4) developing and maintaining close working relationships with community agencies.

f. Contributes to maintenance and development of necessary and beneficial *health services* by:

(1) participating in cooperative planning for the organization and administration of school health services.

(2) maintaining records and reports of health service activities, including those to meet State requirements for periodic vision, hearing, and tuberculin tests.

(3) using health services as a resource for aid in diagnosis of student problems and identification of handicapped children.

(4) developing programs of health and hygiene for students through consultation between health service personnel and the general staff.

(5) providing, in cooperation with health services personnel, recommendations and information related to dealing with students with special physical or health problems (e.g., epileptics, diabetics).

(6) coordination of health services with other school and community agencies serving students.

(7) participation in regular evaluation of the operation of health services.

g. Works with therapists to organize *speech and hearing services* for maximum effectiveness in overcoming student disabilities.

(1) preparing a written description of the program, including objectives, criteria for kinds and degrees of disability to be served, and methods of screening and referral of students.

(2) providing for systematic communication between therapists and classroom teachers and between therapists and parents when essential.

(3) establishing case loads and schedules for therapists.

(4) providing for case records to include therapy provided and progress made.

(5) preparing an annual report summarizing therapists' activities, results, and recommendations.

h. Organizes and administers *guidance* and *counseling* services to meet the anticipated and expressed needs of students, teachers, and administrators through:

(1) assessing vocational trends, communicating educational implications of new vocational developments to professional staff and students, providing resources and activities which encourage student exploration of occupational and professional alternatives.

(2) providing educational counseling services by systematically identifying appropriate educational agencies for a wide range of vocational interests, by providing accurate and current financial assistance information to both parents and students, and by providing reasonable resources and activities which promote student exploration of post-high school educational opportunities.

(3) providing personal counseling services on a

confidential and individual and/or group basis for secondary students.

(4) providing in-service programs to enable instructional staff to develop skills in assisting students to develop positive attitudes toward self and the school environment.

(5) identifying supplemental and supporting community service agencies which can be utilized to help students with special physical and psychological needs.

(6) designing and administering in-service programs for the professional development of guidance and counseling personnel.

(7) systematically examining the effectiveness of the guidance and counseling program by obtaining evaluation from parents, graduates, administrators, teachers and parents; modifying program on basis of evaluation obtained.

(8) designing and administering a testing program, which provides a sound basis for the vocational and educational counseling of students and which provides a basis for curriculum and instructional decision-making by administrative and instructional personnel.

(9) assisting in initiating and completing research studies related to graduates, students, and dropouts.

(10) providing annual reports to appropriate administrators relative to the status of pupil personnel services.

D. Finance and Business Management

1. The effective educational administrator responsible for general business procedures and management:
   a. Cooperates with appropriate personnel in the overall management of financial and business affairs relating to the operation of the school system.
   b. Follows federal, state and local laws, rules and regulations relating to school finance and funding as they

apply to his particular assignment.

c. Provides his superiors with information relating to funding under his supervision.

d. Provides information to his staff as to the current financial developments and situations as they may apply to his position or assignment and to the staff.

e. Develops an insurance program for appropriate coverage of facilities, equipment and personnel as per statutes and policies.

2. The effective educational administrator responsible for budget preparation:

   a. Secures the cooperation and involvement of all affected personnel in preparing levy and budgetary needs and recommendations. (Teachers, department heads, classified employees and others are involved in recommending needs and priorities to implement the educational program.)
   b. Prepares a realistic budget that considers the educational program, the expenditures necessary to support the program, and the anticipated available revenues.
   c. Develops cost estimates of proposals that would change the number of certificated and/or classified staff members or their compensation.
   d. Allocates budget funds in accordance with expressed needs and budget limitations.
   e. Arranges for public meeting to inform the general public as to educational needs, the proposed budget to meet these needs, and the financial problems relating thereto.
   f. Provides in-service for appropriate staff in the development/management of budgets.

3. The effective educational administrator responsible for managing requisitions and purchases:

   a. Informs personnel who are responsible for the management of budget funds as to the amounts of funds available.
   b. Provides for systematic and efficient purchasing procedures and expenditure of funds under his jurisdiction and for the instruction of the staff in these procedures.
   c. Arranges for storage and equitable distribution of materials and supplies (instructional and/or non-instruc-

tional).

d. Checks carefully the receipt of equipment, materials and supplies and reports to the proper school officials.

e. Arranges for efficient purchasing through proper bidding procedures.

4. The effective educational administrator responsible for managing expenditures of funds:

   a. Secures established procedural approval before obligating the expenditure of budget funds.

   b. Consults with his superiors before obligating any funds when the expenditure might be controversial. Example: Equipment which might be dangerous, require building alteration, etc.

   c. Establishes an accurate and efficient system of controlling the expenditure of funds (budget, ~~extra~~-curricular) within the framework of all federal, state and local rules and regulations and of reporting the status of all accounts.

5. The effective educational administrator responsible for funding (securing of finances):

   a. Is informed as to the availability of federal, state and local sources of revenue.

   b. Secures all possible funds from available sources that are necessary for the efficient implementation of the total school program.

   c. Manages funds so as to have sufficient funds available to meet obligations in an acceptable business manner, to properly invest idle funds and accurately account for funds.

6. The effective educational administrator responsible for business affairs relating to personnel:

   a. Organizes and operates a system of accurate personnel accounting and reporting relating to such items as sick leave, loss of time, etc.

   b. Assist the School Directors and school personnel in the development of salary schedules and fringe benefit programs.

7. The effective educational administrator responsible for food services:

   Directs the operation of efficient *food services* for schools in accordance with state and local laws and health regulations and in compliance with directives of the School Lunch Division of the State Department of Public Instruction by:

a. Selecting of capable personnel and assignment to appropriate duties.

b. Efficient budgeting and economical purchasing procedures for equipment, supplies, and food.

c. Maintenance of high standards of food quality and sanitation.

d. Providing (within limits of cost) food and service attractive to those using the lunchroom.

8. The effective educational administrator responsible for transportation services:

Provides, organizes, and directs an adequate, safe and efficient *transportation service* for the students that is in compliance with all local policies and state laws regulating school buses and drivers by:

a. Cooperatively determining transportation needs indicated by the resident location of all pupils.

b. Providing adequate physical equipment and personnel (within cost limits) to meet the transportation requirement needs.

c. Cooperatively developing a transportation plan of routes and schedules.

d. Determining that all physical equipment meets all local and state laws and regulations concerning construction, design and safety.

e. Providing a system for selection of personnel (drivers) that will ensure legally qualified drivers, in good physical condition and of high moral character.

E. School Buildings and Equipment

1. The effective educational administrator responsible for school building plans:

a. Keeps informed as to advances in educational programming, building design, equipment and materials development through reading, attendance at conferences, workshops and exhibits, contacts with architects, contractors and suppliers.

b. Develops the necessary procedures to determine the adequacy of existing facilities to provide for the system's educational program.

c. Analyzes results of surveys and other predictors of enrollment projection and educational program needs in developing an overall plan for meeting facility needs.

d. Provides an opportunity for staff (certificated and classified) and the community to become involved in the planning construction (new or remodeling) of facilities to house the educational program.

e. Keeps informed as to all rules and regulations concerning building construction and causes proper forms and procedures to be completed and followed.

2. The effective educational administrator responsible for management of physical facilities:

   a. Provides for the effective and equitable utilization of buildings, grounds and equipment.

   b. Cooperates with appropriate personnel in organizing and conducting an effective maintenance program for buildings, grounds and equipment.

   c. Submits to the proper staff members, requests for repairs, alterations and improvements.

   d. Provides for care and for respect of physical facilities in their usage.

3. The effective educational administrator responsible for buildings and equipment:

   a. Given adequate resources, provides for sufficient equipment, materials and supplies, for the operation and maintenance of the physical facilities and equipment.

   b. Plans and/or supervises the effective and economical use of materials and supplies in building maintenance.

   c. Follows stated procedural practices in the requisition, storage, distribution and inventory of materials, supplies and equipment.

   d. Develops and/or supports a program for the selection, training, assignment and supervision of the custodial and maintenance staff.

   e. Recommends and/or implements a long-range maintenance program which provides for emergency maintenance, preventive maintenance, recurring and periodic maintenance and deferred maintenance. Such program is to include the development of a maintenance records system.

F. School-Community Relations

1. Establishing a School-Community Relations Program:
   To develop an effective school-community program, all educational administrators:
   a. Contribute to the development and implementation of a system-wide school-community relations program.
   b. Identify the publics with which the school-community relations program interacts, such as (1) the students, (2) the faculty, (3) the parents, (4) the taxpayers, (5) the non-taxpayers and (6) organized service and social agencies in the community.
   c. Interpret the policies, rules and regulations, objectives, conditions, and needs of the school system to the various publics in the school system and the community.
   d. Are consistent in the administration of policies and rules and regulations within the framework of the school system.
   e. Create a climate and provide opportunities which strengthen the lines of communication between the patrons and the school district.
   f. Utilize the various media of public communications available to the school (radio, newspaper, speaker's bureau, staff newsletter and community newsletter).
   g. Help inform patrons and the community of the school program, calendar, policies, and innovations.
   h. When appropriate, develop assessment instruments to see if patrons in the community understand educational programs of the school system and to collect data for the purpose of future program development.
2. Community Relations:
   To develop the proper attitude for a successful school-community relations program, all effective educational administrators:
   a. Identify the needs and concerns of various

constituencies in the school system and provides this input for an effective system-wide school-community relations program.

b. Devise means and programs which enable the school district to aid in the cultural, recreational, and educational interest of adults as well as children.

c. Involves parent organizations in the utilization of school facilities, equipment and instructional materials.

d. Provide for home-school involvement on a systematic basis.

e. Provide a source of information to taxpayers who would not normally receive items or materials from children enrolled in the school or school system.

f. Develop and maintain an up-to-date listing of organizations and clubs, service or social, who can be valuable sources of support for school programs.

3. Utilization of Community Resources:

All effective educational administrators endeavor to encourage utilization of community-wide resources:

a. Solicit the aid of parents and others willing to share their specialized knowledge.

b. Cultivate leaders in industry, business, labor and community organizations who can communicate vocational opportunities to school system personnel.

c. Involve citizen groups to serve as two-way communicators for school and community.

d. As appropriate, utilize parent groups to aid on tours, field trips and parties.

4. Utilization of School Personnel Talents:

Since the school system has talented personnel, the utilization of these individuals enriches the educational administrator who:

a. Consults with school personnel in the planning, production, and presentation of specific communications.

b. Assists in coordinating work with civic and other groups which contribute to the advancement of the school system.

c. Provides staff members with assistance and materials for exhibition at educational conventions, workshops, and seminar meetings locally and in preparation of materials for community and staff distribution (handbooks, recruiting booklets, etc.) for the improvement of instruction.

d. Assists in coordination of the publication of manuals which would be subject to periodic up-dating and revision.

e. Encourages and instructs school personnel in the use of school-community relations techniques and informs them of the activities of the school system.

5. Program Evaluation:

All effective educational administrators:

a. Cooperate in the systematic evaluations of communications and reports utilized in the total school-community relations program.

b. Cooperate in the interaction with community leaders to determine the reaction to educational programs in operation and also to obtain reactions to proposed programs.

c. Recommend methods for assessing feedback from internal and external audiences to modify communications operation or initiate action to establish new objectives.

G. Professional Growth

1. All effective educational administrators are active participants in group activities for professional growth of administrators:

   a. Help to identify and select desirable professional growth projects to be undertaken.

   b. Participate actively in group undertakings for professional growth of administrators, such as:
      (1) workshops and conferences
      (2) study groups
      (3) planning and research projects
      (4) pilot projects
      (5) appraisal and evaluation activities

2. All effective educational administrators assume responsibility for a continuing personal program of professional improvement:

   a. Identify and assign priorities to significant professional growth areas directly related to their particular administrative responsibilities.

b. Follow a systematic plan for attainment of personal professional growth objectives through such activities as:
    (1) planned programs of independent reading and study
    (2) selected college courses
    (3) selected professional meetings

3. All effective educational administrators use new understandings and skills to improve their on-the-job performance:
    a. Change or enlarge their activities to reflect changed concept of their role.
    b. Change management of time to reflect revised priorities.
    c. Provide impetus and direction for change.
    d. Adopt new leadership techniques.

Experience provides the best test of a system, and Sullivan reports what he has learned in designing an evaluation system by listing some practical tips for others engaged in a similar task.

Statutory Requirements

1. Engage attorney early to provide appropriate legal counsel.
2. Review all statutes relative to evaluation.
3. Consider recent court decisions which speak to dismissal for poor performance – planning and organizing.
4. Have legal counsel review final document before implementation, i.e., due process, open files, fairness (types of communications before/after).

Identify Purpose

Different people have different expectations or standards for a program or plan. Uppermost in the minds of some is increased output or productivity; others place most value on personal or psychological security, or high esprit among colleagues.

Assumptions as to desired outcomes should be clearly understood by all parties very early in the development process. For example, *consider the following*:

1. *Negative side effects.* Even though an evaluation program produces short-term gains, will the effect on morale be such that administrator effectiveness will be lowered? Or, in reverse, will negative side effects (such as low esprit, or negative attitudes toward the program) be reduced after the program has been in operation for a period of time?
2. *Political viability.* At the current time, programs must not only be within the political framework accepted by the state legislature, but also be approved at the local level. In recent years, this process of local approval has been formalized through negotiations. Consequently, programs need to be examined continually to determine whether they are acceptable to those involved. Determination of acceptability is considerably different from a determination of whether the programs are producing desired educational results.
3. *Social viability.* Whereas political viability is concerned with whether the solution to a problem (i.e., a program designed to solve an identified problem or to accomplish a specified goal) is acceptable to those involved in making decisions, social viability is concerned with whether the solution is acceptable to a larger social group. *For example, although a given evaluation program may be negotiated between a board of education and a professional association, it still may not be considered acceptable to voters of the community.* As costs of education continue to rise, voters are insisting that evaluation programs be designed to make individuals *accountable* to the larger public – rather than simply to themselves or the education profession. If this trend continues social viability of evaluation programs will continue to be a concern.
4. *Recidivism.* Recidivism occurs when a program tends to slide back after props are removed. In effect, *the program regresses to a prior state (usually a more comfortable or easy one) when monetary or psychological supports are removed.* When programs are new, there is usually much interest in them. As time goes on and as new programs in other areas demand attention, there is a strong tendency to reduce efforts to maintain a continued level of activity. In every program it is important to guard against recidivism

and to take *remedial action immediately if it does occur.*

The evaluation system should:

a. identify both *characteristics (process)* and the results of *behaviors (product).*

b. state minimum standards while *providing for individual differences through goal setting.*

c. *encourage evaluation as an ongoing process* and *provide for multiple conferences* between administrator and supervisor.

d. *lend itself to an orderly process with a time frame for providing feedback information to the evaluatee.*

e. provide for consistancy between documents and procedures.

f. meet expectations regarding "fairness."

. Involve Staff

1. Who develops plan?
   - involve those who have a stake in the outcome and the ability to contribute
   - task or committee?
   - workable size group (resources, i.e., time, scheduling, budget, etc.)
   - need for negotiation process, i.e., decision-making model
2. Determine means of collecting data, i.e., observed behavior, questions and/or written records.

   Inherent problems usually cause management systems to rely on self- report and records.
   a. Need to agree on *who, what, when, where* and *how*
   b. Data collection forms -- involve both evaluator and evaluatee

A good evaluation system should be designed in such a manner that a strong trust relationship is developed between evaluators and evaluatees. Channels of communication should become more open and authentic. When such is not the case, resistances tend to creep in and defeat any positive effects that might be accrued as a result of the system.

Commitment

Another viewpoint held by a number of staff is that the prior program of evaluation may not be so deficient as to warrant extra effort on the new program. Before most people will work hard on developing a new program, it may be necessary to identify specific and serious deficiencies in the old program. If the deficiencies are not clear to those who are working on the new program (at either the planning or the implementation state), there is a very strong tendency to resist the additional effort necessary to develop and implement the new program.

Deficiencies of a program may be expressed in terms of outcomes and/or processes used to produce those outcomes. *Unless it is clear that the outcomes are unsatisfactory in terms of some standard, people often are unwilling to look at the processes used to produce the outcomes*. The Board of Education and the chief administrator of the district must articulate the need and their commitment.

1. Need for a support system (time, money, administration, participant support)
2. Statement of goals (where is the program going)
3. Without reinforcement and support, an evaluation system has the tendency to die.

Inservice

Although procedures such as Management by Objectives (MBO) have many advantages, they are not without problems. For one thing, *considerable skill is needed in planning and developing objectives*. In this connection, one particularly acute problem arises because some performances are so complex and difficult (or impossible) to measure that an individual may follow one of three paths:

1. ignore those performances that are difficult to measure and concentrate only on those which can be measured (or even that can be measured easily); or
2. concentrate on objectives that have a high predictability of achievement; or
3. engage in performance contracts (or agree on stated objectives) without specifying the evidence which will be acceptable for knowing whether the objective has been attained.

Given the need to evaluate as comprehensively as possible, a more reasonable alternative might be to (a) agree on the measurable objectives, (b) recognize the important although (as yet) unmeasurable goals, (c) agree on the approximate amount of energy, time, and resources to be spent on the two types of goals, (d) agree on the information required to reveal as much as possible about the attainment of the two types of outcomes desired, and (e) determine whether it is worth spending some money to develop additional measures.

Inservice translates the plan into action. Implementation can be hindered by inadequate orientation and training.

Evaluation

Stabilization of Procedures

In order to utilize the outcomes or results of a program for the evaluation of that program, *it is necessary for all procedures used to be stabilized so that they are consistently implemented and applied.* Otherwise, it will be impossible to attribute the results to a given procedure. Therefore, it is necessary to permit a reasonable time frame to examine and compare outcomes.

Some questions to consider when developing guidelines for evaluating the system:

1. What makes a good evaluation system?
2. What should the system do for administrators?
3. What should the system do for others?
4. What should the system do for the organization?
5. Is it self correcting (cyclical) rather than linear?
6. How do we know the system is working?
   - sufficient time being spent
   - relation to rest of system, i.e., results, relationship of process and outcomes.

Summary

1. Be aware that every system has a tendency toward permanency.
2. Determine how the process-product relationship will be established.
3. Provide for a cyclical process.

Since one part of the evaluation system is Management by Objectives (and Accomplishment of Objectives), it may be helpful to consider what is known about the management aspects of this procedure. *Some of the research which has been done regarding Management by Objectives accepts and supports the following statements:*

1. *Changes brought about by MBO depend on the rigor with which the planning, feedback, and corrective functions are carried out.* Unless these aspects are done well, MBO appears to function similarly to other less systematic procedures.
2. Most managers who use MBO state that doing *the planned work was fairly easy compared with deciding what to do and how to do it.* This idea is compatible with number 1 and expands the idea that the creativity of planning is a critical phase of the process. When planning is combined with review of results, management of the organizational unit becomes a continuous process which fits a normal operating cycle.
3. *Organizations can experience disappointment where MBO is used purely for performance appraisal or solely as a basis for compensation.* In the latter instance, MBO is vulnerable to extraneous factors and deliberate misrepresentation. It is most successful when it is the approach to management, rather than an adjunct approach which is considered tangential to the real work to be accomplished.
4. Implementation of MBO has a great deal to do with its success. *When top management has responsibility for implementing the process, success appears to be greater than when the personnel division is responsible for implementation.* This is probably due to the degree to which process actually permeates the management of the total organization.
5. *MBO procedures provide feedback which is necessary for a manager to control his own performance.* This statement should hold for teachers or administrators and should be compatible with any strategy for learning used by a teacher or leader. *Since the eventual purpose of an evaluation system is to provide learning so that person becomes a better self-diagnostician, MBO should aid in this purpose.*

ERIC
Full Text Provided by ERIC

EA 010 409

ED151915

CASE STUDY NUMBER FOUR
Los Angeles County, California

Marvin R. Matthews

In 1971, the legislature of California passed a bill which began requiring ALL governing boards to establish a UNIFORM system of evaluation and assessment of the performance of ALL certificated personnel within each school district of the state. Called the Stull Act, it furthermore required each school district to DEVELOP and ADOPT its own objective evaluation and assessment guidelines; legislation passed in 1975 amended the Stull Act prohibiting the schools from using published norms established by standardized tests as a criteria for the evaluation and assessment of certificated people.

Here are two examples of how schools within the Los Angeles County School District accepted the challenge to design a unique system with which evaluate their administrators.

Example A: South Whittier School District

This example begins with a memo a superintendent sent to all his principals to inform them how he plans to initiate evaluation of their performance.

I have devoted a great deal of thought to how we might work and here is my suggestion:

1. I would like to spend a full day at each school, sometime between now and December 1. Please call my secretary to reserve a day convenient to you. On that day, there are several things I would like to do with you:
   a. Review all teacher evaluations and objectives.
   b. Discuss and set principal's objectives (you might wish to prepare ahead of time, or we can develop cooperatively at that time).
   c. Visit each classroom.
   d. Take a driving tour of the attendance area served by your school.

e. Make an inspection of the physical plant.

f. Meet informally for 15 to 20 minutes with your staff (preferably after school, to react and reinforce the day's activities could be in two groups, primary and upper, you schedule. . .).

2. As has been true in all cases up to now, the emphasis will be on the positive. Key questions for you and me to answer are.

a. How can I help you and your staff to achieve success with your pupil objectives?

b. What specific support do you wish from the Superintendent?

c. What, if anything, is the district office doing that is *deterring* you from working effectively toward reaching your objectives?

I am looking forward to working with you on this most important task!

Position Guide

Next, the superintendent and principals created a guide which would be used as a basis for judgment.

Title:

Principal

Accountability:

To children for the supervision of the educational plan agreed to by the principal and the teacher.

To the Superintendent for the evaluation of his work as the site administrator in carrying out the activities listed.

Major Responsibility:

Supervision and Evaluation of Instructional Program

Implement the district adopted instructional program in his building and supervise and evaluate said instruction.

Direct, coordinate and supervise as well as evaluate all personnel assigned to the school with annual recommendations to the Superintendent. This may be done on an individual basis, or by a meeting of staff as deemed necessary.

Assist teachers in obtaining suitable curricular materials and give them suggestions for securing new ideas and aids.

Cooperate with the staff in developing policies and supervising a program of school control.

Personnel Supervision

Hold pupils accountable for their conduct in the classroom, on the grounds, and on their way to and from school.

Provide help for the staff and pupils through available consultant services.

Be responsible for the correct classification and promotion of all pupils within his school.

Must have knowledge of, and fully comply with all smog alert regulations.

Supervise all student body activities and administer student body funds, or any district funds originated at the school level.

Plant Management

Requisition supplies and equipment for his building, issue these to personnel, and make adequate reports and inventories.

Regularly inspect his school with reference to sanitation, health, appearance, safety, and general effective operation. Take effective measures to maintain high standards of the same.

Fire drills and civil defense are to be regulated by each building principal and are to be held montly. (Title V, Section 5554)

Community Relations

Establishes and maintains effective communications system with children, staff and community.

Submits all required reports to the district office.

Performs such other duties as are assigned by the Superintendent.

Qualifications:

Must possess a valid California Administrative Credential.

Must possess a Master's Degree.

Must have taught at least five years in the elementary grades.

Preferred – some internship opportunity at the administrative level, either planned or voluntary.

Dimensions:

The principal is responsible for the deployment of the following resources (based on an average size school of 500 pupils).

School Plant	$ 700,000	*Personnel*
School Staff	230,000	500 children
Supplies and		17 teachers
Equipment		10 classified
Other	70,000	
	$1,000,000	(approximately)

Principle Activities:

Interprets and implements the district-approved curriculum.

Provides leadership to the staff in determining objectives and identifying school needs.

Enlists the assistance of resource personnel.

Identifies needs, provides, assigns, and coordinates in-service growth opportunities for teaching personnel.

Supervises and evaluates the performance of all assigned personnel in accordance with the district's adopted uniform guidelines for evaluation and assessment, recommends appropriate action in cases of substandard performances.

Assists the teachers in developing standards and objectives for student performance, and has periodic conferences to determine the degree to wh[illegible]hese are being met.

Holds students accountable for acceptable behavior in classroom, on playground, and to and from school.

Plans, coordinates, and evaluates the total program of pupil services including guidance and counseling.

Plans, supervises, and directs the business operation of the school in accordance with district policies and procedures, and supervises all student body activities and administers student body funds, or any district funds originating or assigned to the school level.

Carries out a program of community relations as a means of interpreting and furthering school programs through PTA and other community organizations.

Complies with fire drills and civil defense regulations (Title V, Section 5554), also smog alert regulations.

Evaluates all personnel as required by district policy.

Cooperates with the staff in developing school policy.

Is responsible for the correct classification and promotion of all pupils within the school.

Full Text Provided by ERIC

Requisitions and issues equipment and supplies for the building and personnel, and will supply the district office with inventories as requested.

Inspects the school with reference to sanitation, health, appearance, safety, and general operation, and will take action to correct substandard conditions.

Submits all required reports to the district office.

Performs such other duties as are assigned by the Superintendent.

Current Year Objectives:

Writes or selects yearly objectives and submits to the Superintendent as basis for evaluation.

XYZ School
Principal's Objectives
1972-73

Each principal decides how to use the guidelines in formulating his own performance objectives.

Curriculum and Instruction

1. The principal will, before May 15, make a minimum of five observation visits to each classroom.
2. The principal will, by May, have at least two formal meetings with each teacher to consider objectives and make an evaluation. One of the meetings will be in the fall and one in the spring. Also, as many intermediate conferences as deemed necessary by either teacher or principal will be held.
3. During the school year, the principal will attend 80% of the upper grade minimum day planning meetings and assist in considering methods of implementing improvements, giving recognition for effective procedure, and making every effort to help acquire materials to make the program effective. When considered beneficial, the total staff will be called to meet

together and discuss areas of mutual concern to both upper and lower grades.

4. By November 1, the principal will have conferenced individually with each teacher to cooperatively establish standards of expected pupil progress for each class.
5. By October 15, the principal will have set up a plan whereby the curriculum budget for the current school year would be dispensed equitably, with a record system showing all expenditures, itemized as to description, price, purpose, and assignment.
6. The principal will give aid to teachers throughout the year in regard to selection and purchase of materials.
7. The principal will proclaim a "Good Citizenship Week" during the year. The following will be accomplished during the week:
   A. Each class will be given a total of at least 60 minutes of instruction in regard to good manners and other aspects of what constitutes a good citizen of the school.
   B. As measured by staff observation, 75% of the students will evidence some positive growth in association with peers by:
      1. Showing compassion
      2. Making a polite gesture
      3. Showing concern for the school facility.
   C. During the week, 100% of the school staff will set an example for the children by:
      1. Being especially courteous
      2. Picking up paper along the corridor, and showing other traits of a good citizen.
   D. Outstanding citizenship will be acknowledged by each teacher as deemed appropriate. Recognition of school "Champion Citizens" will be made at a PTA unit meeting.
8. Ninety percent (90%) of all classroom objectives will be met.

Community Relations

1. The principal will, during the year, attend at least two functions of the youth groups (scouts, etc.) of the community who meet at the XYZ School.
2. The principal will attend 100% of the XYZ PTA Board Meetings during the year.
3. XYZ School will provide at least one art display to be hung in

one of the neighborhood banks. These materials will be representative of the grade levels.

4. The principal or someone designated by him will prepare an informative article about the school for publication in one of the local newspapers. Also, several articles will be prepared for publication in the PTA bulletin.

Staff Relations

1. The principal will, during the course of the year, and by arrangement with teachers of various classes, spend at least 12 hours in actual classroom instruction.
2. The principal will give support to the faculty social committee in planning activities through the year which will serve to permit the group to interact on a relaxed social basis.

Plant Management

1. The principal will make a safety check of playground equipment once each week and make recommendations to the maintenance department for any needed repair within 24 hours.
2. The principal will request that the custodian and teacher check the condition of the classroom equipment as the room is being used and cleaned and will submit a work order for repair that the custodian is unable to effect.
3. The principal shall submit to the Superintendent requests for new and replacement equipment when requested in the spring.

Guidance, Welfare and Attendance

1. The principal will report any incident of child abuse and follow the procedures as outlined in County Special Bulletin No. 42, 1968-69, plus amendments.
2. The principal will read and initial all referrals to the Guidance Office that are initiated in the school. A list of such referrals will be kept by the principal and the disposition of each case will be kept.

Principal, XYZ School
Certificated Evaluation Report 1972-73

Finally the Principal is evaluated on how he met his objectives. The evaluation is done judgmentally by the superintendent who sits down with the principal and they discuss the evaluation. If the principal agrees with the judgments, then he signs it.

I. Standards of Expected Pupil Progress

The staff at XYZ School, despite an ambitious selection of objectives, have succeeded in meeting or exceeding over 90% of them. I am extremely impressed, not only with the scope and selection of objectives, but with the thoroughness and perception shown in the entire set of teacher evaluations.

The Principal of XYZ School feels that the staff has been cautious in objective selection. He has succeeded in maintaining a "low profile" regarding the new accountability system. Staff response indicates that the system has helped to provide focus in teacher-pupil planning.

II: Assessment of Personnel Competence

The Principal of XYZ School has met all of his personal/professional objectives, despite some ambitious ones. He has worked actively in the area of affective growth. He organized a successful "good citizen week" involving all children and staff. His efforts in the patriotic program are known throughout the community.

Community involvement is good and growing; the volunteer aide program at XYZ School is effective. I enjoyed visiting a PTA Board Meeting, and witnessed an interested and active group.

The Principal of XYZ School has effectively involved his staff in curriculum planning.

ERIC
Full Text Provided by ERIC

Plans for next year include continued grade-level decision making. Dr. Crawford will be utilized as consultant to the staff in this regard.

III. Assessment of Other Duties

The Principal of XYZ School is a thoroughly professional administrator. He can be counted on to carry out his assigned duties without fanfare but competently and creatively. He has assisted in several district projects this past year, and currently is helping to develop a plan for restoring music education in the schools.

IV. Maintaining Proper Learning Environment

The Principal of XYZ School provides security for children and teachers through carefully developed and enforced standards. He works well with his staff and community.

He is working with one teacher with problems, and is attempting to create a positive and supportive climate for professional growth. He is receiving assistance from the district in this regard.

____________________ ____________________

Principal, XYZ School Superintendent

____

Date

Some schools handled the task differently. The William L. Hart Union High School, for instance, asked the evaluator to compare an administrator's performance to adjunct duties and the School Board's wishes, in addition to his own program objectives.

Example B: Wm. S. Hart Union High School District
Administrative Evaluation Form

Name ______________________ Date ______________________

Title or Assignment ______________________________________

School or Location ______________________________________

Evaluation Scale

☐ Meets or exceeds District Standards ☐ Unsatisfactory

☐ Needs to improve

I. Standards of Performance

M	N	U	
☐	☐	☐	A. Performance based on objectives related to Program Goals. (Specify areas where standards have not been met.) ______________________________ ______________________________
☐	☐	☐	B. Performance based on Board approved duties and responsibilities for the appropriate personnel classification. (Specify areas where standards have not been met.) ______________________________ ______________________________
☐	☐	☐	C. Performance based on duties normally required as an adjunct to the regular assignment. (Specify areas where standards have not been met.) ______________________________ ______________________________

II. Professional Competency

M	N	U	
☐	☐	☐	A. Provides administrative service and leadership. (Specify areas where professional

ERIC
Full Text Provided by ERIC

competency has not been demonstrated.)

☐ ☐ ☐ B. Professional knowledge of current educational practices. (Specify areas where professional competency has not been demonstrated.)

☐ ☐ ☐ C. Community relations. (Specify areas where professional competency has not been demonstrated.)

☐ ☐ ☐ D. Staff relations. (Specify areas where professional competency has not been demonstrated.)

☐ ☐ ☐ E. Professional conduct. (Specify areas where professional competency has not been demonstrated.)

Composite Evaluation

☐ Meets or exceeds District Standards ☐ Unsatisfactory

☐ Needs to improve

Recommendations: (Unique contributions to students, school, community, and/or profession. Improvement based on prior recommendations.)

Recommendations for improvement of instruction and/or service:

ERIC Full Text Provided by ERIC

Evaluatee's Comment:

Signature of Evaluatee ______________________ Date ____________

(Your signature here does not necessarily mean you agree with the evaluation, but it does indicate that an evaluation was made and that you received a copy.)

Signature and Title of Evaluator ______________________ Date ____________

Building principals are also scruntinized by teachers and other subordinates on how well they provide administrative services.

Administrative Service Questionnaire
Scale

NBFR (No Basis for Response)
1 (Low)
2
3 (Average)
4
5 (High)

What is your opinion concerning:

(Please circle one)

NBFR 1 2 3 4 5 1. *The general knowledge this administrator has in the area of school administation?*
(Has he a thorough knowledge and understanding of the Education Code, Board Policies, and Administration Regulations as they relate to the daily operation of the school?)

NBRF 1 2 3 4 5 2. *The ability of this administrator to communicate effectively?*
(Does he keep staff members informed, either directly or through

ERIC Full Text Provided by ERIC

department chairmen? Are his explanations clear and definite? Are avenues open for two-way communication?)

NBRF 1 2 3 4 5 3. *This administrator's fairness in dealing with certificated and classified staff?*
(Is he fair and impartial in his treatment of all staff members?)

NBFR 1 2 3 4 5 4. *The ability of this administrator to establish a climate for professional growth and development?*
(Does he encourage staff members to innovate, to explore new avenues to promote pupil growth and development?)

NBFR 1 2 3 4 5 5. *The empathetic understanding shown by this administrator?*
(Is he patient, friendly, considerate and helpful?)

NBFR 1 2 3 4 5 6. *The ability of this administrator to get things done in an efficient and businesslike manner?*
(Are plans well made? Is little time wasted? Are requests handled promptly? Are educational needs met?)

NBFR 1 2 3 4 5 7. *The skill th[illegible]administrator has to bring about [illegible]ositive contributions from staff m[illegible]bers in the operation of the school?*
(Are staff member's ideas and opinions worth something to this administrator? Do staff members help decide how to solve problems and how to

get their work done? Do they receive real reasons why certain things happen?)

NBFR 1 2 3 4 5 8. *The general (all-round) leadership ability of this administrator?* (All things considered, how close does this administrator come to meeting your expectations of what an administrator should be, or how does he compare with other administrators you have had in the past?)

9. *What is your opinion concerning the expectations this administrator has for teachers or classified staff?*

(Indicate one)

______ a. He expects far less than he should

______ b. He expects somewhat less than might reasonably be expected

______ c. His expectations are reasonable

______ d. His expectations are somewhat demanding

______ e. He expects far more than is fair or reasonable to ask

10. *Name one or two things about the operation of this school that you particularly like.*

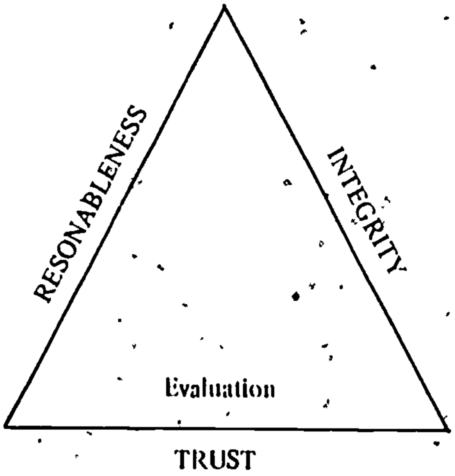
11. *Give one or two suggestions for the overall improvement of the operation of this school.*

12. *Name one or two things about this administrator that you particularly like.*

13. *Give one or two suggestions for the improvement of this administrator.*

These case studies are not submitted as "exemplary models," but rather as examples of thoughtful responses to a mandated process which is very complicated to perform. In no way do they meet a "theoretical" ideal for evaluation of administrators. However, they are examples of action by school districts on the leading edge of reality.

These two systems differ both in formation and thrust. They are working because three ingredients are present: Reasonableness, Integrity and Trust. For evaluation to work the process must be surrounded by these three attitudes.



ERIC
Full Text Provided by ERIC

EA 010 410

ED151916

CASE STUDY NUMBER FIVE

Mesa Public Schools, Arizona

Frank L. Vicino

Even though I have since received my baptism in the sea of educationese, it has been exceedingly difficult to set aside my previous training in systems and operations analysis. When I was asked, therefore, to examine alternative ways to evaluate school personnel, I was taken by my past behaviors and created pagination with an unconstrained series of system-oriented charts and tables.

To be consistent with a system's orientation we must begin with a definition of our system. Using the acceptable operational definition that a system is a group of components integrated or coordinated to accomplish a purpose, we can define the educational system as designed to coordinate the process of delivering learning. The educational system is made up of many other subsystems: transportation systems for delivering children to school, cafeteria systems for feeding them, communication systems, and so on. All of these systems interact. One of the highest orders of system design, and in turn, administrative responsibility, is to keep all of these systems from interfering with one another. How can the office communicate without constantly interrupting classes with the intercom? At the head of this large educational system is the Instructional Subsystem with other subsystems supporting, monitoring, and hopefully assisting the instructional subsystem in its purpose.

The major subsystems that I will be primarily addressing in this report are the subsystems of selection, evaluation, and staff development. These subsystems have as general purpose -- the maintaining and improving of the quality of instruction. Unfortunately, in many districts these subsystems do not interact, in fact, they function as independent entities. Apparently this has primarily been the result of historical accident.

At one time the day of the district with one school selection, evaluation and staff development were administered by one person and therefore the subsystems were integrated, probably not in the most efficient and effective manner, but integrated nonetheless. As districts grew in size and complexity, and as specialized approaches in selection, evaluation and staff development were instituted, departments bloomed with differing speech patterns and terminology and sometimes with secret vows not to communicate with one another. If the overall purpose of the educational system is to be accomplished, however, these subsystems must merge, integrate and work together. Their efforts must be coordinated with direct and rapid inter-communication. I see no way out of complete integration. Possibly because it is the most effective way, or because I am biased, I also see the evaluation component as being the basic element of cohesion and communication between selection and staff development.

The three rings of Figure I serve to illustrate the interaction and communication flow through the three components functioning as a personnel subsystem. This figure is merely pictorial and extremely simplified. In order to examine the actual integration process between the components, we need to break down the system in more detail.

Figure 2 schematically presents some of the steps and processes that help integrate selection, evaluation and staff development.

Host Readiness

One of the first steps to be taken in any revamping of the instructional subsystem, or most probably any other system changes, is what we have called host readiness. The Host Readiness Assessment is a series of semi-formal procedures to determine the degree to which the human, fiscal and material resources that will be required to implement proposed changes are AVAILABLE, READY and WILLING.

In this procedure, interviews, checklists and observations can be employed to collect data related to the availability, readiness and willingness of the resources.

The major thrust in the Host Readiness Assessment is to insure that energy/resources are not expended doing some fairly complex and time consuming activities and find that the time or audience (host) is not prepared to accept, implement or otherwise utilize the results.

As evaluators, for example, we may find that the school

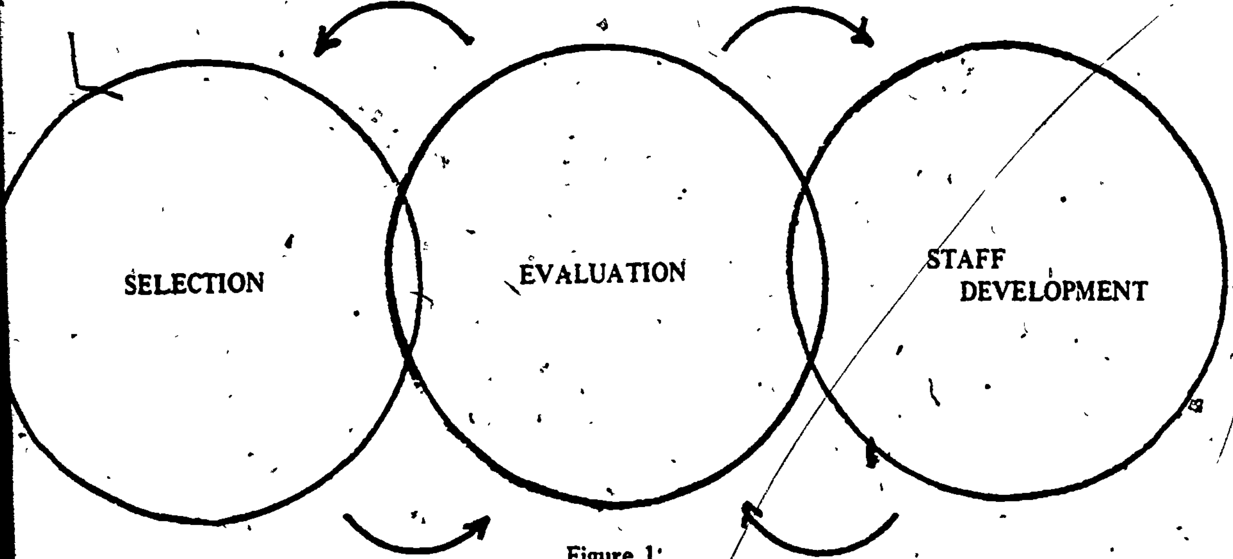

SELECTION
EVALUATION
STAFF
DEVELOPMENT

Figure 1

Personnel Support Subsystem

ERIC
Full Text Provided by ERIC

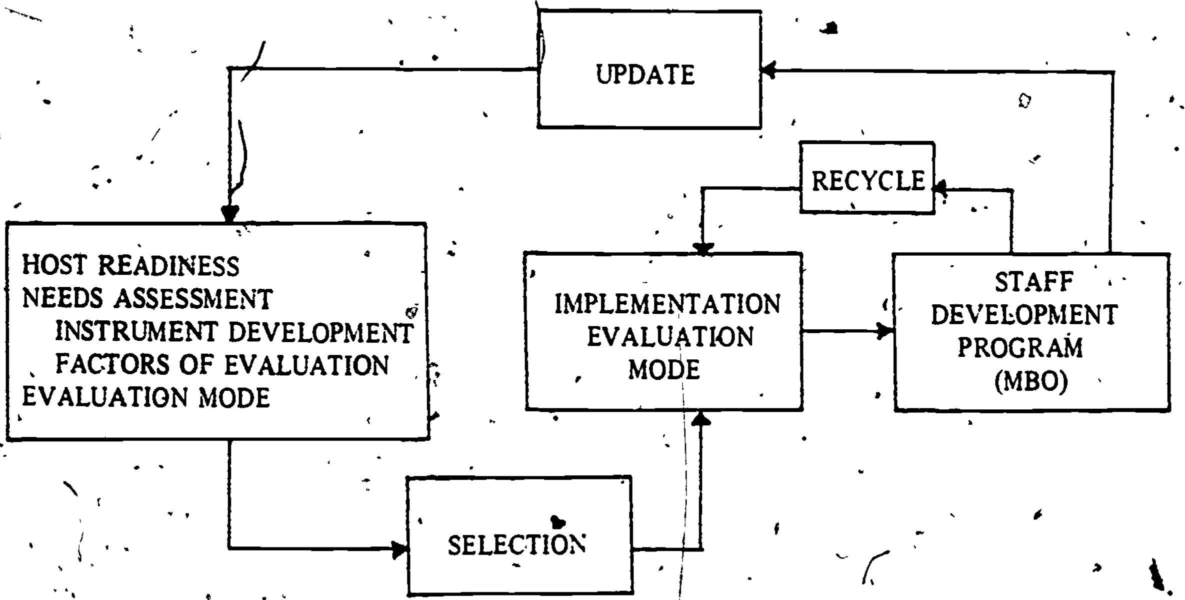

UPDATE
RECYCLE
HOST READINESS
NEEDS ASSESSMENT
INSTRUMENT DEVELOPMENT
FACTORS OF EVALUATION
EVALUATION MODE
IMPLEMENTATION EVALUATION MODE
STAFF DEVELOPMENT PROGRAM (MBO)
SELECTION

Figure 2

Instructor Selection/Evaluation Training System district custodial subsystem appears inefficient and costly, and cost effectiveness evaluation is initiated and completed only to find that the socio-political etc. forces are such that no change can take place, or that you could not find anyone in a decision-making position to implement and/or utilize the findings.

Since evaluation is the process of delineating, obtaining and providing useful information for judging decision alternatives, it is at this point that the host readiness assessment becomes all important. The decisions must be made action-related.

A first step in the Host Readiness Assessment is to examine our decision settings and then the possible alternative actions. For example:

1. The degree of change which might result from a choice.
2. The urgency or timeliness.
3. The prediction of consequences for different decision options.
4. The costs and risks associated with decision options.
5. The audience attitudes about possible changes and ways of accomplishing them.

When a Host Readiness Assessment was conducted initially for the design and operation of a *teachers'* evaluation/staff development instrument, we were stopped short. The analysis indicated that the system was not "ready" to accept without the *administrators modeling the proposed system*. Hence our entrance into administration evaluation.

A host readiness analysis for the administrators' evaluation system was positive and our district proved ready for such a system.

The next step after host readiness is to determine the needs of the administration system (Figure 2).

Needs Assessment

The term "needs assessment" covers many and diverse situations from the very simple act of writing a grocery list, where it is determined that we do not have a set of items with the underlying assumption that we ought to have those items; to the very esoteric "modular components analysis with regression on a criterion variable" which, to everyone's relief, including mine, will not be presented here.

Some needs, because of the superiority of our information gathering system can be made fairly obvious. The needs of a baseball team are generally apparent, since there are volumes of statistics available to help determine these needs. You can examine your team in relation to others in areas like:

- Team Batting
- R.B.I.'s
- Slugging Percentages
- Pitching
  - a. Won-Loss
  - b. Earned Runs
  - c. Strike Outs
  - d. Walks.
  - e. Use of Relief Pitchers
- Fielding
  - a. Errors
  - b. Double Plays
  - c. Passed Balls

The team administrators could then determine where their needs lie, whether it's in pitching (left-handed vs. right-handed), fielding (in-field, out-field), hitting -- all the time, etc. In fact, statistics are so well utilized that commentators continually refer to the manager's playing of percentages.

As a needs assessment program, the baseball team model is fairly sophisticated but since there is so much data available the needs become apparent – more difficulty of course lies ahead in satisfying those needs.

You can go from that situation with the needs expressed rather obviously, to the case of the clinical psychologist or psychiatrist where extensive and subtle data gathering has to take place before any needs can be determined; and the needs can be so well hidden that different clinicians may come up with different needs, hence varying perception and/or prognosis.

As you can see from these examples, there is a wide range of needs assessment procedures in terms of complexity and obviousness. There are also other less apparent dimensions, but it will serve us well to examine a few examples in operational detail that have been conducted in Mesa, along with pitfalls, warnings and hopefully some useful suggestions. The examples I have chosen fall somewhere in between the baseball and psychologists' needs assessment procedures in terms of complexity and obviousness.

I will describe a needs assessment model we employed with the results of the needs assessment (Vicino, DeGracie, Zaharis, and Frase, 1973). Afterwards I will discuss the operations used along with the problems, pitfalls and successes we encountered along the way.

The needs assessment, like most needs assessments, was born out of a series of questions - those "seeking statements" were related to the evaluation and staff development of school district administrators:

1. In what areas of knowledge and skill is it important for the Mesa Public Schools to have competent administrators?
2. How many of these skills do administrators have now?
3. What skills would they like to gain and/or improve?
4. What is the best way to establish a system enabling administrators to get and/or improve those skills?

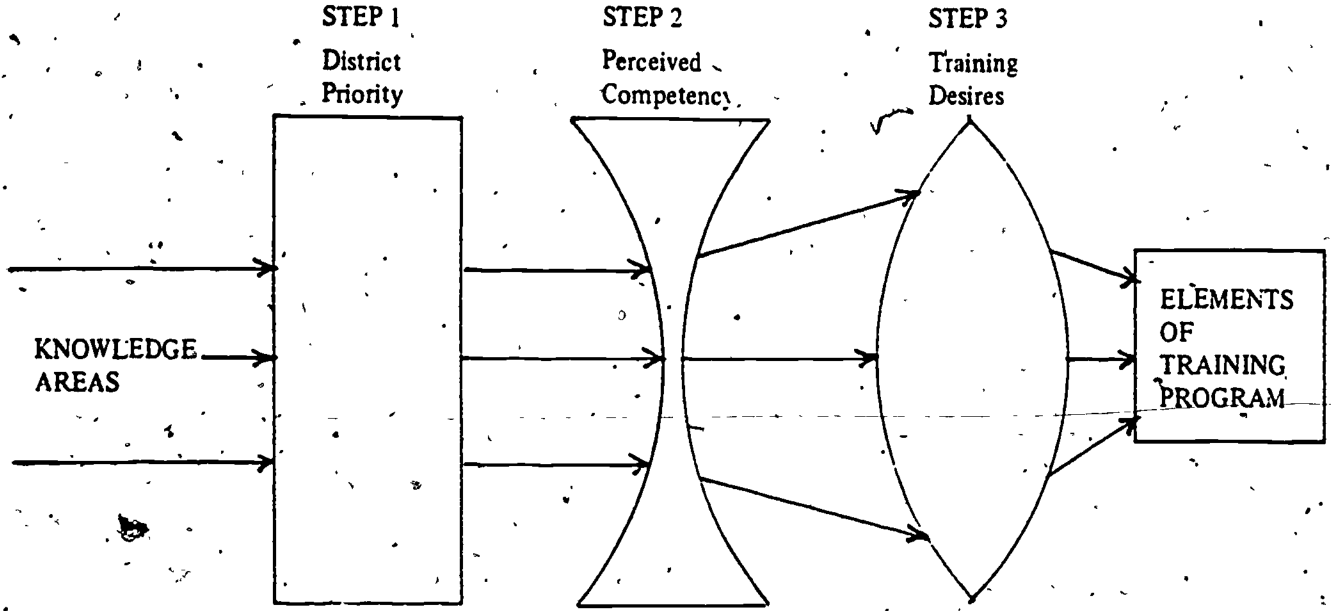
Most programs of this nature include an analysis of areas of knowledge perceived by the district to be most important for administrators, and an assessment of the administrators' competencies in these areas. This is sometimes referred to as the discrepancy of what "ought to be" to what "is."

What is lacking in most of these analyses is the inclusion of what "is wanted" by the administrators. In order for any training program to increase the probability of its use outside of the training session, it should reflect "individual training desires" as well as district discrepancies.

We designed a needs assessment model, referred to as ANAM – Administrators' Needs Assessment Model – to answer the series of questions posed.

Figure 3 shows the steps we used to determine the elements of an administrators' training program using:

Value	the value or priority of a particular area of knowledge to your local public district administrators.
Gaps	as reflected by the individual's perceived competency.
Affect	a measure of affect expressed by the individual's desire for training in a particular area.


STEP 1
District
Priority
STEP 2
Perceived
Competency
STEP 3
Training
Desires
KNOWLEDGE
AREAS
ELEMENTS
OF
TRAINING
PROGRAM

VALUE + GAPS + AFFECT = TRAINING PROGRAM

Figure 3

NAM (Administrator's Needs Assessment Model)

Areas of administrator knowledge that rank high on value, knowledge gap and affect could then be used to form the basic and immediate elements of a district training program.

VALUE + GAPS + AFFECT = TRAINING NEEDS

It is hoped that use of this model will increase the possibility of broad acceptance, utility and effectiveness by including input from the interested subpublics. Successful ownership is then transmitted to the participants of the training program where it belongs!

Now that we've had a chance to look at the general model characteristics we will now look at the operations involved in fulfilling the requirements of the model.

Table I
Program Steps

1. Steering committee selection and meeting.
2. Determination of contributing subgroups.
3. Model determination.
4. Generation of initial list of areas to be investigated.
5. Workshop with groups made up of representatives from contributing subgroups with leaders:
    a. Presentation of initial list.
    b. Augmentation and consolidation of list.
    c. Finalize list.
6. Steering committee merges all lists, eliminates redundancies, consolidates areas and prepares final list.
7. Final list sent to greater number of representatives of contributing subgroups for priority ranking to establish district VALUE.
8. Instrument prepared - reducing list according to information generated in Step 6.
9. Instrument administration to target population(s).
10. Reduction and analysis of data to determine ranking on GAPS and AFFECT.
11. Subject data to model formulation resulting in final ranking based on VALUE, GAPS and AFFECT.
12. Use, monitor, feedback, change.

The first step shown in Table I is the usual first meeting --

what are our objectives? In this step an Assistant Superintendent, the Director of Staff Development and the Director of Research and Evaluation set the constraints and details concerning the accomplishment of the next four steps.

They determined the contributing subgroups, that is, who should contribute to the determination of a test of administrator areas of knowledge. This is one of the first major areas of potential pitfalls we would like wide participation diverse representation for ownership and comprehensiveness, but we all know the inverse relationship between committee size and product accomplishment. Here is where political sagacity and operational dictates must be optimized. I'm sorry I have no words of wisdom concerning this step other than to emphasize that one should spend considerable time and concern in determining subgroup representation.

Our resulting subgroups were administrators that represented the following areas of expertise.

1. Business and Finance
2. Policy Administration
3. Program Development
4. Elementary School Administration
5. Secondary School Administration
6. Outside District Administration
7. Principal
8. Assistant Principal
9. Research and Evaluation
10. Consultants
11. Vocational School
12. Guidance
13. Personnel

In terms of Step 3, Table I, Model Determination, we developed the model as outlined further and determined that each of the entities be given equal weight.

It must be pointed out at this point that the model can be adjusted for any future changes in district philosophy or for other school districts with differing philosophies.

Referring back to Figure 3, to change the model one would simply decide which of the three areas, VALUE, GAPS, or AFFECT is the most important to the prevailing district philosophy. Simply by varying the weights of the three components of the model, the model can be designed to meet the specific needs of any school district. A district with a central administration establishing strong direction would weigh VALUE greater than either of the other dimensions. Hence, the model would employ the following weights: 2 (VALUE) + 1 (GAP) + 1 (AFFECT) = Training Needs. This, therefore, gives the administrators twice as much voice in the training needs.

When generating a list of administrator knowledge areas, some guidelines at least in terms of "level of behavior" must be given to the groups constructing such a list. We could list general ambiguous skill areas such as "Human Skills" or we could be extremely specific and talk about behaviors such as "smiling" "greeting" etc. or we could strike a level of abstraction between the two such as Listening Skills, Conflict Intervention Skills etc. We agreed to describe behaviors at the level of the latter – we still, however, had to present the subgroups a "starter list" to prevent the listing of skill areas which were too general or too miniscule in approach. "Starter list" behaviors were based on the research literature concerning the role of the principal and other school administrators. Then onto steps 5–6 (Table I), where small groups (preferably heterogeneous) with group leaders were set up in a large media center. The committee members were then given a time limit to complete the list with no constraint on numbers of items. They were told to "Agree to Disagree on content" and "Agree to Agree on process." In this way we insured the diversity and richness of the list and yet preserved the process.

At this point the lists from the various groups were merged, redundancies eliminated, areas consolidated, and a list for prioritization (VALUE) prepared. (Step 7, Table I)

The list was then given to representatives of the aforementioned subgroups responsible for district policy to prioritize according to district value. In reality they were asked to rank their top fifteen. Average ranks were calculated and district value rank – the first dimension of our model – was established. (Step 8, Table I)

Then an instrument was prepared to be administered to our target population, in this case all district administrators. (Steps 9, 10, Table I)

The first page of the resulting questionnaire is shown in Figure

Figure 4

First Page Questionnaire

Administrator experience/interest questionnaire

Form 1

Name ______________________ Title/Position ______________________ Date ______________________

Directions Place a check mark in both columns II and III for each area.

I. AREA	II: EXPERIENCE				II. INTEREST		
	Expertise in experienced practice and can serve as a consultant	*Worked with in many situations – even though modified*	*Knowledge of extends beyond definition but have not worked with*	*No knowledge of extends to no more than simple definition*	*Desire further training in*	*Desire training in*	*Do not desire training in*
Group dynamics							
Decision-making							
Communication (written and verbal)							
Conflict intervention							
Team and task force organization							
Management by objectives							
Child development							
Listening skills							
Curriculum development							

© Frank L. Vikino, Reprinted with permission

The following steps were used in constructing the instrument:

1. The list of knowledge areas was streamlined by eliminating some extremely low ranked areas and combining similar ones.
2. The questionnaire or inventory was developed to allow the individual administrators within the district to indicate and register their perceptions regarding their expertise and their desire for training in the knowledge areas.
3. The questionnaire was then sent to district administrators. They were asked to indicate their extent of experience with the specific knowledge areas by checking the appropriate response under *Experience*. In the same manner, they were to indicate their extent of interest in the knowledge area by checking the appropriate response under *Interest*.
4. In responding to the questionnaire on the section under EXPERIENCE, the administrators were asked to use the following as definitions for their responses.
   a. *Expertise in*
   You have experienced the practice or procedure in diverse situations and because of your wide experience or training are able to serve as a consultant, conduct a workshop or lead a task group in that area.
   b. *Worked with*
   You have utilized the practice or procedure (even though modified) in your administrative or teaching roles.
   c. *Knowledge of*
   Implies that your knowledge extends beyond definition. As an example, you have read articles in the area or have discussed implications of the procedure or practice.
   d. *No Knowledge of*
   Your knowledge of the area extends to no more than a simple definition of the procedure or practice.

When the questionnaires were completed and returned, the data was reduced and analyzed to determine ranking on GAPS and AFFECT. (Step 11, Table I)

Table II presents the top 15 ranked knowledge areas in terms of VALUE that is, the way the district policy-makers prioritized the knowledge area in terms of importance to the district.

Table II
Value

Rank	*Knowledge Area*
1	Group Dynamics
2	Decision Making
3	Communication (Written and Verbal)
4	Conflict Intervention
5	Management by Objectives
6	Child Development
7	Team and Task Force Organization
8	Listening Skills
9	Curriculum Development
10.5	Needs Assessment
10.5	Creative Atmosphere (School Climate)
12	Task Analysis
13	Learning Theory
14	District Organization
15	Program Coordination

Table III shows the rankings for district gaps that is, where a lack of competency was perceived by the respondents.

Table III
Gaps

Rank	*Knowledge Area*
1	Year Round School
2	School Within School
3	Modular Scheduling
4.5	Continuation School
4.5	Operations Analysis
6	Athletic Scheduling
7.5	Vocational School
7.5	Multi-cultural Applied Knowledge
9.5	PPBS/PERT
9.5	Criterion Referenced Testing
11	Daily Demand
12	Design of Resource Center

ERIC
Full Text Provided by ERIC

13	Accounting
14	Systems Analysis
15	Data Collection and Reduction

Table IV depicts the rankings for district desires for training.

Table IV
Affect

Rank	*Knowledge Area*
1	Management by Objectives
2.5	Decision Making
2.5	Needs Assessment
4	Teacher and Self Evaluation
5.5	Task Analysis
5.5	Systems Analysis
9	Group Dynamics
9	Team and Task Force Organization
9	Diagnosis and Feedback Procedures
9	Multi-cultural Applied Knowledge
9	PPBS/PERT
12	Operations Analysis
13.5	Evaluation Design
13.5	Conflict Intervention
15	Performance Objectives

The ranks for Value, Gaps and Affect were then subjected to the model manipulations and the resulting list expressed the most pressing and desired training needs (Table V).

Table V
Training Needs

Rank	*Knowledge Area*
1	Management by Objectives
2	Conflict Intervention
3	Operations Analysis
4.5	Multi-cultural Applied Knowledge
4.5	Systems Analysis
6	Task Analysis

ERIC
Full Text Provided by ERIC

7 Group Dynamics
8 Needs Assessment
9 Team and Task Force Organization
10 PPBS/PERT
11 Diagnosis and Feedback Procedures
12 Decision Making
13 Child Development
14 Criterion Referenced Testing
15 District Organization

This final ranking (training needs) was determined by summing ranks across the three columns of Value, Knowledge Gaps, and Affect. The new set of numbers was then ranked with one (1) representing the area with the most consistently higher rankings in Value, Knowledge Gaps and Affect. (Step 12, Table I)

The successful district administrator training program should begin with training sessions designed to answer to the higher ranking training needs formulated by the ANAM.

At this point we are at Step 13 (Table I) which is the Use, Monitoring, Feedback and Change of the program results.

Other Uses For The Data

The following section describes some experiences we have had with other uses for the data collected in the ANAM.

Task Group, Lecturer, Workshop Coordination Can Be Screened From Original Listing

An opportunity presented itself to use the ANAM in this manner. There has been considerable interest in the district in examining the school-within-the-school concept in reference to the building of our newest high school.

We queried the computer for names of administrators showing a high degree of knowledge in the area along with high interest. We came up with nine names, four of which eventually became a part of a task force in examining the advantages and disadvantages of school-within-a-school.

ERIC
Full Text Provided by ERIC

Chart And Monitor Personal Growth In MBO Programs

The computer printout can present a profile of a particular individual. The administrator and his supervisor could examine the ANAM for possible areas of growth, interest, etc. and base personnel growth plan on the data base information.

Invitation To Training In Areas Of Interest

When training programs or special interest lectures are planned, an ANAM printout could present a list of personnel that indicates desires for training in that special interest area. In fact, invitation mailers could be printed from computer storage.

Designing Training Programs Specific Subgroups

Just about the time of the completion of the ANAM, the district was engaged in setting up an Administrator Internship Program - where a group of teachers, consultants and specialists were screened for future administrative positions in the district. Those who passed the screening were enrolled in an Administrators Training Program. All of the participants were administered the ANAM. An analysis was done on the results and the training needs for the group were determined, and the training program designed around the needs.

GAP Profiles As Baseline Data For Administrative Change

The change dictated by the gaps could be brought about by selecting administrators according to gaps or moving administrators to work stations where they would fill a void.

Pitfalls And Problems

Now that I discussed all the positive aspects, I would like to stop right here while I'm ahead, but it says here that I will expose pitfalls and problems . . . so . . .

Self-Evaluation Problem

Most of us would prefer to rely upon our own instincts and experiences for an ongoing self-evaluation. But such evaluation is limited by its nature:

Tell me, good Brutus, can you see your face?
No, Cassius, for the eye sees not itself
But by reflection, by some other things . . .

The criticism that the ANAM deals with self-evaluation is well taken. To design a test, however, of Group Dynamics or Conflict Intervention could probably involve our whole Research and Evaluation Department for six months to a year. In ANAM there were fifty-four such competency areas. It became apparent early that testing at this stage of the game is not plausible. We attempted to rectify some of the self-evaluation problem by stating the response in behaviorally defined terms Expertise In, Worked With, etc. Further in our analysis we collapsed response categories so that when responses for Expertise In and Worked With were combined in this manner some ambiguity in the individual's perception would be reduced considerably in data analysis.

In addition, further validity checks are employed when the results of the model are implemented. As an example, if one of the administrators indicated he/she was an expert in a given field and is then asked to assist in developing a workshop in an area in which expertise was claimed, the Staff Development Department could then assess the administrator's background and observe competency prior to permitting the workshop and then again by assessing the success of the workshop.

Knowledge Area Definitions Weak

Another area where we suffered criticism – and I have to admit rightly so – was in defining the knowledge areas. We assumed incorrectly that since these lists were generated by administrators, they would comprehend the terms used. That assumption was correct, but only in part. The terms should be operationally defined and then presented to the respondents of the questionnaire. On the second administration of the ANAM and on other models since development we have included a list of the terms with operational definitions.

The Threatening Nature Of The Instrument

Another problem we were afforded was the perceived threatening nature of the insturment. When initially employed, the administrators felt that results may be used against them in some way.

The following represent three considerations that we found must be addressed in order to reduce the threatening nature of ANAM.

1. Use as many interested subgroups as you effectively can in designing and defining the knowledge areas, so that all groups feel ownership of the instrument.
2. Spend time emphasizing the staff development aspects of the model and how the desire for improvement is addressed.
3. Administer to small groups (less than 20) after a detailed discussion period on the model and its usage in personal growth.

Where We Are At

We look back with alternating feelings of success and failure when we examine our present status regarding the articulation of Staff Development, Evaluation and Personnel activities via the instructional subsystem model. Being quantitatively oriented I would say we are about 40 percent of the way towards the successful accomplishment of our subsystem model. We have succeeded more in integrating the program with Staff Development actions and activities than we have with Personnel actions. At present, however, we are examining means of profiling schools in terms of the knowledge area needs of their staff. This information, it is hoped, will be utilized by the personnel screening committee in addition to the traditional job descriptions. Further, we are working with representatives from the administrative staff, teacher organizations and the Personnel

Department on constructing evaluation observation instrumentation based on similar behaviors to those outlined in an Instructors' Needs Assessment Instrument (DeGracie, Vild, and Vicino, 1974) developed in the same manner as ANAM.

We view the future of the model with positive anticipation and just enough guarded enthusiasm so as not to impede our progress.

REFERENCES

Corrigan, R.E., and R.A. Kaufman, *Why System Engineering*. Belmont, CA: Fearon Publishers, 1966.

DeGracie, J.S., Debra D. Vild, and F. L. Vicino, *Instructors' Needs Assessment Program*. Mesa, AZ: Research Report 8, Mesa Public Schools, Department of Research and Evaluation, May 1974.

Hoos, Ida R., *Systems Analysis in Public Policy – A Critique*. CA: University of California Press, 1972.

Smith, R. G., Jr., *The Engineering of Educational and Training Systems*. Lexington, MA: D.C. Heath and Company, 1971.

Vicino, F. L., J. S. DeGracie, J. K. Zaharis, and L. Frase, *Administrators' Needs Assessment Program*. Mesa, AZ: Research Report 2, Mesa Public Schools, Department of Research and Evaluation, April 1973.

Vicino, F. L., *Conducting a Needs Assessment in Education*. Las Vegas, NV: Paper delivered to AASA - National Academy for School Executives Seminar, 1973.

Vicino, F.L., *Needs Assessment for Administrators*. Tucson, AZ: Presentation at Title I Evaluation Conference, 1974.

Vicino, F.L., *Systems Analysis Approach to Evaluating the Instructional Staff*. Saddlebrook, NJ: Paper presentation to New Jersey Association of School Administrators, AASA, National Academy of School Executives, March 1975.

PART IV

GEPHART ON DESIGN

NSPER Co-Director William J. Gephart presents a practical approach to the engineering of an evaluation design. Influenced by his contact with Gerald Nadler, Dr. Gephart offers a logical system useful in the design of all types of evaluation efforts.

EA 010 411

ED151917

DESIGNING A PLAN FOR EVALUATING ADMINISTRATIVE PERFORMANCE

William J. Gephart

Previous chapters of this book have given some definition of the administrator's role and function, insights into the problems and issues in evaluating that role and function, and illustrative plans being used in operating school systems. If a school has the desire or mandate to evaluate the administrative function, the next step is the design of a plan for carrying out that evaluation. The material which follows outlines procedures for the design of that plan. Most of the discussion which follows is based on the writings of and experiences of the author with Gerald Nadler, University of Wisconsin-Madison. Readers should understand that credit for the positive elements of the methodology should be directed to Nadler. The negative elements are to be credited to this writer. Through the application of these methods, educators can create working procedures that are situationally appropriate and modifiable over time. This assertion is based on several applications of the design procedures by this writer, and, on their use by numerous other educators who have worked with Nadler.

Assumptions Basic to the Process

The approach described below is based on a number of assumptions that should be understood at the outset and recalled as the different points in the design system are studied.

1. The creation of a plan for evaluating administrative performance is a situationally specific, non-trivial task. General plans and models for evaluation have been described by many writers. These descriptions are expressed in a language that is abstract enough to be applicable in almost all settings. For example, Stufflebeam et al. (1971) define evaluation as, "the process of delineating, obtaining, and providing information for judging educational decision alternatives." Such a statement makes a contribution to general understanding of the evaluation process. But, it does not definitively set the different kinds of work that

ERIC Full Text Provided by ERIC

will be needed in a specific time and place. There is general agreement evolving among the leaders in the field that evaluation is a situation specific process and that the design of the evaluation plan is a non-trivial aspect of the process.

2. The creation of a plan for evaluating administrative performance in a specific school or school system should be conceived as a continuing activity. An evaluation plan is designed to serve a particular purpose. As a result, it has particular task or work elements. And, since purposes change over time, it should be anticipated that the evaluative plan will change over that time. Thus, any effort to create an evaluative plan for appraising administrative performance should assume that the plan and its component tasks will change as time passes AND that the plan should systematically expedite such change.
3. A major element for determining structure in the design of a plan or procedure is the purpose or function to be served. Clarity is needed regarding the question, "What is it that we want the plan to accomplish, if it works properly?" At least two purposes arise in the discussion of evaluation of the performance of personnel. Those purposes are the provision of information for: (1) decisions related to personal or individual improvement, and (2) the administrative decisions of promotion, salary, assignment, and termination. The evaluation plan designed to accomplish one or both of these purposes will be shaped largely by the information needs of the chosen purpose.
4. The individuals most directly involved with the plan once it is operational should be actively and continually involved in the design of that plan. The knowledge necessary for operating or effectively participating in a plan must be possessed by those who will use it and those who will be participants in it. To ensure this, the design of the plan should involve them.
5. The *strategy* used by an individual or a group for resolving a problem materially determines the nature and quality of the *solution*. The need for a plan or procedure to evaluate administrative performance is a problem with certain dimensions. There is an intention to do something that is blocked by the absence of a tool or procedure. Numerous

strategies exist for systematic resolution of problems. In education, the three most commonly used are the research, evaluation, or development processes. Each of these processes serves a particular function: (1) the research process is particularly efficient in the generation of knowledge, the conversion of unknowns to knowns; (2) the evaluation process is particularly efficient for determining relative or absolute "worth" of an entity or entities; and (3) the development process is particularly efficient in the creation of tools or procedures for doing work. If a resolution strategy is used on a problem other than that for which it is particularly effective, the solution is typically limited in its effectiveness. Thus, the differentiation of these strategies (and their appropriateness in problem resolution) should be clear in the minds of individuals charged with the solution of a problem. Typically, educators do not differentiate between the research and the development process and only recently has there been much agreement that research and evaluation are different processes.

As indicated earlier, these five assumptions structure the remainder of this presentation. The next session will present the development or design process as articulated by Nadler (1967). That will be followed by an approach to describing a "system" (a tool or procedure), also developed by Nadler (1971). This approach to "systems analysis" in this writer's view is a much more "prescriptive" and helpful approach to the analysis and/or description of a system than the more typical inputs-processing-outputs (Hall and Fagen, 1956). The final section of the paper presents steps to be followed in applying Nadler's design approach and systems description matrix to the design, implementation, and evaluation of a school or school system plan for evaluating administrative performance.

Work Design — The Nadler Approach to Creating Work Procedures

The Nadler approach to designing work procedures evolved from efforts of the Conversion to Practice Research Group at Washington University. Gerald Nadler, now a professor of industrial engineering at Madison, Wisconsin, was a member of that group. Concerned with how people effectively design working procedures and tools, the Conversion to Practice Research Group did a number of case studies of subjects identified by a peer nomination technique. Individuals were asked to identify successful developers of tools and procedures. Their case studies dealt with a number of fields: industrial engineering, psychology, urban planning, architecture, medical treatment, legal briefs, etc. After the individuals were identified they were extensively interviewed regarding their patterns of work in creating a new product or procedure. Out of the case studies, Nadler has identified and described 10 elements or steps in the development process (Nadler 1967).

The 10 elements of the design process are:

1. *Function determination.* In this step, the individuals involved worked together in specifying the functions to be accomplished and the purpose of the system to be designed. In doing this Nadler advises the creation of a hieraracy of functions. This is obtained by starting with the function on which the group initially is focused and stating as clearly as possible what would be accomplished if that set of working procedures or system were designed. Once a group agreement has been achieved on that function, the group is asked to pretend that the procedures or tools have been created and that they are working effectively. Then they are asked to identify the next level of functioning that they would be concerned about. This is repeated until the group indicates it is impossible to go to any higher level of function because of questions of authority, resources, etc. After the function hieraracy has been developed, the group then makes a decision as to the highest level in that hieraracy for which they want to design a new procedure.
2. *Ideal system design.* This step involves the formulation of the best possible way for accomplishing the function chosen. Nadler suggests that the zero function question (What would the circumstances have to be in order for us not to need to design that procedure?) be given serious attention. This question helps identify many of the components that will be necessary in the ideal

system or accomplishing the work. Nadler has also evolved an approach to systems analysis (treated in the next section of this paper) that helps describe an ideal system in considerable detail. The product of step two is the identification of the different components of a system that will be needed if the best possible approach is going to be taken toward accomplishing the work desired.

3. *Information gathering.* This step calls for the individuals, involved in the design of the new system, to gather information about the existence of the components of that system. They are seeking to find how many of them may already exist, and to find if any of the components exist in more than one form. (that is, are there alternatives for any of the apparently needed components?).
4. *Alternative system suggestion.* After the information is gathered the individuals involved are asked to consider what alternative systems suggestions they can create given the information about available components. This calls for them to consider as many different plans for doing the work as possible. These alternative systems will involve different ways of working around situations where specific components do not exist and incorporating all the alternatives available for a single system component.
5. *Feasible solution selection.* This step asks the individuals to examine each of the alternative systems that have been designed to see which of them may be most feasible in a given setting. In this deliberation, they should consider both the demands and needs of the local setting and the completeness of the alternatives being considered.
6. *Solution formation.* This step involves setting up in operational form the procedure chosen as the most feasible solution. It recognizes that some of the elements of that solution exist, and perhaps some do not. It involves working out the manner in which either those missing components or elements are filled or "patched around."

7. *Design review.* This step asks the individuals involved to examine the formulated solution in terms of the degree to which it is going to accomplish the function determined in step one. Some iteration of the previous steps will probably be necessary.
8. *Design tests.* Now the design is put to work. This involves setting up the procedures and actually working through them and the collection of data to see how it operates and the degree to which it accomplished the function. Again, iterations to previous steps may be necessary given a wide discrepancy in the data generated and the degree of function accomplishment desired.
9. *Solution installation.* Once the design tests indicate an acceptable level of function accomplishment, the solution is installed in the setting where it is to work continually. This step is emphasized as an important part of the design process, because again, a review is necessary to assure that the new procedure will work under the actual field conditions in which it is needed.
10. *Establish performance standards.* This step calls for the determination of any special conditions that must be met in the environment in which the procedure is to work. This step is necessary for maximum efficiency of the newly designed product or procedure and to prevent unnecessary break-downs in the procedure.

Nadler indicates there are three criteria to be applied to any development effort which would employ the above procedures. Those criteria are: (1) the degree to which the chosen function is accomplished, (2) the cost benefit analysis of the systems, and (3) the degree to which the people who are actually going to use the procedures are involved in its design. Nadler emphasizes the latter as an extremely important criterion. He has stated that he would rather help people build an imperfect system which they can use than build a perfect system which cannot be used. An expansion of these points can be found in Nadler's writings (1970).

The Nadler Matrix for Systems Analysis

Much of the language used to describe a system in systems analysis procedures is relatively abstract. In such writings, a system will typically be described as having three components. inputs, outputs, and processing. It is contended here that this language is too vague and abstract to be of much help to the person charged with the responsibility for designing a new tool or procedure, either of which can be conceived of as a system. Nadler has created a 8 x 5 matrix which identifies 40 classes of questions useful in describing a system. He has done so by identifying eight elements which he says are common to all systems and five dimensions that should be used in examining these eight elements. The matrix is shown in Figure 1. The eight system elements are defined as follows: (1) *Function.* Function is the mission, aim, purposes or primary concern sought in a system, what the system should achieve or do (not how well the system functions but what it accomplishes). The function is usually stated in the infinitive form of an action verb: to determine, to identify, to disseminate, to obtain, to teach, to collect, etc. Goals, goal-like words and phrases, measures, rights or objectives are never included in the function statement. They specify the rate dimension of the function. The function is the primary concern in the analysis of the system. (2) *Inputs.* These are those physical items, information and/or human beings on which processing is being done and *which are changed in form.* (3) *Outputs.* Those things, physical items, information, human beings, and/or services which result from the processing of inputs (in other words outputs are those things into which the inputs are changed). (4) *Sequence.* Sequence refers to the process, transformation, conversion, or order of steps which changes the inputs into outputs. (5) *Environment.* The physical, locational, and attitudinal (socio-psychological) factors within which all the other system elements operate. This includes the real life atmosphere in which the system exists and operates. (6) *Human agents.* This element of the system refers to the human resources required for the operation of the system but are not converted in form as the system operates. (7) *Physicial Catalyst.* Physical items are sometimes needed to facilitate the accomplishment of the function. If those physical items are not changed in form, they are considered physical catalyst elements of the system. (8) *Information catalyst.* In the same manner as the physical catalyst are sometimes needed, so too is information required for the operation of some sytems. If that information is not changed in

Figure 1

Nadler's System Analysis Matrix

Dimensions

Elements	General Nature	State	Rate	Control	Interface
Function					
Inputs					
Outputs					
Sequence					
Environment					
Human Agents					
Physical Catalysts					
Information Catalysts					

form as the system operates, it is considered in the Nadler scheme as an information catalyst.

It might be helpful for the reader to have a simple illustration to identify these eight system elements. For this purpose, think for a moment about the lighting system that is being used to illuminate the page you are currently reading, and consider that as a system. Its function is to provide the necessary illumination on a work surface. Its inputs are human energy and electrical energy (human energy to flip the switch, electrical energy to provide the light). Both of these forms of energy are changed in form as the system operates. Outputs for the system include heat and light energy. (It should be noticed at this point that outputs are not synonomous with function. Outputs are those things to which the inputs are converted. Some combination of the outputs should accomplish the purpose or function. In almost every system, there are more outputs than the minimum set necessary to accomplish the function.) The sequence element of this illumination system requires the expenditure of human energy in the flipping of a switch; that is, a conversion of the human energy into a motion. Next, the closing of the switch completes a curcuit and allows electrical current to move. That current, in turn, encounters a resistence which produces the heat and light energy. The environment has physical and geographic characteristics, as well as perhaps some attitudinal characteristics. (In some instances, there seems to be an attitudinal set which requires a particular form for the illumination system: It must decorate as well as illuminate. In other environments, the decorative element is not as apparent.) The environment in which your illumination system is operating can be described as both physical, locational, and emotional or attitudinal in character. The human agent in this particular system is the person who flips the switch. The individual is not changed in form through that activity, but without that activity the system does not function properly. The physical catalysts of this system includes the switch hardware, the wire, and the glass enclosing the filament through which the electrical energy passess. All of these items are required for the system to operate, and would make the operation impossible if they ceased to maintain the form they currently have. An information catalyst also exists in this example. The information needed (that is not changed in form) is information regarding the concept "switch." If an individual has had no experience operating or using electrical system switches, the system will not perform appropriately. However that information is not changed as the system operates. That is, the person who already possesses information about the concept "switch" is able to use the system without any change in his information.

Full application of the Nadler Systems Analysis Matrix requires understanding these eight system elements on five general dimensions, each of which labels a column in Figure 1. The individual with the responsibility for designing the new system is encouraged to examine each of the eight system elements (functions, inputs, outputs, sequence, environment, human agents, physical catalyst, information catalyst) on each of these five dimenisions. The first dimension is *General Nature.* This first column in the matrix calls for description of the general nature of the function, the inputs, etc., similar to that used to describe the illumination system above. The *State* dimension raises another set of eight questions. That dimension calls to the attention of the systems analyst the fact that a given system may exist in different forms at different times. It would be a mistake to describe the illumination system above in only one form. Its two basic states are "on" and "off," and description of both should be in the mind of the system analysis. So the second dimension column requires the system analyst to ask a series of eight questions. In what different states are we going to be able to observe function? In what different states are we going to be able to observe inputs? In what different states are we going to be able to observe or conceptualize the outputs? This question is repeated for the remaining elements. The third dimension asks questions of *Rate.* In this instance the individual doing a system analysis is being asked to quantify the eight elements to whatever degree possible. If that quantification can be expressed in a rate, the analyst is urged to move it to that kind of description. In the illumination illustration, the rate dimension for the inputs is easily expressed. When the switch is in the off position, the electrical energy is potential (typically 110 volts). When the switch is flipped, that potential is converted to a current of a certain amount. The fourth dimension is *Control.* This dimension covers a class of questions asked to determine ways of controlling changes in state or changes in rate. What items can be manipulated to change from one state to another? The items we can manipulate to move from one state to the next are the control dimension in the analysis. The fifth dimension is labled *Interface*. Here the series of questions are of two sorts. First, what is the relationship between a particular element of the system and all of the other seven elements of the system? Second, what is the relationships between this system and any other system with which it interacts in its environment? The individual who uses the system elements and dimensions finds himself provided with categories of questions to ask and answer regarding the general nature of the system being designed. Personal experience with this, and observation of others using the matrix warrants recommending it to the reader.

Steps in Applying the "Ideal System" to the Design of a System for Evaluating Administrative Performance

The two preceding sections have dealt with an abstract process. At this particular point the focus turns to their application in the design of a system for evaluating administrative performance. As the reader moves through the remainder of this presentation he/she should constantly recall the five assumptions expressed earlier. The *design* of an administrative performance evaluation system is seen as a situationally specific task *and not a trivial one*. The design work itself is important. Second, the system should not be conceived of as a static entity. It will be constantly evolving. Third, the system's purpose or function is paramount. Thus, at any point when confusion about direction occurs, the question of function should be raised anew. Fourth, the people directly involved with the system should be involved continually in its development and evolution. And finally, the process used for designing your system will materially condition the nature and quality of the system.

If you have committed yourself to evaluating administrative performance, you should *first identify those individuals who are directly involved or affected by that evaluation* and how they are involved. These are the people who should be called in and whose information should be used in the design of the evaluation system. It is recognized here that some people have direct involvement while others have indirect involvement and, of course, there is a continual range between those two extremes. An effort should be made to involve people in the design of the system to the degree to which they are involved or affected. This means that some people will be intimately involved in the planning while others will simply be checked with from time to time. The size of the work group is also important. In some locations all of the people involved or affected may be employed in the system design activity. In other instances or in other settings it may be necessary to use representatives of the different classes of individuals involved. If the latter is the case, continual communication is necessary to make sure that the individuals central to the activity are representing their group accurately.

The next step is the *determination of function or functions to be served by the system* you are designing. In the area of evaluation of administrative performance, two functions have been discussed at some length. Those are: (1) to help individuals improve their administrative performances, and (2) to provide for rational administrative decision making regarding placement, employment, rank and salary. In discussions in some settings, two different systems will be necessary if both of these functions are to be served. In other setting, the information necessary for improvement is also necessary and extremely useful in decisions about placement, promotion, etc. It should be clear that a different level of decision making is involved. The level of decision making related to that first function (that is, professional improvement) is the individual. I make decisions about the relevance of information which suggests ways of professional improvement for myself. You make similar decisions. The second function is that of a different level of decision making. That is the institutional level. Here the information has to facilitate institutional improvement decisions rather than personal improvement decisions. Someone else makes decisions about my placement, rank, salary, etc. This difference should be considered as the design group makes the decision about the function(s) which are to be accomplished by the system being designed.

Once the function has been specified the group should begin to ask questions about *the ideal way of serving that function.* Here it is suggested that the 8 x 5 matrix be considered. As questions are asked relating to the 40 cells, a clear understanding of the ideal way of accomplishing that function should emerge. In so doing the necessary materials, either as inputs or physical catalyst, should be identified to accomplish the function. An understanding should be reached regarding the kinds of outputs as well as the impact of those outputs on the sequence required to convert the inputs to outputs. The analyst should also understand the setting in which all this takes place, the kinds of human beings required to operate the system, and other physical catalyst items that are necessary for the personnel evaluation system operation. Each of these components should be noted as necessary in the ideal system.

As the 40 cells in the matrix are considered and an ideal system begins to evolve, the design group should begin to see different components or subsystems of the system for evaluating administrative performance. The next step is *gathering information about the existence of those components*. This involves the consideration of the literature, of the information held by the people involved and of work being done in the immediate vicinity. Each of these may be sources for identifying components of the desired system. As they are identified, they should be cataloged as to the part they will play in the administrative performance evaluation system. It should be expected (by the people involved) that for some components several possibilities may exist, where for other components new materials or instruments, procedures or activities may need to be created.

Given the information gathered, the group should *develop as many different systems as possible*. This will be done in two ways. First, in those instances where there is more than one alternative for a component, each alternative should be considered as a part of a different system. Second, in those places where no component exists, the manner in which the system might work around that missing component provides for the possibility of alternative systems.

Once the group has exhausted the different alternative systems which might be designed given the available components, it turns next to the *determination of the feasibility of the alternative systems for the particular setting* in which it is going to be used. Here the question is raised: "Which of these alternative systems seems to be most appropriate and most likely to do the best job in helping *us* evaluate the administrative performance for the purpose *we* have already identified?"

Once the most feasible solution has been selected, the sixth step of the design process, Solution Formulation, is undertaken. Here our concern is for *developing the chosen system as completely as possible.* Special attention should be paid to those segments or components of the overall administrative performance system that we could not find as we looked through the literature, at our collective experience and at those things being done by our neighbors. It should be recognized at this point that we, more than likely, will not be able to get all of the components necessary and that the system which we are going to use will have some areas that need further development. A design effort which follows this format helps to identify those places where further improvement in the system may be necessary after it is placed in operation.

The next step is to *review the design to see how well it fits the specifications* that have been drawn up for it in steps one and two, above. That is, "How well does it accomplish the functions which we felt we had to accomplish?" and number two, "How far from the ideal system have we moved in the development of this feasible solution system?" If the answer to either of those two questions suggests modification, then those alterations should be considered at this particular point in time.

The next step is to *test the design* - set it up on an experimental or pilot basis, and operate it under the best of circumstances to see if it does in fact accomplish the function to the degree expected. A review of that test operation may pinpoint further places where revision can be made before it is installed.

Once those changes have been made we are ready for step nine, Solution Installation. Here the work involves *putting the system into operation* in every setting in which it is supposed to be. This may involve orientation sessions with people providing in-service work related to: the processes of evaluation specified in the system, the roles of the individuals involved, grievance procedures, etc.

The tenth step involves the *determination of the expected needs of the system.* This might include the establishment of the amount of time that is going to be devoted to the evaluation system's operation, the specification of the availability of the information who has access to it, how that access is to be governed and other specifics necessary for easy operation.

Based on the initial assumptions that the activity of designing a system is a non-trivial, situationally-specific task and that the system will be an evolving rather than static entity, the last item of concentration in the design process is *building in the feedback that is necessary for modification* of the administrative evaluation plan. As we work with this evaluation system, information should be generated which helps pinpoint its strengths and weaknesses. Some of these already will have been identified as the 10 steps of the design methodology have been applied. However once in motion, new flaws or strengths may be identified, and information about them is important to the people who will be charged with making any modifications for the next cycle of operation.

Conclusion

This paper has argued that the creation of a system for evaluating administrative performance is a situationally-specific task, one that requires a considerable expenditure of time and energy to do right.

Gerald Nadler's Ten Step Development Process has been identified, described and applied to this task of designing an evaluation system for appraising administrative performance. The description of Nadler's work and the surrounding discussion can be summarized in four steps. First those individuals who are immediately affected or involved with the system need to be identified and involved in the system design. Second, the function(s) to be served by the system need to be examined carefully. The function hierarchy should be developed with the largest possible solution space or largest possible function being the focus of the design effort. Third, a number of the steps of Nadler's Design Methodology describe procedures to be followed in creating the evaluation plan. Those steps involve the formation of a conceptual ideal which identifies the needed components, information gathering related to those components, creation of a variety of alternative systems, selection of the one from that variety which is the most feasible, formulating it into a working entity, review its design, testing it, installing it, and establishing its performance specifications. Fourth, and finally, the creation of a system for evaluating administrative performance should also be considered as an entity to be evaluated. It should not be considered as a static process but rather as something that we will start with and, as we get feedback, modify it to achieve the desired function. Thus, the final activity is the creation of data gathering, analysis and interpretation procedures that will help monitor the operational system, pinpoint difficulties and identify places where modifications may be needed in subsequent cycles of the process.

There are some cautions that need to be considered in applying Nadler's approach. The first caution is to avoid the feeling that every problem must be resolved in the first effort. If the design approach described above is applied carefully it should be apparent that the system which is eventually designed is a feasible system, not a perfect system. There will be times in which obvious weaknesses exist and the designer is unable to do anything about them. Rather than hold up everything, he or she is encouraged to move ahead with the rest of the system while recognizing that this is a point on which future attention may need to rest. It is believed here that the ability to think in systems and subsystems is extremely important. Each system for evaluating administrative performance will consist of a number of subsystems (or components). The individual who is involved in the design activity must at times think about the entire system and at other times isolate his thinking on a single subsystem while assuming that the rest of them will eventually be worked out. It should be recognized that in the design work, iterations between these two are required.

A second caution seems warranted. In the design of a system for appraising administrative performance, attention must be paid to an entity called anxiety or threat. Whether the function is one for facilitating an administrative decision about an appointment, placement, rank, salary, or firing, or, whether it is information for a set of decisions made by a single individual for improving his performance, anxiety is going to be a component of the system. Few people readily expose their performances so that their inabilities or weaknesses can be identified without the feeling of some anxiety. If the system design does not attend to the question of anxiety as an output, it will be less functional than it ought to be.

REFERENCES

Hall, A. D. and R. E. Fagen, "Definitions of System." *Systems Engineering*, New York, NY: Bell Telephone Laboratories, 1956. Same form in W. Buckley, *Modern Systems Research for the Behavioral Scientist*. Chicago, IL: Aldine Publishing Co., 1968.

Nadler, G., "An Investigation of Design Methodology." *Management Science*. June 1967. 13: 13-642-655.

Nadler G., *Work Design: A Systems Concept*. Homewood, IL: Richard D. Irwin, Publisher, 1970.

Nadler, G. and W. J. Gephart, "The Process of Development," Bloomington, IN: Phi Delta Kappa Center on Evaluation, Development and Research, Occasional Paper No. 15, 1972.

Stufflebeam, D. L. et al., *Evaluation and Decision Making*. Itasca, IL: F. E. Peacock, Publisher, 1971.

ERIC
Full Text Provided by ERIC

PART V

SUMMARY

NSPER Co-Director Robert B. Ingle captures the dominant concerns expressed by the participants of the NSPER 75 sessions. In exploring those concerns, Dr. Ingle offers some interesting insights on the matters of the purpose of evaluation, anxiety and objectivity.

Also included in this summary is an evaluation design (CoPOP) developed by several of the people attending the sessions. It is included in this report as a simple step-by-step procedure which may serve as an aid in implementing an evaluation effort.

EA 010 412

ED151918

ADMINISTRATIVE EVALUATION: A CAVEAT

Robert B. Ingle

During the 1975 NSPER sessions four questions regarding administrative evaluation became clearly delineated. The questions could equally well apply to teacher evaluation, student evaluation, or personnel evaluation in general. However, because the questions arose in the context of a series of conferences on administrative evaluation, they will be considered in that light. The questions were:

1. How can the evaluation of administrators be made nonthreatening?
2. Should the evaluation of administrators be for individual improvement or for decisions regarding employment status?
3. Should administrators be evaluated on process or product?
4. Should the techniques used to evaluate administrators be objective or subjective?

Each of these questions must be answered when an evaluation is being planned, but great care must be taken not to let the process of answering the questions completely disrupt and bring to a screeching halt the entire process of planning the evaluation. In other words, each question can be used as a red herring by adopting intractable, untenable, and unrealistic positions regarding the appropriate answers.

Let us consider each question in turn:

1. How can the evaluation of administrators be made nonthreatening? This question is a good planning stopper because it tends to shunt people off on to a humanitarian track that leads nowhere. The idea seems to be that administrative evaluation should be carried out in such a manner that those who are being evaluated feel not the slightest concern about the entire process. The only possible way to accomplish this is to have no evaluation at all!

There is a basis for concern, but not the one usually used by the askers of this question. Evaluation tends to be inherently a process that raises the anxiety level of those being evaluated. It is not the process itself so much that raises the anxiety, but the fact that the process is being applied to homo sapiens, not homo superior. Individuals become understandably nervous when other individuals start poking about to find out not only what they do, but how well they do it. No matter how kindly the evaluation is carried out, tension is generated. Evaluators should expect it and should not allow evaluation plans to be sidetracked because someone wants to spend a great deal of time trying to figure out how to carry out an evaluation without tension.

The evaluators' concern here should not be to generate an evaluation plan that will be tension free for those being evaluated – for that is impossible. Rather, the concern of the evaluator should be to generate an evaluation plan that will be carried out in an atmosphere of trust. Trust here refers to knowledge on the part of those being evaluated that data will be collected in an unbiased manner, that only data that bears some demonstrable relationship to their job functioning will be gathered, that they will have an opportunity to examine the data gathered and explain or refute as necessary, and that they will have an appeal route which may be used if necessary. Note that the notion of carrying out an evaluation in an atmosphere of trust is quite different from the notion of carrying out an evaluation in a threat-free atmosphere.

When confronted with the question "How can the evaluation of administrators be made non-threatening?" the appropriate answer is - "it cannot, but we can plan an evaluation that will be carried out in an atmosphere of trust."

The next three questions have a common element – they are asked as dichotomies and, as long as they are viewed as dichotomies, the development of an evaluation plan can be indefinitely stopped and/or completely disrupted. Once, however, it is realized that the answer to each question is not of an either/or nature, appropriate solutions can be sought and planning can progress.

2. Should the evaluation of administrators be for individual improvement or for decisions regarding employment status? The way the question is stated, it would appear as if an administrator might be evaluated for improvement (with absolutely no implication for employment) or for employment (with no implications, or chance for, improvement). In the context of program evaluation, this would be akin to saying that we would have continuous formative evaluation with no summative evaluation or

that we will have a summative evaluation with no previous formative evaluation.

To be sure, the two purposes for an evaluation should be separated conceptually. The reason is that some of the techniques used to gather information and the uses to which the information gathered are put are different. In a practical sense, however, the two purposes cannot be separated.

The only possible kind of evaluation for improvement that could be carried out with no implications for subsequent employment decisions would be a self-evaluation carried out unobtrusively (and probably surreptitiously), the results of which are kept absolutely secret. When an evaluation for improvement is done by or at the request of a superior there is no way in which the results of the evaluation cannot have an influence on subsequent decisions. Likewise, an evaluation for employment status carried out with no chance to improve these areas deemed deficient would, minimally, raise howls of protest from those being evaluated.

The usual argument offered by those who would try to artifically separate the two types of evaluation is that an individual is put into double jeopardy when he/she is evaluated for improvement and subsequently any weaknesses uncovered are used in an employment status decision. The idea seems to be one of fairness. You should not tell an individual that you are evaluating him in order to help him improve (as necessary) and then turn around and zap him later using the same data. The assumption of this is that there is no later evaluation to determine whether or not improvement has taken place. The ludicrousness of the argument becomes apparent even to those who hold tenaciously to it if it is reversed that data produced by an evaluation for improvement indicating excellent functioning should not subsequently be used to reward an individual.

The reason for conceptually separating the two purposes for an evaluation, as mentioned before, is that different techniques may be used for each. Techniques used for employment status decisions are likely to be more global than those used for improvement since the immediate intentions of each is different. This in no way negates the fact that, in the end, all data must be used no matter what the immediate purpose for its collection.

Thus, the apparent dilemma posed by the question, "Shall we evaluate for improvement or for employment status?" is not a dilemma at all. The appropriate answer is, "both."

3. Should administrators be evaluated on process or product? Stated this way the impression is given that the evaluation could, or should, be done on one or the other but not both. Since an administrator's duties involve both process and product, it would seem reasonable to evaluate him/her on both as they relate to successful functioning on the job.

The key in this situation is not the answer to the either/or question since the answer is both. Rather the questions are (1) what process and products can the administrator be held accountable for and which are sufficiently distant so that the administrator has, at best, only a very indirect influence, and (2) what is the interrelationship between processes and a given product or products in terms of intervening variables.

In terms of question 1, can a principal be held directly accountable for the learning of the children in his or her school? The answer is clearly in the negative, for if the principal can be held directly accountable, what can the teachers be held accountable for? The relationship between principal functioning and student learning is at best indirect. On the other hand, if students in a particular school were not doing as well as might be expected and the principal was making no effort to remedy the situation, e.g., providing teachers with special materials, arranging for consultation with remedial specialists, or what have you, it would not seem unreasonable to suggest that the principal was not adequately functioning in an area where he/she should be held accountable.

Staff morale is an example of question 2. There are various processes a principal can use which, other things being equal, should result in the product good staff morale, e.g., being supportive of the staff, arranging for the staff to have input into decision making, etc., which would hopefully lead to good teaching and good learning by students. There are, however, factors that will effect staff morale over which the principal has no control, e.g., acrimonious contract negotiations with the board of education. In such an instance, it would be unfair to evaluate a principal as less than satisfactory, based upon generally poor staff morale, if it could be demonstrated that the principal was using appropriate processes but that factors beyond his/her control were having strong negative effects.

The answer to the product process question is, then, both as they can be demonstrated to be under the control of the administrator.

4. Should the evaluation techniques be objective or subjective? On the one hand, we have those being evaluated stating that subjective judgments allow for too much bias, a sort of "my biases are as good as their biases" argument. On the other hand, we have those doing the evaluating maintaining that those aspects of the job that can be objectified are not what makes a good or bad administrator, sort of an "if you can measure it, it does not matter" argument.

As with the other dichotomous questions that have been examined, the appropriate solution lies somewhere in the middle – a mixture of objectified subjectivity and subjective objectivity. Completely subjective judgment, with no accompanying data, is clearly unsatisfactory if it is the only technique used, while data that can be completely objectified often does border on the trivial. One must not eschew subjective judgments, however, since the final judgment is likely to be subjective no matter how much data is collected (unless the ultimate extreme of a summed score is used – and even then someone must decide what the cutoff points are). Rather, the basis upon which subjective judgments are to be made must be determined and agreed upon before the evaluation is undertaken. Likewise, the basis for objective judgments must also be determined before the evaluation is undertaken.

The concern here is less for the techniques employed than for the criteria upon which the evaluation will be made. The concern on the part of those to be evaluated is that they will be judged using some vague, ephemeral and/or secret criteria that may or may not bear much relationship to the task at hand. As a reaction to this concern, the evaluatees tend to want everything countable – such as whether or not reports are in on time (ignoring the fact that the content of a report is what should be evaluated).

This question can be most easily dealt with by not answering it at all in the initial planning stages! Rather, determine mutually the criteria for the evaluation and then determine the most appropriate techniques for data gathering. Once the criteria have been established, the techniques are usually obvious, and the objective – subjective question tends to disappear..

In examining these four questions, it has been assumed that there was a more or less general agreement that there should be some sort of evaluation. The intent, therefore, was to consider how these questions could be dealt with so that planning did not become bogged down. It is possible, of course, that the evaluatee can mulishly hold a position that is directly opposed to the position (equally as mulishly held) of the evaluator regarding the appropriate answer to any of the questions. In such an instance, the continuation of the evaluation planning process is likely to be of little use and whatever techniques that are currently being used for decision making may as well be continued -- because decisions, good or bad, will be made.

A DESIGN FOR ADMINISTRATIVE APPRAISAL CoPOP: COOPERATIVE PERFORMANCE OBJECTIVE PLAN

I. Clear with the superintendent of schools the design planned as result of attendance at NSPER conference.

II. Constitute a task force representative of administration, board of education, building administrators and teachers, to determine the function or functions the administrative performance appraisal system should achieve.

III. Develop a *cooperative performance objectives* plan of administrative appraisal to achieve function or functions agreed upon by task force in II. (Cooperatively developed by assistant superintendents and building administrators, and others as appropriate.)

   A. Develop role descriptions for school building administrators

   B. Specify performance indicators for identified roles (i.e., what the criteria of performance will be)

   C. Plan how to identify performance objectives

   D. Develop a plan for gathering information about performance indicators (who? how? when? in what form?)

   E. Develop a plan (or plans) for an administrative support system to help school building administrators meet performance objectives

   F. Develop procedures for periodic performance appraisal (timing? who is responsible? format?)

   G. Specify procedures for appeal of unsatisfactory appraisals

IV. Establish the manner in which performance appraisals will be reported to the superintendent of schools.

V. Plan training sessions for CoPOP evaluators.

VI. Specify procedures and timing of periodic assessment of the CoPOP plan.

VII. Field test the plan in one or more clusters.

VIII. Make modifications indicated by the field test.

IX. Plan for installation on system-wide basis.

APPENDIX

BIBLIOGRAPHY OF ADDITIONAL USEFUL RESOURCES

The following fifteen references are offered to readers who want additional examples of working evaluation designs.

EVALUATION IMPROVEMENT PROJECT
Mr. William H. Bronson, Director
721 Capitol Mall
Sacramento, California 95814

The materials are designed for a three or four day non-technical workshop on program evaluation for principals, program managers or other program directors. Topics include: evaluation purposes and planning, instrumentation, design, analysis and reporting. Materials will be available after about September, 1976.

DALLAS INDEPENDENT SCHOOL DISTRICT
William A. Morgan Jr.,
Assistant Director of Personnel
3700 Ross Ave.
Dallas, Texas 75204

This evaluation plan calls for a team of subordinates to work with each administrator to set clear and realistic performance goals and objectives. Then working together, they jointly assess the administrator's progress and professional growth. DISD has a manual of timelines, processes and guidelines for implementing the plan. Also there are forms to help the administrator develop his goals and then evaluate himself on these objectives. Copies of the guidelines and forms are available.

CINCINNATI PUBLIC SCHOOLS
Certificated Personnel Branch
230 E. Ninth Street
Cincinnati, Ohio 45202

Job targets are the basis of appraisal at CPS. The evaluator is one who works with the appraisee in establishing the job targets, then evaluates job performance continuously while counseling and working with the appraisee. The general evaluation forms seek judgements on the appraisee's knowledge, planning, follow-through, organization, initiative, decision-making, communication, ability to motivate and ability to develop. Copies of forms and guidelines are available, however CPS plans to make revisions on its evaluation system in September, 1976.

PRINCETON REGIONAL SCHOOLS
L. Wesley Johnson, Personnel Administrator
Box 711
Princeton, New Jersey 08540

The superintendent at PRS is expected to work closely with the administrator to help him in the evaluation process, providing his own assessment where appropriate. Evaluation, based on assessing administrative behavior and development, is focused on examining traits such as sensitivity, creativity, responsiveness, knowledgeability and responsibility. Copies of forms and guidelines are available.

BERKELEY HEIGHTS PUBLIC SCHOOLS
Office of Superintendent
345 Plainfield Ave.
Berkeley Heights, New Jersey 07922

At the heart of the BHPS evaluation effort is an Objective Setting Conference Report which asks the administrator to fill in a matrix of 5 categories (Instructional, Personnel, Public Relations, Building and Budget) by 5 Performance Areas (Goals, Performance objectives, Means of achieving specific performance objectives, Methods for measuring achievement, and Target dates for achievement). Copies of the form are available.

BLOOMFIELD HILLS SCHOOLS
John A. Candela
Director of Personnel and Labor Relations
4175 Andover Road
Bloomfield Hills, Michigan 48013

Evaluation is done once each year and is premised on the individual's performance in the area of job description and any special objectives agreed upon. Their forms provide for evaluation in three categories: Routine objectives, Standards and Indicators, and Special Objectives. Copies of the forms are available.

MINNEAPOLIS PUBLIC SCHOOLS
Bernard W. Kaye
Associate Super. of Schools for Personnel
807 Northeast Broadway
Minneapolis, Minnesota 55413

The evaluation effort at MPS focuses on examining the performance of probationary administrators. Guidelines call for the administrator to list five goals for his program, state objectives and strategies, state how these goals will be communicated to subordinates, and to analyze major successes in their programs. A general form has been developed to serve as an instrument to display evidence that an administrator should be terminated or continued.

RIDGEWOOD HIGH SCHOOL
Roger Kampschroer, Superintendent
7500 W. Montrose Ave.
Norridge, Illinois 60634

In RHS, evaluation is done by oneself, one's superiors and one's subordinates. The criteria are the tasks in the job description as well as traits such as knowledgeability, rapport, support cooperation, etc. Copies of forms are available.

ALHAMBRA CITY SCHOOLS
Alhambra, California 91801

At the beginning of each school year the evaluatee in cooperation with the evaluator (immediate supervisor) develop a list of specific objectives in accordance with the overall general objectives of ACS. Informal mediation is sued if there is no agreement. At least once each semester the evaluator confers with the evaluatee to review progress and consider possible modifications of the objectives.

NORTH EAST INDEPENDENT SCHOOL DISTRICT

10333 Broadway
10214 Sommers Drive
San Antonio, Texas 78286

Two conferences are held annually at NEISD. During the first, the evaluatee constructs an outline of his goals and during the second, he submits a narrative about how the goals were met and where there are areas needing additional improvement. In both conferences the supervisor reacts to the evaluatee in a manner helpful in guiding him to greater professional development. Copies of forms and guidelines are available.

COMMUNITY SCHOOLS SERVICE CENTER

David N. Newbury
Assistant Superintendent
23136 Hughes
Hazel Park, Michigan 48030

The building principals and central office administrators at CSSC have developed a form which lists from four to 11 sub-goals under each of seven general goals. At the beginning of the year each principal chooses three areas he will concentrate on during that school year. This system is mostly self-appraisal but the principals do meet with the superintendent for an end of the year conference. Copies of the forms are available.

DETROIT PUBLIC SCHOOLS

Room 404 Schools Center Building
Detroit, Michigan 48202

Currently the Detroit Public School System has an evaluation procedure relating to administrators and supervisors. This procedure includes skills in the cognitive and affective areas as well as an awareness of local school and community needs.

MONROE COUNTY COMMUNITY SCHOOL CORPORATION
Ronald E. Walton
Superintendent of Schools
315 North Drive
Bloomington, Indiana 47401

Each MCCSC building administrator develops at least two management objectives for the school year. These objectives are reviewed by the Director of Education and reported to the Superintendent. In the spring each administrator files a Results and Performance Rating with the superintendent, then meets with him to discuss the amount of progress towards those objectives. Copies of forms and guidelines are available.

EDUCATIONAL RESEARCH CORPORATION
Allan B. Ellis, President
85 Main Street
Watertown, Massachusetts 02172

Educational Leadership Appraisal (ELA) TM is a comprehensive performance-based procedure for the observation, depiction, and assessment of an individual's administrative leadership behavior. Using situational techniques to approximate problems, issues, and challenges faced by school administrators at all levels, ELA appraises an individual along twenty leadership dimensions. Used thusfar by over 350 school administrators, representing nearly 100 city and suburban districts throughout the country, ELA has been applied to recruiting personnel as well as to diagnosing current staff for purposes of evaluation or development. Further information is available upon written request.

PEEL (PERFORMANCE EVALUATION FOR EDUCATIONAL LEADERS)
Dr. Howard J. Demeke
Bureau of Ed. Res. and Services
Arizona State University
Tempe, Arizona 85281

After seven years of intensive research, PEEL has developed the only known nationally validated definition of administrative competence in education. Designed to improve an administrator's performance, PEEL consists of seven dimensions: definition of administrative performance, an instrument to measure levels of competence, a workshop training program, a needs assessment phase, a prescriptive phase, an implementation phase, and a secondary need-assessment and recycling phase. Further information and materials are available by writing to Dr. Demeke.