



1989

## A Study of the Evaluation of Public School Superintendents in the State of Indiana

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A STUDY OF THE EVALUATION  
OF PUBLIC SCHOOL SUPERINTENDENTS  
IN THE STATE OF INDIANA

by  
GERALD L. NOVAK

A Dissertation Submitted to the Faculty of the Graduate School  
of Loyola University of Chicago in Partial Fulfillment  
of the Requirements for the Degree of  
Doctor of Education  
January  
1989

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Loyola University of Chicago  
A STUDY OF THE EVALUATION  
OF PUBLIC SCHOOL SUPERINTENDENTS  
IN THE STATE OF INDIANA

The purpose of this study was to investigate the amount of formal evaluation of public school superintendents in the state of Indiana. The study consisted of a survey of all 302 public school districts in the state of Indiana. The survey instrument proved to be an effective tool for soliciting information, since two hundred sixty-three superintendents (87.08%) responded to the one time mailing. Ten research questions were presented for consideration in this study.

In this part, the ten questions which were posed by this research will be summarized according to the findings of the data received.

1. Superintendent evaluation is taking place across the state of Indiana on a formal and informal basis.
2. Superintendents have a favorable attitude toward the procedures used by their board to evaluate them.
3. Superintendents who are not formally evaluated were in favor of implementing a more formal procedure.
4. Superintendents believe that the evaluation process strengthens their relationship with their board.
5. The most frequently used method of formally evaluating the superintendent is one that consists of a combination of rating

2. Superintendents believe that the evaluation process strengthens their relationship with their board. Yet, the majority of superintendents do not think their boards have the understanding to evaluate effectively. Only three percent of the superintendents indicated the the evaluation process hindered there relationship with the board. Sixty-two percent thought the evaluation process strengthened their relationship, regardless of the type of evaluation that was taking place. This would indicate that the communication that is inherent in any evaluation program is seen as a positive side effect of evaluation.

However, superintendents do not believe that their respective boards of education have enough training in the evaluation process to really understand the process.

3. In general, the larger the school district, and the higher the educational attainment of the superintendent, the more likely the existence of a formal evaluation of the superintendent.

Superintendents who had doctorate degrees and worked in school districts with enrollments of 5000 students or greater were more likely to have been formally evaluated.

4. Formal evaluation instruments used to evaluate superintendents in the state of Indiana contained items which evaluated personal qualities, educational leadership, and relationship with the board as the predominant areas of evaluation.

scale, objectives, and/or a blank narrative.

6. The majority of superintendents across the state of Indiana do not have the topic of performance evaluation included in their contract with their board.

7. The superintendent is instrumental in the development and implementation of a formal superintendent evaluation program.

8. There is a positive relationship between the size of the district, the educational attainment of the superintendent, the years of experience of the superintendent and the existence of a formal superintendent evaluation program.

9. Superintendents do not feel their boards have the expertise in personnel methodology to evaluate them.

10. The most frequently mentioned items on the evaluation instruments that were submitted were: personal qualities, educational leadership, and relationship with the board.

### Conclusions

The following conclusions were based upon the findings of the study:

1. Formal evaluation of public school superintendents is not predominant in the state of Indiana. Less than half of the superintendents are being evaluated using a formal process exclusively. Only thirty percent of the superintendents reported that they were evaluated exclusively by a formal method. This indicates that seventy percent of the superintendents in the state of Indiana are using either formal and informal, only informal, or not being evaluated at all.

## ACKNOWLEDGMENTS

The author of this dissertation would like to acknowledge the guidance given to him by Dr. Max Bailey, of Loyola University of Chicago, the Director of his dissertation committee. The author would also like to express his gratitude for the assistance given to him by Dr. Philip M. Carlin and Dr. Howard Smucker of Loyola University, both of whom served on the author's dissertation committee.

The author is grateful for the encouragement given to him by his wife, Judith. This dissertation could not have been completed without her moral support. In addition, the patience and understanding of the author's children, Brent and Dawn, are also gratefully recognized.

## VITA

The author, Gerald L. Novak, is the son of Leo and Helen Novak. He was born May 20, 1947, in Hammond, Indiana.

His elementary education was obtained at St. John the Baptist School in Hammond, Indiana, and secondary education at George Rogers Clark High School in Hammond, Indiana, where he graduated in 1965.

In 1969 he received the degree of Bachelor of Science with a major in English from Indiana State University in Terre Haute, Indiana. He obtained a Master's degree in School Administration and Supervision from Indiana State University in 1971. In 1975 He obtained the Educational Specialist Degree in Administration and Supervision from Indiana State University. In 1989, he was awarded the degree of Doctor of Education from Loyola University of Chicago.

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## CHAPTER ONE

Current public demands for accountability in public education have resulted in increased emphasis on performance evaluation for both teachers and administrators. However, much of the focus of evaluation has been placed on teacher evaluation, with the remaining emphasis placed on building level administration. Very little has been stressed concerning the evaluation of the superintendents of the school system, the chief executive officer of the local district.

Superintendents are currently under a great deal of pressure in their positions. This pressure leads to a great deal of job insecurity, as evidenced by the short average length of tenure for a superintendent in the United States. According to Fowler (1977) the average urban superintendent need unpack his bags for only 18 months, while superintendents in more suburban communities will settle down for an average of four years. The superintendent must deal with many different factions during the course of his/her job, including community groups, parents, teachers, auxiliary staff, other administrators, legislators, and last but not least, school boards. All of these groups have their own hidden agendas. The astute superintendent will learn to

identify the hidden agendas and respond accordingly. In addition, the superintendent and the school board must collectively deal with decreasing funding, inflation, decreasing or increasing enrollment, collective bargaining, curriculum changes, and changing societal expectations, and still somehow manage to work harmoniously toward education the youth of the community.

Marrow, Foster, and Noite (1971) spoke to the issue of the tenuous situation of the school superintendent.

"We hold schools to an unrealistic standard of decorum and we tend not to accept conflict as normal human behavior. We want quality schools but we are unwilling to pay for them. The superintendent is squarely in the middle of this; normally in charge of a world he does not control. Quite literally, the daily business of running a school system requires all of his attention and energy. It is called 'putting out brush fires', in the trade, and only the rare superintendent has the time and energy, whatever his mandate, for reforestation." (p.42)

Superintendents are normally asked to insure that every staff member in their district is formally evaluated to facilitate the improvement of instruction, or in the case of inferior performance, to make sure that the deficiencies are documented and due process has been followed in case a termination would ever be challenged in the courts. Yet, numerous superintendents seem to be operating under a system that is quite different regarding their own evaluation. As recently as 1982, one national study by Dittloff showed that

only 20% of school boards across the nation regularly conduct formal evaluations of their superintendent.

There are two methods used to evaluate superintendents, formal and informal evaluation. The formal method involves comparing job performance with job specifications. That is, the board determines what the superintendent is supposed to accomplish and then at some specified time in the future, determines, in writing, how well the job was accomplished.

The other method of evaluation is the informal method. In this method the board is making decisions about the superintendent without the superintendent's knowledge of all of the parameters of the evaluation. As long as things go well, there is little need to hear from the board, But as soon as the district stumbles, the board finds it necessary to let the superintendent know. Usually they look at the superintendent's personal characteristics, often after the fact. This method seems to follow the philosophy "as long as you don't hear from us, everything is all right".

Under this method, when the time comes for contract renewal consideration and the superintendent's contract is not renewed, the decision is met by cries of outrage from the community, students, and parents over the release of "their" superintendent. The only group that seems to be happy is the school board.

Given this scenario, is it any wonder that the position of superintendent of schools is a tenuous one? Morphet, Johns and Reller (1974) spoke to the tenuousness of the superintendency.

"The superintendency which has long had a reputation for insecurity, short tenure, and being an anxious profession, is one of the most troubled positions. This is a result of many factors, including the growing expectations for education, the increased role of teachers in administration and the view that education leadership must mean community leadership. With the growing awareness of the great variation in the expectations regarding the superintendency, the question has been raised whether to regard the superintendent as the one who can resolve inevitable conflicts-- and then condemn him when they are not resolved." (pp.327-328)

It is no wonder that conflicts arise between school boards and superintendents. But regardless of these conflicts, the superintendent must still maintain the leadership position of the school district. Legally the superintendent is the person held responsible for the management of the schools. He/she must make the tough decisions that come with the job. It would be naive to think that conflicts would not arise between the board and the superintendent. Some board members even run for election on the platform of removing the superintendent from the position. Perhaps that explains the vast amount of literature that can be found on the topic of board/superintendent relations. But it remains puzzling that so little can be found on the topic of superintendent evaluation.

## PURPOSE OF THE STUDY

The purpose of this study was to investigate both the type and the amount of superintendent evaluation being used across the state of Indiana. The research also investigated the attitudes of superintendents toward the formal evaluation process and the relationship between the formal evaluation process and various demographic factors of the district and personal variables of the superintendent.

## METHODOLOGY

The method to be used to obtain the data for the research was the survey approach. A pilot study was conducted of ten superintendents from the state of Illinois. The Illinois superintendents were all administered a sample survey instrument to complete. These superintendents then were asked to make suggestions about the instrument concerning the clarity and purpose of the questions. These suggestions were then incorporated into the final document. The data from the pilot study was used to refine the instrument and insure reliability.

The second phase was to administer the survey to all of the 302 superintendents in the state of Indiana. The researcher plans to administer the survey under the auspices of the Indiana Association of Public School Superintendents

(IAPSS). By having the endorsement of the IAPSS, it should solicit a greater response from the superintendents across the state. The information will also be shared with the professional organization for their use with the membership.

The third phase of the study was to analyze the data and the reporting of it.

### LIMITATIONS

As with any survey research there were some limitations. According to Kerlinger, there are two major drawbacks with the use of a questionnaire, a lack of response and the inability to check the response given. Kerlinger indicates that the responses to mail questionnaires are generally poor, with a return rate of forty or fifty percent being common under normal circumstances. Superintendents are besieged by requests from various groups and individuals to complete and return surveys. There is a tendency to be selective on the completion of any survey. By securing the endorsement of the Indiana Association of Public School Superintendents the sample population was more apt to cooperate with this request.

In addition, when dealing with the different terms inherent in the study, there will be some different interpretations of the questions merely because they will be taken out of context and dealt with from the superintendents own interpretation of the evaluation process. This was attempted to have been corrected by including a definition of



terms. However, some differences of interpretation will still undoubtedly occur.

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

#### DEFINITION OF TERMS

Board of Education - The representative body, either elected or appointed, made up of residents from community that employs the superintendent.

Checklist Instrument - A type of evaluation instrument that is represented by a list of characteristics, which the evaluator is asked to score along some type of continuum.

Evaluator - The school board that is evaluating the superintendent.

Evaluatee - the superintendent who is being evaluated by the school board.

Evaluation - Assessment of the superintendent's job performance.

Formal Evaluation - A written assessment of the superintendent's job performance that is discussed in a conference between the superintendent and the board of education.

Informal Evaluation - Assessment of the superintendent's job performance based on subjective observations with no written documentation and limited discussion.

Job Description - Written expectations for the superintendent which describe the duties and responsibilities of the assignment.

Management By Objectives - A type of evaluation that is characterized by the involvement of the evaluatee with the evaluation process. The evaluatee must establish objectives, goals and priorities that he/she intends to reach. The evaluatee is then evaluated on how well the objectives are met.

Superintendent - The chief executive officer of the school district.

#### RESEARCH QUESTIONS

1. What percentage of superintendents in the state of Indiana is being formally evaluated by their school boards?
2. What are the superintendent's attitudes toward the methods being used by their boards to evaluate them?
3. Would superintendents who are not being formally evaluated be in favor of implementing a formal evaluation program?
4. How does the size of the district, length of tenure of the superintendent, educational attainment of the superintendent, relate to the presence or absence of a formal evaluation program?
5. How has the board/superintendent relationship been influenced because of the evaluation process?
6. Do superintendents feel their board members have sufficient expertise in the area of personnel methodology to

evaluate them?

7. If superintendents are being formally evaluated, what type of evaluation system is being used; checklist, MBO, combination checklist/MBO, essay?

8. Is the topic of performance evaluation written into the formal contract between the board and the superintendent?

9. Of the districts that report having a formal procedure, was it initiated at the urging of the board, the superintendent, or a combination of the two?

10. Of the districts that report they are doing formal evaluations, what is the most prevalent area being evaluated?

## CHAPTER II

### REVIEW OF THE LITERATURE

#### Historical Role of The Superintendent

According to Cubberly (1920) the foundation of public education and the concept of local citizen control began as early as 1647 with the passage of the Olde Deluder Satan Act by the Massachusetts Bay Colony. The act clearly established the responsibilities of those charged with running the school. These selectman, were given the charge of managing the schools. Even though the teachers were given some educational duties, the overall control of the school remained with the selectman (Cubberly, 1920, p.230).

Knezevich (1969) indicated that in 1721 the selectman of Boston appointed a committee on school visitation. At first these school committees were the agents of the selectman, but in 1826 Massachusetts law established school committees as a separate entity. These school committees were the predecessors of the present-day school board.

This arrangement remained intact until the growth of society and of the schools put additional strains on the time of the committee. The movement away for the one room school house and the growth of the population placed increased responsibility on the committee. A need for supervision in

the public schools began in the early 1800's. This first administrative position that was created was that of principal. This movement for increased supervision also provided the impetus for the emergence of the superintendent (Doerksen, 1975, p.15).

The early superintendent's duties were delegated from the clerical and instructional power belonging to the board. Some of these duties included inspecting classes, examining applicants for teaching positions, and determining the progress of students (Sonedecker, 1984, p.30).

The first superintendents to be appointed were in the cities of Buffalo and Louisville in 1837 (Van Til, 1971). Their duties were mostly clerical and instructional in nature and were delegated to them by the board. One of the major concerns of the early superintendents was the arbitrary dismissal of many of their colleagues and the corruption of the school board members. Philbrick (1895), in a report to the Commissioner of Education, John Eaton, pleaded to the American public to "keep unscrupulous politicians off their school boards and to turn over the supervision of the schools to the professional expert"(p. 4).

In 1874 in Kalamazoo, Michigan, the Circuit Court ruled that the school district could legally employ a superintendent and pay his salary from the public treasury ( Stuart v. School District No. 1 of the Village of Kalamazoo, 1874 ). The Kalamazoo case established the common law practice that in the absence of enabling legislation the local school board has the implied power to employ a

superintendent of schools and pay his salary out of public funds.

In the 1890's superintendents began to publicly bring attention to their plight. In the NEA meetings of 1890, 1891, and 1892, the superintendents began to criticize, blatantly and vigorously, the control of education by school boards. The Cleveland Plan was officially reported to the 1895 meeting of the NEA. This plan advocated that control of the schools should be turned over to the superintendent of schools, and the the administration of schools be divided into two departments, one for instruction, the other for business affairs. This report was edited by Andrew Draper, then superintendent of Cleveland schools, and was a direct result of the "Committee of Fifteen".

The founder and owner of the American School Board Journal , William Bruce, became a strong opponent of superintendent control of the schools. Bruce (1895) published an article, "Deposing Superintendents". He wrote "The superintendent's position is a difficult one. He is ready target for unreasonable parents, disgruntled teachers and officious school board members. In a vortex of school board quarrels he is the first to become crushed"(p.36-37). Superintendents should carry out the will of the people and the board. Through Bruce's efforts, superintendents failed in their bid to control the schools and the role of school boards in appointing and dismissing the superintendent was confirmed.

Cuban (1976) summarized the early development of the

superintendency, "The origins of the conceptions were traced to the vulnerability of schoolmen bound to a board of education that represents popular will. Conflicting expectations of what a superintendent is and what he should be have been present since the late nineteenth century" (p. 139).

Cuban identifies dominant conceptions of superintendents developed between 1870 and 1950. He indicates the major concepts were teacher-scholar, administrative chief, and negotiator-statesman. He does not label a specific time period with these concepts, but says that these styles evolved during this particular time span (p. 138).

Callahan placed specific years with his historical view of the functions of the superintendent. He placed the superintendency into four main eras: scholarly educator, 1865-1900; business manager, 1819-1930; educational statesman, 1930-1954; and the current concept of the superintendent as the expert in applied social service (p.48).

Button (1966) defined the historical development of the superintendent's role in the following manner: 1870-1885, teaching of teachers; 1895-1905, administration as applied philosophy; 1905-1930, business management; 1935-1950, technical experts; 1955 to present, administrative scientists.

Cuban, Callahan and Button all seem to agree on their historical perspectives of the superintendent. All show the superintendent evolving as the natures and demands of the job

changed with the expectations of the board.

Heald and Moore (1968) described the role of the superintendent. They indicated the the superintendent is employed by the board of education as its executive agent and, depending upon the nature of the board policy and explicit instruction, he is subject to their review. They also stated that "Excessive modification by a governing board judging 'after the fact' can become a very real source of friction between the superintendent and his board of education" (p. 127).

According to Heald and Moore the superintendent is often supposed to be the visionary of the system. He is required to project needs and to plan. Risk-taking may often follow his plan. " In fact, his success may be measured by his ability to guess right" (p. 127).

Given this scenario of the development of the position of the superintendent, is it any wonder that the position of superintendent of schools is a tenuous one? Morphett, Johns and Reller (1974) spoke to the tenuousness of the superintendency:

"The superintendency, which has long had a reputation for insecurity, short tenure, and being an anxious profession, is one of the most troubled positions, This is a result of many factors, including the growing expectations for education, the increased role of teachers in administration and the view that educational leadership must mean community leadership. With the growing awareness of the great variation in the expectations regarding the



superintendency, the question has been raised whether to regard the superintendent as the one who can resolve inevitable conflicts--and then condemn him when they are not resolved". (pp.327-328)

Marrow, Foster, and Noite (1971) spoke to the issue of the present-day superintendent,

"We hold schools to an unrealistic standard of decorum and we tend not to accept conflict as normal human behavior. We want quality schools but we are unwilling to pay for them. The superintendent is squarely in the middle of all this; normally in charge of a world he does not control. Quite literally, the daily business of running a school system requires all of his attention and energy. It is called 'putting out brush fires', in the trade, and only the rare superintendent has the time and energy, whatever his mandate, for reforestation". (p. 42)

The Illinois Association of School Board's publication, Planned Appraisal of the Superintendent (1976), describes the role of the present day superintendent very succinctly when it warns the school board to keep in mind that:

1. The role of the superintendent varies among school districts. In a small district, the superintendent is probably expected to be an expert in school finance and to spend a lot of time on financial matters. In a larger district, he probably has a business manager to handle that function, and the board may expect him to spend a lot of time on public relations or some other function.

2. Not all school boards think alike. Some boards want a superintendent who is hard-nosed, one who will 'shake up the troops'. Others want a curriculum expert or one who projects an image of sweetness and light.

3. The superintendent's role depends to a great extent upon his age and experience in comparison to that of the school board. A new, young superintendent employed by an old, experienced board may rely heavily on that board for guidance even in some administrative matters, while an experienced superintendent probably will be looked to for more leadership.

4. Individuals who serve as superintendents possess a wide variety of personal characteristics. They vary by years of experience, training, personality, emotional stability, intelligence, and numerous other factors. (p.9)

It is easy to see that the role of the superintendent is not the same in all districts and that boards should not expect to evaluate their superintendent in the same manner a neighboring district is using because there are too many variables.

#### Evaluation of the Superintendent

have resulted in an increased emphasis on performance evaluation for both teachers and administrators. In 1984 The National Commission on Educational Excellence and its A Nation at Risk (Superintendent of Documents, 1983) focused the attention of the American public on education. A multitude of publications dealing with effective schooling were spawned from this major attention. One of the key elements mentioned in all of the educational reform movement recommendations was that of having effective building level administrators. Very little was written about superintendent evaluation during this reform movement. Yet, the superintendent is the chief executive officer of the school district.

The availability of research pertaining to the evaluation of the superintendent of schools is minimal. Most evaluation efforts in the history of American education have dealt with teacher evaluation. Perhaps this is the case because teachers make up the vast bulk of the professional work force of education. They also have the greatest and most direct client contact with students and parents. But when teacher evaluation is discussed, almost invariably the question of evaluation of administrators is also raised. Who is going to evaluate the evaluators? This question is often asked by teachers who only want to make certain that administrators, too, share in the discomfort, and superficiality of traditional evaluation programs. However, many people are sincerely interested in precisely how administrative and supervisory positions, general and

specialized, are being evaluated.(Redfern, 1980, p.63)

Formal evaluation of the superintendent's performance is a relatively new area. The first major research effort in the area of evaluating the superintendent was conducted by Griffith (1952). In an attempt to determine the attitude of school board members, he asked two specific questions:

1. Do you have any method of evaluating your superintendent at the present time?
2. Do you feel that an instrument for the evaluation of your superintendent is needed?

Griffith found that 82 percent of the responding boards had no method of evaluating their superintendent, and 53 percent of the boards did not feel a need for an instrument.

As Gray (1976,p.26) states "it is hard to imagine a school administrator running a multi-million dollar organization whose job evaluation depended upon phone calls that a board member received from an irate taxpayer. Unfortunately, however, it is just these kinds of isolated incidents that may affect a decision of re-employment".

Buchanan (1981) found that superintendents were evaluated annually, continuously and informally, and that written notification was given to the superintendent less than 30 percent of the time.

As recently as 1982, Dittloff (1982, p.41) reported in the American School Board Journal that only approximately 20 percent of school boards regularly conduct formal performance evaluations of their chief executive officers. It would appear that very little has changed from the Griffith study

of 1952 to the 1982 statement of Dittloff. Yet during this 30 year time period, public pressure on the education program increased dramatically.

Cuban (1977, p.6) believes that superintendents cannot function effectively without periodic feedback about their performance and need such feedback. Others agree with this assessment and insist that evaluation is necessary in every organization. Management groups such as the American Management Association indicate to their membership that performance appraisal is absolutely necessary (Meidan, 1981, p.7). It is not a coincidence that performance evaluation is a keystone in development programs for executives in countless leading corporations.(Redfern, 1980, p. 64) Managers in education need this same attention, too.

Even the two major educational organizations that represent management, the American Association of School Administrators (AASA) and the National School Board Association (NSBA) have endorsed the concept of superintendent evaluation. In a joint publication, "Evaluating the Superintendent (1980)", the AASA and the NSBA stated, "at the time a superintendent is employed, it is important to discuss the method that will be used to assess performance. In fact, a provision should be included in the contract clarifying how evaluations will be conducted". (p. 15)

In addition the AASA/NSBA also make a strong joint statement in this same publication. They add:

"Though individual school board members have many

opportunities to observe and evaluate a superintendent's performance, it is clear that such informal evaluations cannot provide the board with a complete picture of the superintendent's effectiveness in carrying out her (his) complex job. Regular, formal evaluations offer boards the best means of assessing their chief administrator's total performance". (p. 4)

Fox (1972, p.87) indicates that the superintendent has a right to expect his board will seek to reach agreement with him on the two Rs--his role and relationship to the board. He thinks the superintendent has a right to expect that his board will evaluate his efforts in an open , eyeball-to-eyeball manner at least once each year. However, many boards never evaluate the superintendent until near the end of a three or four year contract. Typically, the decision to renew the contract becomes a political matter at worst and a popularity contest at best, rather than an objective assessment of effectiveness (Moberly, 1978, p.237).

Perhaps one of the reasons for the lack of superintendent evaluation is the lack of professional preparation of school board members to accomplish the task. Lay boards are not trained to actually evaluate personnel. Yet, they are charged with the responsibility of hiring, retaining, or dismissing the superintendent. Some executives in the private sector have the opportunity to work for incentive bonuses as a form of evaluation. However, most of these bonuses are tied to economic gains that their company can make in a given time period. In addition, their boards

are made up of individuals who are business people who understand the profit-loss relationship. Educators do not have these same luxuries. Superintendents must deal with board members whose only qualification is that they were elected by a majority vote of the community. They need not possess any specific knowledge about education. Also, education doesn't operate on a profit-loss basis. Therefore it is much more nebulous to make a summary judgement on the top official since there is not the concrete evidence of a profit or loss margin on the bottom line of a financial sheet.

Liddicoat (1983) recommended that boards of education should receive professional training in evaluation. He came to this conclusion after he found that 29.7 percent of the superintendents believed that they had not been fairly evaluated. According to Turner (1971, p.16), superintendents sometimes resist evaluation due to the perceived lack of expertise by board members.

Intruss (1985, p. 233) concluded that superintendents are not convinced that board members have the understanding of evaluation methodology to evaluate their performance.

Board members sometimes give the old cliché "our board evaluates the superintendent at every meeting" when asked how they evaluate the school district's chief executive officer. Other busy board members are probably moved to ask "Why should we go to the extra work and trouble of setting up an appraisal system? We trust our superintendent and know he's already overworked. So why should we add one more task?"

(Booth and Glaub, 1978, p.1)

Cuban (1977, pp.1-2) identifies three "blocks" to superintendent evaluation. The first relates to the selection process, and sounds like this: "If we made the right choice, we'll have nothing to worry about; if we didn't, no amount of training will send a loser over the finish line". A second big block is that most superintendents don't ask. They ignore the sound advice of the professional associations of school administrators to demand formal evaluations. A lack of time and expertise on the part of the board of education is the third identified block against superintendent evaluation.

Turner (1979, p. 16) indicated that there are three different variables as to why school boards handle poorly, infrequently, or not at all, the evaluation of their superintendent's performance:

1. Most of the superintendent's aren't any more interested in evaluation than are the board members. They are not likely to broach the subject unless the board does.

2. School boards often fall short on evaluation because they have neither the time nor the expertise to do the evaluating themselves, and their budgets are not supple enough to allow for hiring outside help to do the job.

3. Still another reason why boards rarely win prizes for evaluation is that it's hard work, plus the fact that it doesn't increase their popularity. However, according to the NSBA Leadership Report (1982, p. 35) veteran board members who conduct evaluations of their superintendents have found the sum of adding up all of the positives is mutual



gain for themselves and their chief executives.

With this multitude of reasons, it is easy to see why there are varying degrees of evaluation programs in existence. Redfern (1980,pp.7-8) depicts the evolving nature of the formal evaluation of superintendents of schools in the AASA publication Evaluating the Superintendent .

The following continuum depicts past practices and the emergence of improved techniques. Actual dates for 'then' and 'now' vary from one school system to another:

THEN

NOW

A B C D E F G

A = No planned procedures; reliance upon word-of-mouth assessments

B = Informal assessments; minimal feedback to superintendent

C = 'Report Card' type evaluations; heavy reliance upon trait rating

D = Refinement of checklist rating techniques; more feedback to superintendent

E = Better definitions of executive duties/responsibilities; emergence of performance standards; pre-and post-assessment conferences

F = Use of performance objectives; more emphasis upon results achieved

G = Reciprocal evaluation techniques (two way assessments); improvement in performance made a high priority in the evaluation process.

School systems are at various stages along the continuum. Some evaluation practices are unrefined, but considerable improvement has taken place during the last ten years. However, in many cases, much remains to be done.

### Purpose of Evaluation

There is considerable controversy over the basic purpose of evaluation. At one extreme are those who claim that evaluation is to "get rid of the incompetents". At the other extreme are those who look at evaluation as a way to "help all educators to become better". Some claim the evaluation has both purposes. Others state that evaluation should motivate employees, provide information for administrative decisions, determine merit payments, differentiate assignments, and provide information for inservice education programs. It appears that each evaluation program has its own purposes. What is unfortunate is that those purposes are often covert or misunderstood by the various groups of employees: teachers, principals, or supervisors. Conflict arises when each group assumes a different purpose for the evaluation process. (Thomas, 1979, pp. 20-21)

Much like teacher evaluation, the purpose of superintendent evaluation is really for two reasons. First and foremost, it is for the improvement of the superintendent's performance. Secondly, it is a judgement that can be used to support personnel recommendations such as

retention, demotion, incentive pay, or termination. The first method is referred to as formative evaluation. The evaluation serves as a way to improve performance. It is an ongoing communication process between the evaluator and the evaluatee. The second type of evaluation is the summative evaluation. This evaluation serves as an end or final judgement of the administrator. Perhaps the biggest difference between the two methods is in the role of the evaluator. In the formative evaluation, the evaluator serves as the counselor of the evaluatee. In the summative evaluation, the evaluator serves as the judge.

Zakrajsek (1979) observes that the trend for administrator evaluation seems to be toward using evaluation as a method of improving. She states that the purpose of the evaluation has, to a large extent, moved away from its negative connotations and is now considered a positive experience.

Redfern (1980 p. 23) states that the starting point in developing a superintendent evaluation program is to determine the thrust of the program, to clarify purposes and desired outcomes. One way to get underway is for the superintendent and board to exchange views about purposes and outcomes. Presumably the superintendent has certain expectations which the evaluation process will help in meeting. The board will also have expectations.

Carol (1972) reported that 89 percent of board members indicated the primary reason for evaluation to be the identification of areas needing improvement. While 73

percent of the superintendents in the study report that the primary reason for evaluation was to determine the superintendent's salary.

In the publication put out by the AASA and the NSBA they list the purposes of evaluating the superintendent as follows:

- Describe clearly the duties and responsibilities of the superintendent

- Clarify the board's expectation of his (her) performance

- Enable the superintendent to know how he (she) stands with the board

- Identify both areas of strength and weakness in the superintendent's performance

- Improve communication between the board and superintendent

- Provide ways by which needs for improvement can be met

- Foster a high trust level between the superintendent and board

- Enable the board to hold the superintendent accountable for carrying out its policies and responding to its priorities (pp. 23-24)

McGrath (1972, p. 192) listed five major purposes for superintendent evaluation. They were in ranking order: salary, contract renewal, continued employment, improved functioning of the superintendent and general improvement of the district.

Fowler (1977, p. 77) found another purpose in evaluating the superintendent was to maintain a good board/superintendent relationship. He stated that an annual evaluation of the superintendent can facilitate good board/superintendent communications and can help avoid deteriorating relationship.

Knezevich (p. 605) came up with an additional reason when he suggested that the reason for evaluating administrators was the result of the pressures for teacher appraisal led teachers to ask for administrator evaluation.

Buchanan (1981, p.89) found that the most important purpose for evaluating the superintendent was to identify weak areas. His study showed a lack of agreement between board presidents, members, and the superintendent on the expressed purpose of the evaluation process. It is clear from the research that a general consensus on the purpose of the program should be reached by all concerned before the program is implemented.

### Types of Evaluation

There are two main types of evaluation being utilized to evaluate the superintendent, formal and informal evaluation. Formal evaluation is a written assessment of the superintendent's job performance that is discussed in a conference between the superintendent and the board of education. An informal evaluation is an assessment of the superintendent's job performance based on subjective

observations with no written documentation.

Carol (1972) reported that 62 percent of the methods of responding district were informal methods. Buchanan (1981) indicated that 82 percent of the districts used an informal method of evaluation and when the evaluation does take place it is only shared with the superintendent 28 percent of the time.

Dickinson (1982, p. 29) stated that casual, unspecified evaluations of a superintendent just won't work. They won't head off misunderstandings between the board and the school chief.

The two professional organizations representing management in education agree that informal evaluation methods are not the answer. In the National School Board Association 1982 Leadership Report they indicate that casual, unspecified evaluations of superintendents rarely are effective. A formal, specific and structural evaluation that determines if board goals are being met and if policy is accurately translated into school system practice provides the greatest measure of assurances and understanding between the board and the superintendent. (p. 26) With increasing frequency, school boards are discovering that relying solely on 'ad hoc' evaluations of the superintendent is inadequate. (p. 35)

In the joint publication from the AASA/NSBA (1980) they state:

"The practice of informal, unwritten evaluation of the superintendent's performance prevailed for a long time. As

long as things went well, there seemed little need to let the superintendent know how he was doing. Only when operations failed did it seem necessary to total up the assets and liabilities of the superintendent. The trouble with that practice was that it often occurred too late to correct the initial difficulty. (p. 8)

Boland (1971) reported that the Houston school board fired their superintendent after only two years on the job. Of the areas that the superintendent was formally and publically evaluated, he received 41 superiors, 32 above average, 58 average, 3 unacceptable, and 27 abstentions. A year prior to the superintendent's dismissal the Houston district had been judged "the school district with the greatest educational achievement in the nation". It is readily apparent that some form of informal evaluation had to be in existence in addition to the formal evaluation that was released to the public. It must also be apparent that the informal process carried more authority than the formal process.

If educators took the advice of their professional organizations informal evaluation would be on the decline. In fact, according to Educational Research Service surveys (1985) an increase has occurred in the use of formal evaluation for all administrators. In 1962, they found only 29 percent of the districts used a formal method of evaluation. In 1968, 39.5 percents reported having formal procedures. In 1971 54.5 percent and in 1984, 85.9 percent of all systems with 10,000 or more students reported having a

formal evaluation process for administrators in the district. Unfortunately, these surveys placed all administrators in the same category. No attempt was made by this report to indicate percentages for superintendents only. One would assume that the trend would follow the same pattern for superintendents.

According to Redfern (1980, pp. 9-13) there are seven methods of formal evaluation that are used for evaluating the superintendent. They are:

- Essay Evaluations
- Graphic Rating Scale
- Forced Choice Technique
- Work Standards
- Performance Standards
- Evaluation-by-objectives
- management-by-objectives

Redfern indicates that various forms of checklist have been the most common and widely used form of superintendent evaluation. However, the trend today is toward evaluation based upon pre-determined objectives. (pp. 8-9)

Basically, Redfern's list can be broken down to checklist/rating scale or performance objective. The checklist type of instrument consists of a form that requires the evaluator to check a ranking on a prescribed number of items listed on the form. Someone at the end of the evaluation period fills out the form and gives it to the administrator, who may or may not sit down with the supervisor and go over it. There is no preplanning, and the



evaluation is rarely tied to job descriptions. Often it is tied to a separate set of criteria which frequently have little to do with the job.(p. 63)

According to Booth and Glaub (1978, p. 11) boards that limit superintendent appraisal to a checklist should expect it to serve only as an indicator of basic abilities or as a way to educate board members about the superintendency.

According to the NSBA Leadership Report (1982, p.37) the principal advantages of this process are speed, the opportunity for a wide variety of questions or judgements, identification of areas needing improvement, simplicity, the impersonality of the process, and flexibility. The major weaknesses of the process are its reliance on totally subjective ratings, ambiguity in the meanings of "Good" or "Excellent" and other terms, and the imbalance in the weight or importance of various questions.

The apparent success of Management by Objectives (MBO) in the private sector has encouraged educators to try performance objectives in the public sector. This method requires goals and objectives to be established by the evaluator and the evaluatee. Once these goals and objectives are agreed upon, the evaluatee must strive to meet them by the prescribed time period. Booth and Glaub (1978, p. 11) state that this approach is gaining in popularity because of its orientation toward results and future growth.

In the Educational Research Service Bulletin (1981) Bolton states that successful administrators are goal oriented. They are able to establish good goals and also good

ways to accomplish them. Review and research of evaluation programs in 15 school districts has led Bolton to conclude that management by objectives offers the most flexible workable solutions to administrative evaluation problems.

According to Redfern (1980, p. 1) today many believe superintendent evaluation should be part of a planning process in which the school board has an integral role. Once needs are determined by the school board, mutual school board-superintendent objectives can be established. Using those objectives, superintendent evaluation becomes more than a report on what the superintendent did or did not do. The process also becomes developmental, leading to improvement in programs and performance.

Fowler (1975, p.22) described the performance objective type of evaluation. It is a way to "systematically appraise the performance of the superintendent. Set reasonable goals for the schools and then measure the extent to which the goals are met. These goals should be directed to the heart of your educational program and not to the picayune matters of school administration. Don't, as some boards do, evaluate the superintendent against criteria not included in the agreed upon goals. Insist upon short and long range planning and evaluation".

According to the NSBA Leadership Report (1982, p. 38) the major advantages of using objectives are task orientation, a built in system to alert the board and superintendent any time they are falling behind schedule, ongoing evaluation through regularly scheduled checkpoints, a

high degree of personal involvement for both parties, and specific accountability on a task-by-task basis.

The principal disadvantages of an objective type of evaluation program are the objectives might be accomplished while other items of business are ignored, the reliance on documentation and record keeping, and the danger that the goals will be too vague to translate into specific objectives.

### Summary

The research of the literature has found that superintendent evaluation is being done in various forms across the nation. It appears that the majority of the evaluation is of an informal nature. Every board of education evaluates its superintendent by some method. Whether by a formal or informal method, judgements are made and changes occur. Redfern (1980, p. 71) sums it up best when he states evaluation plays many roles. It is motivational. It is an aid in planning. It is developmental. It aids in communication. And ultimately, effective evaluation helps to assure a good education for students in our nation's schools.



## CHAPTER III

### PRESENTATION AND ANALYSIS OF DATA

This chapter pertains to a presentation and analysis of the data found as a result of this study. The major purpose of the analysis and interpretation of the data was to answer the ten questions relative to the procedures and methods used to evaluate superintendents in the state of Indiana during the 1987-88 school year. These ten questions were presented in chapter 1 of this dissertation, and are repeated below:

1. What percentage of superintendents in the state of Indiana is being formally evaluated by their school boards?
2. What are the superintendents attitudes toward the methods being used by their boards to evaluate them?
3. Would superintendents who are not being formally evaluated be in favor of implementing a formal evaluation program?
4. How does the size of the district, length of tenure of the superintendent, educational attainment of the superintendent, relate to the presence or absence of a formal evaluation program?
5. How has the board/superintendent relationship been influenced because of the evaluation process?

6. Do superintendents feel their board members have sufficient expertise in the area of personnel methodology to evaluate them?

7. If superintendents are being formally evaluated, what type of evaluation system is being used: checklist, MBO, combination checklist/MBO, essay.

8. Is the topic of performance evaluation written into the formal contract between the board and the superintendent?

9. Of the districts that report having a formal procedure, was it initiated at the urging of the board, the superintendent, or a combination of the two?

10. Of the districts that report they are doing formal evaluations, what is the most prevalent area being evaluated? According to Luther Gulick, there are seven functions that are important for administration; planning, organizing, staffing, directing, coordinating, reporting, and budgeting. The researcher will analyze the submitted instruments and determine the three top areas that are being evaluated.

A questionnaire was developed and utilized to secure the data that were used in answering the research questions. The questionnaire was mailed to all 302 public school superintendents in the state of Indiana. In analyzing and reporting the data obtained from the questionnaire, chapter three is divided into ten major sections. Each of the ten sections corresponds to one of the ten questions asked in chapter one and restated in the beginning of chapter three. The partitioning of the chapter into ten sections is followed by subdividing each section into two subdivisions. The first

subdivision reported the data obtained by the questionnaire. The second subdivision analyzed and drew implications from the data.

Two hundred sixty-three out of the 302 superintendents, or 87.08%, responded to the mailed questionnaire. Of the two hundred sixty-three superintendents who responded, not all of the superintendents responded to each and every question on the survey. Therefore each question did not have two hundred sixty-three total responses to report.

Question Number One - What percentage of superintendents in the state of Indiana is being formally evaluated by their school boards?

Of the two hundred sixty-three superintendents who responded, thirty percent, 77, reported that they were formally evaluated, thirty-five percent, (ninety-two), responded that they were evaluated informally, and twenty-five percent, (sixty-six), responded that they were evaluated by the use of a combination of formal and informal procedures. Of the remaining superintendents, nine percent, twenty-four, reported that they were not evaluated and one percent, four, reported that they did not know how they were evaluated. (See Table One)

TABLE ONE  
METHODS UTILIZED TO EVALUATE SUPERINTENDENTS

<u>TYPE OF EVALUATION</u>	<u>NUMBER EVALUATED</u>	<u>PERCENT</u>
FORMAL	77	30
INFORMAL	92	35
BOTH FORMAL/INFORMAL	66	25
NOT EVALUATED	24	9
DON'T KNOW	<u>4</u>	<u>1</u>
	263	100

Implications :

The data indicate that superintendent evaluation is taking place on a widespread basis across the state of Indiana. In analyzing the data to the specific question, it was found that 30% of the superintendents reported that they were evaluated solely by a formal procedure. This finding correlates with the finding of Dittloff's nationwide study in which he reported only 20% of the superintendents nationally were evaluated formally, as reported in Chapter I of this study. If this percentage is added to the 25% who reported that they were evaluated by a method that involved both formal and informal procedures, 55% of the superintendents were evaluated by a means of evaluation that consisted of a formal component. However, 35% reported that the only evaluation of the superintendent in their district was done informally. This percentage could also be added to the 25% that were evaluated by a combination of formal/informal

procedures to indicate that 60% of the superintendents were evaluated by a process that included informal procedures. In addition the remaining 10% of the superintendents who responded either were not evaluated at all (9%) or did not know (1%) whether they were even evaluated at all. These figures would indicate that only 30% of the superintendents across the state of Indiana were guaranteed an evaluation that consisted entirely of formal criteria. Seventy percent of the superintendents were either being evaluated by a process that included informal procedures, or were not being evaluated at all. However, the information was not specific enough to make an exact determination on the degree of formal or informal evaluation that was actually taking place. Some superintendents might have indicated that their evaluation was a combination of both formal and informal, because after the formal data was collected, the board might have gotten together to add their informal comment to the formal process. The exact mix of the formal and informal procedures is an unknown factor.

The data indicate that superintendent evaluation is taking place on a widespread basis across the state, since 90% of the superintendents reported that they were evaluated by some means. But, there still exists a high degree of informal evaluation of superintendents despite professional recommendations to the contrary. There are several options that could be taken to correct this situation.

Superintendents could take a greater initiative to inform their boards of the importance of evaluation for the



improvement of performance. Individual board members need to keep abreast of current trends in evaluation. This can only happen by reading their professional journals or attending conferences that address the topic. The school board state associations could offer more conferences on the topic of evaluation, especially for new board members. Superintendents should also take action to educate themselves and their boards on the importance of having a formal process. Some of the superintendents reported on the survey that the board will let them know if they are dissatisfied, with or without, an evaluation instrument. Others indicated that they are evaluated on a daily basis by all of their constituents. Having a formal process can help to alleviate the importance of these daily evaluations. While these daily evaluations will never be completely eliminated, the presence of a more formal evaluation system will help to focus the attention of all of the concerned parties on the global picture of the entire job and not just one incident.

Question Number Two - What are the superintendents attitudes toward the methods being used to evaluate them?

Of the two hundred forty-two superintendents who responded to this question, seventy-six percent, 184, reported that they were supportive of the procedure used to evaluate them. Sixteen percent, 38 superintendents, reported an indifferent attitude and eight percent, 19 superintendents, reported a negative attitude toward the

procedure used by their board to evaluate them. (See Table Two)

TABLE NUMBER TWO  
SUPERINTENDENT'S ATTITUDES TOWARD EVALUATION

<u>ATTITUDE</u>	<u>NUMBER RESPONDING</u>	<u>PERCENT</u>
SUPPORTIVE	184	76
INDIFFERENT	38	16
NEGATIVE	<u>19</u>	<u>8</u>
242	100	

Implications :

It appears from this research that superintendents across the state of Indiana have a favorable attitude toward the procedures used by their boards to evaluate them. Seventy-six percent, a three to one ratio, of the superintendents support the evaluation procedures, while only eight percent have a negative attitude toward the process. The total number of superintendents, 184, who indicated a supportive attitude toward the evaluation procedure is more than the total number of superintendents who are being evaluated formally (77) as indicated in table number one. This indicates that even superintendents who are evaluated informally are supportive of the process. The data indicate that superintendents are in favor of the methods used by their board to evaluate them. Superintendents in this study seem to be favorable toward being evaluated, regardless of whether it is formal or informal or both. It indicates that any type of evaluation is supported by the superintendents.

What these superintendents might be indicating is that the communication that is inherent in the evaluation process is the critical component of the entire process. It suggests that superintendents want to be told if they are doing a good job and also when they are in need of improvement. These data imply superintendents in general would rather be evaluated than not evaluated.

Question Number Three - Would superintendents who are not being formally evaluated be in favor of implementing a formal evaluation program?

As indicated in Table One, one hundred eighty-six superintendents were not being evaluated using a formal procedure. Of the one hundred eighty-six, one hundred eleven superintendents, 60 percent, responded to this question. Sixty-four percent, of those one hundred eighty-six superintendents, indicated that they saw a need to implement a formal process. Forty-two superintendents (36%) reported that they did not see a need to develop a formal process. (See Table Three)

TABLE NUMBER THREE  
 PERCEPTIONS OF INFORMALLY EVALUATED SUPERINTENDENTS  
 TOWARD THE FORMAL EVALUATION PROCESS

<u>NEED TO DEVELOP FORMAL PROCESS</u>	<u>NUMBER</u>	<u>PERCENT</u>
YES	76	64
NO	<u>42</u>	<u>36</u>
	118	100

Implications :

Sixty-four percent of the superintendents who were not formally evaluated felt a need to develop a formal procedure for their boards to evaluate them. This figure represents a two to one ratio of the superintendents who were not evaluated. Even though, in question number two, superintendents showed support for any type of evaluation, these data suggest that a majority of the superintendents not being formally evaluated, and responding to this question, would like to be evaluated through a more formal program. This would mean that many superintendents may not be satisfied with their present evaluation situation, especially if it lacks a formal component, but are supportive of the evaluation process in general. The data from this question and question number two mean that superintendents favor any type of evaluation, but may prefer a formal evaluation procedure.

Question Number Four - How has the board/superintendent relationship been influenced because of the evaluation process?

Of the two hundred twenty-eight superintendents who responded to this question, sixty-two percent, 141 superintendents, reported that they felt their relationship with their board had been strengthened due to the evaluation process. Only three percent, six superintendents, felt that the evaluation process had hindered their relationship. The remaining thirty-five percent, 81 superintendents, indicated that there was no change in their relationship with their board due to the evaluation process.

TABLE NUMBER FOUR

EFFECT OF EVALUATION ON BOARD/SUPERINTENDENT RELATIONSHIP

<u>EFFECT</u>	<u>NUMBER</u>	<u>PERCENT</u>
STRENGTHENED	141	62
HINDERED	6	3
NO CHANGE	<u>81</u>	<u>35</u>
	228	100

Implications :

The data from this question signify that superintendents believe that the evaluation process has strengthened the board/superintendent relationship. Only three percent of the superintendents felt that the evaluation process had a hindrance in their relationship with their board. The

remaining ninety-seven percent of the superintendents, who responded to this question, reported either no change or a positive effect in their relationship with their board due to the evaluation process. Since boards of education were not included in this survey, one can only speculate that the board/superintendent relationship would also be strengthened from their viewpoint.

From these data it would appear that one of the benefits of the evaluation process for superintendents would be a better relationship with their respective boards. The enhancement of the board/superintendent relationship as a by-product of the evaluation process most likely stems from the lines of communication that have been opened by discussing the superintendent's performance. Whether the evaluation is positive or negative, both sides know where the other side stands and what is expected. In addition both sides have a chance to air any grievances that have accumulated throughout the evaluation period. This is a healthy scenario that should only improve the morale of both parties. One other factor that could lead to this positive relationship from the evaluation process is that the board must collectively derive an evaluation of the superintendent. There is less likelihood for individual board members to carry their "tunnel vision" special projects to the evaluation procedure. On the other hand, if no evaluation program exists, the superintendent is vulnerable to the lack of attention that was given to the individual board member's special task.

Question Number Five - If superintendents are being formally evaluated, what type of evaluation system is being used: checklist, MBO, combination checklist/MBO, essay?

As shown in Table One, one hundred forty-three superintendents responded to this question. Of the total, thirty-six percent, 51, indicated they were evaluated by use of a rating scale, eight percent, eleven, by evaluation by objectives, thirteen percent, nineteen superintendents, by blank narrative/essay appraisal, and thirty-nine percent, 56 of the superintendents, were evaluated by a combination of the above methods. The remaining four percent, six superintendents, indicated they were evaluated by some other means.

TABLE NUMBER FIVE  
TYPE OF EVALUATION PROCEDURE USED

<u>TYPE</u>	<u>NUMBER</u>	<u>PERCENT</u>
RATING SCALE	51	36
EVALUATION BY OBJECTIVES	11	8
BLANK NARRATIVE/ESSAY	19	13
COMBINATION OF ABOVE	56	39
OTHER	<u>6</u>	<u>4</u>
	143	100

Implications :

The most prevalent formal procedure was a combination of procedures. However, the use of the rating scale by itself was a close second, with only five fewer superintendents indicating it as the procedure used to evaluate them. The surprising statistic from this question is that only eight percent of the superintendents reported being evaluated by using only the evaluation by objectives approach. The researcher thought, after reviewing the literature, that the MBO method would have been the predominant method used across the state. Much was found in the literature on the prevalence of evaluation by objectives. This formal procedure is probably being used in concert with one or more of the other formal procedures by those thirty-nine percent of the respondents who report that they are being evaluated by a combination of procedures. However, with all of the recent attention being given to evaluation by objectives and goal setting, one would have thought this method to be more prevalent. One reason for the lack of use of the objectives method might be the lack of professional expertise on the part of board members to utilize this avenue. The relationship between the board and the superintendent is different from the normal employer/employee relationship in that in this case the employer is not in daily contact with the employee. The board does not serve as a supervisor. At other levels of the school organization, supervisors have a degree of expertise and knowledge about each employee's specific job. Their knowledge of the employee's work and their managerial ability are reasons that they were hired for



their positions. These supervisors advise and instruct their employees on how to perform their work. Individual board members are not expected to possess any particular management skills or even knowledge of such. Because board members come from many different walks of life, it is impractical to assume that that they come to their positions with any understanding of management or, in particular, school management.

This absence of the objectives approach could be influenced by superintendents believing that their boards lack the sophistication necessary to use such an approach. It also could stem from a lack of trust on the part of the superintendents for their boards to really understand the objectives approach.

Question Number Six - Do superintendents feel their board members have sufficient expertise in the area of personnel methodology to evaluate them?

Two hundred fifty-six superintendents responded to this question. Of that total, fifty-seven percent, 147 superintendents, indicated they did not feel their boards possessed sufficient expertise in personnel methodology to evaluate them. Forty-three percent, 109 superintendents, indicated that they felt their board did have the expertise necessary to evaluate them. (See Table Six)

TABLE NUMBER SIX

DO SUPERINTENDENTS BELIEVE THEIR BOARD HAS ENOUGH EXPERTISE  
IN PERSONNEL METHODOLOGY TO EVALUATE SUPERINTENDENT

<u>SUFFICIENT EXPERTISE</u>	<u>NUMBER</u>	<u>PERCENT</u>
YES	109	43
NO	<u>147</u>	<u>57</u>
	256	100

Implications :

Fifty-seven percent, 147 superintendents, felt their boards did not have the expertise to evaluate them. While forty-three percent, 109, felt their boards did have this expertise. The most frightening part of the evaluation process is being evaluated by a board who doesn't understand evaluation. Perhaps both the boards and superintendents feel more comfort in using a rating scale, than using the subjective approach of MBO. This data suggests that board members should have training in the area of how to conduct an evaluation. This topic needs to be addressed by the professional organizations that represent school boards because if superintendents try to tackle this issue on their own, some boards might suspect the superintendent of providing an in-service on evaluation that would automatically make the superintendent look superlative. If the professional organizations don't provide this service, the next alternative would be to bring in an outside consultant, perhaps from the university level to lead the board through the process.

Question Number Seven - Is the topic of performance evaluation written into the formal contract between the board and the superintendent?

Of the two hundred sixty-three superintendents who responded to this question, twenty-one percent, 56, reported that the topic of evaluation was in their written contract. While seventy-nine percent, 207 superintendents, reported that it was not a part of their contract with the board.

TABLE NUMBER SEVEN

TOPIC OF EVALUATION INCLUDED IN CONTRACT

<u>INCLUDED</u>	<u>NUMBER</u>	<u>PERCENT</u>
YES	56	21
NO	<u>207</u>	<u>79</u>
	263	100

Implications :

The data to this question represent that a vast majority of the superintendents across the state of Indiana do not have the topic of performance evaluation mentioned in their formal contract with the board. This is the case even though the professional organizations are all advocating that the

superintendents's evaluation be a part of the contract. One can only speculate that the reasons it is not included in the contract might be a part of ignorance on the part of the superintendent who does not realize this topic should be addressed at the time he/she is taking the job. This is the best time to address the topic of evaluation because the feeling of trust between the board and the superintendent will never be greater. As the new superintendent accepts the initial contract, he/she is the board's chosen one. This is the "honeymoon period" when the topic of evaluation could be brought up in an atmosphere of cooperative improvement of performance for the good of the entire school district.

Another reason that the topic of evaluation might be excluded from the contract is that this item might have a tendency to get lost in the sea of other details that are being hammered out in coming to an agreement on the contract. With so many other items to think about, this topic might seem as insignificant. One other reason why this topic might be excluded from the contract is the reluctance of either party to even mention it at the onset. Both sides are coming to terms with one another on good faith. Perhaps it is thought that the mentioning of this topic might start the relationship off on the wrong foot with a feeling of mistrust entering the arena. Whatever the reasons, professional organizations need to do a better job of informing their membership of the importance of this topic in the superintendent's contract.

Question Number Eight - Of the districts that report having a formal procedure, was it initiated at the urging of the board, the superintendent, or a combination of the two?

Of the two hundred nine superintendents who responded to this question, forty-five percent, 94, reported that the superintendent initiated the evaluation process, eight percent, sixteen superintendents, reported it was initiated by the board, and thirty-four percent, 72 respondents, reported it was initiated by a combination of board/superintendent impetus. The remaining thirteen percent, 27 superintendents, did not know how the process was started in their districts.

TABLE NUMBER EIGHT

INITIATOR OF SUPERINTENDENT EVALUATION PROGRAM

<u>INITIATOR</u>	<u>NUMBER</u>	<u>PERCENT</u>
SUPERINTENDENT	94	45
BOARD	16	8
COMBINATION SUPT/BOARD	72	34
DON'T KNOW	<u>27</u>	<u>13</u>
	209	100

Implications :

The data from this question suggest that the superintendent is instrumental in the development of an evaluation program for the chief executive officer of the

school system. In almost half of the cases (45%) the superintendent initiated the implementation of the evaluation process. It is safe to say that if the superintendent had not taken this initiative in these districts, the process would have never been implemented. In addition, thirty-four percent of the respondents indicated that the process was jointly initiated by the board and the superintendent. Even in this case, the superintendent was an integral part of the success of the program. Only eight percent of the respondents indicated that their program was initiated by the board. These data suggest that if a superintendent evaluation program is going to exist in a district, it will most likely be the responsibility of the superintendent to initiate the program. These data lend credence to previous statements made in this research concerning the responsibility of the school board's professional organizations to educate their membership not only on the importance of having an evaluation program, but also on the intricacies of conducting the formal process. If boards of education felt more comfortable with the process, they would be more likely to initiate the program.

However, in districts where the superintendent evaluation program is initiated by the superintendent, steps should be taken to insure that the board is included in the preparation of the instrument itself. It is human nature for an individual to want to look good to his/her superiors. A superintendent might be tempted to include on the instrument only areas where he/she could excel. The process could turn

into a survival tactic that the superintendent prepares just to provide safety to the longevity of his/her career.

Question Number Nine - How does the size of the district, length of tenure of the superintendent, educational attainment of the superintendent, relate to the presence or absence of a formal evaluation program?

This question will be broken down into three parts, with each part dealing with the specific variable that is being researched. The variables will be listed exactly as they appear in the question: size of the district, length of tenure, and educational attainment. A statistical analysis of all three parts of the question will be conducted using the chi square formula to prove or disprove the hypothesis. Chi square tests furnish a conclusion on whether a set of observed frequencies differs so greatly from a set of expected frequencies that the hypothesis under which the expected frequencies was derived should be rejected. A null hypothesis will be set up for each of the three parts. The null hypothesis will be tested at the .05 level, which means that there is a five percent possibility of making a mistake if the null hypothesis were true. A design was set up so that the null hypothesis would not be rejected unless it had a small probability of being true. If the number indicated from chi square is more than the critical number of 12.592 from the chi square table, the null hypothesis will be rejected.

Of the two hundred sixty-three superintendents who responded to the questionnaire, fourteen percent, (37), were from districts with a student population of under 1000. Of these thirty-seven, nineteen percent reported that they were evaluated formally. Seventy-one percent, (154), were from districts with a student population of 1000 to 4999. Of this amount thirty percent reported that they were formally evaluated. Fifteen percent, (39), were from districts that had a student enrollment of 5000 or above. Of these thirty-nine, fifty-two percent reported that they were formally evaluated.

TABLE NUMBER NINE - A

RELATIONSHIP OF SIZE OF DISTRICT TO FORMAL EVALUATION

TYPE OF EVALUATION	SIZE OF DISTRICT					
	0 - 999		1000 - 4999		5000+	
	#	%	#	%	#	%
FORMAL	7	19	56	30	20	52
INFORMAL	20	55	71	38	6	18
BOTH FORMAL/INFORMAL	5	13	58	31	9	27
DON'T KNOW	0	0	2	1	0	0
NOT EVALUATED	<u>5</u>	<u>13</u>	<u>0</u>	<u>0</u>	<u>1</u>	<u>3</u>
	37	100	154	100	39	100



A STATISTICAL ANALYSIS OF DATA IN TERMS OF SCHOOL SIZE-CHI SQUARE

Null hypothesis: The type of evaluation used by a school system is independent of the size of the school.

The null hypothesis will be tested at the .05 level.

TABLE NINE - B

Actual Distribution of Types of Evaluation

Enrollment	Type of Evaluation				Total
	Formal	Informal	Both	None	
0 - 999	7	20	5	5	37
1000 - 4999	56	71	58	0	185
5000 or more	<u>20</u>	<u>6</u>	<u>9</u>	<u>1</u>	<u>36</u>
Totals	83	97	72	6	258

TABLE NINE - C

EXPECTED DISTRIBUTION OF TYPES OF EVALUATION

Enrollment	Type of Evaluation				Total
	Formal	Informal	Both	None	
0 - 999	11.9	13.9	10.3	.9	37
1000 - 4999	59.5	69.6	51.6	4.3	185
5000 or more	<u>11.6</u>	<u>13.5</u>	<u>10.1</u>	<u>.8</u>	<u>36</u>
Totals	83	97	72	6	258

Using the data from Tables Nine - B and Nine - C,  $\chi^2 = 41.8467$ , since this number is larger than the critical number of 12.592 the null hypothesis must be rejected. The expected frequencies were calculated using the usual  $f = \frac{(\text{sum row } i)(\text{sum column } i)}{\text{grand total}}$ .

Implications :

There appears to be a direct correlation between the size of the district and the amount of formal evaluation that takes place. The larger the district, the more likelihood that a formal evaluation program was in place. This is documented by the fact that the lowest percentage of formal evaluation and the highest percentage of informal evaluation was present in the smallest districts. Conversely the highest percentage of formal evaluation and the lowest percentage of informal evaluation was present in the largest districts. Also, the highest percentage of non-evaluation takes place in the smallest districts. This conclusion is also confirmed by the rejection of the null hypothesis in Table Nine - C of the statistical analysis, which affirms that there is a direct relationship between the size of the district and the amount of formal evaluation that was being used.

An implication of the findings relative to size of the district in relationship to evaluation programs is that smaller school districts perceive that they do not need formal evaluation programs. The boards of smaller districts are apt to be more knowledgeable about more of the staffing, programming and curricular offerings than a board from a larger district. This is due to the fact that the professional staff in these smaller districts probably totals fifty to sixty people. The board members might know the vast majority of the staff on a first name basis. In addition the smaller districts are less likely to have the vast curricular

offerings of the larger school districts. Therefore the board members would have more knowledge about what is actually happening in their schools. This familiarity with staffing and programming could lead to the informal nature of the process used to evaluate the superintendent. In addition, in the smaller districts, there is a likelihood that there are no other professional central office staff members to share in the responsibility of running the schools. In districts this size there may not be a need for assistant superintendents in charge of personnel, curriculum, or finance. Therefore the chain of command falls directly on the desk of the superintendent and boards might feel that because of this one person operation there is less need for a formal evaluation process. Superintendents and school boards from the smaller districts should make a special effort to become aware of the advantages and disadvantages of the evaluation program for superintendents. If both parties were making conscious decisions on evaluation, more of the districts would be involved with evaluation.

Concerning experience as a superintendent, of the two hundred sixty-three superintendents who responded to the questionnaire, eighty reported that they had five years or less of superintendency experience. Of these eighty, thirty percent reported being formally evaluated. One hundred thirty-seven of the superintendents indicated they had from six to fifteen years of experience as a superintendent. Of this number, thirty-five percent reported having a formal evaluation procedure in operation. Forty-five superintendents

reported having sixteen or more years of superintendent's experience. Of this number, twenty-one percent reported a formal procedure in their district.

TABLE NUMBER NINE - D

RELATIONSHIP OF EXPERIENCE AS SUPERINTENDENT TO FORMAL EVALUATION

TYPE OF EVALUATION	NUMBER OF YEARS AS A SUPERINTENDENT					
	0 - 5		6 - 15		16+	
	#	%	#	%	#	%
FORMAL	24	30	48	35	10	21
INFORMAL	30	38	41	30	18	41
FORMAL/INFORMAL	20	25	37	27	8	18
DON'T KNOW	1	1	0	0	1	2
NOT EVALUATED	<u>5</u>	<u>6</u>	<u>11</u>	<u>8</u>	<u>8</u>	<u>18</u>
	80	100	137	100	45	100

A STATISTICAL ANALYSIS OF DATA IN TERMS OF EXPERIENCE - CHI SQUARE

Null hypothesis: The type of evaluation used by a school system is independent of the experience of the superintendent. The null hypothesis was tested at the .05 level.

TABLE NINE - E  
ACTUAL DISTRIBUTION OF TYPES OF EVALUATION

Experience in Years	Type of Evaluation				Total
	Formal	Informal	Both	None	
0 - 5	24	30	20	5	79
6 - 15	48	41	37	11	137
16 or more	<u>10</u>	<u>16</u>	<u>8</u>	<u>8</u>	<u>44</u>
Totals	82	89	65	24	260

TABLE NINE - F  
EXPECTED DISTRIBUTION OF TYPES OF EVALUATION

Experience in Years	Type of Evaluation				Total
	Formal	Informal	Both	None	
0 - 5	24.9	27.0	19.8	7.3	79
6 - 15	43.2	46.9	34.3	12.6	137
16 or more	<u>13.9</u>	<u>15.1</u>	<u>10.9</u>	<u>4.1</u>	<u>44</u>
Totals	82	89	65	24	260

Using the data from Tables NINE - E AND NINE - F,  $\chi^2 = 8.91632$ , since this number is smaller than the critical number of 12.592 the null hypothesis cannot be rejected. The expected frequencies were calculated using the usual  $f = [(\text{sum row } i)(\text{sum column } j)]/\text{grand total}$ .

Implications :

The raw numbers of the data appear to support this premise, but the statistical data do not confirm the null

hypothesis. Only twenty-one percent of the superintendents who reported having sixteen or more years of experience indicated that they were formally evaluated. Forty-one percent of the group reported having an informal process in place, and eighteen percent indicated that they were not being evaluated. This is also confirmed by the statistical data obtained from Table Nine - F, where we find the null hypothesis can not be rejected. This means that the type of evaluation used by a school system is independent of the experience of the superintendent.

This lack of evaluation for more experienced superintendents could be due to the fact that these individuals have survived the test of time in their positions and do not feel that they need the benefits of a formal evaluation program. It could also be that the superintendents with the most experience are also the ones who have been away from their own individual graduate programs the longest and the benefits of evaluation that were espoused in the graduate programs have all been tarnished by doses of realism. Or perhaps the graduate programs that are producing the newer superintendents are stressing the importance of evaluation more as they prepare their students for the role of the superintendency. Another assumption that could be made is that these more experienced superintendents are a part of the old guard, who have existed in their present assignment, in a small school system, for an extended period of time and have never taken the initiative to implement the evaluation process. This can be typified by

the comments of one of the superintendents who remarked on the survey "I am about to complete my thirty-ninth year in education, the last twenty years as a superintendent in the ... School System. I am sorry to report that I have never been evaluated officially, or unofficially to my knowledge, during that thirty-nine years".

Another assumption that can be made is that the superintendents who are younger and less experienced to the superintendency have started their tenure during the era of accountability that has been so prevalent in the last few years in management. They have matured with the accountability concept through their careers and expect that evaluation will continue even as they assume the top management position.

Concerning the education of the superintendent, fifty-five superintendents indicated they had a masters degree plus additional hours of graduate credit. Of these fifty-five, twenty-two percent reported that they were formally evaluated. One hundred three superintendents reported that they had a specialist degree. Of this amount, thirty percent reported that they were formally evaluated. One hundred five superintendents answered that they had a doctorate degree. Thirty-nine percent of these superintendents reported that they were formally evaluated.

TABLE NUMBER NINE - G

RELATIONSHIP OF EDUCATION OF THE SUPERINTENDENT TO FORMAL EVALUATION

TYPE OF EVALUATION	DEGREE OF SUPERINTENDENT					
	M.S.+		ED.S.		ED.D./PH.D.	
	#	%	#	%	#	%
FORMAL	12	22	31	30	39	37
INFORMAL	24	43	34	33	34	32
BOTH FORMAL/INFORMAL	8	15	29	28	28	27
NOT EVALUATED	<u>11</u>	<u>20</u>	<u>9</u>	<u>9</u>	<u>4</u>	<u>4</u>
	55	100	103	100	105	100

A STATISTICAL ANALYSIS OF DATA IN TERMS OF EDUCATION - CHI SQUARE

Null hypothesis: The type of evaluation used by a school system is independent of the education of the superintendent. The null hypothesis will be tested at the .05 level.

TABLE NINE - H

ACTUAL DISTRIBUTION OF TYPES OF EVALUATION

EDUCATION	TYPE OF EVALUATION				TOTAL
	FORMAL	INFORMAL	BOTH	NONE	
MS+ or MA+	12	24	8	11	55
Ed.S.	31	34	29	9	103
Ed.D.or Ph.D.	<u>39</u>	<u>34</u>	<u>28</u>	<u>4</u>	<u>105</u>
Totals	82	92	65	24	263



TABLE NINE - I

## EXPECTED DISTRIBUTION OF TYPES OF EVALUATION

EDUCATION	TYPE OF EVALUATION				TOTAL
	FORMAL	INFORMAL	BOTH	NONE	
MS+ or MA+	17.1	19.3	13.6	5.0	55
Ed.S.	32.1	36.0	25.5	9.4	103
Ed.D. or Ph.D	<u>32.8</u>	<u>36.7</u>	<u>25.9</u>	<u>9.6</u>	<u>105</u>
Totals	82	92	65	24	263

Using the data from Tables Nine - H and Nine - I,  $\chi^2 = 17.6252$ , since this number is larger than the critical number of 12.592 the null hypothesis must be rejected. The expected frequencies were calculated using the usual  $f = [(sum\ row\ i)(sum\ column\ i)]/grand\ total$ .

Implications :

By analyzing the data secured from this question, the conclusion can be reached that there is a direct correlation between the amount of education the superintendent has and the existence of a formal evaluation program. This conclusion is confirmed by the rejection of the null hypothesis found in the statistical Table Nine - I. Since the null hypothesis is rejected, it means that the evaluation used by a school system is related to the education of the superintendent.

The superintendents who have the least amount of educational preparation are the ones who have reported the least amount of formal evaluation. In fact, the superintendents who have the least amount of education are

also the ones who reported the highest percentage of non formal evaluation occurring. This can be a direct result in the change of professional preparation programs for school administrators. Most professional preparation programs in recent years have reflected the change that has taken place in management related to accountability and evaluation in general. Superintendents who have newly-acquired positions are direct reflections of these new programs. This would suggest that the professional organizations, both at the state and national level, need to do a better job of disseminating information on the importance of superintendent evaluation to both the superintendents and school boards. Successful programs that are already in place should be modeled for school districts that do not have evaluation programs in operation. New superintendent and new board member workshops should be conducted by the respective state organizations to provide the necessary information for the establishment of a superintendent evaluation process.

Question Number Ten - Of the districts that report they are doing formal evaluations, what administrative functions are being evaluated? According to Luther Gulick (1937), there are seven functions that are important for administration: planning, organizing, staffing, directing, coordinating, reporting, and budgeting. Gulick's list was chosen because it has long been mentioned as a classic in the area of administration. The researcher analyzed the submitted instruments and determine the top three areas that are being

evaluated.

There were two hundred sixty-three superintendents who responded to the questionnaire. Sixty-six, of the seventy-seven who reported they were formally evaluated, returned formal evaluation instruments. The instruments were evaluated by listing the major headings of each of the sections that the instrument evaluated. A tally was kept of all the functions that were mentioned. (See Table Twelve)

TABLE NUMBER TWELVE

A LISTING OF THE AREAS INCLUDED IN EVALUATION  
INSTRUMENTS

FUNCTION OF ADMINISTRATION	NUMBER
PLANNING	21
ORGANIZING	24
STAFFING	40
DIRECTING	3
COORDINATING	4
REPORTING	28
BUDGETING	37

Implications :

In analyzing the instruments that were submitted, the most frequently occurring functions were staffing, budgeting, and reporting. These three were followed closely by organizing and planning. In addition, some areas that did not fall easily into the seven function espoused by Gulick

were personal qualities (46), educational leadership (45), relationship with board (36), community relations (35). By including these additional items in the research, the data changes to reflect personal qualities, educational leadership, and staffing as the top three areas mentioned.

These top three functions from Gulick's list appear to be areas that boards of education would be more familiar in evaluating. This is not to say that the three areas are not important. However these areas are three of the more visible, or high profile, areas of a superintendent. The other areas are more of the "nuts and bolts" of administration and might tend to be more nebulous for boards of education to evaluate.

Staffing was the most frequently listed function to be included on evaluation instruments. It appeared on forty of the instruments. One can easily see the importance of staffing in the administration of a school district. However, the researcher was surprised to see that staffing was the most often mentioned. Perhaps it is because staffing is just such a visible part of the superintendent's role. Almost every board meeting there is some type of staffing decision that is being recommended to the board. This function could include written employment policies, job descriptions, evaluation of employees, recruitment and selection, training and development, compensation, collective bargaining and contract administration. Since schools are generally regarded to be in the people business, it is not surprising that staffing would be one of the most popular items. In addition, this item probably takes up quite a bit of the board's time,

so it would be paramount in their eyes. Also, most board members probably feel more comfortable evaluating staffing as a function, because it is one of the more familiar items to be evaluated. Every organization a board member has ever been a part of has had some form of staffing associated with it. Therefore the individual board members are most likely bringing more knowledge with them in this area than they might expect to have in some of the other areas.

The second most mentioned area from Gulick's list of administrative functions was budgeting. Once again the inclusion of this area is quite understandable when one considers how much time and energy is spent by the board and superintendent in preparing and adopting the budget. Each superintendent must provide the school board with information that is adequate to make sound financial decisions and to maintain a balanced budget. The budgeting process is of paramount importance to the entire operation of the school district as well as the school community. The superintendent must develop the revenue sources for the board, develop a budget to accommodate program priorities, must implement accounting and control procedures, develop sound purchasing practices, and must initiate long-range budget forecasting. All of these areas of budget development eventually impact the tax structure of the community which has a direct effect on every constituent in the school community. This area is probably the most watched area of all of the management functions of the superintendents. Board members are elected or re-elected; superintendents retained or dismissed over

community dissatisfaction with the tax rate. Therefore this area of responsibility is not surprising to have been one of the most mentioned areas on the evaluation instrument.

The third most often mentioned function of administration was reporting. It is quite obvious that boards of education are concerned about the reporting function of the superintendent's role. Reporting is an important component of any successful superintendent. The superintendent must communicate with the board, staff, students, parents, community, media, legislators, state department representatives and any other constituent that emerges. The superintendent is the spokesperson for the local school district. Both the written and spoken communications that come from the superintendent's office set the tone for the entire district. However, one would think that one of the other functions of administration would be more important. Perhaps this area is included so often because it is an area that is easier to evaluate and it has an impact on all of the other functions. One can not be a successful administrator in today's society without being an effective communicator. It also could receive major importance from boards because the communication they receive from the superintendent is the major information that keeps them informed about the happenings in the district.

What was surprising were the items that were mentioned that were not included on the list generated by Gulick. Personal qualities, educational leadership, relationships with the board, and community relations were all heavily

mentioned items.

Of all the items mentioned, personal qualities received the most attention, being mentioned on forty-six of the sixty-six instruments studied. The inclusion of this item seems to confuse one of the primary purposes of evaluation, that being a measurement of performance. The inclusion of personal qualities on an evaluation instrument measures traits rather than performance. However, when one analyzes the role of the superintendent as the chief representative of the school system in the eyes of the community, one can understand why a board of education would be concerned about personal qualities. How a superintendent dresses, grooms, behaves in public, all seem like trivial items. However, a superintendent who dresses in an inappropriate manner is just as vulnerable to job insecurity as is the ineffective instructional leader. But should a superintendent be subjected to evaluation that scrutinizes the friends he/she associates with, the type and color of his/her car, the behavior of his/her children? A professional's career is on the line with the evaluation process. The inclusion of personal qualities should not be included on the evaluation instrument. The evaluation process should be limited to measurable educational criteria, and not someone's perception of a superintendent's traits.

Educational leadership was the second most mentioned function that was listed on the instruments. Whenever individuals come together in a group to work out common problems or to plan for their own improvement, leadership is

needed. The group can be formal or informal, it doesn't matter. For the group to be effective, the members of the group must do certain things. The individuals find themselves responsible for carrying out certain acts. When the individuals do not perform the acts for which they have become responsible, the group breaks down and the purposes for which the group are created are never reached. Someone in the group must take on the charge of leading the group. This person is responsible for seeing to it that the group moves forward in an orderly fashion. This is another area that could be considered easier for the board to evaluate. Each board member expects the superintendent to be the leader of the school district. They all have an image of what this leader should be doing to better the district. This so-called knowledge comes from their own background of working with individuals who they felt were effective leaders.

The next most mentioned item was the relationship with the board. It is easy to understand why this item does not make many management function lists. Yet, let any superintendent fail in his/her relationship with the board and it will serve notice that it is time for the superintendent to move. The board/superintendent relationship is a critical element of any successful superintendent. When a board and a superintendent part company, the reason is more often a breakdown in communication than a lack of results. In fact this might be the most important of all of the areas of superintendent evaluation. If the evaluation is done properly



it should serve to enhance the board/superintendent relationship. Because for an evaluation to be effective it requires an open atmosphere. One that has a mutual respect for both the evaluator and the evaluatee. To facilitate a good evaluation program one must have good communication. Good communication also is a key to improving board/superintendent relationships.

The last area that received considerable mention on a majority of the instruments was community relations. Once again, this is an area that is vital to the success of any superintendent. Much of the work in this area could be labeled ceremonial in nature. Superintendents must be visible in their respective communities. Most superintendents join one, if not more, of the local service clubs that are established in the community. In addition, the school community is usually represented in the local chamber of commerce by the school superintendent. But these service organization/openhouse appearance-type activities merely scratch the surface of community relations. The superintendent must learn the "politics" of the community and nurture grass-root support if he/she wishes to be successful. Once the community loses confidence in their educational leader, it is just a matter of time before the school board will also lose confidence in their chosen one.

From this research it can be concluded that a superintendent evaluation program cannot be formulated from a typical school administration textbook. The responsibilities of the superintendent vary drastically from the

responsibilities of any other educational administrators. The research implies that the areas that should be included in a superintendent evaluation program are educational leadership, board/superintendent relationships, personnel, and fiscal accountability. With the inclusion of these items on a superintendent evaluation program, the superintendent and the board can be confident of including items that are of major importance to the success of the superintendent and to the success of the school district. Granted, there might be some overlap in these four areas with the seven listed by Gulick. Obviously staffing and personnel mean the same thing, as do budgeting and fiscal accountability. All of these functions are attempting to measure the same areas. However educational leadership is an all-encompassing term that could include Gulick's areas of planning, organizing, directing, coordinating, and reporting. The major area that the study identified for inclusion in an evaluation instrument for superintendents that is not mentioned in Gulick's or, for that matter, in any typical administrative listing is board/superintendent relationship. Perhaps this is the most vital of all the areas that need to be included in an evaluation program for the superintendent.

#### Chapter Summary

In this chapter a summary of the data that was discovered by the survey was reported and implications of the data were conveyed. In Chapter IV the reader will find a summary of the findings, global conclusions, and

recommendations for further study.

## CHAPTER IV

### SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Chapter four is divided into three parts. A summary of the findings is reported in the first part. Conclusions are reported in the second part and the last part consists of recommendations for further study.

#### Summary

The purpose of this study was to investigate the amount of formal evaluation of public school superintendents in the state of Indiana. The study consisted of a survey of all 302 public school districts in the state of Indiana. The survey instrument proved to be an effective tool for soliciting information, since two hundred sixty-three superintendents (87.08%) responded to the one time mailing. Ten research questions were presented for consideration in this study.

In this part, the ten questions which were posed by this research will be summarized according to the findings of the data received.

1. Superintendent evaluation is taking place across the state of Indiana on a formal and informal basis.
2. Superintendents have a favorable attitude toward the procedures used by their board to evaluate them.

3. Superintendents who are not formally evaluated were in favor of implementing a more formal procedure.
4. Superintendents believe that the evaluation process strengthens their relationship with their board.
5. The most frequently used method of formally evaluating the superintendent is one that consists of a combination of rating scale, objectives, and/or a blank narrative.
6. The majority of superintendents across the state of Indiana do not have the topic of performance evaluation included in their contract with their board.
7. The superintendent is instrumental in the development and implementation of a formal superintendent evaluation program.
8. There is a positive relationship between the size of the district, the educational attainment of the superintendent, the years of experience of the superintendent and the existence of a formal superintendent evaluation program.
9. Superintendents do not feel their boards have the expertise in personnel methodology to evaluate them.
10. The most frequently mentioned items on the evaluation instruments that were submitted were: personal qualities, educational leadership, and relationship with the board.

### Conclusions

The following conclusions were based upon the findings of the study:

1. Formal evaluation of public school superintendents is not predominant in the state of Indiana. Less than half of the

superintendents are being evaluated using a formal process exclusively. Only thirty percent of the superintendents reported that they were evaluated exclusively by a formal method. This indicates that seventy percent of the superintendents in the state of Indiana are using either formal and informal, only informal, or not being evaluated at all.

2. Superintendents believe that the evaluation process strengthens their relationship with their board. Yet, the majority of superintendents do not think their boards have the understanding to evaluate effectively. Only three percent of the superintendents indicated the the evaluation process hindered there relationship with the board. Sixty-two percent thought the evaluation process strengthened their relationship, regardless of the type of evaluation that was taking place. This would indicate that the communication that is inherent in any evaluation program is seen as a positive side effect of evaluation.

However, superintendents do not believe that their respective boards of education have enough training in the evaluation process to really understand the process.

3. In general, the larger the school district, and the higher the educational attainment of the superintendent, the more likely the existence of a formal evaluation of the superintendent. Superintendents who had doctorate degrees and worked in school districts with enrollments of 5000 students or greater were more likely to have been formally evaluated.

4. Formal evaluation instruments used to evaluate

superintendents in the state of Indiana contained items which evaluated personal qualities, educational leadership, and relationship with the board as the predominant areas of evaluation.

#### Recommendations Regarding the Data From the Study

1. In-service activities in superintendent evaluation need to be developed by professional organizations for board members.
2. Graduate programs in educational administration should stress the importance of superintendent evaluation.
3. Formal evaluation of the superintendent should take place on an annual basis and should be discussed with the superintendent in an executive session. The superintendent should receive a copy of the evaluation.
4. The professional superintendent's association needs to in-service superintendents in smaller districts on the topic of superintendent evaluation.
5. A model evaluation instrument should be presented to all school boards in the state to serve as a spring-board for the development of an instrument in their own district.

#### Recommendations For Future Study

1. A follow-up study should be conducted in three years to see if the legislative mandate for superintendent evaluation in the 1988-89 school year has any effect on the attitudes of superintendents toward evaluation.

2. Future research should be conducted in the area of formal superintendent evaluation in an effort to better understand the different components that need to be included in an evaluation program for the chief executive officer.

3. A study should be conducted to ascertain the attitudes of board members toward the topic of superintendent evaluation.



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APPENDIX A

Gerald L. Novak  
787 Trenton St.  
Crown Point, Indiana  
46307

February 15, 1988

Dear Colleague:

I am superintendent in the School City of Whiting and am presently enrolled in the doctoral program at Loyola University of Chicago. My research study is being directed by Dr. Max Bailey. My study has also been endorsed by the Executive Committee of the Indiana Association of Public School Superintendents (see enclosed letter). I solicit your cooperation in compiling data for this research.

The study deals with superintendent evaluation in the state of Indiana. It seeks to identify the amount of formal evaluation that is being used statewide, the type of evaluation, the superintendent's attitudes toward the evaluation process, and the impact evaluation has on the board/superintendent relationship.

In order for you to respond to the questionnaire, three terms must be defined:

Formal Evaluation - a written assessment of the superintendent's job performance that is discussed in a conference between the superintendent and the board.

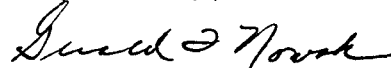
Informal Evaluation - assessment of the superintendent's job performance based on subjective observation with no written documentation.

Performance Objective - An integral part of this type of evaluation is the involvement of the evaluatee with the evaluation. The evaluatee must establish objectives, goals and priorities that he/she intends to reach. He/She is evaluated on how well he/she meets the objectives.

As an administrator, I am cognizant of the demands made upon your time. I hope that you will assist me in this study. A self-addressed, stamped envelope is enclosed for your convenience. All respondents will remain anonymous. Please return the completed questionnaire by March 1, 1988.

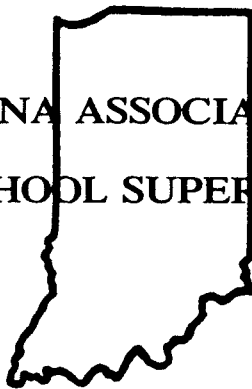
Thank you.

Respectfully,

  
Gerald L. Novak

Enclosure: Questionnaire  
Self-Addressed Envelope  
IAPSS Letter

INDIANA ASSOCIATION OF  
PUBLIC SCHOOL SUPERINTENDENTS



December 18, 1987

Gerald L. Novak, Superintendent  
School City of Whiting  
1433 119th Street  
Whiting, Indiana 46394

Dear Gerald:

The Executive Committee of the Indiana Association of Public School Superintendents, at a meeting on December 2, 1987, officially endorsed your doctoral dissertation. IAPSS believes your dissertation topic pertaining to the evaluation of a superintendent by the local board of school trustees is timely. The passage of House Enrolled Act 1360 by the Indiana General Assembly mandates a program for the evaluation of each public school superintendent in Indiana. The collection of data through your study should provide information which will be beneficial in the process of implementing an evaluation program for superintendents.

IAPSS strongly encourages the public school superintendents in Indiana to complete Superintendent Novak's survey instrument and return it as soon as possible. This important research project warrants a one hundred percent (100%) return.

Sincerely,

A handwritten signature in cursive script that reads "Charles E. Fields".

Charles E. Fields  
IAPSS Executive  
Secretary

CEF/cd



## QUESTIONNAIRE

1. How often does your board evaluate your job performance?
  - annually
  - semi-annually
  - at contract renewal time
  - never
  - other (specify)
  - don't know
  
2. What kind of procedure does your board use for evaluating your job performance?
  - formal (predetermined procedure and/or instrument)
  - informal
  - both formal and informal
  - don't know
  - I am not evaluated
  
3. If you are evaluated formally, which of the following best describes the formal procedure used to evaluate you?
  - rating Scale
  - evaluation by Objectives
  - blank Narrative/essay appraisal
  - combination of above
  - other
  - does not apply
  
4. If you are not formally evaluated, do you see a need to develop a formal process?
  - yes
  - no
  - I am already evaluated formally
  
5. What is your attitude toward the procedure your board uses to evaluate you?
  - supportive
  - indifferent
  - negative
  
6. If you are evaluated by your board, in your opinion, what effect has the evaluation process had on your relationship with your board?
  - strengthened
  - hindered
  - no Change
  - I am not evaluated
  - does not apply
  
7. Is the topic of superintendent evaluation included as a part of your contract with the board?
  - yes
  - no

8. Do you feel your board has sufficient expertise in the area of personnel methodology to evaluate you?

yes  
 no

9. Do you have a formal job description for your position?

yes  
 no

10. If you answered yes to question nine, was the job description used in developing the evaluation system now in use?

yes  
 no  
 does not apply

11. In your opinion, which of the following are the two most important reasons for your board evaluating you? (Select the two most important by placing a one (1) before the most important reason and a two (2) before the second most important reason.)

to determine salary increase for the next year  
 to point out strengths and weaknesses  
 to establish evidence for dismissal  
 to comply with board policy  
 to help you establish performance goals  
 to assess present performance in relation to prescribed standards  
 to determine continued employment  
 other (specify) \_\_\_\_\_  
 don't know

12. Who initiated the implementation of the evaluation process for the superintendent?

superintendent  
 board  
 combination superintendent/board  
 don't know  
 does not apply

13. Do you feel the current superintendent evaluation system is meeting the purpose or purposes for which it was developed?

yes  
 no  
 does not apply

14. Do all other certified employee groups in your district receive a formal evaluation?

yes  
 no

15. What is your sex?

male  
 female

16. What is the highest earned degree that you hold?

- Master's Degree
- Master's Degree plus additional graduate hours
- Specialist Degree
- Doctor of Education/Philosophy
- Other

17. How many total years have you served as a superintendent?

\_\_\_\_\_

18. Please list the size of your district.

- |                                       |   |
|---------------------------------------|---|
| <input type="checkbox"/> under 999    | <input type="checkbox"/> 1000 to 4999   |
| <input type="checkbox"/> 5000 to 9999 | <input type="checkbox"/> 10000 to 14999 |
| <input type="checkbox"/> over 15,000  |   |

\*please return with this questionnaire a copy of the document that is used to evaluate the superintendent

APPROVAL    SHEET

The dissertation submitted by Gerald L. Novak has been read and approved by the following committee:

Dr. Max Bailey, Director  
Associate Professor, Educational Leadership and Policy Studies, Loyola

Dr. Phillip Carlin  
Associate Professor, Educational Leadership and Policy Studies, Loyola

Dr. Howard Smucker  
Assistant Professor, Educational Leadership and Policy Studies, Loyola

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

The dissertation is therefore accepted in partial fulfillment of the requirements for the degree of doctor of education.

October 3, 1988

Date

Max Bailey

Director's Signature