1-1-2003

The evaluation of principals and the improvement of public elementary schools.

Carol Ann Johnson Willis
University of Massachusetts Amherst

THE EVALUATION OF PRINCIPALS AND THE
IMPROVEMENT OF PUBLIC
ELEMENTARY SCHOOLS

A Dissertation Presented

by

CAROL ANN JOHNSON WILLIS

Submitted to the Graduate School of the
University of Massachusetts Amherst in partial fulfillment
of the requirements for the degree of

DOCTOR OF EDUCATION

September 2003

School of Education

THE EVALUATION OF PRINCIPALS AND THE
IMPROVEMENT OF PUBLIC
ELEMENTARY SCHOOLS

A Dissertation Presented

by
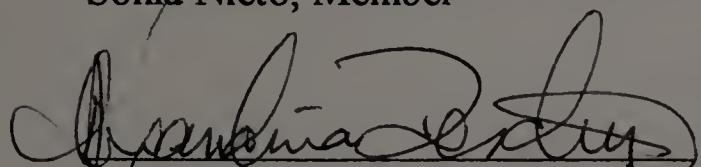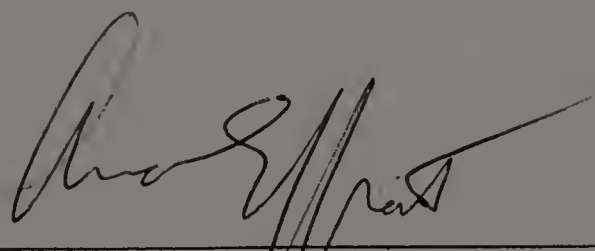
CAROL ANN JOHNSON WILLIS

Approved as to style and content by:

_____
Robert Sinclair, Chair

_____
Sonia Nieto, Member

_____
Alexandrina Deschamps, Member

_____
Andrew Effrat, Dean
School of Education

ACKNOWLEDGMENTS

my mother, for doing whatever she could to help me to complete this program, and my husband Robert, for encouraging me and sacrificing family time and to my daughter Rheaya, for being herself and saying, "I love you, Mommy".

Marian Wright Edelman writes in <u>The Measure of Success,</u> "Don't feel entitled to anything you don't sweat or struggle for." I am entitled.
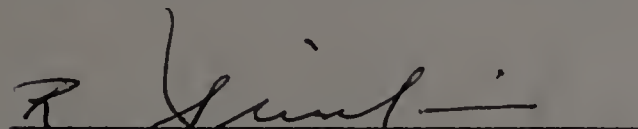
ABSTRACT

THE EVALUATION OF PRINCIPALS AND THE
IMPROVEMENT OF PUBLIC
ELEMENTARY SCHOOLS

SEPTEMBER 2003

CAROL ANN JOHNSON WILLIS, B.S., UNIVERSITY OF MASSACHUSETTS
AMHERST

M.S.Ed., BANK STREET COLLEGE

Ed.D., UNIVERSITY OF MASSACHUSETTS AMHERST

Directed by: Professor Robert L. Sinclair

The purpose of this study is to determine how elementary principals are evaluated

and the extent to which evaluation is considered a means for assisting elementary school

principals to improve student learning. The four major research questions guiding this

study are: What evaluation procedures do selected public schools use to evaluate the

effectiveness of elementary school principals? What similarities and differences in

procedures do selected school systems use to evaluate the effectiveness of elementary

school principals? What ways do teachers in selected public schools use to evaluate

elementary school principals? How are evaluations of elementary school principals in

selected public schools used to improve student learning?

The review of research and literature undertaken for this study described

contemporary principal evaluation procedures and examined the role of parents,

students, and teachers in the evaluation of elementary school principals.

Data were gathered about principal evaluation procedures in interviews with

fourteen public elementary school principals in demographically diverse schools in the

state of Massachusetts. A content analysis of the principal evaluation procedures found

in the data was conducted to determine whether school districts have documented principal evaluation procedures, the characteristics of the evaluation procedures that school districts are utilizing, the participants included in the evaluation of principals, and the procedures/similarities and differences in the evaluation procedures. This study analyzed the performance indicators included on principal evaluations and how they contributed to improving student learning.

The data gathered in this research found that the participating principals supported the linkage of their evaluation to the improvement of student learning. Further, this research indicated that the participating principals were knowledgeable of their school district's principal evaluation procedures and tat some school districts in Massachusetts are lacking documented principal evaluation procedures. Finally, this study proposes recommendations that may be useful to principal preparation programs and to assist school districts in strengthening principal evaluation procedures for improving student learning.

TABLE OF CONTENTS

APPENDICES

LIST OF TABLES

LIST OF FIGURES

CHAPTER 1

STATEMENT OF THE PROBLEM

The responsibility of public schools in our democracy is to create conditions that will encourage all children to learn well. Our public schools have embraced the task of teaching all children and have been successful with many. Yet a crisis is looming. Too many children are not benefiting fully from their public school experience.

At the center of this crisis is the school principal. "At different times a school principal must be a tough boss and a sympathetic colleague. He or she must be a financial whiz who can balance budgets, order supplies and see that the bills get paid; manage a plant that houses hundreds, sometimes thousands of people at work; negotiate skillfully and mediate crises. Occasionally, the principal must be a police officer. But most of all, the principal must make sure students learn" ("Changing role," 1983).

The ability of the elementary principal to be a leader in the corporate arena would earn the elementary principal more money. However, due to the emotional intensity, the range of responses, and the moment- to-moment decision making in public schools, the role of the principal characterizes leadership that is unique as compared to other types of organizational leaders. The specific and common elementary principal's job is difficult to describe and to evaluate.

Twenty years after the release of <u>A Nation at Risk</u>, the debates concerning strategies to improve our public schools continue to be waged by numerous scholars and educational practitioners in the court room, the classroom, and in the board room. Yet, one major priority for improving elementary schools, which has been too often

1

overlooked, is the evaluation of the principals. Recent articles on principal evaluation

such as, "The Folklore of Principal Evaluation" (Ginsberg and Berry, 1990), to Evaluate

Principals?" (Anderson and Lumsden, 1989), "Evaluating Principals: New Requirements,

Directions for the 90's" (Thomas and Vornberg, 1991), and "Principal evaluation is

largely wrongheaded and ineffective" (Manatt, 1989) suggest that evaluations have been

inadequate and ill suited to improving the performance and competence of elementary

principals. Evaluations are now being reviewed by school systems, beginning with better

job descriptions, system analysis, time logging, and administrative philosophy to create

measures and procedures in conjunction with written agreements to help principals. The

challenge is to place into operation a system to evaluate the elementary principals that is

valid, reliable, meaningful, and useful.

Across this country, echoing from the legislative chambers to the courtrooms is a

call for better results from the schools and more accountability from the principals.

Teachers' classroom activities as well as students' time on task and classroom

management skills were initially targeted, and again the focus has become the principals.

The challenge for the new millennium is to ensure that the principal of every elementary

school is a quality leader and has the ability to produce the well- educated students that

society desperately needs.

Definitions of the role of the principals have changed during the past forty years

"These roles have included manager of learning resources, orchestrator of social

subsystems; innovator, expediter, morale builder, facilitator and organizer; evaluator,

supervisor, and leader of instruction; agent for change; and planner and implementer of

program development" (Thomas & Vornberg, 1991, 59). Clearly, the evaluation of

principals has been overlooked. No individual or organization has developed an

instrument that encompasses all the important aspects of the principalship. This study may generate an evaluation model for elementary principals that "will spearhead training and assessment projects that better define the skills principals should have" (Manatt, 22)

Purpose of the Study

Elementary schools, then, have the major responsibility in our nation of helping all children of all families to learn well. Elementary principals are key to this mission. Informal evaluation of the elementary principals is usually conducted on a daily basis by teachers, parents, students, members of the community, school committee members, and central office personnel. Formal evaluations of the elementary principals are conducted by the superintendent or administrative staff designated by the superintendent. The purpose of formal evaluation is to improve performance, salary increase, and termination of duties. It is reasonable to conclude that evaluation of elementary principals should improve conditions for students' learning. Yet it is unclear if the current process of evaluation is indeed utilized to improve student learning.

The major purpose of this study is to determine how elementary principals are evaluated and the extent to which evaluation is considered a means for assisting elementary school principals to help students improve their learning.

Four research questions guide this study:

- What evaluation procedures do selected public schools use to evaluate the effectiveness of elementary school principals?

- What similarities and differences in procedures do selected school systems use to evaluate the effectiveness of elementary school principals?

- What ways do teachers in selected public schools use to evaluate elementary school principals?

- How are evaluations of elementary school principals in selected public schools used to improve student learning?

Definition of Terms

Definitions of five key terms are central to this research: Procedure is a predetermined method or manner, used to judge the effectiveness and quality of an elementary principal's performance. Evaluation is the procedure for judging the effectiveness and quality of an elementary principal's performance of tasks and skills. Sergiovanni (1987) identifies evaluation as a judgment of the quality of one's administration at the conclusion of a particular time period. Informal evaluations of the principals are conducted on a daily basis by teachers, parents, students, the community, school committee members and central office personnel. In business, health care, and public service, the terms merit rating, rating scale and performance appraisal are considered synonymous with evaluation and are often used to judge job effectiveness and quality of leadership. Evaluation procedure is the process of data collection, analysis and reporting to assess the effectiveness and efficiency of the elementary principal's performance of tasks and skills. Elementary principal is the individual designated as the leader in charge of an elementary school, kindergarten through grade five or preschool through grade five. Student learning in this study refers to an elementary student acquiring a new skill, a new habit, a new interest, a new attitude, a new way of thinking and a new way of perceiving some complex phenomenon.

In the literature review conducted for this study, Tyler (1989) explains seven conditions for learning. The first condition for learning is motivation, where the learners must direct his or her attention to the behavior and put forth the effort required to

4

continue. Second, the learner needs to have clear learning objectives in order to gain a clear conception of what it is that he or she is trying to learn. Third is an appropriate learning task, requiring learners to put forth effort which may be difficult but attainable. Fourth is confidence on the part of the learner to attempt the task. Rewards and feedback, which is the learner's incentive to continue, is the fifth condition for learning. Sequential practice, the sixth condition for learning, provides learners with opportunities to practice the new behavior until becoming part of their repertoire. Seventh is transfer, the learner using the learned behavior in a variety of contexts (Tyler, 1989).

Significance of the Study

The significance of the study addresses the practical and theoretical importance of the study. This study is significant to school districts that are now beginning to take a closer look at their past and current evaluation practices for elementary principals. Beginning with better job descriptions, school systems are using systems analysis, time logging and administrative philosophy to create instruments, procedures and written agreements to help principals improve (Manatt, 1989, 22). This information will be useful in the revision and creation of evaluation procedures for elementary principals that are valid, reliable, and meaningful. In addition, this study has added value because it provides direction for professional development for elementary principals by identifying criteria for determining areas of strengths and weaknesses. For example, if the elementary principals exhibit an identified weakness in communication, the principals would select professional development to improve in this area, therefore

assisting those elementary principals to be more effective leaders in improving the learning of all children.

This study may be useful to institutions of higher education, providing information for recruitment and preparedness of prospective candidates for leadership in public elementary schools. It may assist the prospective elementary school principals to internalize the leadership qualities needed to improve the learning of children in the new millennium schools. Further, this study may promote discussion among elementary principals and members of the school community on varied ways to improve student learning.

This study provides an overview of procedures that have been utilized in the evaluation of the elementary principals in the public schools of today. Moreover, this study may provide information on the variety of ways that teachers and other members of the school community are involved in the evaluation of elementary principals. This information will be helpful to school districts in creating and redesigning elementary principal evaluation procedures. Finally, this study has theoretical value because the information will assist researchers who are examining whether or not the behavior of the elementary principals influences the learning of students. The resulting data may provide support to the importance of the elementary principals as key leaders for increasing student learning.

Delimitations of the Study

This study has five delimitations. First, the sample population consists only of elementary school principals. Principals from the middle schools and high schools are

6

not included. Therefore, the study is delimited because the results can not be generalized to include all schools.

A second delimitation is the autonomous nature to which school districts operate independently of each other. Across this country there is a multitude of school districts, each having superintendents, school boards, and in some areas, strong union affiliations, along with the existence of administrative policies and practices with few commonalities. Evaluation is an important tool in the development of the elementary principals. At present there is evidence of principal performance proficiencies regarding sharing of elementary principal evaluation practices among school districts. Therefore, the data in this study is delimited to principal perceptions of evaluation practices in relation to the improvement of student learning.

Third, this study is delimited to formal evaluations of elementary principals. On a daily basis, there is an informal evaluation of the principal as she or he interacts with the constituencies of the school community. Therefore, the information for this study will be delimited to formal evaluations of elementary principals.

A fourth delimitation is that this study will not include interviews with other members from the school community. There is no attempt to determine any correlation between the perceptions of members of the school community regarding the evaluation of the elementary principal as related to increasing student learning, or with the elementary principals perceptions of the usefulness of evaluation, or current practices as related to increasing student learning.

Finally, this exploratory study centered on fourteen public elementary schools in the state of Massachusetts. Although the selected public elementary schools were

diverse in student population, the limited number of fourteen public elementary schools was not a sufficient number for generalizations to all public elementary schools.

Research Approach

The major purpose of this study is to determine how public elementary school principals are evaluated and the extent to which evaluation is considered a means for assisting public elementary students to improve their learning. This study gathered data concerning evaluation procedures in fourteen diverse public elementary schools in Massachusetts. Interviews were conducted with the fourteen public elementary school principals.

The data collected were analyzed to answer the four research questions. A content analysis of evaluation procedures was conducted to determine the current evaluation procedures, as well as the similarities and differences in the evaluation procedures as relating to improving student learning.

Chapter Outline

The present study consists of five interrelated chapters. The first chapter states the problem. Chapter 2 reviews the literature. Chapter 3 describes the research procedures. The fourth chapter summarizes the analysis and findings of the data. Chapter 5 includes the findings of the study, presents their implications and offers suggestions for principal evaluation and future research.

Chapter 1: Statement of the Problem

This chapter introduces the study. The reader is provided with an overview of the research proposed in this study and questions are raised that will direct the inquiry. The research problem is described. The purpose of the study is discussed. The terms used in the study are defined; the significance of the study and the delimitations are explained. A chapter summary of the research document is provided.

Chapter2: Review of the Literature

The literature review is divided into four sections. First, the historical perspective of the role of the elementary principal is presented. Second, the importance of evaluating elementary principals is explained. Third, an analysis is done of contemporary procedures for evaluating the effectiveness of elementary principals. Fourth, the relationship of principal evaluation to increasing student learning is detailed.

Chapter 3: Research Procedures

Chapter 3 is configured in two parts. First, the general aspects of the design are described. This includes a description of the selection of subjects and the data collection instrument used. The data collection process and how the data is utilized to answer the research questions are detailed. Second, the specific approaches used to obtain the data to answer each question are explained.

Chapter 4: Analysis and Findings of Data

Chapter 4 presents the data collected using the four research questions as the conceptual base. This chapter is divided into two parts: description of the sample and the

research questions. The data is organized and analyzed so that each research question can be answered.

Chapter 5: Summary and Recommendations

Chapter 5 presents a synopsis of the purpose of the study, research questions, design, subjects, and a summary of the data results. Any inferences from the research findings relevant to educational policies and practices are stated. Suggestions for future research are advanced.

The public elementary school principal is the central figure for leading the schools of today. In evaluating the effectiveness of the public elementary school principal, insight can be gained to help all children from all families learn well. The next chapter, the review of literature, details the procedures used to evaluate the elementary principal and the relationship of that evaluation to improving student learning.

CHAPTER 2

REVIEW OF THE LITERATURE

This review of literature consists of four major parts that serve as a conceptual foundation for the present research study. First, a historical perspective of the role of the elementary principal is presented. Second, the importance of evaluating elementary principals is explained. Third, an analysis of contemporary procedures for evaluating the effectiveness of elementary principals is presented. Fourth, the relationship of elementary principal evaluation to increasing student learning is considered.

Historical Perspective of the Role of the Elementary Principal

The purpose of this part of the review is to present a historical overview of the elementary principalship. Particular attention is given to the elementary principal's leadership responsibilities. An overview of the roles and responsibilities of principals from a historical perspective is presented as a foundation for the linkage of principal evaluation to the improvement of student learning. Next, a number of perspectives from practitioners in the field on the current status of evaluation for elementary principals are presented. The first part of the literature and research review concludes with a brief summary.

The Elementary Principal's Leadership Responsibilities

The definition of leadership is advanced by Wheeler (1994) from historical icons such as Abraham Lincoln, George Washington, Dr. Martin Luther King Jr. and Eleanor Roosevelt. Each of these individuals influenced millions of lives as people benefited

from their substance as opposed to their style. "They were not leaders because of their management techniques (though those may have been considerable), nor their dress-for-success clothes. They are perceived as outstanding leaders and role models" (p. 4.) Sergiovanni asserts that these distinguished individuals stood for ideals and thoughts that transformed the lives of many people into becoming more responsive and defined. This perspective on leadership is the link between great leaders of the past and school leaders of today. Calabrese (1991) asserts that "People are not born effective principals; they become effective principals as a result of their formal and informal education and their experiences" (p. 31).

Past practices and current trends in education have defined the perimeters of public school leaders' job responsibilities. According to Smith and Andrews (1989) "the central role of the principal has been viewed variously, as building manager, politician, administrator, change agent, boundary spanner and instructional leader" (p. 1). In the History of Educational Supervision, Marks, Stoops, and King-Stoops (1992) note that in educational administration the principals' job was the first to evolve. Marks et al. (1992) outline four stages in the development of the principals' duties. The first developmental stage is clerical, second, disciplinary, third, administrative and fourth is supervisory (see Table 1). Schlechty (1991) provides further explanation of three stages in the development of the principalship, in which the role of the principal is key. According to Schlechty (1991) the first stage in the historical evolution of the principalship is the common school in which the principal is the chief priest of the tribal center. He describes the second stage as the factory model; the principal's role is that of a manager of the industrial center, skilled in supervision. The last stage Schlechty (1991) suggests in

Table 1

Historical Periods in the Development of American School Supervision

Concept of Supervision in American Education	Period of Influence	Parties Doing the Supervision	Nature of the Supervisory Program
1. Inspection of school and classroom	Colonial period through the Civil War	Laymen: clergy, school wardens, trustees, selectmen, citizens' committees.	Inspection for the sake of control. Emphasis upon observing rules and maintaining existing standards.
2. Inspection of school and classroom	Nineteenth century	State, intermediate unit (county), local superintendents	Inspection for the sake of control. Emphasis upon regulations, with some leadership for improvement.
3. Supervision of classroom instruction	1910-1935	Responsibility divided between principals and special supervisors or "helping teachers."	Improvement of instruction through direct classroom observation and demonstration with attention focused upon the teacher's weaknesses.
4. Cooperative educational leadership	1935-1963	Responsibility of principals and special supervisors, shared with coordinators, curriculum directors, consultants, and others	Program centered in cooperative study enterprises, such as curriculum development, and in-service education courses, aiming toward improvement of instruction.
5. Supervision as cooperative effort stimulated by democratic leadership and influenced by the availability of federal grants and interest of the community	1964 to Present	Responsibility of principals, and, in certain cases, specialist consultants, special supervisors shared coordinators, curriculum directors, consultants, research personnel and public relations specialists.	Program still centered in cooperative study enterprises with the addition of community participation. Awareness of utilization of federal monies to best advantage.

Source: James R. Marks, Emery Stoops and Joyce King-Stoops, Handbook of Educational Supervision, (Boston: Allyn and Bacon, 1971), II.

the historical evolution of the principalship is the school as a hospital. In this stage the principal has the role of being an equalizer and meeting the students' needs.

Fredericks and Brown (1993) contend that as early as 1928, research on the principalship was conducted in the areas of job responsibilities and time management. Lemahieu, Roy and Foss (1997) configured the development of the principal's job responsibilities in four phases. First is the structural, beginning with the one- room schoolhouse of multi-age groupings with a principal teacher an evolving into the school organization by grades and core curriculum disciplines. The second phase is curriculum reform, in which the core curriculum content areas were revised, resulting in innovative strategies for teaching and materials with principal leadership to coincide. The effective schools movement is the third phase, in which the principal is described as the instructional leader. The fourth phase, as described by Lemahieu et al. is teacher empowerment, initiated by the Education Reform Act, the components of which are standards based student testing, core curriculum performance standards, site-based management and the principal's role being that of organizational leader and problem solver.

Murphy (1998), in "Preparation for the School Principalship: the United States' Story," traces the history of leadership preparation programs in the United States in four periods of time, followed by an "era of ferment" in which past practices were scrutinized and replaced by newer perspectives. Murphy's (1998) first era is the "ideological era," 1820-1899, when the prescribed preparedness was minimal to none; the administrator learned the logistics of the principalship through on the job training. He describes the second principal preparation period of 1900-1946 as the "prescriptive era," in which formal leadership programs were established. The program content was reality based on

the roles and responsibilities of principals for that time period. The "scientific period," from 1947-1985, is the third principal preparation period as described by Murphy (1998). He contends that the practical experience of the past periods was replaced with concepts and ideas which originated in social science theories. The years from 1986 to the present Murphy (1998) explains as the "dialectic period," the fourth period in which school administrators were critiqued and there was dialogue concerning new and innovative ideas. Murphy (1998) provides further explanation of the history of the principalship. He suggests that there are many who believe that current school leaders are at fault for the crisis in education today, and that they are unable to resolve the problems in today's public schools.

The Joint Committee on Standards for Educational Evaluation (1988) state:

Apart from the accreditation of schools movement that was launched in the late 1800's, there have been three major movements regarding educational evaluation in the United States. The first, which began and gained momentum in the early part of the twentieth century, was concerned with evaluation of student performance and was embodied primarily in the standardized testing movement. The second involved the evaluation of projects, especially externally funded projects, and was started in the middle 1960's. The third concerned evaluations of teachers and other education personnel and has become a major movement only in recent years. (p. 160)

Heck and Marcoulides (1993) state "the definition of the principal's role has changed over time and appears to be in transition currently. Early American schools had "principal teachers" who were elected, but the role then evolved toward greater attention to "scientific management" around the turn of this century"(p. 127). Thomas and Vornberg (1991) write

Definitions of the principal's role have changed during the past forty years. These roles have included manager of learning, resources, orchestrator of social subsystems, innovator, expediter, morale builder, facilitator and organizer; evaluator, supervisor and leader of instruction; agent for change,

planner and implementer of program development. Many of these role definitions are guided by idealized concepts of what principals should be like rather than conceptualizations grounded in on-the-job performance. (p. 59)

Heck and Marcoulides (1993) agree that the changing role definitions of the principalship are synonymous to new roles and job responsibilities, which implies different sets of criteria being used to define principal effectiveness. Fletcher and McInerney (1995) suggest that the principal's role is more complex now than at any other point in history, and the expectations are very high and increasingly multifaceted. Lashway (1998) in agreement with Fletcher and McInerney reports," Today's principalship is a complex, demanding, and frequently ambiguous job, that doesn't lend itself to precise analysis" (p. 14). Ginsberg and Thompson (1993) in researching the role of the principal indicate that some theories emphasize the routine day-to-day job responsibilities, others emphasize the behavioral competencies, and others, the areas of managerial tasks.

According to Heck and Marcoulides (1993), five major forces have impacted the principalship. The first and most prominent force is the teachers, who are the responsible parties for direct instruction to the children. Currently, teachers have been empowered to make decisions that contribute to school improvement, ultimately improving student learning. Diversity in student populations and an array of student needs is described as the second force that has influenced the principalship. Changing demographics linked with changes in the family structure and economics are the contributing factors. Parents are the third force that has influenced the principalship. The current reform movement created the conditions for parents to become partners in their children's education, for example, mandating parent participation on school based

management teams. The forth force that has influenced the principalship are of a societal and technological nature. Cartwright (1993) states, "children are coming to school with a multitude of needs, the school is becoming a beacon, a haven of hope and a shelter from each of their individual storms" (p. 145). In this the new millennium, the technology age, schools and principals are charged with the responsibility of preparing the students to navigate in the new age. The influence of government on the state and federal levels in restructuring mandates is the final contributing factor to the changing principalship discussed.

Current Status of Evaluation for Elementary Principals

Anderson (1991), in noting the work of Stephen Peters (1988) by the Southern Educational Laboratory, found principal evaluation to be a requirement in just two states at the beginning of the1970s. Keller (1998) in reported that the vast majority of states now mandate formal evaluations of principals. Heck and Marcoulides (1993), in noting the work of Ebmeier and Wilson (1989), support Keller (1998) in agreeing that significantly more states have discarded their past practices and are requiring principal evaluation. The Massachusetts Elementary Principals' Association conducted a survey of elementary and middle school principals entitled Conditions of Principalship in the state of Massachusetts. The purpose of the survey was to provide information about the status of the principalship preceding the Education Reform Act of 1993 from the practicing principals' perspective. This survey was sent to 1,500 elementary and middle school principals in the state of Massachusetts in the winter of the 1997-98 school year and 591, 37.4% were returned. Question #26 on the survey asked the principals, are you receiving evaluations from your Superintendent? The principals were presented with

17

two responses, Yes or No. The Yes response indicated the responding principals were receiving evaluations from their Superintendent. The No response indicated that the participating principals were not receiving evaluations from their Superintendent. The results of the Massachusetts Elementary Principals' Association survey found 77% of the participating principals responding Yes, 19% responded No and 3% of the participating principals responding with no answer.

The Joint Committee on Standards for Educational Evaluation (1988) state, "The need for sound evaluation of education personnel is clear. In order to educate students effectively and to achieve other related goals, educational institutions must see evaluation to select, retain, and develop qualified personnel and to manage and facilitate their work"(p. 4). However, contrary to this perspective, Murphy and Pimentel (1996) suggest that the state of principal evaluation procedures for public school leaders in Americas' is backwards. Duke and Striggins (1985) found very limited research on principal evaluation procedures and little information about the character, value and role of evaluation procedures for principals. Campbell (1987) describes evaluation of principals as "an earthbound example of a black hole in space. Time, energy and much paper are put into but... nothing ever comes out of it" (p. 15). Manatt (1989) advances yet another perspective on principal evaluation. He sees the evaluation of principals as a yearly insignificant procedure, consisting of checks in boxes and filing the paperwork for the subsequent school year. Grier, Reep and Trenta (1994) describe principal evaluation in narrative:

> ...walk into a school and search relentlessly for failure, mark down everything you see that's wrong and have the principal quickly sign a paper saying he or she will fix the problems. Then you leave the school, rate the principal and move on to the next victim. In this approach to principal evaluation, you spend no time questioning the principal about what went

right or wrong that year or reflecting on how the school might improve. The principal simply receives a critical evaluation from you and is glad when you're gone. This kind of evaluation-driven accountability simply does not work. It emphasizes failures over successes and problems over solutions (p. 35).

Hart (1993) asserts, "practices of principal evaluation have not kept pace in focus, sophistication, or reliability with changes in schools and schooling or with the developments in teacher evaluation" (p. 37). Fontana (1994) and Manatt (1989) link their perspective on principal evaluation to teacher evaluation, agreeing that school districts across the country have improved the quality of teacher evaluations but that the state of principal evaluations is inferior. Manatt (1997) extends this perspective further in stating,

> ...that the Carnegie Corporation's Board Certification Project in 1991, concluded that every method one can imagine for teacher performance evaluation is marred in a fundamental way. The solution, he argues, would be a judicious blend of assessment methods. (p. 9)

However, Thomas and Vornberg (1991) provide further explanation by linking teacher and principal evaluation. They believe that the innovative teacher evaluation procedures that have been developed in school districts across the country brought attention to principal evaluation procedures.

Manatt states that "performance evaluation for principals and indeed for all school executives remains sketchy, poorly thought out and largely ineffective. Today's evaluations of school administrators are largely meaningless bureaucratic exercises" (p. 22). Heck and Marcoulides (1993) agree with Manatt on the poor quality of principal evaluations. Anderson and Lumsden (1989) contend that the state of evaluation of principals by central office administration is appalling and that generally speaking principal evaluation practices are inadequate and unable to or improve performance.

Principal evaluation, according to Gil (1998) is," a mechanistic procedure that is simply viewed as a necessary chore, to complete for both the evaluator and evaluatee" (p. 28). Lashway (1998) is in agreement with Murphy and Pimentel (1996), asserting that in numerous school districts the evaluation of principals is viewed as an addendum, a tedious administrative task consisting of generic checklists or casual dialogue.

Manatt (1989) describes the current status of traditional principal evaluation as:

...informal and focuses almost entirely on process; Is the building functioning smoothly? Does the principal operate within the allocated budget? Is the principal liked by parents? Does the community appear satisfied? Data like attendance figures are the primary product measures. In other words, principals are evaluated on their ability to keep the ship afloat and to prevent anything or anybody from rocking the boat. (p. 7)

Summary

Elementary schools have the major responsibility in our nation of helping the children of all families to learn well. The public school is the only institution with the responsibility of aiding all children in their learning, no matter what conditions prevail in their homes or what circumstances dominate their lives (Sinclair & Ghory, 120). History has shown that the job of a principal evolved from a teacher of multi-level grouping of children in the one room schoolhouse. Traveling through the channels of time and social, economic and industrial eras, and reforms in education have affected the role and job responsibilities of a principal creating the multidimensional school leader of today. Past practices for evaluating principals have been shown to be ceremonious exercises of little value to the principal. Many researchers and practitioners have studied and discussed school leadership and the principal, but the job of today's school leaders

remains difficult to describe because of local circumstances and the demand for differing leadership from school to school.

<center>The Importance of Evaluating Elementary Principals</center>

The purpose of this part of the literature is to present a rationale for the importance of evaluating elementary principals. First, the purpose of evaluating public elementary principals is explained. Next, problems in the evaluation of principals are detailed. This part of the literature review concludes with a brief summary.

The Purpose of Evaluating Principals

Leithwood, Jantzi, Silins and Bryron (1993) contend that, "performance appraisal is one of a number of "standard operating procedures" (SOPs) used by virtually all mature organizations. SOPs help ensure that tasks fundamental to the organization's functioning are carried out reliably, often in the face of changing personnel" (p. 85).

Smith and Andrews (1989) reported the work of Ron Edmonds in the Effective Schools research, which parallels the work of Anderson and Lumsden (1989) in concluding that principals are a dominant influence affecting student performance. Herman (1993) and Manatt agree that the evaluation system for principals should be used to improve performance, stressing performance and accomplishments. Gil (1998) is in agreement, with the addition of personal growth to the evaluation goals. Across the country, school districts are viewing the roles of principals from a different perspective and are working on the development of realistic evaluation systems for principals. Fontana (1994) states,

...evaluation means knowing what existed in the past, what exists now and how that can be modified or changed in the future so it has a positive impact on change, performance, productivity, professional growth and commitment, it involves knowing the goals and objectives of evaluation and of resources, people, materials, funds and enriched staff development opportunities. (p. 91)

Anderson and Lumsden (1989) contend that there is a dual purpose for principal evaluation, accountability and professional improvement.

Holly Kleinsasser (1994) explains the purpose of principal evaluation from the perspective of improving schools equating to improving the school district. She believes that the purpose of principal evaluation is to determine skill and competency deficiencies and to develop an improvement plan. Fletcher and McInerney (1998) state the purpose of evaluating principals is two-fold, improvement and accountability. According to Schlechty (1991), the purpose of performance evaluation is to:

- provide those who work in the system with a basis for knowing what is expected and what they are to do with respect to those expectations.

- provide people with information from which to judge how well their performance, the performance of those they supervise, the performance of their department or unit, and the performance of the system in general conform with requirements and expectations.

- provide a basis for analyzing the sources of performance problems and grounds for taking action to correct these problems.

- provide a data base for assessing the merit of any corrective action that is taken to address performance problems the evaluation system might reveal.

- provides a basis for personnel action-both actions intended to celebrate heroes and heroines and actions intended to lead to dismissal.(p. 111)

Weiss (1989) provides a detailed explanation of the purpose of principal evaluation:

- to encourage communication within the organization:

- to facilitate mutual goal setting between the school principal and the superintendent;

- to foster a commitment to mutually developed objectives;

- to encourage the systematic annual evaluation of the school principal by the superintendent of schools;

- to sensitize the evaluator to the needs and problems of the principal;

- to encourage the evaluator to provide assistance to the principal;

- to motivate the principal towards self improvement. (p. 3)

The Joint Committee on Standards for Educational Evaluation (1988) explains the purpose of personnel evaluation from the service provider for students and society perspective, in which schools provide children with the competencies and skills to become responsible citizens. Harrison and Peterson (1987) conclude from their study of the principal evaluation process that principals perceive the purpose and focus of evaluation to be instructional leadership. Duke and Striggins (1985) in their study, which examined the extent to which principals are meeting performance standards found, with a 68% response, the most important purpose of principal evaluation was to promote professional development of principals. Manatt (1997) explains the purpose of performance evaluation using the time period of year to year, is to become more

proficient in skills and competencies and is supported by Gill (1998). Further

explanation of the purpose of evaluating principals is advanced by Gill (1998) in

discussing individual and professional growth and development.

Stufflebeam and Nevo (1993) note that

> systematic evaluation is needed throughout the careers of principals to
> examine whether:
> - the certified principal has the special qualifications necessary to
>   succeed in a particular principalship.
> - the employed principal is fulfilling job performance requirements
>   as well as can be expected.
> - the principal has exhibited highly meritorious service that deserves
>   special recognition and reinforcement. (p. 25)

Problems in the Evaluation of Principals

Rallis and Goldring (1993) suggest three problems in the evaluation of principals:

vague documentation of principal evaluation procedures, few formal evaluation tools or

strategies, and the disconnect of theoretical and practical literature relating to evaluating

administrative performance of duties. Weiss (1989) notes that

> Education, on the other hand, has little experience with assessing
> administrative performance and when it has been done it is usually done in
> isolation, unrelated to current research and focused on nebulous
> administrative qualities. (p. 2)

Heck and Marcoulides (1993) contend that "... any evaluation model that tries to

capture all of the subtleties of the role and operationalize all of the day to day activities

of the principal, is doomed to failure"(p. 139). Fredericks and Brown (1993) write,

"Educators continue to look for that one "magic bullet" that might cure the present- day

ills of schools. This includes searching for an assessment instrument that identifies

administrative skills and then relates them to schools" (p. 13). Manatt (1993) writes

about teacher evaluation which pertains to principal evaluation in stating, "every method

one can imagine for teacher performance evaluation is marred in a fundamental way.

The solution, he argued would be a judicious blend of assessment instruments" (p. 24).

Heck and Marcoulides (1993) report,

> one major reason it has been difficult to develop effective methods has been the lack of theoretically-driven empirical research to establish and validate the appropriate domains of the principal's role and their collective effects on the school's achievement at a higher or lower academic level. (p. 125)

Ginsberg and Thompson note the problems in principal evaluation to be "the nature of the principals work, problems with definitional specificity of tasks, the situational nature of the job, the varying expectations for principals, issues related to demands for accountability, demands of the Total Quality Education movement, and the lack of a research base on principal evaluation"(p. 59). They question the extent to which principals can be held solely accountable for schools. Manatt (1997) advances further explanation of accountability. He believes that the data are inadequate for determining any person's accountability. Anderson (1991) believes the problem with principal evaluation for school districts is in deciding the purpose to be accountability, professional development, individually or in concert. Snyder and Ebmeier (1993) suggest two problems with evaluation tools and procedures: technical and conceptual.

In "Troubled Kingdoms, Restless Natives," Thomson (1989) states," ...the preparation of school administrators is in need of drastic overhaul" (p. 371). Williams and Pantili (1992) in support of Thomson (1989) provide further explanation of the state of principal preparation programs to include assessment center programs. They conclude from their study of the criteria used for evaluating leadership potential that principal preparation programs and assessment center programs need to be aligned with actual performance expectations. Calabrese (1991) admonished institutions of higher

learning to create "ethical" and superior quality programs for the preparedness of principals. These programs should not focus on certification issues but on the improvement of curriculum and instruction, student development, and the conceptualization of a vision for public education. Anderson (1991) writes," The central problem appears to be that most university programs present knowledge about school administration, but do not help students develop skills to translate that knowledge into practice."(p. 17)

Duke and Iwaniki (1992) conclude from their study "fit" as a dimension of school leadership found that "principal assessment cannot be understood solely in terms of skill based or goal based evaluation" (p. 34). Heck and Glasman (1993) suggest factors that contribute to the difference in assessment performance among principals: methodology of teaching, student results and the intricacy of relationships between persons in the school environment. Anderson (1991) and Bickel (1995) support the idea of individualized principal evaluation. According to Anderson (1991) the evaluation process must be developed to specifically adhere to the principal's current school situation in order for performance to improve. He also believes that the evaluation process for practicing principal's must rely on strategies that will provide continued growth and leadership skills development. Anderson (1991) presents a three-phase plan for principal evaluation, planning for evaluation, collecting information and using information. Heck and Glasman advance a description of four approaches to principal evaluation: the role-based principal assessment, outcome-based assessment, standards-based assessment and structure-based assessment.

Stufflebeam and Nevo (1993) contend,

...some of the current efforts to define criteria and develop instruments for measuring principal performance are making serious errors of selecting variables only because they correlate with student test scores. Let alone that student test scores are insufficient measures of school effectiveness and that the principal is only one of many complex contributors to student achievement, it is also unfair and invalid to choose performance only or mainly because they correlate with student test scores (or some other measure of principal effectiveness. (p. 33)

Fredericks and Brown (1993) assert that one evaluation tool is inadequate for measuring the job performance of an administrator.

The Joint Committee on Standards for Educational Evaluation suggests that educational personnel evaluations have not:

- screened out unqualified persons from certification and selection processes.

- provided constructive feedback to individual educators.

- recognized and helped reinforce outstanding service.

- provided direction for staff development programs.

- provided evidence that will withstand professional and judicial scrutiny.

- provided evidence efficiently and at reasonable cost.

- aided institutions in terminating incompetent or unproductive personnel.

- unified, rather than divide, teachers and administrators in their collective efforts to educate students.(p. 6)

The Joint Committee on Standards for Educational Evaluation provides further explanation of the problems in evaluation principals. They believe that the controversy between the fields of education and evaluation regarding the selection of performance criteria for evaluation procedures to be an immense problem.

The principal's perspective of the problems in their evaluation was reported by Brown, Irby, and Neumeyer (1998). The specific concerns of the principals noted;

- Principal evaluation not necessarily tied to overall performance of the school.

- Principal evaluation not connected to the evaluation of the teaching staff.

- Principal feelings of exclusion from the evaluation process (done "to them" rather than "with them")

- Checklists oriented to past procedures or to management issues only

- Lack of clear definitions of job roles or functions.

- Lack of connection to professional growth

- Lack of clear expectations (DePree, 1974; Leithwood, 1987; Natriello et al., 1977) (p. 18).

Sinclair and Ghory (1997) write that

> until evaluation is placed in service of improving student learning and removed from the context of ranking and sorting children, the prevailing evaluation system that persists across our country must be considered a serious impediment to lasting school reform. (p. 103).

Summary

In this section the views of educational practitioners on the purpose of evaluating principals were presented. The principal fulfillment of performance requirements and professional growth and development were recognized as the preeminent rationales for evaluating principals. Due to the nature of the elementary principal's work not being standardized and characterized by unexpected interruptions, instructional and non instructional needs of teachers, student discipline problems, parent issues and concerns,

central office paperwork, and numerous telephone calls, evaluation of principals has presented "technical and operational" problems. In the literature, the principal's perspective on the deficiencies in their evaluation systems was advanced. Educational practitioners continue to debate the selection of the performance criteria for principal evaluations. The principal's job is to ensure that all children learn well, ultimately increasing student learning. In this study evaluation is defined as the procedure for judging the effectiveness and quality of an elementary principal's performance, therefore increasing student learning is by association a non-negotiable performance criteria for evaluations.

An Analysis of Contemporary Procedures for Evaluating the Effectiveness of Elementary Principals

The purpose of this part of the literature and research review is to explore the current work on contemporary evaluation procedures for evaluating elementary principals. First, the current procedures for evaluating principals are detailed. Second, principal's perceptions of evaluation procedures are explained. Third, data sources used in evaluating principals are identified. The literature and research review concludes with a brief summary.

Current Procedures for Evaluating Elementary Principals

Lashway (1998) details four leadership assessment techniques which may be used to evaluate principals. The techniques are paper and pencil tests, assessment centers, school leadership licensure assessment, and portfolios. An example of Lashway's "paper and pencil tests" is reported by Gibbins and Curnutte (1987). The writers developed a

multiple choice one hundred item instrument limit, for the purpose of determining the predictability of a principal's performance. A hindrance of the paper and pencil test is that there is no consideration for leadership style and other factors such as sex, race and years of service in education.

Durden and Areglado (1992) provide a description of the National Association of Elementary School Principals Administrator Diagnostic Inventory (ADI). ADI, as described as a 12 1/2 stimulation experience, require two days for completion. Based on realistic situations of practicing principals, the participants are asked to respond to six simulation exercises and trained observers judge the behaviors. ADIs are administered at assessment centers and are an example of Lashway's second leadership assessment instrument. This approach would be very helpful to aspiring principals in determining areas of deficiencies for the purpose of staff development.

School leadership licensure is the third leadership assessment identified by Lashway as being adopted by school districts across the country as a licensure requirement. Coutts (1997) studied the deficiency level of principals who did not successfully achieve the six Interstate School Leaders Licensure Consortium Standards. He further contends that standards are an important component of leadership preparation and professional improvement programs. Standards can be a valuable tool for improving the job performance of practicing principals (Garrett & Flanigan, 1991; Brown, et al., 1998; Rallis & Goldring, 1993).

A synthesis of the literature on leadership assessment instruments clearly illustrates how portfolios, Lashway's fourth leadership assessment instrument can be extensively used by school districts as an evaluation procedure, for example in Texas and South Carolina. Two types of portfolios are discussed, principal and school. Brown,

Irby and Neumeyer (1998), in "Taking the Lead: One District's Approach to Principal Evaluation," discuss, a portfolio-based principal appraisal system in San Antonio, Texas, which is both formative and summative. At the formative conference, the principals review yearly goals and discuss their relation to district goals with the school district administrator. Anderson (1991) contends that goal setting is a key element of an evaluation planning phase. Preceding this formative conference, the principals develop the portfolio components. In the summative conference, the principals present the portfolio, which represents their accomplishments throughout the year, giving clarification and receiving feedback. The last phase, refocusing and planning, the principals consider the impact of their leadership experiences during the past year and any feedback from the summative conference. The purpose of refocusing is improvement, which could be accomplished through professional development, conferences and readings. The end result could be a revision of goals for the coming year.

According to Rallis and Goldring (1993) the school portfolio presents a picture of the school answering the following questions:

- What kind of school are we? Are we pleased with this picture?

- What kind of work do we do and what kind of learning occurs? Again, are we pleased with this picture?

- What forces, individuals and groups are contributing to or responsible for the picture?

- What kinds of changes are occurring in this school? Are they changes to improve the school environment?

- Are we moving in the direction we want?

- What forces, individuals and groups are contributing to or responsible for these changes?

- How can we reinforce the positive aspects?

- What might be barriers or potential barriers to school improvement changes?

- What do we need to strengthen our processes and outcomes? (p. 18)

Further explanation of school portfolios is provided by Rallis and Goldring (1993) in identifying the components: composites of standardized test results, information on school events, documentation of school meetings, the budget, and assessment tools.

Anderson (1991) in support of Rallis and Goldring (1993) describes the portfolio components as "artifacts". A major strength to this evaluation procedure is that the principal compiles and presents their individualized school portfolio which ultimately gives the principal ownership of the process.

Barnett, Caffarella, Daresh, King, Nicholson and Whitaker (1992) present a different perspective on portfolios. In their work at the University of Northern Colorado, portfolios are a major component in the leadership preparation program. They contend that portfolios are key to the leadership students learning and a dossier of their proficiencies and skills.

Glasman and Martens (1993) investigated the use of personnel evaluation standards and found that principals are formally evaluated on a yearly basis. The procedure includes a goal setting conference, mid-year progress conference and a

final conference/evaluation report. Thomas and Vornberg (1991) state, "the process should include a preobservation conference, data collection (including direct observation or shadowing of the principal), a post-observation conference, and an evaluation or summative conference"(p. 63) therefore supporting the work of Glasman and Martens. In the study "Evaluating the Performance of Principals: A Descriptive Study" Duke and Striggins (1985) found that 56% of the participating principals stated that the procedure used to inform them of the evaluation process was a formal meeting. Weiss (1989), in support of Duke and Striggins (1989), found 94% of the participating superintendents and principals in the study "Evaluation of Elementary and Secondary School Principals" in agreement that the "planning conference" initiated dialogue between the superintendent and the principal's. Anderson (1991) also sees conferences as a key technique for presenting feedback on principal job performance.

The evaluation procedure of team evaluation is advanced in the literature by Rallis and Goldring (1993). They contend that the members of the team represent the subgroups of the school, that is, parents, teachers, and community. "The team's work is comprehensive in nature, looking at the specific roles of the principal, working with the principal to design measures for leadership activities and to create opportunities for reflection about their impact and looking at school outcomes or products" (p. 14). Pekoe (1991) describes a team evaluation procedure in Wisconsin, using central office staff such as the business manager, personnel director, and curriculum director as the team members to evaluate the principals from the perspective of their individual specialty areas. Central office staff would identify a list of at least eight to ten leadership proficiencies which principals must demonstrate success in achieving. During the school year the central office staff had the responsibility of documenting and observing the

principal through the lens of the selected leadership proficiencies. The chosen instrument was a checklist with narrative comments on the side. There are two possible strengths to the team evaluation procedure; the first is that members of the school community are participant parties in the evaluation procedure. The second strength of team evaluation as Pekoe Jr. (1991) states," evaluations are based on day-to-day interactions--not on artificial observations" (p. 40). Thomas and Vornberg (1991) state,

> personnel who evaluate principals in the 1990's must be knowledgeable about and understand the challenges of the principalship. They will need not only technical competence for the principal's stressful position and a genuine rapport with those principals being evaluated. They will also need training on the specific instrument and the process utilized. (p. 63)

Fontana (1994) describes

> external evaluators, esp. from a local university can add an important perspective to the evaluation process. They can act in a formal or informal role, help obtain a variety of data, act as an arm of the central administration or be an additional resource for principals who are engaging in self-assessment or independent studies. (p. 97)

A major hindrance to the team approach would be the team members lacking practical experience, especially if an individual with the background as a principal as Fontana states is not represented on the team.

Anderson and Lumsden (1989) describe the Excellent Principal Inventory, a team evaluation procedure developed by Bell South Corporation. The team members are teachers, peers and superiors. Five areas of commitment are student success, teaching and learning, the school staff, innovation, and leadership. These are subdivided into eighty-nine principal performance indicators to be rated on the inventory. In section one of the Excellent Principal Inventory, the principal's attitudes and actions on the performance indicators are rated by the principal and in section two, teachers, peers and superiors are presented an opportunity to address the principal behaviors and actions not

listed in section one or present feedback on issues previously not mentioned.

Anderson and Lumsden (1989) state, "Ensuring respondent anonymity is critical to obtaining honest feedback. Respondents are coded only by category: teacher, other (peer, supervisor), or self. Only a consultant and the principal see the results" (p. 23). The questionnaires are sent to a scoring service, which tallies the results and develops the individual performance profiles, which are discussed at the feedback conference. The strength of this evaluation procedure is that the scoring is conducted by an outside agency; however, the cost for public schools with limited budgets is a hindrance. Another hindrance of note is the synthesis of the multidimensional roles and responsibilities of the elementary principal into scores and numbers. Do the scores and numbers capture the realistic nature of the elementary principals role and responsibilities? A third hindrance of the Excellent Principal Inventory is the exclusion of parents and students as respondents to the inventory.

Murphy and Pimentel (1996) reported on the team evaluation procedure used in the Charlotte Mecklenburg Schools (CMS) in North Carolina.

> The CMS principal evaluation too works on a carefully calibrated point system. Data on academic outcomes and results from teacher, parent, and student surveys regarding the principal's performances make up the bulk of the points. The better the results, the more points the principal earns. (p. 75)

In describing the reward system, Murphy and Pimentel (1996) state,

> When a school meets all its benchmarks, staff members--regardless of their personal performance-- share in the rewards. Members of the professional staff earn an extra $1,000, and other school staff members, such as secretaries and maintenance workers, receive a $450 bonus. When a school meets less than 100% but at least 75% of its goals, the rewards are $750 and $300 respectively. Allowing the entire school to benefit promotes esprit de corps. (p. 79)

The strength of this evaluation procedure is that the entire school community is recognized as participant parties in educating children. Therefore, these individuals from the custodian to the principal have ownership of meeting of the benchmarks and sharing in the rewards. Peterson (1991) reports the work of Anderson (1989) in the North Clackamas School District in Oregon, the principal's who achieve their professional goals receive monetary incentives totaling in excess of one thousand dollars.

Peer evaluation is advanced in the literature review by Gil (1998) and Anderson (1991). Gil (1998) provides a description of a principal peer group evaluation process in Chula Vista, California. Peer groups of four to seven principals were formed and met monthly throughout the school year. Each principal had an initial conference with the superintendent followed by a peer group goal-setting session. The principals to be evaluated are chosen by the peer group on a two-year rotation cycle. However, new principals are evaluated yearly during their three-year probationary period. The peer groups collect data from a variety of sources: interviews with selective staff and parents, examination of student work, observation in classrooms and a recurrent meeting schedule. The superintendent provided focus questions for the peer groups to consider each year. Two possible strengths to this evaluation procedure are that the evaluators are practicing principals and the evaluation is conducted on a two-year cycle. Anderson (1991) notes that according to a 1985 Education Research Survey, just two percent (2%) of the participating school districts using peer evaluation. Anderson and Lumsden (1989) suggest that the peer evaluation approach is thought to have merit but has received minimal attention.

Manatt (1997) like Gil provided an explanation of the team evaluation approach. He believes the team should be comprised of individuals, that is, upper level

administrators, customers, peers, the community with whom the worker interacts, in the performance of duties. In relating this perspective to public school leadership, the team would be comprised of administrators, parents, teachers, students and the community.

A review of documents on principal evaluation revealed self assessment as an evaluation procedure that is being utilized in school districts across the country and supported by Marlow-Inman and Atkinson (1993) in their study of teacher and principal perceptions of evaluating school administrators. Grier, Reep and Trenta (1994) describe self-assessment as an opportunity for principals to examine their individual job performance and to execute the change process. They suggest three components of self-assessment: bimonthly visits conducted by school district administrators. Second, questioning principals regarding school improvement. Ten questions are used in the self-evaluation procedure to facilitate inquiry and reflection. A sampling of questions is:

- What is your school's mission?

- Who are the customers of this school?

- How do you determine the needs of your customers?

- What do you expect students to learn?

- What indicators will you monitor to see how well your school is doing?

- What do the indicators reveal?

- How do you monitor teaching and learning?

- What strategies have you started to improve student achievement and satisfy school customers?

- How has the central office helped you improve your school? What could it do better?

- What can I do to help you? (p. 36)

The third component of self-assessment is providing technical assistance for improvement strategies.

Brown et al. (1998) identify self-assessment as the first component of the four components in their evaluation procedure. The principals engage in the examination of leadership skills and competencies through the lens of improving their schools and establish yearly goals. Anderson and Lumsden (1989) provide a description of the Excellent Principal Inventory developed by Bell South Corporation in which self-assessment is viewed in the same frame as Brown et al., and Grier et al. Anderson (1991) describes the principal evaluation system in Tigard, Oregon in which quarterly self-assessments are completed by principals. These assessments identify how much progress has been made toward their yearly goals in each of the nine performance domains. A hindrance of self-assessment as an evaluation procedure is the principal is the sole data source and excluding input from the other members of the school community, that is, teachers, parents, students, community members and school board members.

The works of Heck and Marcoulides (1993) and Lemahieu, Roy and Foss (1997) present principal evaluation models. Heck and Marcoulides (1993) work "hypothesized that three underlying domains of principal leadership can help explain school academic performance. These domains include how the school is governed, how the school climate and culture are developed and maintained, and the manner in which the school is organized for instructional purposes" (p. 132). In testing their principal evaluation model, Heck and Marcoulides (1993) utilized a variety of research sites and "operationalize 22 important variables relating to principal and teacher interactions in

these three domains"(p. 132). The principal evaluation model advanced by Lemahieu, Roy and Foss (1997) "posits five "lenses" through which educational experience can be examined by instructional supervisory professionals, coaches, or peers" (p. 582). The five "lenses" are content standards, performance standards and assessment, teacher instructional practices, student learning experience and environment and content. In each of the five "lenses" a series of questions was developed to "validate the appropriateness and challenge to quality of learning activities. These questions support a form of analysis that bridges the generation of content and performance standards to classroom practice" (p. 594).

In a research study to determine" the relationship between superintendents and principals and their collaborative approach to improving administrative performance (p. 1), Weiss (1989) developed the Administrative Appraisal Process and the Performance Rating Scale. The key elements of The Administrative Appraisal Process are goals and objectives, which are determined by the principal and superintendent working collaboratively. She designed five steps in the Administrative Appraisal Process. First, the principal and the superintendent use the Performance Rating Scale to determine deficiencies and strong points in performance of principals. Second, goals and objectives are decided by the principal and the superintendent in a meeting. Third, the superintendent and the principal determine the performance standards and strategies relating to the goals and objectives. Fourth, the superintendent and the principal meet periodically to discuss the status of the strategies. The fifth step, according to Weiss (1989), is

> ...a summative conference is held at which the status of each work plan is reviewed. Since this step can be the first step of the appraisal process for the next year, the Performance Rating Scale can be administered again

and its results used to analyze areas in which growth or improvement have taken place. (p. 8)

The Performance Rating Scale has five proficiency areas: leadership, educational, interpersonal, managerial, and professional, which are sub-divided into seventy four principal performance indicators. The Weiss (1989) evaluation procedure is a comprehensive model with the instrument and methodology, which would be a major advantage for school districts. In <u>Principals: How to Train, Recruit, Select, Induct and Evaluate Leaders for America's Schools</u>, Anderson (1991) describes a goals-based principal evaluation system that is related to student outcomes and performance standards.

In "Evaluating Principals," Peterson (1991) notes the work of Anderson (1989) who describes the principal evaluation procedures in the North Clackamas School District, located in Oregon. The North Clackamas School District employs two principal evaluation processes, configured into two programs determined by the principal's years of service in the school district: the professional accountability program, and the professional development evaluation program. The principals with less than three years of service in the school district are in the professional accountability program. The evaluation tool has eight job competencies with numerous performance criteria. During the school year, a supervisor makes a minimum of three documented visits to the school and principal-teacher meeting are recorded and analyzed. The remedial cycle is designed for the principals failing to achieve successful job performance.

In North Clackamas, the principals with three or more years of service in the school district are in the professional development program, in which the principal

determines long-term individual goals and the school district provides career development opportunities including tuition assistance, mileage stipend, and sanctioned breaks from assigned duties. There is a four-year cycle for summative evaluations and monetary rewards for the principal's successfully achieving the performance standards, which was reported previously in the literature. Formative evaluations are used for junior and senior principals on a yearly basis, which include in-depth reviews and recurrent school site visits to evaluate the junior principal on specific performance competencies. There is a relaxed configuration for senior principals, which promotes independent development experiences to improve the school system and the senior principal.

Principals' Perceptions of Evaluation Procedures

Harrison and Peterson (1986) in their first study sampled two hundred principals and one hundred forty two superintendents to "gather data on criteria used in the evaluation process, the focus and purpose of evaluation, the sources of information used, and the results or outputs principals perceive to be important to superintendents" (p. 226). The finding from this study was that principals are uncertain as to the criteria used in their evaluation and which criteria carry the most weight, which is supported by Anderson (1991)

In a second study, Harrison and Peterson (1987) used the same sample of principals and superintendents.

> This study detailed the specifics of a state authorized evaluation procedure for principals and the principal's level of satisfaction in relationship to the evaluation procedure, the selected performance indicators and the data sources. The study identified nine factors associated with the principal's satisfaction of the evaluation process:

41

- An appraisal instrument that makes criteria for principal performance clear.
- A superintendent who makes clear expectations.
- A superintendent who conducts performance appraisal as a continuous process rather than a one or two day process.
- A superintendent who frequently communicates both satisfaction and dissatisfaction with principal performance.
- A superintendent who sends a message of instructional leadership being primary.
- A superintendent who allows the principal to influence the operation of the appraisal process.
- A superintendent who makes clear the sources of information utilized to gather evaluative data as well as the performance outputs that are closely monitored.
- A superintendent who frequently visits the school.
- A superintendent who relies more on sources of information inside the organization. (p. 14)

Weiss (1989) in support of Harrison and Peterson (1987) found the largest majority of participating superintendents and principals in agreement that the Administrative Appraisal Process cultivated dialogue between the superintendent and the principals.

Clayton-Jones, Mahon, Rodwell and Skehan (1993) in a study of principal's perceptions on the dimensions of performance appraisals found two factors determine an affirmative perception of evaluation procedures: a link to the principal's professional improvement, which is supported by Weiss (1989) and the principal's receiving proficient feedback. Brown, Irby and Neumeyer (1998) reported seven principal concerns about the failure of evaluation procedures, which were previously stated.

In the study by Weiss (1989) the majority of participating superintendents and principals were in agreement that the Administrative Appraisal Process contributed to the determination of strong points and deficiencies in the performance of principals.

Data Sources Used in Evaluating Principals

Anderson (1991) noted that a finding of the 1985 Education Research survey was that less than one percent (1%) of the participating school districts utilized input from teachers, parents and students in principal evaluations. Ginsberg and Thompson (1993) report on the work of Gorton and Schneider (1991,1987) contending that contemporarily, the issue of accountability rests no only with schools, teachers, and administrators, but with parents, students, government agencies, and the community. Historically, during the 1960's and the early 1970's dissatisfaction with the quality of education in public schools began to manifest itself throughout the country. However, by the late 1970's accountability was directed at teachers and administrators. Sinclair and Ghory (1997) suggest the principal, as a member of the school community along with other parents, teachers, and community members share the responsibility of creating conditions to help children learn. This view also supports Tyler (1989) and Keller (1998). Snyder and Ebmeier (1993) in a study that examined correlations between principal behavior, school organizational processes and intermediate outcomes in the school context. They found that parents are the key connector between the functions of the school and student results therefore parents are an innate data source to be utilized in evaluating principals.

Manatt (1997) emphasizes that all school constituencies be utilized as sources of feedback data in evaluating principals, including supervisor evaluation, self-evaluation, student achievement, student feedback, student attendance, holding power (dropouts), teacher performance data, teacher feedback, parent feedback, and school climate. Bickel (1995) supports Manatt (1997) in the use of staff feedback in principal evaluation, also Murphy and Pimentel (1996) with the inclusion of student feedback. Central office staff

participation in evaluating principals is supported by the Pekoe (1991) and implied by Manatt (1997). The National Association of Secondary School Principals (1991) discussed attributes for individuals' participating in evaluating school principals in stating," personnel who evaluate principals in the 1990's must be knowledgeable about and understand the challenge of the principalship. They will need not only technical competence in the various functions of the principal's job but also an appreciation for the principal's stressful position and a genuine rapport with those principals being evaluated. They will also need training on the specific instrument and the process utilized" (p. 63). Stufflebeam and Nevo (1993) support this perspective in stating," superintendents and others who evaluate the qualifications, proficiencies, performance and special achievements of principals do have access to a carefully developed, regularly monitored and periodically updated set of standards for judging principal evaluation systems, plans and reports" (p. 37).

One critical finding of the Duke and Striggins (1985) study, which investigated three key questions, which were

> Is contemporary principal evaluation based on the specification of clear and appropriate performance standards? Do procedures exist for collecting valid and reliable performance data? Are the consequences of evaluation carefully articulated and logical? (p. 72).

A critical finding of the study, in response to the data collection question, 50% of the elementary principals responded that teachers should participate in evaluation of principals. This finding was supported by Marlow-Inman and Atkinson (1993), who reported the perceptions of principals and teachers on evaluating the performance of school administrators. However, opinion was split, regarding the role of teachers in the evaluation procedure of principals.

Weller, Buttery and Bland (1994) in their study investigated teacher, principal and superintendent perceptions of teachers' proficiency in evaluating principals. They found that teachers perceive themselves as having the capabilities to be data sources in the evaluations of principals. This finding is supported by the work of Duke and Striggins (1985), Manatt (1989, 1997), and Murphy and Pimentel (1996).

Summary

Looking through the lens into current evaluation procedures for principals, the reflection shows school districts are no longer conducting principal evaluations as they were done in the past. Principals perceived the faults in their evaluation procedures to be: (1) lack of association with school performance; (2) lack of association with teaching staff evaluation; (3) the principal feeling not part of the evaluation procedure; (4) the choice of a checklist as the sole evaluation procedure; (5) lack of clear role and job responsibilities; (6) lack of linkage to professional development; (7) concise job expectations lacking.

The literature reported that school districts across the country are now utilizing an array of evaluation procedures, which represent significant changes from past evaluation procedures. The first change was noted in the scope and sequence of this array of current principal evaluation procedures ranges, which encompasses very basic evaluation procedures to complex evaluation procedures with monetary compensation. A second change from past evaluation practices noted was in the number of individuals participating in the evaluation procedure, ranging from one to a group. These changes in principal evaluation procedures represent giant steps by school districts in providing assistance to principals in increasing the learning of all students.

The purpose of this part of the literature review is to present a rationale for placing the responsibility for increasing student learning at the core of principal evaluations. First, the principal's role in increasing student learning is highlighted. Second, the association between student achievement and principal evaluation is explained.

The Principal's Role in Increasing Student Learning

According to Smith and Andrews (1992) during the past ten years the principal's role has been defined by the degree to which the students in their respective schools have achieved academically. In the late 1970s and early 1980s, the Effective Schools Movement as described by Ravitch (1985)

> ...identified with the characteristics set out in the writings of Ron Edmonds. Edmonds identified schools where academic achievement seemed to be independent of pupil's social class, and he concluded that such schools had outstanding principals, high expectations for all children, an orderly atmosphere, a regular testing program, and an emphasis on academic learning. (p. 276)

Smith and Andrews (1992) support Ron Edmonds Effective Schools Movement in suggesting that the principal's daily activities have great influence over teacher's behavior and the principal's management style measurably influences the learning environment.

Tyler (1989) states,

> The role of the principal in promoting student learning is that of the stimulator of teachers and parents in assisting in the identification of the serious education problems that the school is encountering in its effort to

educate all students. The principal's role is then to develop and implement solutions to these problems. Leading the problem solving process is a major task for the principal. (p. 74)

Allison and Allison (1993) investigated how both attention to detail and taking a broad view of a case problem were associated with the judged quality of response. They concluded that effective problem solving requires in-depth understanding of important details. The development of good problem solving skills requires more than on-the-job experience. Tyler (1989), consistent with the work of Allison and Allison (1993) advances specific principal leadership qualities to improve student learning:

- Understanding and commitment to mission.

- Focus on significant problems.

- Problem analysis.

- Creating conditions for effective learning.

- Searching for solutions.

- Developing the plan.

- Developing a schedule for implementation.

- Setting goals.

- Assessment of progress (p. 64)

Marks et al. (1971) provides further explanation of the responsibility of the principal in improving student learning further by distinguishing between supervisory and administrative functions in analyzing the purpose of the principal's activities. He believes that supervisory activities should result in the improvement of instruction. However, administrative activities are not primarily related to the improvement of instruction. The work of Ron Edmonds in the Effective schools research supports the premise that

principal leadership factors can directly influence the academic achievement of students.

Three perspectives on the principal leadership factors the influence student achievement

from educational practitioners including Ron Edmonds are detailed in Table 2:

Edmonds and Purkey and Smith are in agreement that leadership qualities

influence student achievement, while Stedman doesn't include this quality. Edmonds

includes the expectation level as a contributing factor to student achievement, while

Purkey and Smith aren't in agreement. Stedman alone touches upon ethnic and racial

pluralism.

Table 2

Principal Leadership Factors Influencing Student Achievement

Edmonds[11]

Strong principal leadership
High expectations for student
achievement
Emphasis on basic skills

Orderly environment
Frequent and systematic
evaluation of students

Purkey and Smith

Strong instructional leadership
School site management
Planned and purposeful curriculum
Staff stability
Staff development
Time on task
Recognition of academic success

Collegial and collaborative planning
Sense of community
Parental support and involvement
District support
Orderly climate
Clear goals and high expectations

Stedman

Ethnic and racial pluralism
Parent participation
Shared governance
Academically rich programs
Skilled use and training of teachers
Personal attention to students
Student responsibility
Accepting and supportive environment
Teaching aimed at preventing
academic problems

Note. From "School effectiveness
and principal productivity" by
J Fredericks and Brown, 1993,
NASSP Bulletin, p. 13.

48

Keller (1998), in comparing a number of research studies on the principal's role in relationship to teaching and learning, suggests the relationship between school leadership and achievement has been clarified by researchers, as recent studies suggest. Researchers examined principal efforts to influence teacher behavior, and whether or not their attempts to influence behavior had an affect upon student achievement. The characteristics identified for principals, that are representative of this leadership profile are:

- Recognizes teaching and learning as the main business of a school.

- Communicates the school's mission clearly and consistently to staff members, parents, and students.

- Fosters standards for teaching and learning that are high and attainable.

- Provides clear goals and monitors the progress of students toward meeting them.

- Spends time in classrooms and listening to teachers.

- Promotes an atmosphere of trust and sharing.

- Builds a good staff and makes professional development a top concern.

- Does not tolerate bad teachers (p. 26).

Sinclair and Ghory (1997) state "student learning emerges when educators join in a carefully considered process of collaborative inquiry aimed at discovering learning problems, designing and testing optional solutions, and assessing the progress" (p. 118). "Collaborative inquiry," the writers describe as a representative group of the school community, that is, teachers, parents, and the principal, in an autonomous manner discuss student growth, gather key concerns for improvement, plan and implement resolutions, and observe outcomes. Comer (1991) describes the School Development

Program in which the "collaborative decision makers" are a representative group of the school community, that is, teachers, parents, the principal, which supports Sinclair and Ghory (1997). Comer (1991) believes that the School Development Programs strength is in utilizing the aptitudes and concentrations of the membership. He provides further explanation of the role and responsibilities of "collaborative decision makers." Comer (1991) asserts that "collaborative decision makers" develop guiding principles, practices, and plans that have great influence over the learning and social environment in schools.

Duke and Iwaniki (1992) conclude in their study of role theory that principals, in performing their job-related duties in schools, are "role players" in a "role set" (p. 30). The principal, as a member of the school community, along with parents and teachers, has responsibilities in creating conditions to help children learn well. This view is supported by Tyler (1989) and Keller (1998).

Leithwood et al. (1993), Hallinger and Heck (1997), and Synder and Ebmeier (1993) present arguments regarding the leadership of the principal influencing academic achievement of students. Leithwood et al. states "the influence of student background is so strong, it accounts for most of the variability of student achievement across the country" (p. 1). Hallinger and Heck (1997) suggest that other factors such as socioeconomic-economic make-up of the student population of the school affect the principal's manner of leadership. Synder and Ebmeier (1993) note,

> Principals typically have discretionary control over less than 10% of their
> can only employ teachers recommended from a pool preselected by the
> central personnel office, have district adopted curriculum and instructional
> standards and expectations, are bound by historical customs such as
> grouping students chronologically for instruction, can only employ
> personnel that graduate from teacher's colleges and who are state certified
> and so forth. If principals were afforded more control over input variables
> such as staff selection and budget authority and if school outcomes were
> clearly defined, then principals might have more control over achievement

and affective attitude variance and could more reasonable be held accountable for student outputs (p. 101).

<u>The Relationship between Student Achievement and Principal Evaluation</u>

The relationship between student achievement and principal evaluation is advanced by viewing principal evaluation through the lens of the performance indicators, referenced in the literature as performance criteria, performance domains, performance expectations and dimensions of effective principal leadership. Weller, Buttery and Bland (1994) identify seven dimensions of effective principal leadership, which were culled from the research on school leadership: curriculum, student performance, supporting teachers, student achievement, communicating effectively, instructional environment, and improvement plans. Student achievement was noted to be a strong performance indicator on principal evaluations. Duke and Striggins (1985) asked principals about the evidence used in evaluating their performance. They found that school-wide achievement data, with an 11% response from elementary principals, was not ranked as the most important evidence used in evaluating their performance but was ranked as a "crucial component" in the evaluation of elementary principals. Herman and Herman (1995) describe Critical Success Factors. The Critical Success Factors are selected principal's job responsibilities, which are linked to evaluation and an improvement plan. In selecting student achievement as a critical success factor, the principal will work with teachers to develop new instructional delivery systems in order to improve deficiencies that were identified in student assessments. Clayton-Jones et al. (1993) examined principals' perceptions on the dimensions of performance appraisals. In response to the

importance of a set of performance indicators, 86% of principals, selected recognition of student achievement effort as the most important performance indicator.

In the literature review conducted for this study a contradictory finding was reported in a study, which sampled principals from public and private schools. This study was conducted by the National Center for Education Statistics at the U.S. Department of Education and reported by Rallis and Goldring (1993). In response to the question, "how much influence do you feel each of the following factors has upon how your performance is evaluated by your superiors?" (p. 19), principals rated the following in order of importance: efficient administration, good disciplinary environment, parent, or community reaction and student performance on standardized tests or college admission, as the least important. Alkire's study (1995) examined the selection criteria, screening procedures, and factors related to the rejection of candidates for elementary school principalship, Alkire concluded that leadership skills and human resource management were the most important characteristics for new principals, which supports the study by the National Center for Education Statistics. Student performances on standardized tests were the least important of the four performance indicators.

Coutts (1997) defines performance standards for school administrators by identifying six dimensions adopted from the Interstate School Licensure Consortium: vision of learning, school culture and instructional program, management, collaboration with families and the community, acting with integrity, fairness and ethics, and political, social, economic, legal and cultural context.

Fletcher and McInerney (1995) referenced and defined twenty-one principal performance domains: leadership, instructional program and the learning environment, judgment, motivating others, organizational oversight, public and media relations, staff

development, implementation, information collection, problem analysis, oral expression, student guidance and development, curriculum design, delegation, measurement and evaluation, sensitivity, legal and regulatory applications, policy and political influences and philosophical and cultural values. In this study, superintendents were asked about the performance domains they considered to be most important to a principal's success and whether the performance domains were included in principal evaluation instruments. Fletcher and McInerney (1995) findings identified leadership (96% response), instructional program and learning environment (96% response), motivating others (94% response) and judgment (58% response). Measurement and evaluation scored in the bottom fourth of all rankings, with 53% of the superintendents responding stating that their current evaluation system assessed this domain. However, 71% of the superintendents responded with measurement and evaluation being critical criteria to be considered in the evaluation of principals.

The Charlotte-Mecklenburg Schools (CMS) in North Carolina as reported by Murphy and Pimentel (1996) has adopted a performance incentive evaluation procedure, which rewards principals for success in meeting "benchmark goals of achievement." This tool

> ...works on a carefully calibrated point system. Data on academic outcomes and results from teacher, parent and student surveys regarding the principal's performance make-up the bulk of the points. The better the results the higher points the principal earns. The plan gives heavy emphasis to student progress and the extent to which school benchmark goals are met. To top it off, facility reports, financial and program audits, data on personnel management, and other information collected at the central office level are factored into the mix. (p. 75)

Parents, teachers and students are surveyed using selected principal performance indicators. On the parent survey the performance indicators are, school discipline/

school climate, community and parent involvement, effective instruction, and school administration. The teacher survey lists the following proficiencies, school discipline and student behavior, management of school resources, open and supportive leadership, instructional leadership, and student outcomes and staff morale. The principal performance indicators on the student survey are student discipline and student behavior, high expectations, professional school climate, effective instruction, and community and parent involvement.

Stufflebeam and Nevo (1993) contend "superintendents and others who evaluate the adopted principal performance proficiencies recommended by the Joint Committee on Standards for Educational Evaluation." The principal proficiencies promote and support the educational development of each student, school climate, improving instruction, personnel management, administration and fiscal facilities management, student management, school/ community relations and professional growth and development. Fontana (1994) reviews the Assessment of Leaders developed by the DeKalb County School District. This tool lists eight principal competencies: relating to other people, communicating effectively, making decisions, planning and organizing, supervising and evaluating, professional growth, protecting time on task for teachers and students, holding high expectations of students and teachers. The Excellent Principal Inventory reported in the literature by Anderson and Lumsden (1989) is a principal evaluation procedure developed by Bell South Corporation. This principal evaluation procedure has five principal proficiencies which are; student success, teaching and learning, the school staff, innovation and leadership. These five principal proficiencies are delineated into 89 specific principal behaviors which depict the roles and

responsibilities of principals. Table 3 is a summary of the principal evaluation studies reported in this study.

Edmonds and Purkey and Smith are in agreement that leadership qualities influence student achievement, while Stedman doesn't include this quality. Edmonds includes the expectation level as a contributing factor to student achievement, while Purkey and Smith aren't in agreement. Stedman alone touches upon ethnic and racial pluralism.

Sinclair and Ghory (1997) propose five principles that could be useful guidelines to assist the evaluation and decision-making process that will help students to be successful in school. The first principle for consideration is the establishment of learning priorities, agreed upon by parents, teachers, and principals. These priorities should be school and community specific. A second principle for consideration is school staff should maximize their abilities to evaluate the advancement toward the learning priorities identified. In relating this to the evaluation of principals, this information would be a resource concerning possible changes that would improve student learning and professional development. The third principle is desired learning should be linked to evaluation, and the appraisal process should include learning outcomes. Therefore, the evaluation of principals should be linked to the nature of a principal's work, improving student learning. In order to exhibit their acquired learning skills, students need to be able to be presented with a variety of realistic situations is reported as the fourth principle. In relating this principle to the evaluation of principals, the nature of a principal's work provides numerous opportunities for demonstration of leadership capabilities. The fifth principle suggested by Sinclair and Ghory (1997) is student

Table 3

Principal Evaluation Studies: Summary of Findings

Study	Purpose	Sample	Instrument	Findings
National Center for Education Statistics (1984)	Examined principals' views on their evaluation performance criteria	358 public school principals	Survey	Student academics was rated last in a list of four performance criteria
Duke, D. L., & Striggins, R. J. (1985)	Examined strengths and weaknesses in current principal evaluation	30 elementary principals, 30 secondary principals, 30 supervisors	Survey	Respondents agreed the purpose of principal evaluation to be improvingperformance and to promote professional development
Harrison, W. C., & Peterson, K. D. (1986)	Examined the components and implementation of a state mandated evaluation system for principals	200 principals and 142 superintendents	Questionnaire	Inconsistencies develop when the evaluation is statewide.
Harrison, W. C., & Peterson, K. D. (1987)	Investigated the ways principals; satisfaction with the evaluation process is related to assessing performance, the criteria and the data sources	200 principals	Questionnaire	Satisfaction with the evaluation process is related to principal performance. Nine evaluation expectations and the criteria for principal evaluation were identified.
Weiss, K. (1989)	Developed the Administrative Appraisal Process and the Performance Rating Scale	8 superintendents, 37 principals	Questionnaire Interviews	Created a forum for superintendents and principals to dialogue and collaborate on improving principal performance.
Duke, D. L., & Iwanicki, E. (1992)	Studied fit as a leadership property and in relation to assessment of principals	18 assistant superintendents & superintendents	Interview	Perceptions of "fit" are an integral part of principal assessments, originating from a variety of sources and focusing on a variety of district concerns.
Williams, J., & Pantili, L. (1992)	Investigated the criteria used for evaluating leadership potential	ERIC database, dissertation abstracts, NASSP international studies and professional references	Interview Observation and simulations	A revision of current preparation and assessment programs to reflect performance expectations in principal selection.
Allison, D. J., & Allison, P.A. (1993)	Studied the association of attention to detail and broad view of a presented problem with the quality response.	8 elementary school teachers	Case study	The development of the ability to see both the broad context and the fine details of a presented problem is related to experience in schools.

Table 3, continued:

Study	Purpose	Sample	Instrument	Findings
Clayton-Jones, L., McMahon, J., Rodwell, K., Bourke, S., & Holbrook, A. (1993)	Studied principal response to a principal performance procedure	122 elementary and secondary principals	Questionnaire	Principals gave positive feedback to the process of evaluation, if the purpose is professional development.
Glasman, N. S., & Martens, P. A. (1993)	Investigated the use of personnel evaluation standards in principal assessment, focusing on evaluation by subordinates.	27 district superintendents, elementary and secondary school principals	Interview	Several personnel evaluation standards are used in assessing principals but differences are showing in the extent of usage among the standards.
Marlow-Inman, L., & Atkinson, J. (1993)	Studied teacher and principal perceptions on evaluating school administrators	217 teachers and principals	Perceived Performance Inventory	Teachers rated principals above average in the skills to be effective leaders. Self evaluation and teacher evaluation with professional development would help principals to determine areas of strength and weakness to enhance leadership skills.
Snyder, J., & Ebmeier, H. (1993)	Examined principal behaviors and their effect on organizational outcomes.	Teachers, students, & parents from 30 schools	Questionnaire	Principals can be evaluated directly in terms of their effects on teachers bur indirectly for their effects on students and parents.
Weller, L. D., Buttery, T. J., & Bland, R. W. (1994)	Investigated the perception of teachers evaluating principal performance	Teachers, principals, and superintendents	Questionnaire	Teachers view themselves as capable of evaluating principals
Alkire, P. (1995)	Studied the selection criteria, screen procedures, and factors related to rejecting candidates	78 superintendents	Survey	Most important theme in all three areas was leadership skills and resource management
Fletcher, T. E., & McInerney, W. D. (1995)	Studied the performance domains superintendents considered to be the most important to the success of principals and determine the performance domains inclusiveness in principal evaluation.	144 superintendents	Questionnaire	Twenty-one performance domains identified by the National Policy Board of Educational Administration were key criteria in the evaluation of principals.

Table 3, continued:

Study	Purpose	Sample	Instrument	Findings
Coutts, J. D. (1997)	Examined the extent to which failed principals showed deficiencies in meeting national standards	283 superintendents	Survey	National standards can be valid measures of principal performance.

learning improvement should be the end result of the evaluation process. In the evaluation of principals, the results should identify strengths and weaknesses, and also offer an increased and more definitive prescription for student learning improvement at schools and in the community.

Summary

This section presented a rationale for the principal's role in increasing student learning. The major job responsibility of the elementary school principal is to improve student learning. Evaluation in this study is the procedure for judging the effectiveness and quality of an elementary principal's performance of tasks and skills. Consequently, the improvement of student learning and principal evaluation are inherently linked. The literature presents a spectrum of principal performance indicators that are principal qualities of representative leadership profiles that foster the improvement of student learning. However, the issue of selecting student achievement as performance criteria on principal evaluation continues to be a source of controversy among educational practitioners.

<u>Closing</u>

The literature review provides a conceptual base that frames the research questions and the direction of the study. This review of literature was presented in four parts. First, the historical perspective of the roles and responsibilities of the elementary principal was presented. This first section of the review presents the historical periods in the development of the principal's roles and responsibilities. The inference from this first section is that the roles and responsibilities of the principal have changed significantly from very basic beginnings into the megademensional school leader of today. Second, the rationale for the importance of evaluating elementary principals is explained. In this section, professional growth and development emerge as the rationales for principal evaluation procedures. The principals' perspective on the deficiencies in their evaluation procedures is advanced. Third, an analysis of contemporary procedures for evaluating elementary principals is detailed. This third section of the review suggests that past principal evaluation procedures have been recognized by school districts as outmoded. Currently, school districts are utilizing an array of innovative evaluation procedures, differing in scope and sequence. Fourth, the relationship between student achievement and principal evaluation is presented. This final section advances the relationship between the improvement of student learning and principal evaluation through the lens of the specific performance indicators, referenced in the literature as performance criteria, performance domains, performance expectations and dimensions of effective principal leadership.

The next chapter of this study will present the design of the study and the method used to obtain the data to answer each research question. The purpose of this chapter is

to provide information about the development, interviews and the procedures for data collection.

CHAPTER 3

RESEARCH PROCEDURES

This chapter describes the methodology employed to realize the purpose of the study. The methodology uses an interview questionnaire developed by the researcher to determine (a) how elementary principals are evaluated; and (b) the extent to which evaluation is considered a means for elementary school principals to improve student learning. The design of this study consists of two parts. First, the general aspects of the design that are applicable to all four research questions are described. Second, the specific aspects of the steps taken to obtain the data to answer each research question are explained in detail.

General Aspects of the Design

The general design is divided into three parts: selection of subjects, instrumentation, and the process of data collection.

Selection of Subjects

The geographical location of the state of Massachusetts was the targeted subject selection area. In Massachusetts there are approximately one thousand one hundred and seventy one (1,171) public elementary schools and the state is divided into fourteen (14) counties which represent urban, suburban, and rural communities. The counties are: Barnstable, Berkshire, Bristol, Dukes, Essex, Franklin, Hampden, Hampshire, Middlesex, Nantucket, Norfolk, Plymouth, Suffolk, and Worcester. The corresponding number of elementary schools in each of the fourteen counties are: Barnstable, thirty-six

(36); Berkshire, thirty one (31); Bristol, one hundred and twenty (120); Dukes, one (1); Essex, one hundred forty one (141); Franklin, thirty one (31); Hampden, eighty six (86); Hampshire, thirty five (35); Middlesex, two hundred and thirty (230); Nantucket, one (1); Norfolk, one hundred and seventeen (117); Plymouth, eighty seven (87); Suffolk, ninety three (93); and Worcester, one hundred and sixty two (162).

One thousand one hundred elementary principals (1100) are members of the Massachusetts Elementary Principals Association (MESPA). MESPA was founded in 1926 and is the largest professional school administrators' organization in the state. MESPA promotes innovative approaches for improving student learning and quality professional development experiences for elementary principals. The elementary schools administered by individuals who are members of MESPA reflect the organizations policies and practices.

This researcher selected principals for participation in the study using the following criteria, active membership in MESPA, geographical location, rural, suburban or urban, the grade level, and student enrollment. A letter of introduction was sent to elementary principals meeting the participation criteria by the researcher.(Appendix A) The letter explained the study in detail, requested participation, specified confidentiality, and indicated that the interview would last for approximately 30 minutes. The researcher followed up with an introductory telephone call to determine the status of the principal's participation in the study. If the principal chose not to participate in this study, the researcher sent a letter of introduction to alternate schools that met the participation criteria, followed by the introductory telephone call. The researcher followed the steps outlined above until the sample number of fourteen participants was reached.

The demographic location of the selected fourteen elementary principals are as follows, rural, 3 of 14, 21%; urban, 5 of 14, 36%; suburban, 6 of 14, 36% (see Figure1).
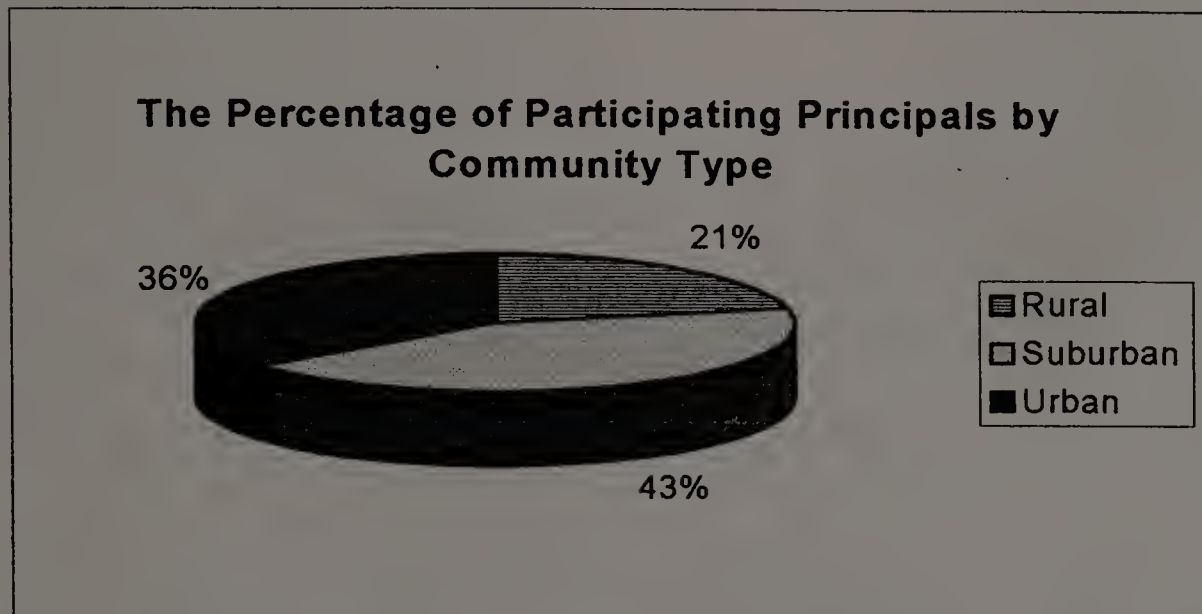
Figure 1. The Percentage of Participating Principals by Community Type

The number of principals selected from each of the fourteen counties in the state of Massachusetts are: Barnstable, 1; Hampden, 9; Hampshire, 2; Middlesex, 1; and Worcester, 1.

The fourteen elementary principals selected represent Prekindergarten - Grade 4, Kindergarten - Grade 4, Prekindergarten- Grade 5, Kindergarten-Grade 5, Prekindergarten -6, Kindergarten- Grade 6 schools. The percentage of participating principals by grade level is reported on Figure 2.

The Percentage of Participating Principals by School Grade Level

⊞	PreK-Gr4
☐	K-Gr4
▩	PreK-Gr5
☐	K-Gr5
▤	PreK-Gr6
▨	K-Gr6

14%   7%   7%

30%   21%

21%
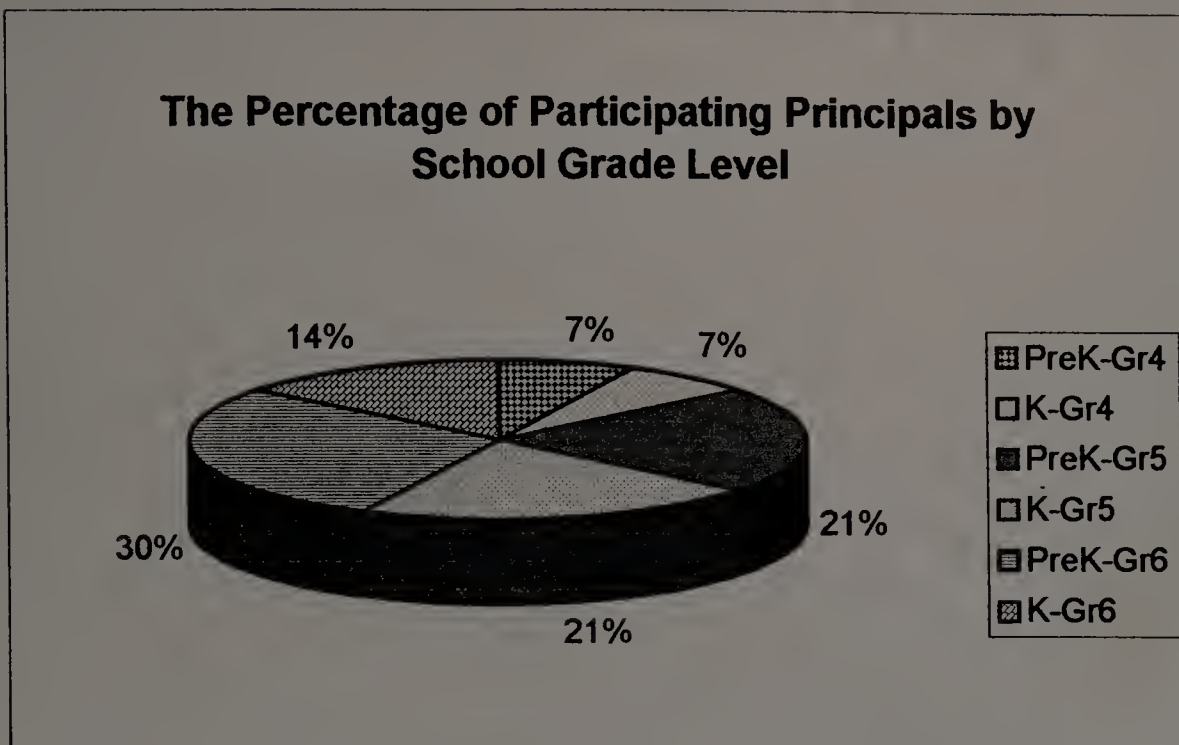
Figure 2. The Percentage of Participating Principals by Grade Level

The student enrollment of the fourteen elementary principals schools

participating in this study are listed as follows, three (3) schools of the fourteen schools

at 200-300 students, 21%; six (6) of the fourteen (14) schools at 300-400 students,

43%; two (2) of the fourteen (14) schools at 400-500 students, 14%; three (3) of the

fourteen (14) at 500+, 21%. The percentages of school enrollment of the participating

principals schools are reported in Figure 3.

The number of principals selected from the MESPA membership roster from

each county are; Barnstable, 1; Hampden, 9; Hampshire, 2; Middlesex, 1; and Worcester,

1. If the selected subjects chose not to participate in the study, the researcher, perused

the MESPA membership roster, selecting other potential participant principals. Once

selected, the introductory letter was sent to the principal and followed by a telephone

The Percentage of Participating Principals by School Enrollment

21% 21%

14%

44%

- 220-300
- 300-400
- 400-500
- 500+
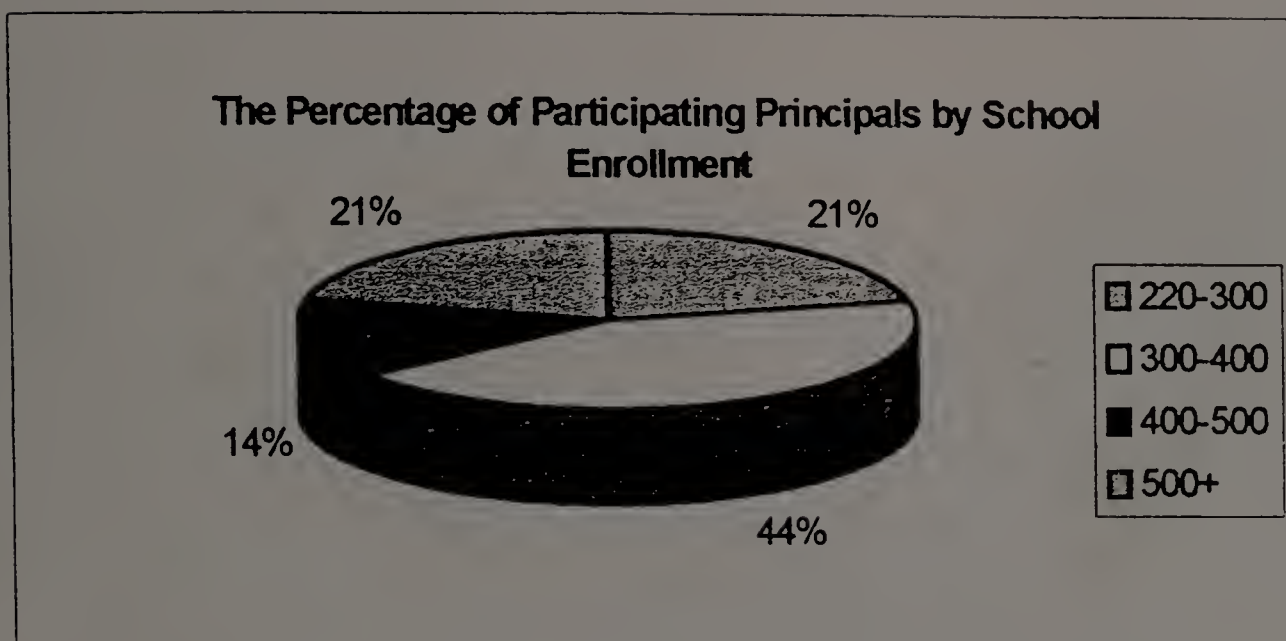
Figure 3. The Percentage of Participating Principals by School Enrollment

call. This procedure was followed until the number of fourteen participants was reached, so the study would reflect the geographical diversity in the state of Massachusetts.

Instrumentation

A letter of introduction (Appendix A) was sent to elementary principals of schools, who met specific criteria. The letter explained the study in detail, requested participation, specified confidentiality, and indicated that the interview would last for approximately 30 minutes. The open-ended interview form (Appendix C) was created by the researcher to elicit responses that would determine the nature of the evaluation of these specific elementary school principals and the extent to which evaluation is considered by these specific elementary principals a means for assisting elementary school principals to help students improve their learning. The open-ended interview will ask elementary principals which evaluation procedures are used by their

public school systems to evaluate their effectiveness, the individual(s) responsible for conducting principal evaluations and the relationship of principal evaluation to the improvement of student learning. The open-ended interview will allow the participants as much latitude as possible in furnishing their own interpretations. The interview form contains a total number of three (3) open-ended questions, used to provide principals with the freedom to respond in their own words.

Of the three questions, the first was designed to determine the procedures utilized in selected school districts for evaluating principals. The second question was developed to determine the individual(s) who have the responsibility of conducting the evaluation of principals. The third question was designed to determine the principal's perception of the relationship of principal evaluation to increasing student learning.

The procedures and interview format was field tested with 2 elementary principals. This provided an opportunity to test the questions, make necessary adjustments, to determine the clarity of the directions, and to ensure that the questions being asked were understood.

Data Collection Process

In August 1999, a letter was sent to selected elementary principals introducing the researcher, the purpose of the study, and requesting their participation in the study. (Appendix A). The researcher followed up with an introductory telephone call to determine the selected elementary principals' participation. At the convenience of the participating principal, the interview was scheduled. The interviews were conducted at the participating principals' schools, at their convenience, usually before or after regular school hours. The location for the interviews was chosen by the participating principal .

66

The majority of the interviews were conducted at the school sites, in the office of the participating principal. Each selected participant was given a code number from 1 to 14. Participating elementary principals were asked to sign a consent form. (Appendix B).

The researcher used a scripted introduction for the interviews (Appendix C) with the selected elementary principals. Inclusive in the scripted introduction were instructions that the interview would take no longer than 30 minutes and would be audio taped.

The interviews were transcribed. Transcriptions were read by the researcher and two other readers, who were aware of the purpose of the study. The two readers were practicing elementary principals who were not participants in this study. The readers underscored sections of each transcript that was relevant to the evaluation of elementary principals as related to the improvement of public schools. Marked sections of the interviews were categorized and included in the results of the study.

The researcher asked the participating principals for documentation of their district's evaluation procedure. The documented evaluation procedures from the selected school districts were reviewed. Patterns found in the documented evaluation procedures were included in the results of the study.

Specific Aspects of the Design

In the second part of the design for the present study, the specific approaches used to obtain the data to answer each research question are explained. Each question is stated and the specific steps taken to answer the question are detailed.

Research Question #1

What evaluation procedures do selected public schools use to evaluate the effectiveness of public elementary principals? On interview questionnaire, Question #1 was developed in two parts. The first part of Question #1, on the interview questionnaire, "Does your district have procedures for evaluating principals? asked the principals to respond in two categories, Yes and No. The Yes response indicated the school district employing principal evaluation procedures and the No response, negating the school district employing principal evaluation procedures. The number of responses for each category was totaled and the percentage was calculated. The percentage of principals responding in each category was entered into the computer database and reported in pie graph form. The second part of Question #1, on the interview questionnaire, "If so, would you explain the procedures used in your evaluation?" asked the participating principals to respond to an open ended question, explaining the procedure utilized in the school district to measure their job public school system's evaluation procedures of elementary principals. The participating principals responses to the question were tape recorded and transcribed. The responses were disaggregated by the participating principals' numbers, one through fourteen. The researcher looked for patterns among the evaluation procedures reported and similar evaluation procedures were grouped into categories. Tables and pie graphs are used to illustrate the reported evaluation procedures and the percentage of principals that responded in each category.

The researcher asked the participating principals for documentation of their school districts evaluation procedure. The researcher examined the documented evaluation procedures and connections to the research questions were noted. A pie graph is used to report the percentage of principals with documented evaluation

procedures. Conclusions were drawn as to the genre of evaluation procedures being utilized in selected school districts for elementary principals that would improve students learning.

Research Question #2

What similarities and differences in procedures do varied public school systems use to evaluate the effectiveness of elementary school principals? The second part of one interview question was developed in conjunction with documented evaluation procedures to gather data regarding the similarities and differences in principal evaluation procedures. The participating principals responses to the question were tape recorded and transcribed. The second part of Question #1, on the interview questionnaire, "If so, would you explain the procedures used in your evaluation?" asked the participating principals to respond to an open-ended question, explaining the procedure utilized in the school district to measure their job performance. The responses were disaggregated by the participating principal's numbers, one through fourteen. The researcher looked for similarities and differences among the evaluation procedures. The similarities and differences in the evaluation procedures were noted and grouped into categories. A table was used to illustrate the similarities and differences in principal evaluation procedures. The researcher asked the participating principals for documentation of their evaluation procedure. The number of principals responding with documented evaluation procedures was totaled and the percentage was calculated. The number of principals with no documented evaluation procedures was totaled and the percentage was calculated. The percentages of principals with documentation and with no documentation was entered into the computer database and reported in pie graph

form. Conclusions were drawn regarding the similarities and differences of evaluation procedures for elementary principals that would most likely increase student learning.

Research Question # 3

What ways do teachers in selected public schools use to evaluate elementary principals? One question, with two parts was developed to gather data regarding the involvement of teachers in the evaluation of principals. The first part of Question # 2, on the interview questionnaire, "As a principal, who do you think should conduct your evaluation, the Superintendent, teachers, students, parents or central office administrators?" asked principals to respond to a question in which they identify a person(s) with the responsibility for conducting their evaluation. The five persons identified in Question #2 on the interview questionnaire, were selected from literature and research studies on evaluation. The number of categories totaled five, one category for each person listed. The number of principal responses for each category was totaled and the percentage was recorded. The percentages for each of the five categories was entered into the computer database and reported in pie graph form. The second part of Question #1, on the interview questionnaire, "Why?" which is open ended, asks principals to state the reasons for their choice of the person responsible for their evaluation and to elaborate on the role responsibilities of that particular person in the evaluation procedure. The responses were disaggregated by the participating principals numbers, one through fourteen. Responses were examined by the researcher and patterns and connections between the responses were noted. Similar responses were grouped into categories. The responses are listed and reported in narrative form.

Conclusions were made as to the roles and responsibilities of participant parties in the evaluation of principals.

Research Question #4

How are evaluations of elementary school principals in selected public schools used to improve student learning? On the interview questionnaire, Question # 3 was developed in two parts to gather data regarding the relationship principal evaluation to improving the academic performance of students. The first part of Question # 3, on the interview questionnaire, "Generally speaking, is principal evaluation linked to the improvement of student learning?," asked the principals perspective on the linkage of their own principal evaluation to increasing student learning, utilizing two categories, Yes and No. The "Yes" response indicated the linkage between principal evaluation and increasing student learning. The "No" response indicated the principal perceived no linkage between their own evaluation and increasing student learning. The number of responses for each category was totaled and the percentage was calculated. The percentage of principals responding in each category was entered into the computer database and reported in pie graph form. The second part of Question # 3, "How?" on the interview questionnaire asked principals to respond to an open-ended question, explaining the relationship between principal evaluation and increasing student learning. The responses were disaggregated by the participating principals' numbers, one through fourteen. The researcher examined the principal's responses and looked for patterns among the responses which were noted. The responses are reported in narrative form. Conclusions were drawn as to the dimensions of the relationship between principal evaluation to the improvement of student learning.

Closing

This research study was divided into two analogous parts. First, the common aspects of the design which apply to all four research questions guiding the study were described. Second, the methodology which describes the specific steps taken to obtain the data to answer each research question was explained. In the next chapter of this study, the data obtained is examined and analyzed following each research question.

CHAPTER 4

ANALYSIS AND FINDINGS OF DATA

In this chapter, the data collected are presented and analyzed. The chapter is divided into two major parts: part one, the description of the sample, and part two, the research questions. In part one, which provides an overview of the demographic data, tables and figures are used to display data generated by each question and the demographic data are summarized.

In part two, the four research questions that guide this study provide the organizing framework. Tables and figures are used to summarize data for research questions. A summary of the findings concludes the chapter.

Description of Sample

A total of fourteen (14) public elementary school principals out of a possible eight hundred and seventy six (876), or two percent (2%) participated in this study. The number of participants in each of the fourteen (14) geographical locations across the state are listed as follows: Barnstable, 1 of 14 (7%); Hampden, 9 of 14 (64%); Hampshire, 2 of 14 (21%); Middlesex, 1 of 14 (7%); and Worcester, 1 of 14 (7%).

The elementary principals selected represent Prekindergarten - Grade 4, 1 of 14 (7%); Kindergarten - Grade 4, 1 of 14 (7%); Prekindergarten- Grade 5, 3 of 14 (21%); Kindergarten - Grade 5, 3 of 14 (21%); Prekindergarten - Grade 6, 4 of 14 (29%); Kindergarten- Grade 6, 2 of 14 (14%) (see Figure 2).

The demographic location of the fourteen participant schools are listed as follows, rural, 3 of 14, 21%; suburban, 6 of 14, 43%, urban, 5 of 14, 36% (see Figure 1).

The gender of the fourteen elementary principals participated in this study are six (6) or 43% female; eight (8) or 57% male. The student enrollment of the fourteen elementary principals schools participating in this study was listed as follows, 3 of 14 at 200-300, 21%; 6 of 14 at 300-400, 43%; 2 of 14 at 400-500, 14%; 3 of 14 at 500+, 21%(see Figure 3).

Research Questions

Research Question # 1

What evaluation procedures do selected public schools use to evaluate the effectiveness of public elementary principals? A majority of the participants, twelve elementary school principals (12), eighty-six percent (86%) reported their school districts utilizing evaluation procedures, while two (2) participants, fourteen percent (14%) reported that their school districts do not have evaluation procedures to judge their effectiveness. Figure 4 reports the percentage of principal's response to the question of the selected school districts utilizing evaluation procedures for principals.

Participating elementary principals were asked to provide the researcher with documentation of their school district's evaluation procedure. The review of literature Glasman and Martens (1993) and Rallis and Goldring (1993) reported a limited number of school districts having documented evaluation procedures. This is supported by the finding of three principals (3), twenty one percent (21%) out of the fourteen, who

The Percentage of Participating Principals' Responses to School Districts Equip with Evaluation Procedures

14%

□ Yes
■ No

86%
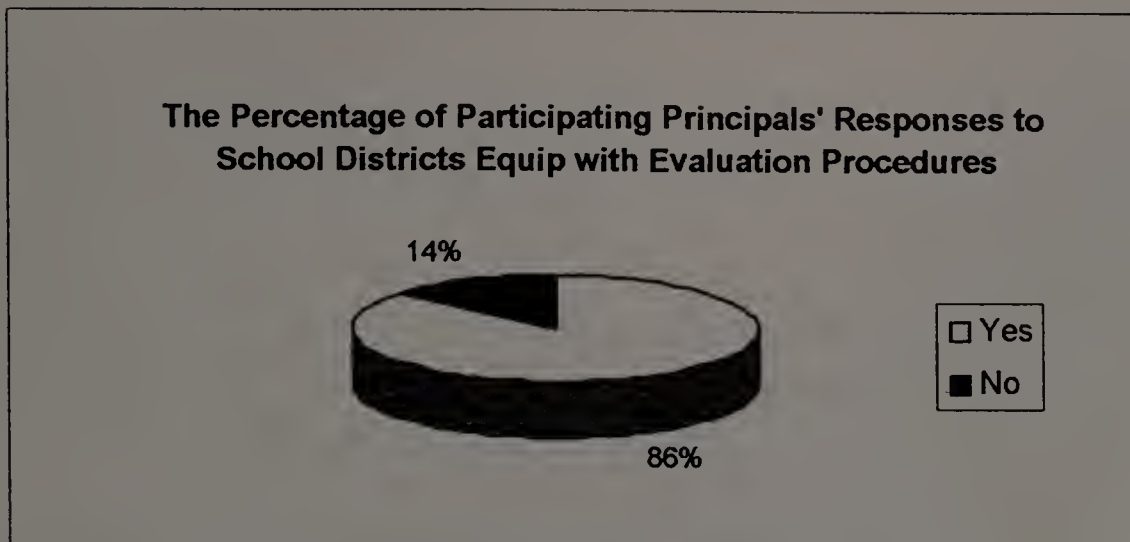
Figure 4. The Percentage of Participating Principals' Responses to School Districts Equipped With Evaluation Procedures

provided the researcher with documentation of their school districts evaluation

procedure, as shown in Figure 5.

The Percentage of Participating Principals' Responses to School Districts Equip with Documented Evaluation Procedures

21%

■ Yes
□ No

79%
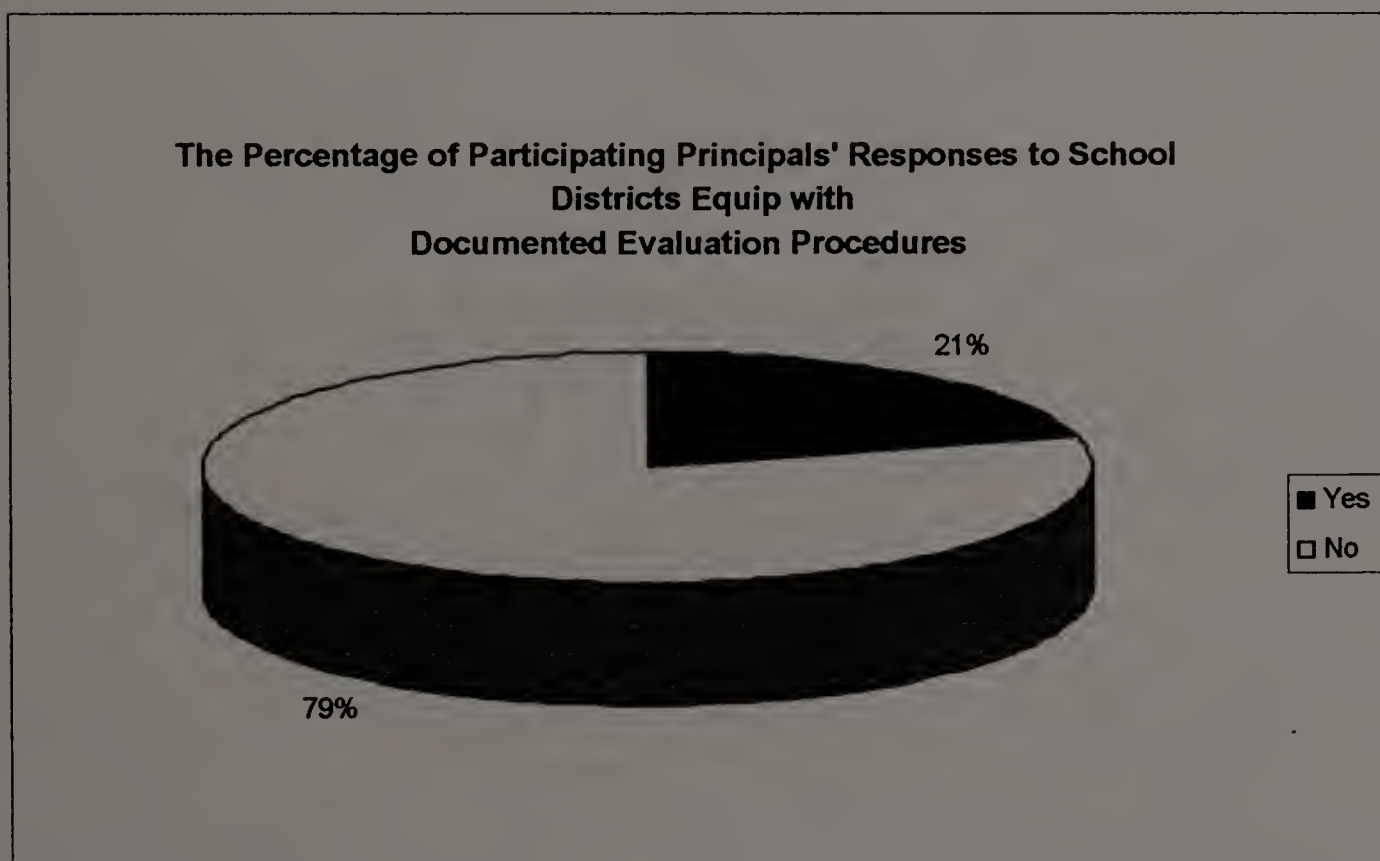
Figure 5. The Percentage of Participating Principals' Response to School Districts Equip with Documented Evaluation Procedures

Participants were asked to explain the procedures used in their evaluation. All participants who indicated their school district utilizing evaluation procedures provided answers describing the evaluation procedures. Examples of responses given by participating principals in this research are quoted below:

- "There was a tool that was revised about three years ago."

- "We have a procedure"

- "My former superintendent had a very simple, valuable process"

- "When, I was first hired, there was a fairly standard form for evaluating principals."

In the literature review, Harrison and Peterson (1998) indicated that principals lacked a clear understanding of their evaluation criteria. This premise is contradicted by the data collected, which indicated that the participating principals were informed and knowledgeable about their school districts evaluation procedures. Brown et al. (1998) in reporting principal concerns about their evaluation procedures, also support the data in that the principals were knowledgeable of their school district's evaluation procedures.

The evaluation procedures identified in the literature are paper and pencil tests, assessment centers, school leadership licensure assessment, portfolios, yearly goals, self assessment, team evaluation and peer evaluation. When asked to describe their evaluation procedures, the largest number of principals, eight (8), fifty seven percent (57%) described their evaluation procedure to be the attainment of yearly goals either alone or in conjunction with an additional evaluation instrument. Participating principal's responses are quoted below:

- " My former superintendent had a very simple, valuable process. We would meet at the beginning of the year and we would do what we talked about this morning, we would establish goals."

- "The superintendent calls you in, talks about goals"

- There was a fairly standard form of evaluating principals. Goals were discussed and written up at the start of the school year..."

- "I submit goals to him at his request and met with him to review the goals."

- "In September or October, what we do is, we setup goals for the upcoming year."

- "The principals identify approximately a half dozen goals or objectives to work on annually."

- "The principals identify approximately a half dozen goals or objectives to work on annually"

- "We meet with the superintendent at the beginning of the year and review our goals for the year."

This finding is supported in the literature by the work of Weiss (1989), Anderson (1991), Glasman and Martens (1993), Murphy and Pimentel (1996), Brown, Irby and Neumeyer (1998), Fletcher and McInerney (1998), and Lashway (1998).

In the literature portfolio is identified as an evaluation procedure. One elementary principal (1), seven percent (7%) identified portfolio as an evaluation procedure. The work of Lashway (1998), Brown, Irby and Neumeyer (1998), and Brown and Irby (1995) supports this finding. School profile was reported as an

evaluation procedure by one (1) elementary principal, seven percent (7%). this finding is supported by the work of Rallis and Goldring (1993).

Data collected revealed the professional development plan as an evaluation procedure, which was identified by two (2) principals, fourteen percent (14%) of the participating elementary principals. The finding of this evaluation procedure is supported in the literature review by Manatt (1997).

Three participating principals, twenty-one (21%), identified self-evaluation as an evaluation procedure that is utilized in their school district. One documented evaluation procedure collected (Appendix I) revealed self-evaluation as a way for the principal's perspective on their job performance for the year to be noted. However, the choice of completing this self-evaluation is optional. A principal who was interviewed reported two evaluation forms, one completed by the superintendent and the other completed by the principal as self evaluation, which are utilized to promote discussion at the evaluation conference. The third principal interviewed reported in the data "I've done my own self-evaluation and sent it over and added to the file". Self-evaluation is supported in the literature by the work of Marlow-Inman and Atkinson (1993); Grier, Reep and Trenta, 1994; Brown et al., 1998).

The checklist evaluation procedure, utilizing a rating system of satisfactory, needs improvement, or commendable was revealed in the data by one (1) principal, seven percent (7%) of the elementary principals. This finding is supported in the literature by the work of Bickel (1995), who suggests a rating scale of letter A to letter D coinciding with the descriptors of poor, fair, average, good and excellent. The data revealed that the use of school profile as a principal evaluation procedure was identified by one (1) principal, seven percent 7%. Principal Eleven stated in the interview,".....here the

78

superintendent has met with all the principals to review test scores, to look at the school climate, to look at the schools population and also give each principal sort of a time line to look at things that need to be done during the school year." The school profile and the school portfolio are identical in scope and sequence. This finding mirrors the school portfolio work of Rallis and Goldring (1993).

Table 4, summarizes the evaluation procedures reported by the participating principals being utilized in selected public elementary schools.

Table 4

Summary of Evaluation Procedures Utilized in Public Elementary Schools

P = Principal	Evaluation Procedure	Checklist	Goals	Portfolio	Professional Dev. Plan	School Profile	Self Evaluation
P 1	Yes	X		X			
P 2	Yes		X		X		X
P 3	Yes		X				
P 4	Yes		X				
P 5	Yes		X				X
P 6	Yes		X				
P 7	Yes		X				
P 8	Yes		X				
P 9	Yes		X				
P 10	Yes		X		X		X
P 11	Yes					X	
P 12	No						
P 13	No						
P 14	Yes		X				

Summary of Evaluation Procedures Used in Public Schools. The majority of the participants' responses indicate that school systems are utilizing evaluation procedures. When given the opportunity, in the open-ended question, principals elaborated on the specifics of their school districts evaluation procedures. However, the literature identified evaluation procedures as a "checklist of skills", "mechanistic procedure," and a

"bland checklist", which does not correlate with the principal's detailed descriptions or documented evaluation procedures.

When asked to provide the researcher with documentation of the school districts evaluation procedure, the principals' response was limited. The majority of the participating elementary principals provided detailed descriptions of their school districts evaluation procedures however only a diminutive number of principals provided documentation of their school districts evaluation procedures. It is reasonable to conclude that in the majority of the selected school districts the evaluation procedures are not documented.

Research Question # 2

What are the similarities and differences in procedures used in selected public schools to evaluate the effectiveness of elementary school principals? Question #1 asked participating elementary principals to describe the evaluation procedure employed by their school districts. The researcher included dialogue from the interviews with the elementary principals participating in this study.

Elementary principals in this study were asked to provide the researcher with documentation of their school district's evaluation procedure. Only three principals, twenty one percent (21%) out of fourteen, provided the researcher with documentation of an evaluation procedure from their respective school district. The lack of evaluation documentation is supported by the work of Rallis and Goldring (1993) and Glasman and Martens (1993).

Data collected revealed six evaluation procedures being utilized in public schools, which are checklist, portfolio, professional development plan, self assessment, school

profile, and the measurement of goals. The largest percentage, sixty-four percent (64%), nine principals described their evaluation procedure as the measurement of the attainment of yearly goals, which is supported in the literature by the work of Weiss (1989), Anderson (1991), Glasman and Martens (1993), Murphy and Pimentel (1996), Brown, Irby and Neumeyer (1998), Fletcher and McInerney (1998), and Lashway (1998). A synthesis of the participating principal's descriptions of this evaluation procedure, revealed the following time line;

Fall - goal setting

Midyear- progress conference

Spring - final review of goals

The work of Weiss (1989) in the literature supports structure of the time line.

Principal Five (Appendix D) and Principal Ten (Appendix E) provided the researcher with documentation of a yearly goals evaluation procedure. Principal Five's yearly goals evaluation procedure is simplistic, while Principal Ten's evaluation procedure is very detailed and inclusive of principal proficiencies which have been adopted by the Massachusetts Department of Education. Principal Ten's evaluation procedure differs in the depth and detail from the other principals who identified the goals evaluation procedure.

Data collected found that only one principal; seven percent (7%) identified checklist and portfolio as their school districts evaluation procedure. This finding is substantiated in the literature review by Fredericks and Brown (1993) in stating," no single instrument, should be the sole basis on which to judge the performance of an administrator." (p.15). Principal One provided the researcher with documentation of the

school district's evaluation procedure (Appendix F). The checklist utilizes the following areas of proficiency;

- Effective Instructional Leadership

- Effective Organizational Leadership

- Effective Administration and Management

- Promotion of Equity and Appreciation of Diversity

- Effective Relations with the Community

- Fulfillment of Professional Responsibilities

- Comments and Recommendations

The data further indicated that the proficiency areas in the documented goals evaluation procedure of Principal Ten (Appendix E) and the proficiency areas in the checklist evaluation procedure of Principal One (Appendix F) are the performance standards for administrators adopted by the Massachusetts Board of Education. The rating system on Principal One's (Appendix F) checklist is; satisfactory, or needs improvement, or commendable, which coincides with Bickel's (1995) checklist rating scale of A-poor, B-fair, C-average, D-good, E-excellent. This checklist evaluation procedure is further supported in the literature by the work of Murphy and Pimentel (1996).

The data showed that the use of a portfolio evaluation procedure, which was identified by two (2) participants, 14%. Principal One (Appendix F) identified the principal portfolio proficiency areas and indicated that the time line of the school year was used to compile the evidence that validates the completed activities and accomplishments. Principal One presents the portfolio to the superintendent, who makes the determination of the effectiveness of meeting the proficiencies. Principal One's

school district's evaluation procedure (Appendix F). The checklist utilizes the following areas of proficiency;

- Effective Instructional Leadership

- Effective Organizational Leadership

- Effective Administration and Management

- Promotion of Equity and Appreciation of Diversity

- Effective Relations with the Community

- Fulfillment of Professional Responsibilities

- Comments and Recommendations

The data further indicated that the proficiency areas in the documented goals evaluation procedure of Principal Ten (Appendix E) and the proficiency areas in the checklist evaluation procedure of Principal One (Appendix F) are the performance standards for administrators adopted by the Massachusetts Board of Education. The rating system on Principal One's (Appendix F) checklist is; satisfactory, or needs improvement, or commendable, which coincides with Bickel's (1995) checklist rating scale of A-poor, B-fair, C-average, D-good, E-excellent. This checklist evaluation procedure is further supported in the literature by the work of Murphy and Pimentel (1996).

The data showed that the use of a portfolio evaluation procedure, which was identified by two (2) participants, 14%. Principal One (Appendix F) identified the principal portfolio proficiency areas and indicated that the time line of the school year was used to compile the evidence that validates the completed activities and accomplishments. Principal One presents the portfolio to the superintendent, who makes the determination of the effectiveness of meeting the proficiencies. Principal One's

portfolio evaluation highlights the principal's yearly activities and accomplishments, which is similar to the principal portfolio evaluation procedure found in the literature. This portfolio evaluation procedure is supported by the work of Brown, Irby and Neumeyer (1998), Lashway (1998), Brown and Irby (1995), Garrett and Flanigan (1991).

Principal Eleven identified school profile as an evaluation procedure which is similar to the school portfolio evaluation procedure found in the literature. The use of test scores as a performance indicator is the most notable similarity. The school profile and the school portfolio evaluation procedures focus on school data such as student achievement while the principal portfolio focus is the principal's yearly activities and accomplishments. The school portfolio is supported in the literature by the work of Rallis and Goldring (1993). In the review of literature the work of Gil (1998), Manatt (1989) are supportive of test scores as evaluation criteria. However, the finding in the study High School and Beyond, reported student performance on standardized tests as the least important influence on how principal performance is evaluated by their superiors. Harrison and Peterson (1986) support this finding in stating," instructional performance is perceived as more important that instructional outcomes."(p. 228)

In the data collected, two principals, 14% out of the fourteen, identified Professional development plan as an evaluation procedure. Principal Two described the procedure as follows, ".....we have a form to fill out which states what our professional development plan is, how we plan on implementing it, how we are going to assess it and what the results are." The time line revealed in the data for this procedure is from spring to spring, which is different from the previously identified evaluation procedures. In the literature, Gil (1998) supports the professional development plan evaluation procedure.

Professional development according to Clayton-Jones, Mahon, Rodwell and Skehan (1993) is the focal point of evaluation procedures, supporting this data.

The second tier of the evaluation procedure identified by Principal Two is self evaluation, which is supported in the literature by the work of Marlow-Inman and Atkinson (1993) and Grier, Reep and Trenta (1994). This finding was directly collaborated by the work of Brown et al., (1998), a four component procedure and a part of the team evaluation procedure. The principals, while analyzing their practices are actually drafting annual goals. Principal Two is asked to develop a professional development plan, analyze leadership practices and skills for the year, completing a self-evaluation to promote discussion with the evaluator at the evaluation conference. However, Principal Five utilizes self evaluation exclusively and provided documentation of this evaluation procedure (Appendix D)

Team evaluation is a principal evaluation procedure supported in the literature by Anderson and Lumsden (1989), Rallis and Goldring (1993), Sinclair and Ghory (1997), Brown et al. (1998), Manatt (1997), and Gil (1998). In the team evaluation procedure, the team consists of members of the school community, i.e., parents, teachers, community members and central office staff. In this team evaluation procedure as reported by Anderson and Lumsden (1989) "...principals distribute the questionnaire to teachers in their schools, peers, and superiors whom "they believe are knowledgeable about their performance, whose opinion they value, and individuals who they believe will provide honest feedback to help in their professional development" (p.23). The team evaluation procedure is not supported by the data collected for this research.

In the literature review conducted for this study, peer evaluation is reported as an principal evaluation procedure being utilized in some school districts, Anderson and

Lumsden (1989), Anderson (1991), and Gil (1998). The peer evaluation procedure is not supported by the data collected for this research.

Summary of the Similarities and Differences in Principal Evaluation Procedures. In response to the open-ended question, the principals responded with explicit descriptive narrative about their school districts evaluation procedures, while three principals provided documentation of evaluation procedures. A synthesis of the data revealed a spectrum of procedures with an array of scope and sequence from a basic checklist with three ratings to the school profile procedure which uses "test scores" as an indicator. All the evaluation procedures revealed in the data are similar in purpose but the differences are in the formats. However, two evaluation procedures have the same proficiency areas, which suggests a uniformity of selected principal leadership proficiencies among school districts. The data revealed only one evaluation procedure with "test scores" as an indicator. The Table 5 summarizes the similarities and differences in principal evaluation procedures reported in this study.

The literature presents arguments on the selection of academic achievement as a performance indicator for principal evaluations.

Research Question # 3

What ways do teachers in selected public schools use to evaluate elementary school principals? Elementary school principals participating in this study were asked to identify the person(s) who should conduct their evaluation, Question #2.

Table 5

Summary of the Similarities and Differences in Principal Evaluation Procedures

	Checklist	Goals	Peer	Portfolio	Prof. Dev. Plan	School Profile	Self Evaluation	Team
Check Rating	X							
Climate Indicator						X		
Consultant								X
Cost Factor								X
Parent Input		X	X					X
Peer Input			X					X
Proficiency Areas	X	X	X	X	X			
Scoring Service								X
Self Assess		X			X		X	X
Student Population						X		
Student Test Data			X			X		
Teacher Input		X	X					X
Timeline		X				X	X	

Participants in this study were provided with a list of individuals, who are central to creating conditions for children to learn, from literature and research studies on evaluation. Participants were also asked to provide the researcher with their school districts documented evaluation procedure.

From the provided list of individuals who should conduct principal evaluations, all the participating principals, 100%, listed the Superintendent as the responsible person to conduct their evaluation. In the literature review, the superintendent is identified as

the person responsible for conducting the principals' evaluations, supported by Harrison and Peterson, 1987; Weiss, 1989; Garrett and Flanigan, 1991; Anderson, 1991; Grier, Reep and Trenta 1994; Fletcher and McInerney, 1995; and Coutts, 1997. Examples of responses given by the participating elementary principals are listed below;

- "The Superintendent is the one we deal with most directly."

- "Every Superintendent I've had and my evaluations have always been good."

- "To chose my evaluation, the Superintendent."

- "Well, I think by law, the Superintendent has to conduct the evaluation."

- "The way it works out here, the Superintendent does it."

- "Personally, I would feel more comfortable, with the Superintendent conducting my evaluation."

- "Legal evaluation process, can be done only by the Superintendent."

- "I think that the Superintendent, he's the one that would judge my performance."

The literature identifies parents as a predominant factor influencing the principalship (Heck and Marcoulides, 1993). This supports the finding of eight elementary principals, fifty seven percent (57%) responded with parents as being part of the evaluation process. Figure 6 reports the percentage of principal's response to parents input in principal evaluations.

The Percentage of Participating Principals' Responses to Parent Input in Principal Evaluation

43%

57%

☐ Yes
■ No
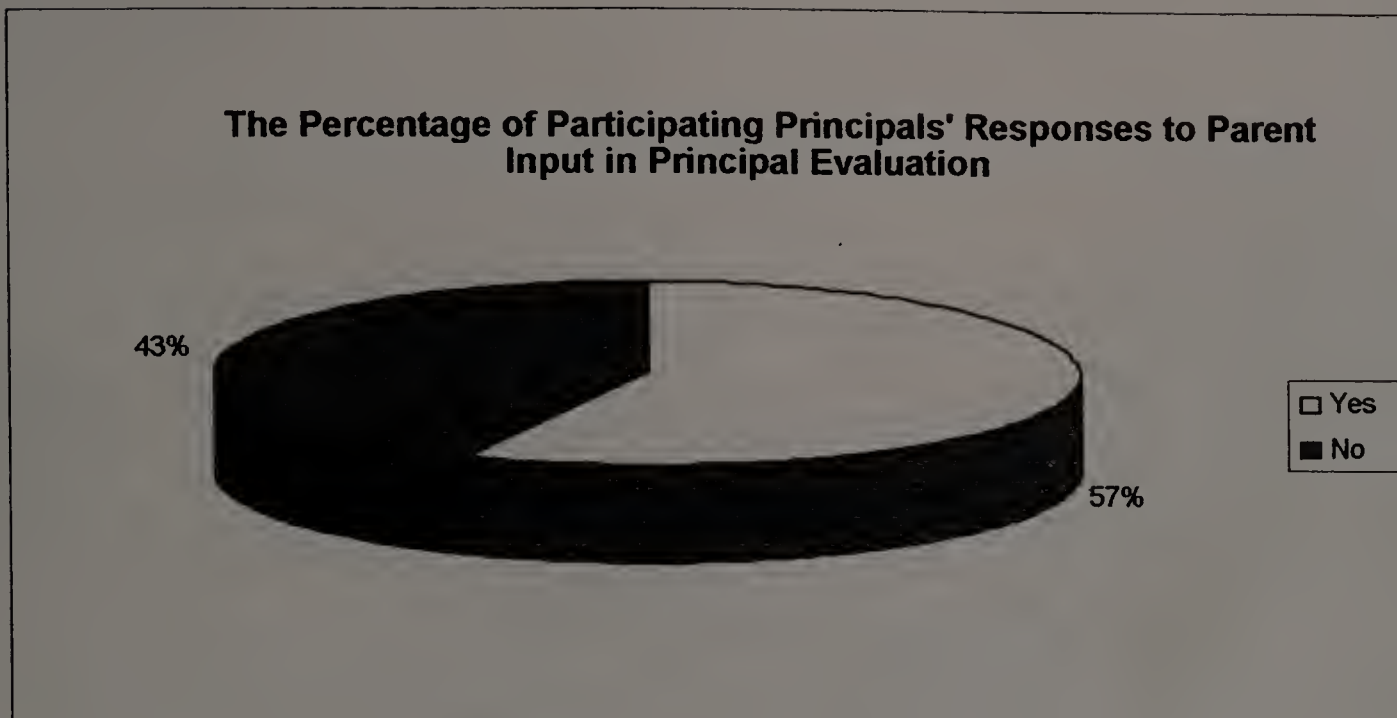
Figure 6. The Percentage of Participating Principals' Responses to Parent Input in Principal Evaluations

Examples given by participating elementary principals are listed below;

- "I've sent out a survey to my parents, just to get some input as to how they think that I'm running the school."

- "I think parents...., in some respect are connected with evaluations."

- "I gave my parents, the same school climate form, with two other pages attached that were an evaluation of my work."

- "There can be and should be a place for parents to assess what I'm doing.

- Parents always critique us because we take their children."

- "They may have a need that we have no idea about, so this would give them the opportunity, especially the parents to give you that input."

- "....it would be interesting to have input on evaluation from the parents..."

The literature review indicated the parent role in principal evaluation is that of a data source (Snyder and Ebmeier, 1993; Manatt, 1997; Murphy and Pimentel, 1996; Sinclair and Ghory 1997).

Data collected revealed seven (7) elementary principals, 50% responded to students having a role in the evaluation process. Figure 7, reports the principal's responses to students input in principal evaluations.

The Percentage of Principals' Responses to Student Input in Principal Evaluation

50%   50%

☐ Yes
■ No
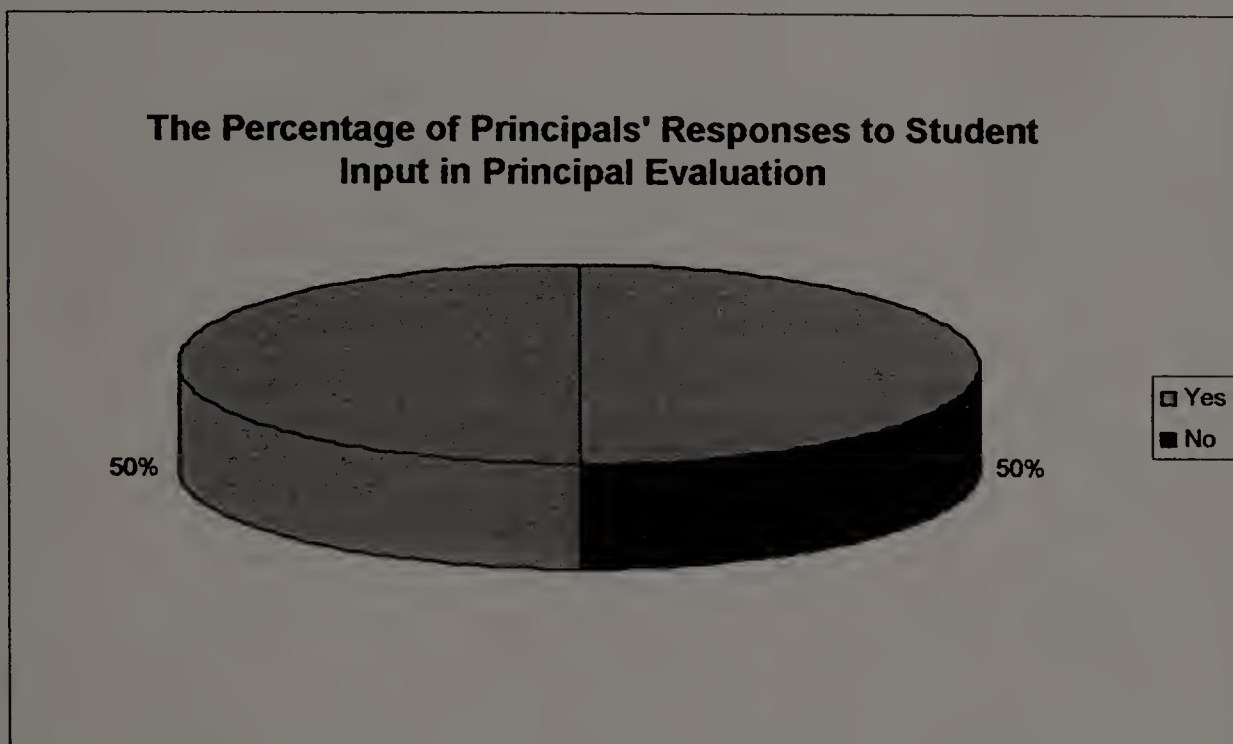
Figure 7. The Percentage of Participating Principals' Responses to Student Input in Principal Evaluation

Examples given by participating elementary principals are listed below;

- "I think kids in some respect are connected within evaluations."

- "I think it would be interesting to have input on an evaluation from kids".

- "There should be a place for students to assess what I'm doing."

The literature review confirms the role of students as a data source in principal evaluations (Manatt, 1997; Murphy and Pimentel, 1996).

The data collected for this study revealed nine elementary principals of fourteen, sixty-four percent (64%) responded to teachers input in the evaluation process. Figure 8 reports the percentage of principals' responses to teacher input in principal evaluation

The Percentage of Participating Principals' Responses to Teacher Input in Principal Evaluation

36%

64%

☐ Yes
■ No
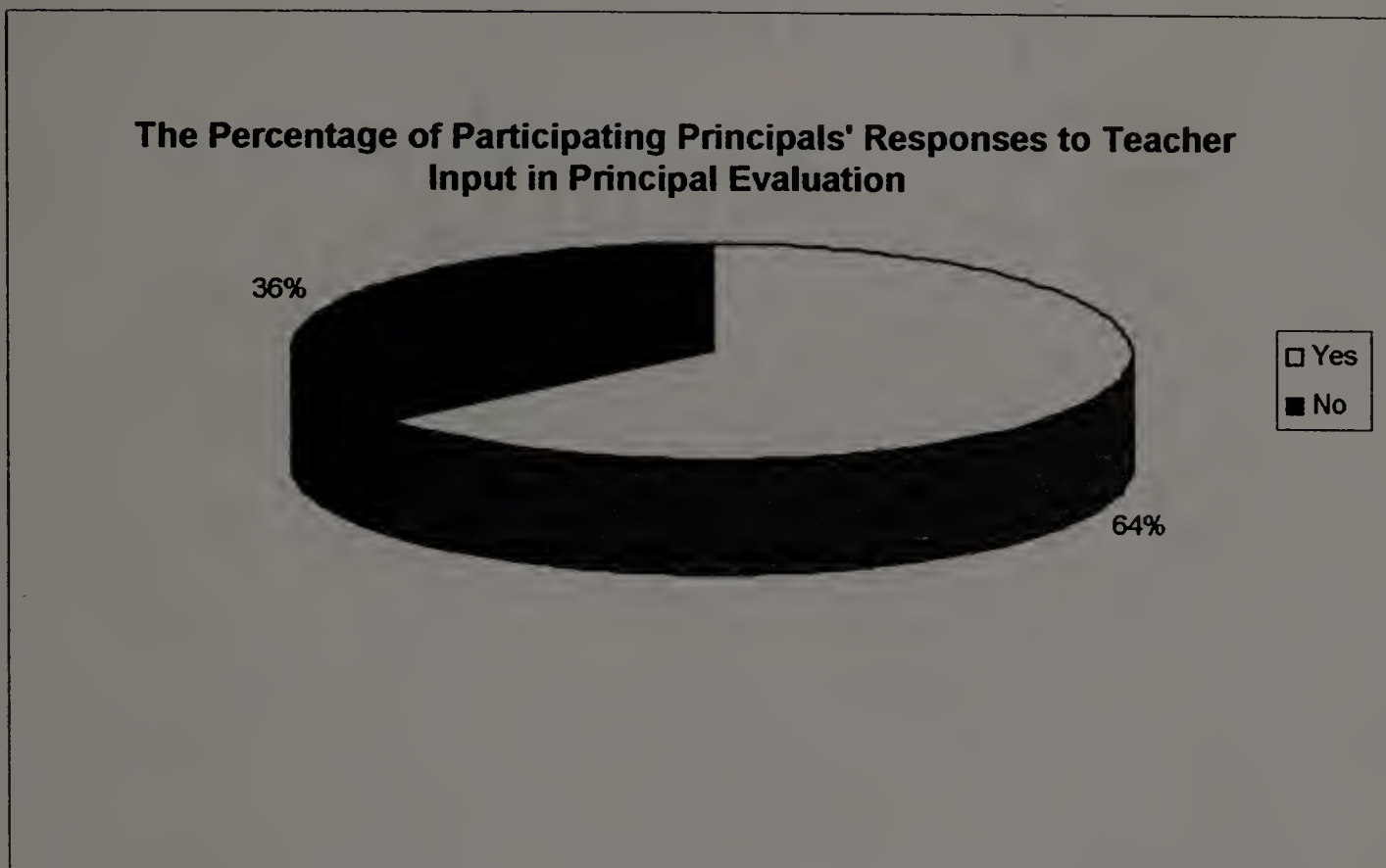
Figure 8. The Percentage of Participating Principals' Responses to Teacher Input in Principal Evaluation

Examples of responses given by participants are listed below:

- "I think teachers, in some respect are connected with evaluations."

- "I gave my staff the same school climate form, with two other pages attached that were an evaluation of my work....."

- "I also think there should be a way to get feedback from teachers. Some systems involve the teachers."

- "We have a piece in our evaluation packet that we can give to teachers to complete."

- "There should be a place for teachers to assess what I'm doing."

The literature on trends in education contends that teachers have become active participants in making decisions on school policies and procedures and are a dominant force that has impacted the principalship. (Heck & Marcoulides, 1993). In support of the literature review conducted for this study, teachers are identified as a participant in the principal evaluation procedure. (Anderson & Lumsden, 1989; Tyler, 1989; Anderson, 1991; Synder & Ebmeier, 1993; Bickel, 1995; Murphy & Pimentel, 1996; Duke & Striggins, 1985; Marlow, Inman, & Atkinson, 1993; Sinclair & Ghory, 1997; Keller, 1998)

The literature review conducted for this study confirms that teachers believe themselves to have the knowledge and skills to provide data for principal evaluations. Only one evaluation procedure has documentation of the teachers' role in evaluating principals, it is not clear from this study the way in which teachers are involved in evaluating principals, which is supported in the literature review by Inman and Atkinson (1993).

Summary of the Role of Teachers In Principal Evaluation. Elementary principals overwhelmingly indicated that they consider the Superintendent to have the responsibility for their evaluation. The Education Reform movement spirited parents and teachers into the role of decision makers on school policies and procedures, and as the literature revealed into the evaluation procedures for principals. The data collected pointed out the elementary principals in agreement with the idea of teachers having a role in the evaluation of principals. One school district has taken the lead in utilizing an evaluation

procedure in which the teachers' role is defined. Yet, there is insufficient evidence presented which clearly defines the role of teachers in evaluating principals.

Research Question # 4

How are the evaluations of elementary principals used to improve student learning? Elementary school principals were asked to explain the linkage of principal evaluation to the improvement of student learning, Question #3. Eleven principals of fourteen, seventy nine percent (79%) supported the linkage of principal evaluation to the improvement of student learning. Examples given by principals in support of the linkage of principal evaluation to the improvement of student learning are listed below;

- "I think it is linked, definitely because I think what you do as a principal is going to improve student achievement."

- "I think that, that's generally, the thing we're looking for when we create a goal."

- "I would say in the past, the whole notion of student learning was not always the focusing thing. I think the whole reform movement has helped to focus it."

- "Generally speaking, yes, it should be but here it's not."

- "I do believe that it is linked to improving student learning. And I that's why we are in this role, is to take the students that we have, make them or help them improve as far as their learning goes.

- "I would say, here it is, what I try to do is identify management objectives that are linked to improvement efforts in the school."

- "Everything that I do is linked to student learning for the superintendent.

- My goals have to be tied into that."

- "Here principal evaluation is definitely linked to the improvement of student learning."

- "The purpose, the emphasis in scores is to do that."

- "Yes, right now, it's public.

Figure 9 reports the percentage of participating principal's responses to the linkage of principal evaluation and the improvement of student learning.

The Percentage of Participating Principals' Responses
To the Linkage of Principal Evaluation
And the Improvement of Student Learning

21%

79%

☐ Yes
■ No
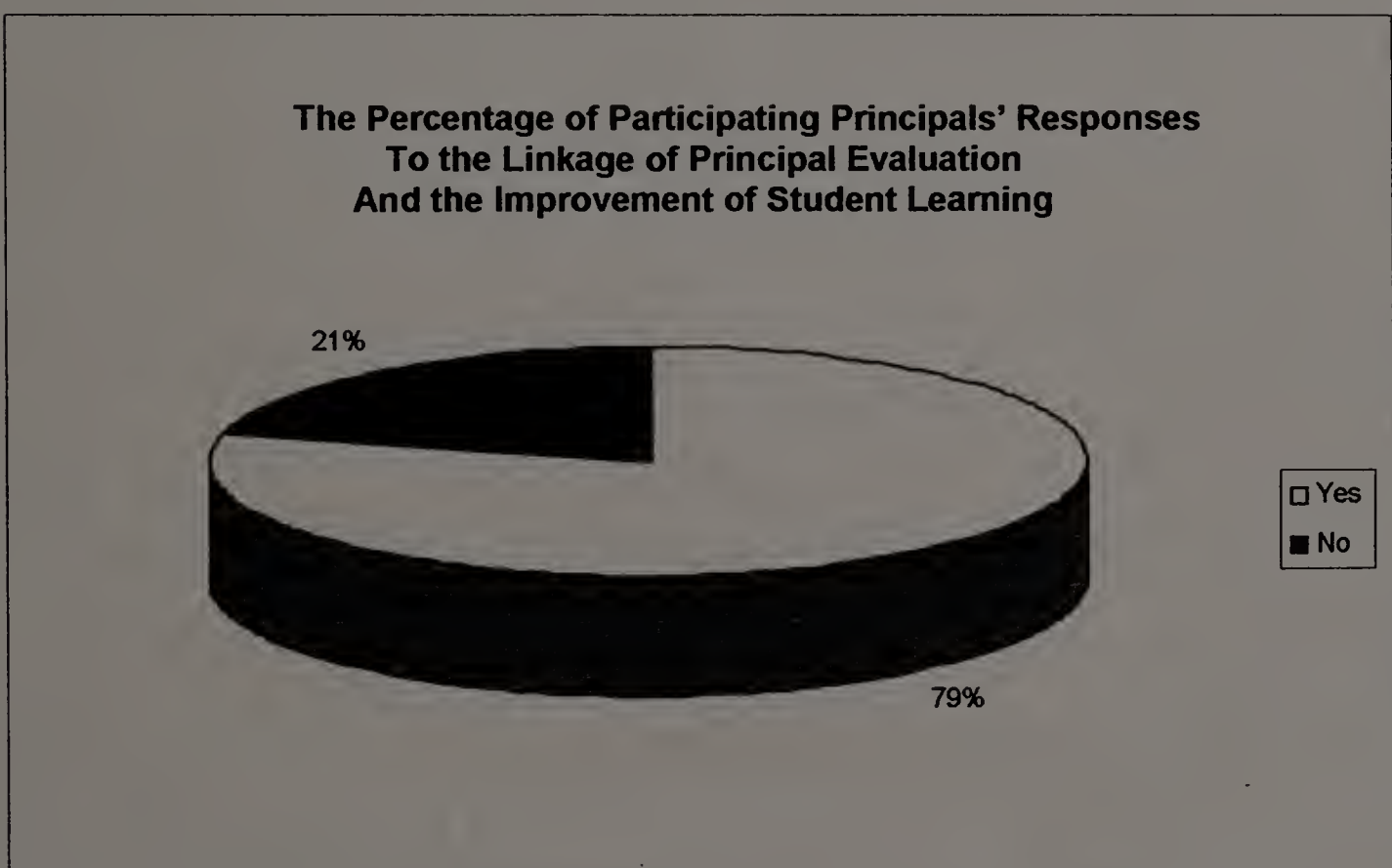
Figure 9. The Percentage of Principals' Responses to the Linkage of Principal Evaluation and the Improvement of Student Learning

Three principals of fourteen, twenty-one percent 21% responses did not identify the linkage of principal evaluation to improvement of student learning. Examples given by principals not identifying the linkage of principal evaluation to improvement of student learning are listed below;

- "Generally speaking, no. There are too many variables in student learning that we as educators have absolutely no control over and it always comes back to us."

- "Honestly, I don't quite see the connection, right now to student learning."

- "It should be but currently it is not."

The literature review conducted for this study revealed student achievement to be a dominant performance indicator on principal evaluations. (Herman and Herman, 1995; Weller, Buttery and Bland, 1994; Fletcher and McInerney, 1995) This is supported by the finding of the work of the National Center for Education Statistics in which principals rated academic achievement of minimum importance to principal evaluation. This literature further reported that student achievement not be considered a critical performance indicator in principal evaluation. (Rallis & Goldring, 1993, Alkire, 1995; Duke Striggins, 1985).

The review of literature identified student background (Leithwood, 1993) and the socioeconomic make-up of the student population (Hallinger & Heck, 1997) as dominant factors impacting student achievement. The data revealed only one evaluation procedure with student population as a performance indicator and not one evaluation procedure with student background listed as an indicator. Sinclair and Ghory (1997), in the literature paint the portrait of increasing student learning by linking

evaluation to the home. This supports the finding in the data of eight elementary

principals, fifty seven percent 57% affirming parent input in their evaluations.

   <u>Summary of the Linkage of Principal Evaluation to Improving Student Learning</u>.

Improving student learning principal evaluation is a new challenge to practitioners in the

field. The data revealed principal's supporting and opposing opinions regarding the

linkage of their evaluations to the improvement of student learning. Both perspectives

are substantiated in the review of literature. Additional factors such as school population

and socioeconomic make-up of student population are discussed as influential factors to

student achievement. Elementary principals indicated that they consider principal

evaluation and the improvement of student learning to be linked. Improved student

learning has become the measure for judging the effectiveness and quality of a principal's

work. The view is presented that improving student learning is the responsibility of the

entire school community, parents, students and teachers and the principal collectively.

The improvement of student learning is the criteria of choice for judging the

effectiveness and quality of the elementary principal's work.

<u>Closing</u>

   Chapter 4 provided an analysis of the data obtained from this study. The

findings were related to four research questions that guided the purpose of the study.

The discussion of the data obtained from research question #1 revealed that school

districts are utilizing evaluation procedures. This finding does reflect the findings of the

research review conducted for this study. However, the data indicated that the school

districts are deficient in documenting evaluation procedures, which was not found in the

research review.

An analysis of the data obtained from research question #2 indicate a spectrum of evaluation procedures with an array of scope and sequence from a basic checklist with three ratings to the school profile procedure which uses "test scores" as an indicator. The differences in evaluation procedures are in the format and the range of performance indicators. The selection of "test scores" as a performance indicator is found in the literature review. The literature presents arguments on the selection of academic achievement as a performance indicator for principal evaluations. School population and socioeconomic make-up of the students are identified in the literature as major influences on student achievement but not identified by the principals.

Research question #3 produced data that show principals would like to see teachers as participants in principal evaluation procedures. Based on the literature review, teachers perceive themselves as having the knowledge and skills to be participants in principal evaluation procedures. The teacher input form collected in the data for this research revealed one approach to the role of teachers in the evaluation of principals. Data on the other school districts approach to the role of teachers in the evaluation of principals was inconclusive.

The discussion of data obtained from research question #4 revealed that elementary principals envision a linkage between principal evaluation and improving student learning. Elementary principals in this research study did not elaborate on how principal evaluation was used to improve student learning.

The next chapter of this study summarizes the findings of the present research. This includes a discussion of conclusions from the analysis of data obtained in the present study. Recommendations are made for future research from this study.

CHAPTER 5

SUMMARY AND RECOMMENDATIONS

This chapter summarizes the problem, purpose, and the findings of this study.

First, the problem and purpose are stated. Second, the major findings are presented for

the four major research questions that guide the study. Third, the recommendations for

improving the present study and future research are advanced. Fourth, recommendations

for strengthening programs to prepare elementary school principals to improve principal

evaluation procedures are suggested. Finally, recommendations for school districts to

improve evaluation procedures are explained.

Problem

The history of education shows that the role of the principal evolved from very

basic beginnings of an individual providing academic instruction to multi-age groupings

of children in a one-room schoolhouse. The roles and responsibilities of the elementary

principal changed dramatically from being clerical and supervisory into the

multidimensional school leader of today, whose job is difficult to describe and evaluate.

The issue of strategies to improve public schools continues to be a source of controversy

among educational practitioners. Principal evaluation has been very often discounted as

a strategy to improve student learning. The challenge is to place into operation an

evaluation system for elementary a principal that is valid, reliable, meaningful, useful and

linked to the improvement of student learning.

Purpose

The purpose of this study is to determine how elementary principals are evaluated and the extent to which evaluation is considered a means for assisting elementary principals to help students improve their learning. The four research questions that guided this study are:

- What evaluation procedures do selected public schools use to evaluate the effectiveness of elementary school principals?

- What similarities and differences in procedures do selected school systems use to evaluate the effectiveness of elementary school principals?

- What ways do teachers in selected public schools use to evaluate elementary school principals?

- How are evaluations of elementary school principals in selected public schools used to improve student learning?

Summary of Findings

The findings presented in this study describe (a) the evaluation procedures used by selected public schools to evaluate the effectiveness of elementary school principals, (b) the similarities and differences in procedures used to evaluate the effectiveness of elementary school principals, (c) the ways teachers in selected public schools are used to evaluate elementary school principals (d), the relationship between principal evaluation and the improvement of student learning in elementary schools. A comparison of the findings of this study to the literature review perpetuates a clearer understanding of evaluation procedures, the evaluators and the relationship of principal evaluation to the

improvement of student learning. There are four patterns: the principal evaluation procedures reported by the participating principals are traditional in style; the differences in principal evaluation procedures are evident; the role of teachers in principal evaluation is not clearly defined; and the performance criteria selected for principal evaluations is the link to the improvement of student learning.

Research Question 1

What evaluation procedures do selected public schools use to evaluate the effectiveness of elementary principals? In response to this question, 86% of participating elementary principals report that their school districts utilizing evaluation procedures. The principals provided detailed explanations of their school districts evaluation criteria supporting the work of Anderson (1991) but contradicting the research of Harrison and Peterson (1998), which revealed that principals lacked a clear understanding of their evaluation criteria. Only a small percentage of the participating principals (21%) provided the researcher with documented evaluation procedures, the school districts evaluation dossier. The data collected for the present study validates the findings of Glasman and Martens (1993) and Rallis and Goldring (1993) who found limited numbers of school districts having documented evaluation procedures.

In response to the question, 100% of the participating principals identified the superintendent as the responsible person to conduct their evaluation. In this study 71% of the participating principals identified goals as the evaluation procedure utilized in their school district and 7% of the participating principals identified the evaluation procedures of checklist, goals, portfolio, professional development plan, school profile and self evaluation, respectively being used in their school districts. The literature review

99

identified two contemporary evaluation procedures, peer evaluation, Gil (1998);

Anderson (1991) and team evaluation, Rallis and Goldring (1993); Pekoe (1991);

Anderson and Lumsden (1989). None of the participating principals identified peer and

team evaluation as evaluation procedures being used in their school districts. A blending

of evaluation procedures was reported by 21% of the participating principals. Examples

of the blended evaluation procedures identified are checklist and portfolio, goals and

professional development plan, and goals and self-evaluation.

Research Question 2

What similarities and differences in procedures do selected school systems use to

evaluate the effectiveness of elementary school principals? In response to the question

concerning the evaluation procedures being employed by public schools were reported in

generalities and the specific criteria for principal evaluations were not presented.

The most significant similarity in this study was found in the documented

evaluation procedures, 14% of the principals reported identical performance standards.

These performance standards for administrators were adopted by the Massachusetts

Board of Education.

In this study a significant difference in evaluation procedures presented was

noted in the use of test scores as an evaluation indicator. Only (7%) of the participating

principals reported the use of test scores as an evaluation indicator, which is supported in

the literature by the work of Herman and Herman (1995). The participating principals

did not mention the following strategy for the use of test scores as an evaluation

indicator which was mentioned in the literature by Tyler (1989) and Herman and Herman

(1995): identify student weaknesses and needs; work with teachers to correct student

weaknesses and needs; create new curriculum to meet individual student needs The largest percentage of principals (79%) did not report test scores as evaluation indicators. This data collected for the present study validates the findings of Stufflebeam and Nevo (1993) who found that the use student test scores as a measure of school effectiveness to be inadequate.

Research Question 3

What ways do teachers in selected public schools use to evaluate elementary school principals? In response to the open-ended question on the interview questionnaire of the individual who should conduct the principal's evaluation, principals in this study responded with (100%) response in selecting the superintendent as the individual to conduct their evaluations. The participating elementary principals were in agreement to using teacher input in principal evaluation procedures (64%). This study confirms the research of Duke and Striggins (1985) and Weller, Buttery and Bland (1994) in which they reported on teacher participation in principal evaluations. Anderson (1991) supports teacher input in principal evaluations. When asked to elaborate on the person(s) responsible for conducting their evaluations, the participating school principals in this study did not define the specifics of the teachers' role in principal evaluation procedures.

In addition to teachers, the school community has other "complex contributors," including parents, students, and the community. The participating elementary principals in this study responded positively to parent participation (57%) and student participation (50%) in principal evaluations. Elementary school principals have numerous interactions with "complex contributors" of the school community during each school day. The data

101

collected for the present study validates the finding of Manatt (1997) who found that the evaluation and interaction relationship is that of a partnership resulting with the principal being evaluated by the "complex contributors" during each interaction.

Research Question 4

How are evaluations of elementary school principals in selected public schools used to improve student learning? In response to the open ended question on the interview questionnaire, which asked the participating principals to explain the relationship of principal evaluation to improving student learning, (79%) of the principals responded positively to the linkage of principal evaluation and the improvement of student learning. In the literature the linkage of principal evaluation to the improvement of student learning was advanced through the evaluation performance criteria. Principals in this study did not mention the linkage of principal evaluation to the improvement of student learning through the performance criteria. Therefore, the relationship between principal evaluation and the improvement of student learning through performance criteria was not clearly defined in the data collected for this study.

The responses of elementary school principals in this study focused on traditional principal evaluation procedures. The participating principals did not acknowledge any contemporary principal evaluation procedures which link the improvement of student learning to principal accountability, results based principal evaluation system. Quoted in the literature by Murphy and Pimentel (1996) the results-based principal evaluation system in Charlotte-Mecklenburg, North Carolina has three guiding principles: reward the principal for educational excellence in improving student learning; provide support and training to principals failing to improve student learning; replacement of principals

failing to improve student learning. Peterson (1991) also supports monetary rewards for principals demonstrating success in achieving performance goals.

<div align="center">

Recommendations for Improvement of Principal Evaluation
and Future Research

</div>

The recommendations are of four types. First, recommendations are provided to improve the present study. Second, the recommendations for future research about principal evaluation and the improvement of student learning are presented. Third, recommendations for principal preparation programs are explained. Finally, the recommendations are advanced for school districts to improve principal evaluation procedures.

Recommendations for Improving the Present Study

In this section, there are six recommendations. Each recommendation presented and explained. The first interview was conducted at the close of the 1999 school year and the last interview was completed in November 1999. The demeanor of an elementary principal while school is in session is different than when the students are on summer vacation and the principal are not so busy. Conducting all interviews during the school year or within two weeks of the close of the school year, could have affected the principal's availability and the substance of responses. During the school year, due to the magnitude of principals' job responsibilities, the optimum time for an interview without interruption is a challenge. The middle of August, prior to the opening of school might have been a better time to conduct the principal interviews.

This study was conducted with a very small sample of elementary principals, fourteen (14), in comparison to the total number of approximately on thousand (1000) elementary principals in the state of Massachusetts. Another consideration for improving the present study is to expand the sample of elementary principals in the state, therefore creating a larger response of elementary principals.

The process of data collection for the present study consisted of an interview which consisted of four open ended questions relating to principal evaluation. In responding to the open ended questions the participating principals did not provide explicit responses directly related to the questions. A way to strengthen this study would be to revise the interview questionnaire, adding more depth to the open-ended questions to illicit more insightful responses from the participating principals.

The researcher asked the participating principals for documentation of their district's evaluation procedure, very few principals (21%) provided the documented evaluation procedures. A major way to strengthen this study would be in the selection of subjects to include only school districts with documented evaluation procedures.

The participating principals in this study were a small sample from different geographical locations in the state, urban, suburban and rural. In looking at the geographical locations through the lens of improving the present study, three improvements are synthesized. First, a larger sample of urban, suburban and rural schools in each geographical location to determine the status of principal evaluation in the school districts. The second improvement to strengthen the present study would be to sample each county in the state to determine the status of principal evaluation to compare and contrast the counties. Thirdly, to sample each quadrant of the state

(central, eastern, western) to compare and contrast the similarities and differences in evaluation procedures would further improve and strengthen the present study.

Recommendations for Future Research

There are six studies suggested for future research about principal evaluation and the improvement of student learning. First, the problem of the future research is stated. Second, the purpose of the suggested research is described. Third, specific questions of the future research are advanced. Fourth, suggestions on how the future research may be conducted are proposed. Finally, the significance of each study is explained.

Defining the Role of Parents and Teachers in the Formal Evaluation of Elementary School Principals

The history of education shows parents and teachers as key contributors in the education of children. In the one-room schoolhouse for example, the teacher's role was to provide the academic instruction and the parent's role was to decide whether to allow their children to attend school, an early opportunity for "school choice." The role of parents and teachers in the education of children has been vigorously analyzed and debated. Parent and teacher partnerships were often minimized and prior to the advent of the current education reform movement were not considered a major force for the improvement of student learning. School centered decision making transformed parents and teachers from their former roles into, as Comer states," decision makers to develop policies, procedures, and programs that affect the academic and social climate of schools" (Day 7, p. 14).

The phrase "for every action there is a reaction" can be applied to interactions between individuals. Every individual interacts with other members of society such as family members, friends, children, and co-workers unless they happen to be socially phobic. As a result, each person involved in the interaction leaves with their personal perception of the events that transpired. On a daily basis, a principal has countless informal interactions with parents and teachers and these exchanges result in the parent and the teacher judging the competencies and leadership skills of the principal. For example, a principal in meeting with a teacher to give feedback on a positive classroom observation will result in the teacher formulating a positive perception. However, a principal in meeting with a highly confrontational parent could result in the parent formulating a negative perception of the principal.

The literature review in Chapter 2 revealed that parents and teachers are now viewed as possible key contributors to the improvement of student learning, inclusive of principal evaluation. The future research problem is that the precise role of parents and teachers in principal evaluation remains vague. The purpose of this proposed study is to define the role of parents and teachers in the formal evaluation of principal's. Four suggested questions are advanced:

- What is the role of parents and teachers in the evaluation of principals?
- How do parents and teachers perceive their role in the evaluation of principal's?
- What is the principal's perception of the role of parents and teachers in the evaluation of principals?
- How does having parents and teachers participate in principal evaluations translate into improving the learning of students?

A suggested design for this research is to interview parents, teachers and principals using a scripted interview form. The interviews should be tape recorded and transcribed for the results of this research. This research study will provide parents, and teachers with a clear understanding of the scope of their responsibilities in the learning of children. The results of this study could be utilized by school districts to strengthen the partnership between teachers, parents, and the community.

Accountability of the Principal Coach and the Improvement of Student Learning

According to Webster's New World Dictionary, the word coach can be defined in sports and educational terminology. In sports, the meaning of a coach is." the person in charge of a team and the strategy in games."(266) In the education domain, a coach is, "to instruct in a subject by private tutoring" (266). Two basketball coaches, Sandra Kay Yow of North Carolina State and John Calipari formerly of the University of Massachusetts have been recognized for their success in coaching young men and women's teams. Sandra Kay Yow's team leadership is built on high personal principles, dedication to tough work, an intense sense of compassion and talented athletes. A few years ago, the Minutemen under the leadership of John Calipari were the first University of Massachusetts team to play in the Final Four. Coach Calipari's team motto was, "refuse to lose," meaning that the team would not give up and in order to win always play with purpose, vivacity, and power. Both of these individuals, in leading their teams taught the young men and women that basketball is about teamwork and not just passing and shooting the ball. The team members learn about themselves and the lessons in life. Coaches in education have been designated to work with students, teachers and principals. A remedial coach, literacy coach, and coaches in all academic subjects have

assisted students in their learning of skills and competencies. Teacher coaches in some school districts are working with teachers to improve teaching skills, curriculum, and student learning. The literature review in Chapter 2 reported a coach providing strategies to improve principal leadership skills and competencies. The job of a principal is to improve student learning, and if the principal is not successful, in the current education climate the result is often termination of duties. The relationship of the principal coach to improving school effectiveness and student learning is not clear, which is the future research problem. The suggested purpose of this study is to examine the accountability of the principal coach to strengthen leadership and improve of student learning. Four suggested questions are advanced;

- What is the role of a principal coach?

- What is the principal's perception of the role of a principal coach?

- What is the accountability of a principal coach to improvement of student learning in their assigned schools?

- How does a principal coach assist the principal in connecting their leadership to the issues of helping children increase their skills and competencies?

A proposed design for this research is a focus group entitled The Principal's Coach. The participants in this focus group would be practicing principals, retired principals, principal coaches, and team sport coaches. The purpose of this focus group is to determine answers to each of the four implied research questions. School districts, while adopting strategies to improve student learning, will use this research study to explain the responsibility and accountability of the principal coach in assisting the principal with leadership skills and competencies, to help students improve their learning.

108

The Relationship of Increased Student Learning with Salary Incentives
for Principals

In many corporations, employees are rewarded for outstanding job performance through incentive programs such as added compensation, trips, luxury items, and vehicles. For example, a leading cosmetic company rewards their top salespersons each year with a luxury car in their signature color of pink. One major corporation in hospitality has an incentive program, which rewards their employees with bonuses based on the results of their approval rating surveys for the year. In many real estate offices, the incentive programs are frequently referred to as "million dollar clubs," where membership is attained by outstanding sales performance, resulting in the receipt of enhanced benefits and perks. One leading retail chain in the country conducts daily motivational staff meetings in which employees receive recognition for outstanding job performance, which is also displayed throughout the store and in advertisements.

In the previous literature review, Tyler (1989) explains seven conditions for effective learning; motivation, clear learning objectives, appropriate learning tasks, confidence, rewards and feedback, sequential practice, and transfer. Tyler (1989) describes rewards as the learners fulfillment for the acquisition of a new skill or competency and not external incentives unrelated to the learning process. Performance incentives for students are an educational practice that has been utilized by teachers for numerous years. In the past, student performance incentives were very basic such as the teacher giving a sticker or simply stating "good work." Times have changed and the student performance incentives are more sophisticated and materialistic such as a "no homework pass", additional computer time, internet access, candy, and free books.

These examples student performance incentives contradict Tyler's (1989) views on extraneous rewards being given to students which aren't relevant to the learning process.

Some school districts, the literature review in Chapter 2 points out have instituted using the improvement of student performance as a performance indicator on principal evaluations and rewarding principals with salary incentives for improving student learning. Since the relationship of principal salary incentive to improving student learning is novel, the problem is that the logistics need to be clearly defined. The purpose of this proposed study is to examine the relationship of increasing student learning and salary incentives for principals. Four suggested questions for this recommended study are advanced;

- In what various ways do school districts link improving student performance with salary incentive as a performance indicator on principal evaluation?

- What is the principal's perception of the pairing of a salary incentive to improved student learning?

- Does a salary incentive influence the principal's leadership to increase student learning?

- What salary incentive approaches are being used as performance indicators on principal evaluation?

The proposed design for this research has two parts. In answering the questions, concerning which school districts using salary incentives and the salary incentive approaches being utilized, the database of Department of Education could help provide the information. If the information on salary incentives is not available, then a national survey on the subject conducted by a leading educational organization is proposed.

Since the states of North Carolina and Oregon have been identified in the literature as leading states using salary incentives as performance indicators on principal evaluation, a survey of principals in North Carolina and Oregon will be used to obtain data to determine the principal's perception of salary incentives and whether salary incentives influence the principal's leadership. This research study is important for principal preparation programs. It will help to provide potential principals with information on the use of salary incentives by school districts to evaluate the effectiveness of principals.

The Principal's Use of Time

In Alice in Wonderland, the rabbit's eyes are fixed on his watch as he hurries to arrive at his destination on time, which illustrates the current heightened concentration on making every minute during the day count. Major advances in technology, travel, and communications have all but eliminated the wait time for news, travel, and to contact people. In the past, the television had only three channels and ended the hours of operation at midnight. Now, the television channel menu is extensive and operates twenty-four hours a day. The simple act of turning on a television brings the news from every corner of the world into your home. A person can be on the east coast for breakfast and travel to the west coast before dinner. Because of major advances in communication, cellular phones provide individuals with an interminable connection to one another.

Public interest in our schools has escalated as the issues and concerns about the conditions of the schools have been reported throughout the country. The demand from the general public for better results from the schools and more accountability from the principals has intensified due to awareness of the astonishing numbers of children whose

academic skills and competencies are deficient. Some strategies to improve the schools that have received attention are teacher's classroom activities, student time on task, and the connection of the leadership of the principal to helping children increase their skills and competencies. Typically, the principal's day begins in the early hours and ends in the late hours. During school hours, the principal's time is spent interacting with students, staff, and parents, managing the school plant, mediating crisis, balancing budgets, attending meetings, responding to correspondence, classroom visitations, responding to and receiving telephone calls, and procuring staff coverage. The principal's typical daily activities are fragmented, with reactive interactions, and various unvarying school problems. Usually, the principal has no control over or preference for the scope and sequence of their daily activities. The suggested research problem is that it is assumed that the role of the principal is to improve the skills and competencies of students when in reality the amount of time the principal spends during a day on student learning has not been documented. The suggested purpose of this research study is to determine if principals spend their time in a purposeful way to improve the academic skills and competencies of children. The four questions proposed for this recommended future research study are:

- What are the day-to-day activities that principals consider important to do in their role?

- On a daily basis, how do principals actually spend their time?

- What is the difference between the reality of the principal's activities and their preferences?

- What portions of a principal's activities are spent on increasing the learning of children?

The design of this study consists of two parts; school site visitation and a survey of a random sample of practicing elementary school principals. During the school site visitation, the daily activities of the principal would be documented. The documented daily activities will be incorporated into a survey, which will be used to obtain data for determining the principal's preferences on time management. The results of this research study will assist practicing principals in managing their time in order to obtain optimum time on the responsibility of improving student skills and competencies.

The Determination of Student Learning Problems: Resolution in
Relating to Improving Student Learning

A recent article entitled, "What's disrupting classrooms" in The News & Observer by Paul Brinich discussed the high rate of Attention Deficit/Hyperactivity Disorder, (ADHD) among school children and the effect that children who have this disorder are having on classrooms. Children lacking the skills to stay focused on their academic work characterize this learning disorder. The drug Ritalin was presented as the prescribed treatment for ADHD. In the past, children with learning and behavior problems were often taught in self-contained classrooms, usually in the most remote areas of the school buildings. There are serious questions about this approach to servicing children with learning and behavior disabilities. These children were denied equal access to resources and the conditions created were not conducive to improving learning. The Special Education Act changed the delivery of services to children with learning and behavior problems by integrating these learners in the general classrooms. Hence, in classrooms today, there is a cadre of children with learning problems, some identified, and still others undiagnosed. Yet, the overall job of the principal is to improve

the competencies and skills of all children. This presents a challenge of how a principal can lead in a way to improve the learning of students with learning disabilities. The proposed purpose of this future study is to examine how the leadership of the principal connects to helping children with learning problems increase their skills and competencies. Four specific questions to be advanced are:

- What learning problems seem to be the most common among children in schools?

- What data are most useful to the principal in creating conditions to improve the learning of students with learning problems?

- How does the principal create strategies to resolve these learning problems to improve student learning?

- Who are the collaborators with whom the principal works to improve the learning of students with learning problems?

A combination of survey and interviews is suggested to gather the data for this proposed research. This research study would be very meaningful to the school intervention teams in developing student interventions and structuring curriculum to meet each individual child is learning needs.

Principals' Use of Evaluation Data

Feedback is a powerful tool for improving student learning. In classrooms, teachers use feedback as a method to motivate children to learn and as a guide to assist them in meeting the needs of individual children. Principals, in evaluating teachers, give feedback as a means to acknowledge good teaching practices and to assist teachers to overcome their deficiencies. The literature review in Chapter 2 pointed out that school

districts in the past too often viewed the evaluation of principals as an insignificant administrative task. The minimal feedback presented to the principal, either in writing or in an informal meeting, was a potpourri of minutiae, which was not connected to their leadership for the improvement of student learning. In order for principals to meet with success in improving the learning of students, it is imperative that they have access to useful information about their job performance. This is the problem guiding the suggested research. The purpose is to determine how feedback about the principal's performance connects to their leadership in improving the learning of children. The following two questions are presented for consideration in this study:

- What data provided to principals as a result of evaluation do they perceive as useful in improving student learning?

- Are the data that are being provided to principals as a result of evaluation actually being used to improve student learning?

The results of this future study would be of value to all practicing principals, therefore the suggested design of this study is a large-scale survey of elementary school principals. The national education associations, principal's associations or the department of education could help conduct the survey. The results of this research will enable school districts to further analyze their practices of reporting job performance to principals, and connecting the principal's leadership to the issues of empowering children to increase their learning.

Recommendations for Principal Preparation Programs

Three recommendations for principal preparation programs are presented for consideration. Each recommendation is stated and explained.

The principal preparation programs offered by colleges, universities, and professional organizations have the responsibility of preparing individuals for school leadership, as reported by Calabrese (1991). In The Personnel Evaluation Standards, The Joint Committee on Standards for Educational Evaluation (1988) reported that principal evaluation procedures in the past, failed to" screen out unqualified persons from certification and selection processes"(p. 8). Williams and Pantelli (1992) conclude from their study of the criteria used for evaluating leadership potential, that principal preparation programs and assessment center programs need to be aligned with actual performance expectations. The documented principal evaluation procedures collected for the present study were found to have matching performance indicators. The matching performance indicators were identified as key components of the Principals of Effective Administrative Leadership that was adopted by the Massachusetts Board of Education. Therefore, principal preparation programs in the state of Massachusetts and every state, according to Williams and Pantelli (1992) must be aligned with the Principles of Effective Administrative Leadership or their facsimile. For example, in the state of Massachusetts, the colleges and universities principal preparation programs would integrate the Principals of Effective Administrative Leadership into the curriculum and leadership experiences. In this manner the individuals participating in the principal preparation programs will have the opportunity to address individual strengths and weaknesses in achieving the performance indicators and advance strategies as part of their learning experience. It would be helpful for principal preparation programs to include principal evaluation on the program syllabus. The course must include the historical perspective of principal evaluation, a review of contemporary principal evaluation procedures and a culminating project that would be to design a principal

evaluation procedure. The class would be divided into groups and each group would choose a school district portfolio. Each group would then discuss the school district portfolio and design a principal evaluation procedure. An explanation of the principal evaluation procedure designed would be made to the class by each group for grading.

The leadership preparation program at the University of Northern Colorado utilizes portfolios as a core component in their curriculum as reported by Barnett, et al. (1992). Institutions of higher learning in developing or revising their leadership preparation programs should consider the relationship of portfolios to the development of leaders for today's schools.

Colleges and universities in the past have conducted the principal preparation programs. The literature revealed the changing roles and responsibilities of principals, which prompted institutions of higher learning in principal preparedness programs to create innovative programs such as the Danforth Program for School Leadership. In Massachusetts, this program was a partnership between the school districts and the University of Massachusetts, Amherst campus. Beginning in 1988, the purpose of this leadership preparedness program as stated by Sinclair and Nieto (1988) was "to assist a diverse group of elementary and secondary teachers in developing leadership potential" (p.2) Educational organizations such as the Massachusetts Elementary Principals Association have developed school leadership programs. Some school districts have developed "Aspiring Principal Programs" to identify and prepare future principals for their respective school district. School districts across the country should be encouraged to develop principal preparation programs that will prepare individuals as school leaders. These district based principal preparation programs would ensure, as stated by Duke and Iwanicki (1992), the proper" fit" for the school district, meaning that the program would

have an in depth overview of the school district, that is, academics, culture, climate, demographics, economy, history and politics. In the school-based preparation programs the participants are given the opportunity to develop the leadership strategies that are characteristic for the school district.

<u>Recommendations for School Districts to Improve Evaluation Procedures</u>

There are seven recommendations suggested for school districts to improve principal evaluation procedures. Each recommendation inclusive of a simulated principal evaluation procedure gleaned from the literature review in Chapter 2 and the data collected for this study is presented and discussed.

The school principal is a central figure in improving the learning of children in their respective schools. In this study, seventy-nine percent (79%) of the participating elementary principals reported a link of principal evaluation to improving student learning. Traditionally, in school districts the performance criteria for principal evaluations have been generalized to include all schools and grade levels. Some practitioners, such as Weiss (1989), Anderson (1991) and Leithwood, Jantzi, Silins, and Dart (1993), have suggested that the performance criteria be tailored to the individual principals school setting. Research should be undertaken to determine the school districts that are utilizing the individualized principal performance criteria in evaluating principals, the school districts rationale for adopting the individualized performance criteria and the principal's perceptions of individualized performance criteria on principal evaluations.

The current educational trend is school-centered decision making. Educational practitioners have presented perspectives on the make-up of the school-centered

decision-making team and their roles and responsibilities. Dr. Comer identifies the school centered decision-making team members as "collaborative decision makers" and explains their purpose. Sinclair and Ghory (1997) identifies the team process as "collaborative inquiry" and frames specific steps which are, "teachers, parents and principals in each of our schools enter into spirited dialogue about the progress of their students, collect specific priorities for improvement, devise and try out solutions and monitor results" (p. 7). A recommendation for school districts to improve principal evaluations is to extend the "collaborative inquiry" steps into principal evaluation procedures, which would serve as a blueprint for everyone involved in the principal evaluation procedures.

The data collected in this study suggest that the participating principals are agreeable to parents, teachers and students participating in their evaluations. Traditionally, these "complex contributors," parents, teachers and students have not been included in the principal evaluation process. Contemporary principal evaluation models as shown in the literature are utilizing parent, teacher, student and "external evaluators" input in evaluating principals. It would be helpful for school districts to explore the option and define the roles and responsibilities of parents, students and teachers in principal evaluation as a means of improvement.

Another recommendation for school districts to improve evaluation procedures is to conduct professional development in the principal evaluation procedures. Suggested key components of the professional development are the principal evaluation instrument, the procedure utilized in the school district, and other characteristics of the evaluation procedure, which are unique to the school district.

The "complex contributors" to the principal evaluation process would be required to complete the staff development program prior to the onset of evaluating

principals. The data collected in this study suggested that a very limited number of school districts have documented principal evaluation procedures. In order for principal evaluations to improve, school districts must commit their principal evaluation procedures to print in order to validate the evaluation process. The recommendation is that every school district's principal evaluation procedure be documented.

Past practices in school districts have been to generalize principal evaluations to be inclusive of all schools regardless of grade level, student population, age and condition of the building(s) and school climate. According to Fletcher and McInerney (1995) ".....each principal's job is unique to his or her particular school and its needs" (p.17). The data collected for this study suggested that school districts looking at principal evaluations through the lens of individuality and are developing evaluation procedures that are germane to each principals learning community. The fifth recommendation proposed for consideration for school districts to improve principal evaluations is to configure the principal evaluations to reflect the unique characteristics of each individual principal's school.

The final recommendation for school districts to improve principal evaluations is to revise the principal evaluation procedures being currently utilized to be reflective of contemporary principal evaluation procedures. This researcher using the literature review and interfacing with the data collected in this study adapted a principal evaluation procedure for school districts. This adapted principal evaluation procedure would follow a three year cycle to provide the principals with a variation of perspectives on their job performance. However, one common component in all three years of this adapted principal evaluation procedure is a "coach." The purpose of a "coach" is to provide technical assistance to the principal on all aspects of leading the school community.

Each year of this adapted principal evaluation procedure is outlined, in an explanation of the specific steps that are characteristic of the proposed evaluation procedure. In Year One, the evaluation procedure starts with Portfolio.

In the spring of Year One, the principal working with parents, teachers and students develops the goals for the next school year. The goals are presented to the superintendent in a meeting for discussion. During the school year, the principal and a team consisting of parents, teachers, and students create a portfolio. This portfolio presents a snapshot of the school year through the lens of the yearly goals. There are two key components to the Portfolio: parent, student and teacher input and the principal's self-assessment. The parent, student and teacher input about the principal's strengths and accomplishments would be collected from the entire school community and the results reported in the Portfolio. The Self Assessment would provide the principal the opportunity to discuss the unique characteristics of the school. Additionally, to avail the principal a platform to discuss their leadership strategies for the year in relation to the success or failure in meeting the selected yearly goals. The last step in the Portfolio evaluation procedure is the Summative conference at the end of the year. At the Summative conference the principal meets with the superintendent and presents the portfolio for discussion. A Performance Intervention Track is created for principals failing to achieve their performance goals. The principals in this track receive training, support, and resources to improve identified weaknesses.

In the adapted principal evaluation procedure for school districts to improve principal evaluation, Year Two is Team Evaluation. In Team Evaluation, the team is composed of five members representing the school community, that is, central headquarters, community member, parent and teacher. Fontana (1993) describes the

121

additional team member as an "external evaluator", an individual from a local institution of higher learning, who would add a different perspective to the evaluation procedure and provide technical assistance and resources. The "external evaluator "would be chosen by the principal. Prior to the opening of the school year, in the Formative Conference, the team members and the principal would be develop and discuss the goals for the school year. The Team members would have the responsibility of assisting the principal in presenting the yearly goals to each representative group of the school community. During the school year the Team members would have the responsibility of observing and documenting the principal working toward the achievement of the goals and collecting data from their representative groups. The Team members would schedule a monthly informational meeting with the principal concerning the yearly goals, which would provide the principal with the opportunity for open discussion. The Self Assessment by the principal is a key component of the Team Evaluation. In the summative conference at the end of the school year, the team members would meet with the principal and present a report from their representative group. Collectively as a group, the team would determine the success or failure of achieving the yearly goals. The final step in the year two evaluation procedure is for the team members to assist the principal in reporting the success or failure in achieving the yearly goals to the representative groups of the school community and to solicit input on the goals for the next school year. Team Intervention Track is for principals failing to achieve their performance goals. In the Team Intervention Track the team members provide training, support, and resources for the unsuccessful principal to improve identified areas of weakness.

Year Three of the adapted principal evaluation procedure for school districts to improve principal evaluation is Peer Evaluation. In Peer Evaluation, the peer group is comprised of four to seven principals who are "self selected with consideration of common goals, geographic representation, size, diversity and relationships" (Gil, 1998, p. 29). Another key member of the peer group is the "external evaluator," who is chosen by the principal. Suggestions for the "external evaluator" are retired principal practitioners or an individual from an institution of higher learning with experience as a principal. Prior to the opening of the school year at the formative conference, according to Brown, Irby and Neumeyer (1998) the peer group meets with the principal, and the superintendent. The superintendent, as Gil (1998) states, "provides focus questions for the peer group to consider each year" (p. 29). The next step to be taken is the goal-setting meeting at which the peer group "selects a common focus based on predetermined criterion. The peer group use performance indicators in professional growth, school improvement, evaluation of school personnel, management, communication and community relations" (Gil, 1998, p. 29). During the school year the peer group members make frequent visits to the school site, utilizing the data sources of classroom observations, analysis of student work, interviews with parents and staff with feedback to the principal in monthly meeting. At the last scheduled meeting of the principal and the peer group, the principal presents the self- assessment, and the peer group formulates recommendations on the principal's work. The concluding step in the peer group evaluation procedure is the post conference with the peer group, principal and the superintendent. In the post conference, the final recommendations on the principal's work are presented to the superintendent. The Peer Intervention Track is for

principals failing to achieve their performance goals. The principal's in this track receive training, support, and resources to improve identified weaknesses.

School districts are abandoning their past practices of checklists (Lashway 1998) and yearly visits to schools (Manatt 1989) in search of failure. In taking that giant step to view the evaluation of principals through a different lens of contemporary evaluation procedures and collaboration, school districts are providing the framework for the conditions in public elementary schools where all children will have a better chance of becoming successful learners.

Closing

The clerical and supervisory duties of the principal have been transformed into very complex duties and extensive job responsibilities. Public education has been unionized by education associations, politicized by local, state, and federal politicians, decentralized by a landmark Supreme Court ruling, and sensationalized by the media. Critics have scrutinized educational issues such as the drop out rates, class size, suspension rates, special education, school security, and the achievement gap. Across the country, public education has been reformed, resulting in core curriculum standards and mounting a wave of interest in assessment and accountability for teachers and principals.

The complex roles and extensive job responsibilities of today's school leaders have been the subject of numerous articles and books, while being widely debated and studied by educational practitioners. Public elementary school principals are experiencing difficulty in assimilating to the new roles and changing job responsibilities.

Unfortunately, evaluation procedures go begging when it comes to helping principals with their leadership challenges, particularly helping all children of all families learn well.

The major goal of any principal evaluation scheme should be to help principals---those identified as the key leader for school success---to do their jobs better (Ginsberg & Thompson, 1993, p. 72). Past practices for evaluating principals in school districts did not model the work of Ginsberg and Thompson but used principal evaluation procedures to identify weaknesses in leadership skills and behaviors resulting in progressive discipline and termination of duties. Principal evaluation procedures were seldom recognized by school districts as an approach to assist principals in improving student learning. This serious omission in evaluation has to be corrected if elementary schools are to become more effective in serving all children. The relationship between principal evaluation procedures and improving student learning is starting to be acknowledged by superintendents, school board members, and principals and is beginning to receive serious attention in evaluations. The linkage of principal evaluation and the improvement of student learning must be strengthened to ensure that all children in public elementary schools become successful learners, who can participate constructively in our evolving democracy.

APPENDIX A

LETTER OF INTRODUCTION

Letter of Introduction

Dear

I am a doctoral candidate in curriculum studies at the University of Massachusetts and would like to invite you to participate in a research study designed to examine the nature of the evaluation of elementary principals and the extent to which evaluation is considered a means of assisting elementary principals to help students improve their learning. You were selected to be a participant because are a principal of a kindergarten through grade five or kindergarten through grade six school located in the state of Massachusetts.

It is hoped that the results of the study will provide information for school districts who are now beginning to take a closer look at their evaluation practices and generate evaluation models which better define elementary principal's skills. Also, through this research, dialogue among elementary principals and educators about successful strategies for increasing student learning and assist principal preparedness programs in planning for training and recruitment of prospective candidates.

The interview will be strictly confidential such that no participant will be individually identifiable. Anonymity is guaranteed, providing a nonthreatening atmosphere to encourage open and honest opinions. The time commitment for the interview will be approximately 30 minutes. Also, I am asking you to provide me with a blank copy of your districts
principal evaluation instrument. Interviews will be pre-arranged.

I will be contacting you by phone during the week of _____,
to determine your decision to participate in this study.

Thank you for your cooperation and anticipated participation. Your expertise will assist in examining the nature of the evaluation of elementary principals and the extent to which evaluation is considered a means of assisting elementary principals to help students improve their learning. If you have any questions or comments, please feel free to call: 787-7543 (W); 732-3348; 787-7349 (fax).

Sincerely

APPENDIX B

CONSENT FORM

Informed Consent Letter
Study of the University of Massachusetts at Amherst
The Evaluation of Principals
And the Improvement of Public Elementary Schools

Consent for Voluntary Participation

I, volunteer to participate in this qualitative study and understand that:

1. I will be interviewed by Carol A. J. Willis using a guided interview format consisting of three questions.

2. The questions I will be answering address my views on the evaluation of elementary principals. I understand that the primary purpose of this research is to determine the nature of the evaluation of elementary
principals and the extent to which evaluation is considered a means for assisting elementary principals to help students improve their learning.

3. The interview will be tape recorded to facilitate analysis of data.

4. My name will not be used, nor will I be identified personally in any way or at any time. I understand it will be necessary to identify participants in the dissertation by geographical location in Massachusetts.

5. I may withdraw from part or all of this study at any time.

6. I have the right to review material prior to the final exam or other publication.

7. I understand that the results from this survey will be included in Carol Willis's doctoral dissertation and may also be included in manuscripts submitted to professional journals for publication.

8. I am free to participate or not to participate without prejudice.

9. Because of the small number of participants, approximately twelve, I understand that there is some risk that I may be identified as a participant in this study.

_____   _____   _____   _____
Researcher's Signature   Date   Participant's Signature   Date

APPENDIX C

INTERVIEW FORM

Proposed Interview Questions for Principals

Information about you

Number of students_____   Grades_____

Where is the location of the school, urban, rural, suburban?

How many students are enrolled in your school? 200 - 300, 300-400, 400-500, 500+

How many years have you been a principal?

Perceptions regarding principal evaluation

1. Does your district have procedures for evaluating principals? If so, would you explain the procedures used in your evaluation?

2. As a principal, who do you think should conduct your evaluation, the Superintendent, teachers, students, parents or central office administrators? Why?

3. Generally speaking, is principal evaluation linked to the improvement of student learning? How?

APPENDIX D

PRINCIPAL FIVE DOCUMENTED EVALUATION PROCEDURE

July 8, 1998

TO: Superintendent of Schools
FROM: Elementary Principal

RE: Personal and District Goals 1998-1999

1. I will continue to encourage and model collaborative, collegial, and professional communication among the members of the school community.

2. I will research and provide time to assist in the development of computer skills for elementary students. To this end, I will work with the district technology team and Mrs. F: in exploring curriculum and staffing options.

3. I will assist in finding ways to provide identification and interventions for young at risk children in our school. I will be assisting Mrs. F with this goal.

4. I will continue to be available to the community to promote the outstanding things that are going on at   Elementary School;

5. I will continue my own life long learning through professional organizations and collaborative work with the faculty.

6. I will assist and supervise the further integration of the health curriculum into our current physical education and science curriculum areas.

7. I will initiate a World Languages program. with the support of the School Council, at no cost to the district, with input from Mrs. F.

8. I will promote a supplemental math program "Math Investigations" with parents through a Family Math Night and arrange for additional training for tile faculty.

9. With the advice of the faculty, School Council, and Mrs. F, I will prepare short and long range program and staffing goals for the elementary school.

10. I will continue to work with Mrs. F and Mrs. T, on purchases for the elementary school under the Building Committee's accounts.

11. I will work with Mr. M and Mrs. F on issues involving middle school students and transitions from the elementary school to   .

12. I will assist Mrs. F in reviewing and revising job descriptions for the school district.

July 1, 1998

TO: Superintendent of Schools FROM: Elementary Principal RE: Goals and Assessment, 1997-1998.

Professional Goals for 1997-1998

1. I will continue to encourage and model collaborative, collegial, and professional communication among the members of our school community.
(Continuation of 1995-1996-1997 goal)

a. Introduction of Power Ourselves with Words via the Health program, initiated in 1995 with   . This common language for children and staff focused on self discipline and self esteem will carry over into expected behaviors in tile new school. I co-presented the program in each classroom, requiring 6 -10 hours of instruction during 1995-1996 year.
b. Initiation of RESPECT as a theme for new school community.
Focus: respect for yourself, each other and the new school. Begun 1996-1997, continuing.
c. To bolster theme of respect, instituted Student Council with teacher
advisors, and helped train 32 Peer Mediators from fifth and sixth grade. Supervised mediation sessions from February-June 1998.
d. With creative scheduling, maintained common planning time for faculty. This definitely aided in problem solving, child study and parent meeting schedules during the school day.
e. Supported teachers as leaders in the staff - more teachers are willing to share their expertise, particularly in math, science, and computer skills with peers.
f. Outreach to the parents and community included development of KidSports collaboration, Family Science Night, Science Fair, Like Your Bike Day, with most events occurring after school hours.

2. I will research and provide time to assist in the development of computer skills for elementary students.

a. By assuming responsibility for the social studies curriculum in fifth grade, Mr. W had time to meet weekly with 4tI1, 5th, and 6th graders in the computer lab. Other classes worked in the lab when slots were available, but not on a regular schedule.

3. I will assist in finding ways to provide early identification of needs and intervention with academic support for kindergarten and first grade cl1ildren, before utilizing the Special Education system.

    a. With the creativity and flexibility of Mrs. B, Mrs. B and the special education aides, the primary teachers were able to work collaboratively to provide small group instruction for our young "at risk" children. Smaller class sizes in the primary grades would greatly strengthen tl1is program, and certainly aid the students.

4. I will continue to be readily available to staff, children, parents, and members of the community to solve problems, answer questions, develop new programs, and generally promote the outstanding things that happen at
                          Elementary School.

5. I will continue to personally be an avid learner and continue to develop my own teaching skills with both adults and children, keeping current with new programs and techniques, and sharing that information with the school community.

    a. I taught a 3 credit graduate course at   College this spring, "Leadership in Educational Programs". I was a guest lecturer
at   and   "on curriculum development, Education Reform and professional development.

    b. I was elected chair of the Education Personnel Advisory Council for the Department of Education in October, 1997, to serve for three years.

    c. I have continued to be a mentor principal for newly certified principals through the MESPA Certification program.

    d. I will be completing my doctorate in Education Administration in May, 1999.

    e. Members of the faculty nominated me for the National Distinguished Principal Award for a second year. I was again a finalist. (recommendations are included)

Goals for 1998-1999:

1. Continuation of# 1 - 5 as listed above.

2. I will assist and supervise the further integration of the health curriculum into our current physical education and science curriculum areas.

3. I will initiate a world languages program, with the support of the School Council, at no cost to the district, through the possible use of our upper level language students at   and students at the surrounding colleges and universities.

4. I will promote a supplemental math program "Math Investigations" with parents through a Family Math Night and with additional training in techniques for the faculty.

5. With the advice of the faculty and School Council, I win prepare short and long range program and staffing needs, to be presented to die School Committee throughout tile year.

6. I will continue to work with Mrs. T in finding the best goods and prices as we spend the last of the Building Project monies.

APPENDIX E

PRINCIPAL TEN DOCUMENTED EVALUATION PROCEDURE

Administrative Performance Standards

Evaluation Process for

Administrative Personnel

Evaluation Procedures and Performance Standards

The purpose of evaluation under M.G.L. C7l, §38 and 603 CMR 35.00 are:

a) to provide infomlation for the continuous improvement of performance through an exchange of information between the person being evaluated and the evaluator, and

b) to provide a record of facts and assessments for personnel decisions.

The purpose of 603 CMR 35.00 is to ensure that ever:' school committee has a ~"Stem to enhance the professionalism and accountability of teachers and administrators which v, 11I enable them to assist all students to perform at high levels. 603 CMR 35.00, together with the Principles of Effective Teaching and Principles of Effective Administrative Leadership adopted by the Board of Education, set out what Massachusetts teachers and administrators are expected to know and be able to do. 603 CMR 35.00 requires that school committee establish a comprehensive evaluation process for teachers and administrators, consistent with these principles. to assure effective teaching and administrative leadership in the Commonwealth's public schools.

35.02 Definitions

Administrator shall mean any person employed in a school district in a position requiring a certificate as described in 603 CMR 7.10(34) through (38) or who has been approved as an administrator in the area of vocational education as provided in 603 CMR 4.00 *et seq.*

. Evaluation shall mean the ongoing process of defining goals and identifying, gathering and using information as part of a process to improve professional performance (the "formative evaluation ") and to assess total job effectiveness and make personnel decisions (the "'summative evaluation")

Evaluation Process
for
Administrative Personnel

The annual evaluation will be based on successful completion of three or more mutually determined goals.

<u>Timeline</u>

1. <u>Goal Setting Meeting: -</u> June/September

   During the meeting the evaluator and evaluatee will agree on a set of goals or objectives (three – five). The goals will contain information on <u>what,</u> <u>when,</u> and by <u>whom</u> they will be accomplished and <u>how they will be measured.</u> There should be evidence available to support completion of the goal(s).

2. <u>Progress Conference -</u> November/January

   During this conference the supervisor reviews the progress of the goals. The evaluatee will share the completed activities and accomplishments related to the specific goals.

3. <u>Final Evaluation -</u> May

   The supervisor reviews the progress of the goals and the evaluatee shares evidence that validates the completion of the action steps.

   In preparation for the final conference, the evaluatee may wish to complete <u>Form B.</u> This form *is* optional. It provides the evaluatee with an opportunity to provide additional information regarding performance during the year; for example, if there was a unique aspect to the administrator's year: or if the administrator served the district at a unique level. Additional professional growth activities can also be noted.

4. <u>Input to Administrators</u>

   Any administrator has the opportunity to gather information from faculty and parents using assessment instruments. Two instruments are attached for your use. if you wish.

Timeline

<u>June/September</u>

First Meeting - Meet to Discuss Goals
Second Meeting - Meet to Finalize Goals
            - Develop Action Steps > By September
             - Estimate Completion Dates> By September

<u>November/January</u>

        Progress Conference
        Review Goals and Documentation

<u>May</u>

        Final Evaluation
        Optional Forms Completed

Administrative Performance Evaluation Instrument

Administrator: Assignment: School: School Year:

Performance Standard Number(s):	Evidence:			
Goal Number: _____				
ACTION STEPS	Estimated Completion Date	Dates Completed		
		November/ January	May	Ongoing

144

An optional form for the principal
to prepare and submit at final conference.

Administrative Performance Evaluation Instrument
Additional Factors and Considerations
(Optional)

Administrator's Name _____ Year _____

1. Uniqueness of job:

2. Additional service to District:

3. Additional professional growth activities:

4. Comments by Administrator:

5. Comments by Superintendent/Director:

TEACHERS' INPUT TO PRINCIPAL

Please take a few minutes to respond to this survey. I am trying to assess my performance, and you assistance will be appreciated.

It is not necessary to sign this survey. Use the envelope provided to return the compared survey to the office.

Principal's Name _____

School _____ Date _____

	EXEMPLARY	SATISFACTORY	NEEDS IMPROVEMENT	I DON'T KNOW
1. The building administrator identifies, investigates and solves problems effectively.				
2. The building administrator consistently exercises good judgment.				
3. The building administrator demonstrates ability to organize and plan.				
4. The building administrator recognizes when a decision is required and acts in a timely manner.				
5. The building administrator demonstrates the ability to interact with a group or individual and to provide guidance toward accomplishment of a task.				
6. The building administrator demonstrates sensitivity to others.				
7. The building administrator effectively communicates both orally and in writing.				
8. The building administrator articulates a well-reasoned educational philosophy and is receptive to new ideas and change.				
9. The building administrator is an effective instructional leader.				
10. The building administrator effectively implements the District personnel policies and procedures.				

146

	EXEMPLARY	SATISFACTORY	NEEDS IMPROVEMENT	I DON'T KNOW
11. The building administrator provides for staff involvement in appropriate planning and problem solving. **11.**				
12. The building administrator ensures that the staff is professionally competent. **12.**				
13. The building administrator implements district and building policies and procedures for student management which promotes a positive learning environment. **13.**				
14. The building administrator demonstrates concern for the safety and well-being of students. **14.**				
15. The building administrator effectively administers a comprehensive and appropriate student activity program. **15.**				
16. The building administrator effectively represents the school/district. **16.**				
17. The building administrator encourages effective communication among staff members, students, and district personnel. **17.**				
8. The building administrator demonstrates friendliness, openness, and is visible and available. **18.**				

ʃMENTS: (If you checked "needs improvement", it would be helpful to make suggestions. Other comments are encouraged.

_____

_____

_____

_____

Please take a few minutes to respond to this survey. I am trying to assess my performance, and your assistance will be appreciated.

It is not necessary to sign this survey. Use the envelope provided to return the completed survey within two weeks. Thank you for your time and cooperation.

Principal's Name _____

School _____ Date_____

	EXEMPLARY	SATISFACTORY	NEEDS IMPROVEMENT	I DON'T KNOW
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

1. The building administrator demonstrates friendliness, openness, and is visible and available.

2. The building administrator provides guidance and support to organizations and/or projects involving patrons.

3. The building administrator ensures that parents are aware of instructional programs and other activities in the school.

4. The building administrator encourages effective communication with patrons.

5. The building administrator shows concern for the well-being of students.

6. The building administrator ensures the implementation of a discipline plan that promotes a positive learning atmosphere.

7. The building administrator ensures that the building and grounds are clean, safe, functional, and aesthetically pleasing.

8. The building administrator models professional and ethical behavior.

9. The building administrator is an effective instructional leader.

10. The building administrator effectively implements the District personnel policies and procedures.

Principles of Effective

Administrative Leadership

Principles of Effective Administrative Leadership with Descriptors and Indicators

1. Effective Instructional Leadership

Area	Descriptor	Indicator
a. The administrator facilitates the development of a shared mission and vision.	1) Demonstrates an understanding of the importance of mission and vision based on a well developed philosophy and recognizes that student learning must be the focus of all school programs and activities.	• Develops a vision of the educated person, shares that vision with the school community, and works with parents, community members, staff, and students to create a shared vision of the educated person.
b. The administrator encourages and uses a variety of strategies to assess student performance accurately.	1) Encourages teachers and staff to use a variety of standardized, formal and informal tests, and performance based assessments.	• Works with teachers to implement the assessment strategies listed to enhance teachers' knowledge of learners, evaluate student progress and performance, and modify teaching and learning strategies.
c. The administrator applies current principles, practices, and research to foster effective teaching.	1) Demonstrates knowledge of the instructional process and teaching methodologies.	• Works with teachers to create a variety of formal and informal opportunities for teachers to further develop their understanding of the learning process and to examine the implications of the learning process for teaching.
d. The administrator leads the renewal of curriculum and instructional programs.	1) Encourages and assists staff to be knowledgeable in subject area instructional techniques and identification of interdisciplinary instructional practices.	• Collaborates with staff to develop curriculum and instructional practices that help all children reach high achievement standards.
e. The administrator promotes and models the effective use of appropriate instructional technologies	1) Allocates fiscal and human resources for incorporating technology in the instructional process.	• Promotes the integration of the appropriate use of video, computers, telecommunications, and other technologies into the curriculum.
f. The administrator holds teachers accountable for having high standards and positive expectations that all students can be successful.	1) Enlists teachers in creating and communicating to students positive dispositions toward learning.	• Promotes activities that honor academic excellence. • Works with teachers to establish high standards and expectations for student work.

150

Principles of Effective Administrative Leadership with Descriptors and Indicators

1. Effective Instructional Leadership (continued)

Area	Descriptor	Indicator
g. The administrator works with teachers and other staff to supervise and evaluate the performance of teachers and staff, using performance standards, to identify areas for growth.	1) Understands and communicates performance standards for teachers using the state's baseline standards as a foundation.	• Evaluates classroom instruction in terms of teacher performance and follows effective practices for improving teacher performance.
h. The administrator supports ongoing professional development that enhances curriculum renewal, staff performance, and student learning.	1) Provides opportunities for staff to engage in professional development that enhances curriculum renewal, staff performance, and student learning.	• Involves staff in identifying professional development needs. • Fosters effective professional development based on research and models of desired practice including time for reflection, planning, problem solving, collaboration, repeated practice and feedback, and respect for individual adaptations.

2. Effective Organizational Leadership
The effective administrator creates a self-renewing organizational environment that consistently focuses on enabling all students to achieve at high levels.

Area	Descriptor	Indicator
a. The administrator applies research and organizational leadership skills.	1) Applies concepts of organizational behavior and development in daily work.	• Encourages the development of new programs and identifies opportunities to improve the organizational performance.
b. The administrator demonstrates communication skills that are clear, direct, and responsive.	1) Communicates the school's vision, goals, needs and accomplishments to students, school personnel, families, and the community.	• Presents facts and ideas orally in individual and group situations and uses language that is appropriate to the person or group. • Facilitates communication that yields results through teamwork, consensus, and inquiry.
c. The administrator creates a positive climate for collegial teaching and learning.	1) Creates a school climate that gives a sense of well-being and productivity.	• Provides an environment and culture where creativity, exchange of ideas, responsible risk-taking, and experimentation are shared, valued, and practiced.

Principles of Effective Administrative Leadership with Descriptors and Indicators

2.   Effective Organizational Leadership (continued)

Area	Descriptor	Indicator
d. The administrator facilitates constructive change.	1) Uses approaches to organizational change, including processes for school-based management and school restructuring.	• Is receptive to a dynamic environment yet understands the need for organizational stability.
e. The administrator plans for, models, and encourages collaboration and shared decision-making.	1) Develops, participates in, and maintains systems of shared decision-making with department and/or school colleagues and the larger school community.	• Provides appropriate time and resources for collaborative planning. • Involves others in setting and accomplishing goals.
f. The administrator applies strategic planning techniques that foster systemic approaches and result in sound decisions.	1) Develops and implements long and short-term plans for educational program improvement, professional development, resource allocation, enrollments, and facilities consistent with the school and district mission.	• Makes use of reliable sources of data to support goals, objectives, and planning needs.

3.   Effective Administration and Management

The effective administrator acts within legal and ethical guidelines to accomplish educational purposes and improve student learning.

Area	Descriptor	Indicator
a. The administrator effectively carries out personnel selection, supervision, evaluation, and management functions for the school or district.	1) Applies current principles and techniques of staffing, selection, orientation/induction, assignment, supervision, evaluation, motivation, and termination of personnel.	• Implements procedures for evaluating personnel using Massachusetts' baseline performance standards, effective supervision and evaluation practices, and due process procedures.
b. The administrator applies current knowledge of policy formation and legal requirements within the scope of his/her responsibility.	1) Understands and implements federal, state, municipal laws, regulations, policies and procedures including the implications of liability and requirements of due process.	• Works with teachers, the school department, and the community to create a positive school culture.
	1) Employs sound fiscal management procedures.	• Uses proper methods and techniques to prepare, revise, and monitor the school or district budget.

152

Principles of Effective Administrative Leadership with Descriptors and Indicators

3. Effective Administration and Management (continued)

Area	Descriptor	Indicator
d. The administrator applies current knowledge of auxiliary programs (such as transportation, food services, pupil personnel services, maintenance, and facilities management) within the scope of his/her responsibility.	1) Makes decisions concerning facilities, equipment management, community services, and needs to support school/district goals and objectives.	• Works with appropriate school or district personnel to promote the safe, efficient, and effective use of the school plant.
e. The administrator uses appropriate technologies to administer his/her responsibilities.	1) Applies technology management tools.	• Utilizes databases and spreadsheets to analyze information (e.g., school finance, student and staff record keeping, on-line school profiles) and make decisions.

4. Promotion of Equity and Appreciation of Diversity

The effective administrator strives to insure equity for all students and values diversity in the school environment.

a. The administrator strives to insure equity among programs and learning opportunities for staff, students, and parents.	1) Addresses the needs of diverse educational personnel and student populations.	• Applies constitutional and statutory laws, state regulations. and School Committee policies and guidelines.
b. The administrator demonstrates appreciation for and sensitivity to the diversity among individuals.	1) Develops and implements educational, political, and organizational strategies that are effective in meeting the needs of a diverse student body.	• Insures that all individuals are treated with fairness, dignity, and respect.

5. Effective Relationships with the Community

The effective administrator interacts with the community responsibly to address the needs of students.

a. The administrator assesses the needs of parents and community members and involves them in decision-making.	1) Creates an environment for encouraging recommendations from parents, students, and community members to determine how the school/district can meet their needs.	• Engages parents, students, and community members in improving student learning.

Principles of Effective Administrative Leadership with Descriptors and Indicators

5. Effective Relationships with the Community (continued)

Area	Descriptor	Indicator
b. The administrator promotes partnerships among staff, parents, business, and the community.	1) Addresses the needs of the building by utilizing all available human resources.	• Enlists volunteers to support instructional needs. .
c. The administrator interprets, articulates and promotes the mission, programs, activities, and services of the school/district.	1) Communicates the school's mission, goals, needs, and accomplishments to students, school personnel, parents and the community.	• Provides information to parents and the community through handbooks, brochures, fact sheets and other handouts available at the school or office.

6. Fulfillment of Professional Responsibilities

The effective administrator models professional behaviors that contribute to addressing the needs of students.

a. The administrator demonstrates enthusiasm for his/her own learning.	1) Demonstrates that life-long learning and professional development are necessary for self and others.	• Keeps abreast of current educational research and exemplary practices in area of expertise.
b. The administrator demonstrates and promotes an atmosphere of respect for self and others.	1) Demonstrates sensitivity to differences in learning needs, modes of expression, and social and cultural backgrounds.	• Models and demonstrates a personal and professional code of ethics.
c. The administrator models ethical behavior.	1) Interacts with others in a professional manner consistent with his/her role and accepts responsibility for his/her own actions.	• Treats people fairly, equitably, and with dignity and respect.

APPENDIX F

PRINCIPAL ONE DOCUMENTED EVALUATION PROCEDURE

ADMINISTRATOR'S EVALUATION INSTRUMENT

NAME_____

ASSIGNMENT_____ LOCATION _____

APPRAISAL PERIOD: from_____ through_____

 TITLE OF POSITION_____

YEARS OF SERVICE IN CURRENT ADMINISTRATIVE POSITION _____

ADMINISTRATOR'S EVALUATION INSTRUMENT

Administrator _____ School _____ Date _____

Performance Rating Scale:

I. EFFECTIVE INSTRUCTIONAL LEADERSHIP   S NI C

The administrator facilitates the development of a shared mission and vision.

_____

_____

The administrator encourages and uses a variety of strategies to assess student performance accurately.

_____

_____

The administrator applies current principles, practices, and research to foster effective teachings.

_____

_____

The administrator promotes the renewal of curriculum and instructional programs.

_____

_____

The administrator promotes and models the effective use of appropriate instructional technologies.

_____

_____

The administrator holds teachers accountable for having high standards and positive expectations that all students can perform at high levels.

_____

The administrator works with teachers and other staff to supervise and S NI C
evaluate their performance, using performance standards, and to identify
areas for growth.

S	NI	C

The administrator supports ongoing professional development.

S	NI	C

II.   EFFECTIVE ORGANIZATIONAL LEADERSHIP

The administrator applies research and organizational leadership skills.

S	NI	C

The administrator demonstrates communication skills that are clear,
direct and responsive.

S	NI	C

The administrator creates a positive, informed climate for collegial
teaching and learning.

S	NI	C

The administrator facilitates constructive change.

S	NI	C

The administrator plans for, models, and encourages collaborative and
shared decision-making.

S	NI	C

The administrator applies strategic planning techniques that foster systemic approaches and result in sound decisions.

S   NI   C

S	NI	C

_____

_____

III.   EFFECTIVE ADMINISTRATION AND MANAGEMENT

The administrator carries out personnel selection, supervision, evaluation, and management functions for the school or district effectively.

_____

_____

The administrator applies current knowledge of policy formation and legal requirements within the scope of his/her responsibility.

_____

_____

The administrator applies current knowledge of fiscal management policy and practices within the scope of his/her responsibility.

_____

_____

The administrator applies current knowledge of auxiliary programs (such as transportation, food services, pupil personnel services, maintenance, and facilities management) within the scope of his/her responsibility/control.

_____

_____

The administrator uses appropriate technologies to administer his/her responsibilities.

_____

_____

IV.   PROMOTION OF EQUITY AND APPRECIATION OF DIVERSITY

The administrator strives to ensure equity among programs and learning opportunities for staff, students, and parents.

_____

The administrator demonstrates appreciation for and sensitivity to the diversity among individuals.

S   NI   C

S	NI	C

_____

_____

V.   EFFECTIVE RELATIONS WITH THE COMMUNITY

The administrator assesses the needs of parents and community members and involves them in decision-making.

_____

_____

The administrator promotes partnerships among staff, parents, business, and the community.

_____

_____

The administrator interprets, articulates, and promotes the vision, mission, programs, activities, and services of the school/district.

_____

_____

VI.   FULFILLMENT OF PROFESSIONAL RESPONSIBILITIES

The administrator demonstrates enthusiasm for his/her own learning.

_____

_____

The administrator demonstrates and promotes an atmosphere of respect for self and others.

_____

_____

The administrator models ethical behavior.

_____

COMMENTS AND/OR RECOMMENDATIONS

_____

_____

_____

_____

I verify that this appraisal is accurate, to the best of my judgment, and reflects my true professional opinion of the administrative performance of the herein-named administrator.

_____   _____
Evaluator's Signature   Date

I acknowledge that I have been informed of the contents of this evaluation.

_____   _____
Administrator's Signature   Date

ADMINISTRATOR'S COMMENTS

_____

_____

_____

_____

_____

PORTFOLIO PROFICIENCIES

- Leadership skills

- Communication skills

- Strategies to access student performance

- Vision

- Application of current principles, practices and research to foster effective teaching

- Promotion and modeling of the effective use of appropriate instructional technologies

- Teacher accountability for having high standards and positive expectations that all students can perform at high levels

- Facilitation of constructive change

- Planning, modeling and encouragement of collaborative and shared decision making

- Appropriate use of technologies to administer responsibilities

- Promotion of partnerships among staff, parents, business and community.

Form B

An optional form for the principal
to prepare and submit at final conference.

Administrative Performance Evaluation Instrument
Additional Factors and Considerations
(Optional)

_____   _____
Administrator's Name   Year

1. Uniqueness of job:

2. Additional service to District:

3. Additional professional growth activities:

4. Comments by Administrator:

5. Comments by Superintendent/Director:

BIBLIOGRAPHY

Alkire, P. (1995). Selection of beginning elementary principals: Criteria used by Ohio school districts. Educational Research Service Spectrum, 13(1), 34-37.

Allison, D. J., & Allison, P. A. (1993). Both ends of a telescope: Experience and expertise in principal problem solving. Educational Administration Quarterly, 29(3), 302-322.

Anderson, M.E. (1991). Principals: How to train, recruit, select, induct, and evaluate leaders for America's schools (Report No. ERIC/CEM Accession No. 023 124). Eugene, OR: ERIC Clearinghouse on Educational Management. (ERIC Document Reproduction Service No. ED 337843.

Anderson, M.E., & Lumsden, L. (1989). How best to evaluate principals? The School Administrator, 46(11), 16-18, 22-23.

Barnett, B. G., Caffarella, R. S., Daresh, J. C., King, R. A., Nicholson. H., & Whitaker, K. S. (1992). A new slant on leadership preparation. Educational Leadership, 49(5), 72-75.

Bickel, L.R. (1995). Faculty and administration: collaborating on an administrative evaluation. National Association of Secondary School Principals Bulletin, 79 (574), 75-80.

Blase, J., & Kirby, P. C. (1992). Bringing out the best in teachers. California: Corwin Press.

Brown, G., & Irby, B. J. (1994). The portfolio: should it also be used by administrators. National Association of Secondary School Principals Bulletin, 78(561), 82-83.

Brown, G., Irby, B. J., & Neumeyer, C. (1998). Taking the lead: one district's approach to principal evaluation. National Association of Secondary School Principals Bulletin, 82(602), 18-24.

Calabrese, R. (1991). Principal preparation: ethical considerations for universities. National Association of Secondary Principals Bulletin, 75(539), 31-35.

Cartwright, M., & D'Orso, M. (1993). For the children. New York: Doubleday.

Clayton-Jones, L., McMahon, J., Rodwell, K., Skehan, J., Bourke, S., & Holbrook, A. (1993). Appraisal of school principals in an Australian department of education. Peabody Journal of Education, 68(2), 110-131

Comer, J. P. (1991). <u>Comer project for change in education leadership development program</u>. Workshop conducted April 22-29, 1991, April 29-May 2, 1991 in New Haven, CT.

Coutts, J. D. (1997). Why principals fail: are national professional standards valid measures of principal performance? <u>Educational Research Service Spectrum,</u> <u>5</u>(4), 20-24.

Duke, D. L., & Iwaniki, E. (1992). Assessment and the notion of "fit." <u>Peabody Journal of Education, 68</u>(1), 25-36.

Duke, D., & Striggins, R. J. (1985). Evaluating the performance of principals: A descriptive study. <u>Educational Administration Quarterly, 21</u>(4), 71-98.

Durden, P. C., & Areglado, R. J. (1992, December). Assessing principals. <u>Streamlined Seminar, 11</u>(3). VA: National Association of Elementary School Principals.

Educational Research Service. (1998, January). <u>Is there a shortage of qualified candidates for openings in the principalship?</u> VA: Author.

<u>Effective Principal Evaluations</u>. (1994). MD: Aspen.

Fletcher, T. E., & McInerney, X. (1995). Principal performance areas and principal evaluation. <u>Educational Research Service-Spectrum, 13</u>(4), 16-21.

Fontana, J. (1994). Principal assessment: A staff developer's idea for a complete overhaul. <u>National Association of Secondary School Principals Bulletin, 78</u>(565), 91-99.

Fredericks, J., & Brown, S. (1993). School effectiveness and principal productivity. <u>National Association of Secondary School Principals Bulletin, 77</u>(556), 9-16.

Garretti, W. R., & Flanigan, J. L. (1991, January). Principal evaluation: A definitive process. <u>Journal of School Leadership, 1,</u> 74-86.

Gibbins, N. L., & Curnutte, M. M. (1987). Evaluating principals for your school district: 20 questions. <u>National Association of Secondary School Principals Bulletin, 71</u>(501), 113-118.

Gil, L. S. (1998). Principals evaluating peers. <u>The School Administrator, 55</u>(9), 28-30.

Ginsberg, R., & Thompson, T. (1993). Dilemmas and solutions regarding principal evaluation. <u>Peabody Journal of Education, 68</u>(2), 58-74.

Glasman, N. S., & Martens, P. A. (1993). Personnel evaluation standards: The use in principal assessment systems. <u>Peabody Journal of Education, 68</u>(2), 47-63.

Grier, T. B., Reep, B., & Trenta, L. (1994). Reflecting on performance. The Executive Educator, 16(6), 35-37.

Hallinger, P., & Murphy, J. (1991). Developing leaders for tomorrow's schools. Phi Delta Kappan, 72(7), 514-520.

Harris, C. W. (Ed.). (1960). Encyclopedia of educational research (3rd ed.). New York, NY: Macmillan.

Harrison, W. C., & Peterson, K. D. (1986). Pitfalls in the evaluation of principals. The Urban Review, 18(4), 221-235.

Harrison, W. C., & Peterson, K. D. (1987, April). Complexities in the evaluation of principals: The relationship between satisfaction with evaluation processes, criteria, and sources of information. Paper presented at the annual meeting of the American Educational Research Association, Washington, DC.

Hart, A.W. (1993). The social and organizational influence of principals: Evaluating principals in context. Peabody Journal of Education, 68(2), 37-57.

Heck, R. H., & Glasman, N. S. (1993). Merging evaluation and administration. Peabody Journal of Education, 68(2), 132-142.

Heck, R. H., & Marcoulides, G. A. (1993). Principal assessment: Conceptual problem, methodological problem or both. Peabody Journal of Education, 68(2), 124-144.

Herman, J. J. (1993). Administrator supervision, evaluation and performance pay. National Association of Secondary School Principals Bulletin, 77(553), 89-94.

Herman, J. L., & Herman, J. J. (1995). Defining administrative tasks, evaluating performance and developing skills. National Association of Secondary School Principals Bulletin, 79(567), 16-21.

Joint Committee on Standards for Educational Evaluation. (1988). Personnel evaluation standards. CA: Sage.

Keeling, B. L., & Kallaus, N. (1983). Administrative office management (8th ed.). OH: South-Western.

Keller, B. (1998). Principal matters. Education Week, 18(11), 25-27.

Lashway, L. (1998). Instruments for evaluation. The School Administrator, 55(9), 14-19.

Leithwood, K., Jantzi, D., Silins, H., & Bryron, D. (1993). Using the appraisal of school leaders as an instrument for school restructuring. Peabody Journal of Education, 68(2), 85-109.

Lemahieu, P. G., Roy, P. A., Foss, H. K. (1997). Through a lens clearly, a model to guide the instructional leadership of principals. Urban Education, 31(5), 582-608.

Lewis, Jr., J. (1987). Re-creating our schools for the 21st century. New York, NY: J. L. Wilkerson.

Manatt, R. P. (1989). Principal evaluation is wrong headed and ineffective. The Executive Educator, 11(11), 22-23.

Manatt, R. P. (1997). Feedback from 360 degrees. The School Administrator, 54(3), 8-13.

Marks, J. R., Stoops, E., & King-Stoops, J. (1971). Handbook of educational supervision. Boston, MA: Allyn and Bacon.

Marlow-Inman, L., & Atkinson, J. (1993). Evaluating school administrator performance :perceptions of teachers, principals. National Association of Secondary School Principals Bulletin, 7(551), 87-90.

Massachusetts Elementary School Principals' Association. (1998, January). Mespa Survey on conditions of the principalship. Marlborough, MA: Massachusetts Elementary Principals' Association.

Murphy, J. (1998). Preparation for the school principalship: United States story. School Leadership and Management, 18(3), 359-372.

Murphy, J., & Pimentel, S. (1996). Grading principals. Phi Delta Kappan,78(1), 74-81.

Murphy, J., & Schiller, J. (1992). Changing roles in the transformational process; Transforming americas schools, an administrators call to action. LaSalle, Ill.: Open Court.

National Association of Elementary School Principals. (1984). Standards for quality elementary schools. VA: Author.

National Association of Elementary School Principals. (1986). Proficiencies for principals. VA: Author.

National Association of Elementary School Principals. (1990). Principals for the 21st century schools. VA: Author.

Neufeldt, V. (Ed). (1988). Webster's new world dictionary (3rd ed.). New York, NY: Simon & Schuster.

Otis, J. L., & Leukart, R. H. (1954). Job evaluation (2nd ed.). NJ: Prentice-Hall.

Patterson, J. L. (1993). Leadership for tomorrow's schools. VA: Association for Supervision and Curriculum Development.

Pekoe, Jr., L. C. (1991). Expert evaluation. The Executive Educator, 13(10), 39-40.

Peterson, D. (1991, April). Evaluating principals. (ERIC Digest Series No 60). Eugene, OR: Clearinghouse on Educational Management. (ERIC Document Reproduction Service No. ED 330 064)

Poplin, M. S. (1992). The leader's new role: Looking to the growth of teachers. Educational Leadership, 49(5), 11.

Rallis, S., & Goldring, E. B. (1993). Beyond the individual assessment of principals: School-based accountability in dynamic schools. Peabody Journal of Education, 68(2),3-23.

Robbins, S.P. (1978). Personnel. NJ: Prentice-Hall.

Seriovanni, T. J. (1994). The roots of school leadership. Principal, 74(2), 6-9.

Sichlechty, P.C. (1991). Schools for the 21st century. San Francisco: Jossey-Bass.

Sinclair, R. L., & Ghory, W. J. (1987). Reaching marginal students: A primary concern for School renewal. United States of America: McCutchan.

Sinclair, R. L., & Ghory, W. J. (1997). Reaching and teaching all children. CA: Corwin.

Sinclair, R. L., & Nieto, S. (1989, June). Conceptualization of curriculum. The University of MA Danforth Program for School leadership. Amherst, MA: University of Massachusetts.

Smith, W. F., & Andrews, R. L. (1992). Instructional leadership: How principals make difference. VA: Association for Supervision and Curriculum Development

Snyder, J., & Ebmeier, H. (1993). Empirical linkages among principal behaviors and intermediate outcomes: Implications for principal evaluation. Peabody Journal of Education, 68(2), 75-107.

Snyder, K. J., Anderson, R. H., & Johnson, W. L. (1992). A toolkit for managing productive schools. Educational Leadership, 49(5), 76-80.

Stufflebeam, D., & Nevo, D. (1993). Principal evaluation: new directions for improvement. Peabody Journal of Education, 68(2), 24-46.

The changing role of the principal. (1983, December 1). Phi Delta Kappa Center on Evaluation, Development, Research Seminar: Hot Topics Series, 1983-84 (pp. 5-12). IN: Phi Delta Kappa.

Thomas, C., & Vornberg, J. A. (1991). Evaluating principals: new requirements, directions for the 90's. National Association of Secondary School Principals Bulletin, 75(539), 59-64.

Thompson, S. D. (1989). Troubled kingdoms, restless natives. Phi Delta Kappan, 70(5), 371-375.

Traits of the effective principal. (1983). Phi Delta Kappa Center on Evaluation, Development, Research: Hot Topics Series, 1983-84 (pp. 2-3). IN: Phi Delta Kappa.

Tyler, R. W. (1989). The role of the principal in promoting student learning. Matters of Consequence. Amherst, MA: University of Massachusetts, Coalition for School Improvement.

U. S. Census Bureau. (1999). Statistical abstract of the United States (ISBN- 16-042778-9). Washington, DC: U.S. Government Printing Office.

What makes a leader? (1994). Principal, 74(2), 4.

Weller, L. D., Buttery, T. J., & Bland, R.W. (1994). Teacher evaluation of principals: As viewed by teachers, principals and superintendents. Journal of Research and Development in Education, 27(2), 112-117.

Weiss, K. (1989, March). Evaluation of elementary and secondary school principals. Paper presented at the annual meeting of the American Association of School Administrators, Orlando, FL.

Williams, J., & Pantili, L. (1992). A meta-analytic model of principal assessment. Journal of School Leadership, 2(3), 256-279.